REF2021: Code of Practice

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> The University of Glasgow's Code of Practice is self-contained within this document. Where links are provided, these are to enable University of Glasgow staff to explore, should they wish, further information which is not integral to the Code itself.

Part 1: Introduction

1.1 Overview of REF2021

The Research Excellence Framework (REF) is the system for assessing research in UK Higher Education Institutions. The University of Glasgow will make its submission to the current REF exercise, REF2021, by 31 March 2021.

The REF is a national process of review, carried out by expert sub-panels for each of 34 subject-based units of assessment (UoAs), under the guidance of four main panels. For each submission, three distinct elements are assessed: the quality of **outputs** (e.g. publications, performances, and exhibitions), the **impact** of research beyond academia, and the **environment** that supports research.[1] Expert UoA sub-panels are made up of senior academics and research users.

Institutional performance in REF2021 will have significant consequences for the University of Glasgow, both for the amount of unrestricted funding we receive from the Scottish Funding Council via the Research Excellence Grant and for our research reputation. The University's submission to REF2021 is therefore an institutional process. Decisions regarding the shape of the submission and the material to be submitted to the exercise will be management-led and will be made with the intention of maximising the University's performance in REF2021.

REF2021 will require HEIs to return the outputs of all staff who have significant responsibility for research and who are independent researchers. For each member of REF-eligible staff in post on the census date (31 July 2020), a minimum of one and no more than five outputs may be returned.

Each institution making a submission to REF2021 is required to develop, document and apply a Code of Practice setting out how the institution will (i) fairly and transparently identify staff with significant responsibility for research (see Part 2); (ii) determine who is an independent researcher (see Part 3); and (iii) determine how outputs will be selected for submission (see Part 4), including how staff may declare and have considered individual equality-related circumstances which have constrained their ability to produce outputs or to work productively throughout the assessment period (see Part 5).[2]

This Code of Practice sets out the University of Glasgow's approach in each of these areas so that staff understand the criteria and processes that will be followed. The aim is to ensure that a safe and supportive process has been established for staff to declare individual circumstances, that appropriate decisions are made by impartial committees and that relevant support is provided to those with impacting individual circumstances.

Those requiring a copy of this Code of Practice in an alternative format should request this by contacting the Equality and Diversity Unit at equality@gla.ac.uk or on 0141 330 1887.

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[1] For further information, see the external REF2021 website at https://www.ref.ac.uk/about/what-is-the-ref/

[2] See 'Guidance on codes of practice (2019/03)' at https://www.ref.ac.uk/publications/guidance-on-codes-of-practice-201903/

1.2 Equality and diversity commitments

The University of Glasgow aims to promote diversity and inclusion throughout the institution. In developing this Code of Practice, we aim to observe the REF2021 principles of transparency, consistency, accountability and inclusivity in the way that processes are designed and implemented throughout the submission.

The University Strategy 2015–2020 *Inspiring People: Changing the World* includes as one of its core values *"Embracing diversity and difference and treating colleagues, students, visitors and others with respect"*. Our Equality and Diversity Policy expands on this value:

> *The University aims to create a learning and working environment based on fostering good relations between all people, with a shared commitment to promoting respect for all, and challenging and preventing stereotyping, prejudice, discrimination and harassment.*

> *The University is committed to inclusiveness, which "embraces diversity by valuing and respecting the perspectives and contributions of all our colleagues and students" […], to the benefit of the University community in respect of its learning, teaching, research, management, administration and support service activities.* [3]

Supporting staff to have a positive experience when working, learning and researching ensures they can provide the best of themselves in the research and teaching environment. The Dignity at Work and Study Policy states that the University:

> *…is committed to fostering a working, learning and research environment where mutual respect and dignity is experienced by and between employees and students.*

> *The University aims to promote a culture where we embrace diversity and difference; harassment and bullying are known to be unacceptable; allegations are dealt with in a fair and timely fashion, without fear of victimisation.*

In the context of these commitments, this Code outlines the processes implemented to achieve the optimum submission to REF2021 for the University.

1.3 Equality developments from REF2014

The University aims to exceed the expectations of the Scottish Government's Public Sector Equality Duty (PSED),[4] which impacts all parts of campus life. This legislative driver directly links to the University's strategic vision and ambitions as set out in *Inspiring People: Changing the World.* The University has set six equality outcomes, of which three particularly relate directly or indirectly to the research environment:

> *Gender equality - grow the percentage of senior women, with overt consideration on addressing occupational segregation.*

> *Foster a supportive culture, which promotes dignity and respect and where all staff feel valued and inappropriate behaviours are challenged.*

> *Develop a campus-wide framework on mental health and wellbeing.*

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[3] https://www.gla.ac.uk/myglasgow/humanresources/equalitydiversity/policy/equalitypolicy/
[4] https://www.gla.ac.uk/myglasgow/humanresources/equalitydiversity/equalityact/

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All the University's equality activity is mapped to these six outcomes and progress is actively tracked over a four year period.

The REF2014 Equality Impact Assessment found that, with the exception of gender, there was no significant difference in submission rates between staff with protected characteristics and those without. Women who declared a maternity leave as a circumstance had comparable selection rates to the total male population. This suggested that the process for enabling a fixed tariff reduction for maternity leave within the REF2014 period was effective at redressing the balance of selection between the genders. However, women who did not take maternity leave within the REF2014 period were less likely to be selected for REF. Pre-REF period maternity leave and ongoing childcare commitments may have been contributory factors. The University has therefore recognised the requirement to support women beyond the immediate impacts of maternity leave. To help women stay research-active after maternity leave, the University has implemented an Academic Returners Research Fund. This fund allows staff returning from maternity and/or shared parental leave (of four months or more) to apply for up to £10K to support research activity. Eligible activities include teaching buyout, conference attendance, research assistance support, or other purposes the applicant regards as being beneficial to their research. Between launch of the scheme in 2015 and June 2019, the University has invested £384,000 in 47 applicants.

To support the University's approach to gender equality, we applied for and achieved our institutional Athena SWAN Bronze award in 2013, renewed in 2016. Our Schools and Research Institutes now hold 18 awards: one Gold, four Silver and 13 Bronze. Our School of Physics and Astronomy is an Institute of Physics JUNO Champion. The impact of this and other initiatives is that the University has grown the percentage of female professors from 23% in 2014 to 27% in 2018.

Following REF2014, the University recognised the importance of training and development to support equality, diversity and inclusion across all areas. The University therefore set out an ambitious target of a 90% completion rate for our Equality and Diversity Essentials Course across all 8251 staff. From a 2014 baseline of 36% completion rate, and following the decision to make the training mandatory to all new staff in 2015, the 2019 completion rate has risen to 78%.

Unconscious bias training was provided to all staff involved in REF2014 and the wider benefit was recognised beyond the REF process. In 2015 an online unconscious bias training module was purchased for the whole institution and has now become mandatory for all staff involved in recruitment and promotions.

To support researcher development and to develop high achieving, high performing academics at all ages, the University launched an Early Career Development Programme (ECDP) in 2013. This scheme supports newly appointed early career academic staff at Grade 7 or 8 in developing their academic skills and accelerating promotion. The programme enables this by:
- Providing learning and development opportunities in all aspects of the academic role;
- Allocating a mentor to provide support and advice;
- Annual setting of objectives, which enable academics to develop with a view to meeting the criteria for promotion to Senior Lecturer within a defined timescale.

Successful completion of the programme is achieved by participants gaining promotion to Senior Lecturer under the University's Academic Appointment & Promotion Policy. All 26 ECDP applicants for Grade 9 (plus 1 applicant for Reader) applied ahead of the five-year timescale normally expected and success rates of ECDP participants exceed the success rate for non-ECDP academics in the period 2015–17 inclusive.

The University recognises that one of the key drivers in tackling our gender pay gap is to encourage the upward trajectory of females into roles at a senior level (vertical segregation), and to have greater diversity in roles which attract additional pay (horizontal segregation). In 2016, the University established a Gender Pay Action Plan to address structural inequalities. In the three years of the plan we have increased the proportion of female professors by 3% and decreased our pay gap by 1.2% over the same

period. The University acknowledges there is still a substantial distance to go in this regard and has an ongoing action plan to address this issue.

The University's commitment to equality and diversity has been recognised in the EU's HR Excellence in Research Award, originally awarded in 2010 and renewed in 2019. The renewal commented that *"University of Glasgow provided an excellent application. Progress is evident and the new Action Plan is ambitious for going further."*

1.4 Principles

This Code of Practice is underpinned by the four key principles of transparency, consistency, accountability and inclusivity as outlined below.

   a. **Transparency:** The University has designed its processes to be transparent for determining research independence, selecting outputs for inclusion in REF submissions and considering cases of individual staff circumstances. This Code of Practice will be made available in an accessible format and publicised to all academic staff across the institution, including on the staff intranet, and drawn to the attention of those absent from work. The programme of communication activity to disseminate this Code and explain the processes contained herein are documented in Appendix 1.

   b. **Consistency:** The principles governing the processes covered this Code of Practice will be implemented in a consistent manner across all Units of Assessment. This Code sets out the principles to be applied to all aspects/stages of the process at all levels within the institution where decisions will be made.

   c. **Accountability:** This Code sets out the membership, roles and responsibilities of those individuals and committees that are involved in determining research independence, selecting outputs for REF submission and considering cases of individual staff circumstances. Appendix 6 of the Code also sets out what training those involved in these processes are required to have undertaken.

   d. **Inclusivity:** The processes described in this Code promote an inclusive environment, enabling the University to identify all staff who are independent researchers, and the excellent research produced by staff across all protected groups.

Further information as to how the University has embedded and will uphold these four key principles in the management and delivery of the submission to REF2021 is provided throughout this document.

1.5 Legal framework

In accordance with the University of Glasgow's legal responsibilities both as an employer and a public body, the University's REF procedures as set out in this Code have been developed to align with our legal requirements in the Equality Act 2010, and with the Scottish Public Sector Equality Duty. In addition, the University is committed to treating employees on different contracts and work schedules no less favourably than comparative groups.

A summary of the relevant equality legislation is provided in Table 1 of the Guidance on Codes of Practice for REF2021.[5]

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[5] See https://www.ref.ac.uk/publications/guidance-on-codes-of-practice-201903/

The University is committed to providing comparable rights and benefits to employees on fixed-term contracts, and those who work reduced hours. Contract status is not a barrier to accessing the employee processes or benefits across the University.

1.6 Consultation process

The development of this Code of Practice has been informed by input received from a wide ranging process of consultation with committees, groups and staff across the University (see Appendix 1). The feedback received from consultation has informed, in particular, the criteria for determining the independence status of Research-only staff, the University's approach to handing the outputs of staff made redundant and processes for declaring and considering cases of individual staff circumstances.

Part 2: Identification of staff with significant responsibility for research

REF2021 will require outputs to be returned for all staff having significant responsibility for research, provided they are independent researchers, have a contract of employment of 0.2 FTE or greater and are on the University's payroll at the REF2021 census date (31 July 2020). For these staff, a minimum of one output and a maximum of five outputs must be returned unless an individual has circumstances justifying the removal of the minimum of one (see Section 5.2.2). Units of Assessment may also return the outputs of former members of staff who were on the University's payroll in a REF-eligible category when the output was first made publicly available.

On 14 December 2017, the University's Senior Management Group (SMG) decided that, for the University of Glasgow, staff having significant responsibility for research will include all staff who, on the REF2021 census date, are either on a Research & Teaching contract or are on a Research-only contract and are deemed to be an independent researcher (see Part 3).

Part 3: Determining research independence

3.1 Criteria and processes

3.1.1 Definition of independence for Research-only staff
The Guidance on Submissions for REF2021 (GoS)[6] confirms that, to be eligible to be returned to REF2021, staff employed on 'Research-only' contracts must be **independent researchers** (paragraph 128, GoS).

For the purposes of REF2021, an independent researcher is defined as an individual who undertakes self-directed research, rather than carrying out another individual's research programme (paragraph 131, GoS).

The University will not take into consideration research undertaken outside the contract of employment.

Research assistants (sometimes also described as postdoctoral research assistants, research associates or assistant researchers) are not eligible to be returned to the REF unless, exceptionally, they meet the definition of an independent researcher. Research assistants are defined as academic staff whose primary employment function is 'research only', and who are employed to carry out another individual's research programme rather than as independent researchers in their own right (paragraph 130 GoS).

A member of staff on a Research-only contract will be regarded as being an independent researcher for REF2021 if, at the REF2021 census date (31 July 2020), they:

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[6] See https://www.ref.ac.uk/publications/guidance-on-submissions-201901/

a. Hold an independently won, competitively awarded fellowship for which research independence is a requirement (qualifying fellowships are listed in Appendix 2) and / or

b. Are on a Grade 10 (professorial-level) salary, or equivalent and / or

c. Are both leading a large-scale externally-funded programme of work (e.g. centre or facility) and are recognised for their intellectual ownership of the work on the Financial Approver Document (Agresso).

Each of the three qualifying criteria above must apply on the REF2021 census date. In each case, staff should have a contract of employment of 0.2 FTE or greater and be on the University's payroll at the REF2021 census date (31 July 2020).

In selecting its definition of research independence, the University has maximised the REF criteria of consistency and transparency, but also its own principles of clarity and fairness.

In particular, the chosen criteria:

- Apply equally to all Research-only staff in the University, with no distinction made by discipline. This uniform approach assists communication, promotes a sense of cohesion across the institution, and facilitates the independence-assessment of researchers who straddle different disciplines.

- Acknowledge the contribution of different career paths to research leadership: independent Research-only staff may be PIs on grants that fund their own project but also those who, while not being PIs, have responsibility for leading substantial projects.

A decision on whether a Research-only member of staff is returned in the REF is for the purposes of the REF submission only and will have no bearing on their career progression at the University of Glasgow.

3.1.2 Procedure for determining independence of current Research-only staff
Research independence status will be determined by each College Assessment Panel, advised by the relevant UoA REF Champion and College Dean of Research, applying the criteria in Section 3.1.1 above.

3.1.3 Procedure for determining independence of former Research-only staff
The criteria in Section 3.1.1 also apply where the unit is considering submitting an output authored by a former member of staff on a Research-only contract. In this case, the criteria will be applied by the College Assessment Panel, as advised by the UoA REF Champion and Dean of College Research, having regard to the date at which the output was first made publicly available.

3.1.4 Record-keeping
Research & Innovation Services will provide all UoA Champions and Deans of Research with a standard pro-forma to be completed and submitted to the College Assessment Panel wherever decisions are needed regarding the independence status of a current or former member of staff on a Research-only contract.

3.1.5 Communicating decisions about research independence
Research-only staff in post on 1 July 2019 will receive a communication which (i) notifies them of the defining criteria for determining research independence; (ii) advises them that **those who are considered to be independent researchers** will receive an e-mail confirming this between 19 August 2019 and 9 September 2019; and (iii) provides them with details of the appeals process. Research-only staff who start employment after 1 July 2019 will receive an equivalent communication by the last working day of the month in which they join the University.

All Research-only staff in post on 1 July 2019 who are determined to be independent will have been notified of their status by 9 September 2019 by e-mail. Research-only staff who join the University after 1 July 2019 and who are determined to be independent will be notified of their status by e-mail by the dates given in Table 1.

As a concluding exercise, after the census date (31 July 2020), College Assessment Panels will carry out a final check of the independence status of all Research-only staff to ensure (i) that those previously determined to be independent remain so on the census date; and (ii) that anyone who has become independent by the census date, but was not previously determined to be so, is notified of their independence status by e-mail by 19 October 2020. The deadline for final appeals in relation to research independence is 16 November 2020.

Table 1 – Timetable for communications and appeals relating to research independence

Date of appointment	Deadline for sending communication to those deemed independent	Deadline for lodging appeal
Up to and including 1 July 2019	9 September 2019	7 October 2019
2 July 2019 to 31 October 2019	11 November 2019	9 December 2019
1 November 2019 to 31 January 2020	10 February 2020	9 March 2020
1 February 2020 to 30 April 2020	11 May 2020	8 June 2020
1 May 2020 to 31 July 2020	10 August 2020	7 September 2020
Concluding exercise	19 October 2020	16 November 2020

3.2 Appeals

3.2.1 Overview
A formal appeals process is available to members of Research-only staff who wish to appeal the outcome of the decision regarding their status as an independent researcher.

Appeals will be handled by the Staff Independence Status Appeals Committee (SISAC) in accordance with the procedure outlined below. Details of the membership and responsibilities of the SISAC are contained in Appendix 5, Section 6. SISAC members will have at no stage been involved in the REF preparations for the appellant's College, nor in the process of determining or advising on the independence status of current or former staff in the appellant's College.

Any appeals against decisions relating to research independence for staff in post on 1 July 2019 will be handled by the SISAC between 9 September 2019 and 29 November 2019.

Any appeals against decisions relating to research independence for staff appointed after 1 July 2019 will be dealt with by the SISAC in accordance with the process in Section 3.2.3 below.

3.2.2 Grounds of appeal
The following grounds of appeal will be considered:
  (i)   The criteria for determining research independence were applied incorrectly;
  (ii) New evidence is now available which could not have reasonably been provided when the original decision was made.

3.2.3 Appeals Process and Deadlines
  (i)   Before making an appeal, the independence status of the individual must have been determined. It is the aim of the University that the independence status of all individuals who are in post on 1 July 2019 will have been determined by 9 September 2019. Other staff will be notified as detailed in Table 1.

(ii) Those wishing to appeal the decision should first contact the College Dean of Research to request information about how the decision was made and ask for clarification on the basis of the decision. This should be done as soon as possible after the date of notification of independence status.

(iii) Should this approach not lead to an agreed resolution, the staff member wishing to make a formal appeal should complete the appeal form and provide the supporting information identified on the form. The grounds for the appeal should be clearly identified and explained in the supporting case. The deadlines for lodging appeals are noted in Table 1. Staff requiring advice on completing the form can contact Research and Innovation Services at ris-policy@glasgow.ac.uk.

(iv) The College Assessment Panel will provide the SISAC with their record of the basis upon which the decision on independence was reached. That record and the appellant's completed appeals form will comprise the documentation to be referred to by the SISAC.

(v) The SISAC will meet to consider the appeal and will ensure that the meeting takes place without unreasonable delay. It is the aim of the University to have resolved all appeals for staff in post on 1 July 2019 by 29 November 2019.

(vi) The decision of the Appeals Committee will be communicated to the appellant, CAP and REF UoA Champion, normally within 15 working days of the meeting. The decision of the SISAC will be final.

3.3 Equality impact assessment

A University-wide EIA of the staff selected as Independent Researchers, compared to the potential pool of all Research-only staff, will be conducted (See Part 7).

Part 4: Selection of outputs

4.1 Policies and procedures

4.1.1 Selection of outputs authored by current staff
Outputs returned to each UoA submission will be selected and configured to maximise the GPA of the UoA's outputs sub-profile. This principle will be applied even if this means allocating outputs unevenly across staff, unevenly across staff at different career stages, or not allocating all outputs to their senior author.

4.1.2 Selection of outputs authored by former staff
The approach outlined in Section 4.1.1 also applies to the selection and configuration of outputs authored by former staff. In line with the institutional primary aim to maximise the GPA of the submission, the outputs of former staff will be submitted if they contribute to this objective.

In its submission to REF2021, the University of Glasgow will not assign outputs to any former members of staff who were employed on a Research and Teaching (R&T) contract but who have been made compulsorilyredundant or who have been dismissed and are no longer employed by the University as Category A eligible[7] staff on the census date.

4.1.3 Process for scoring and selecting outputs

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[7] Category A eligible staff are defined in Paragraph 117 of the REF2021 Guidance on Submissions as academic staff with a contract of employment of 0.2 FTE or greater, on the payroll of the submitting institution on the census date, whose primary employment function is to undertake either 'research only' or 'teaching and research'. Staff should have a substantive research connection with the submitting unit and those on 'research only' contracts should meet the definition of an independent researcher.

Each UoA will score its outputs portfolio up to the REF2021 submission date, 31 March 2021. Decisions on the outputs to be selected will be made by the relevant College Assessment Panel on the advice of its constituent Outputs Scoring Committees.

In each Unit of Assessment, output selection will follow the institutional aim to achieve the highest overall GPA of submission within the constraints of the need to submit between one and five outputs per member of submitted staff, or zero where an individual's circumstances allow (See section 5.2.2).

In each unit, outputs are scored by a minimum of two members of the Output Scoring Committee. Outputs are assessed in accordance with the REF2021 starred levels for assessing output quality (unclassified to four star)[8] using a more granular 13-point scale.

4.1.4 UoA Output Scoring Committee
Each UoA has established an Output Scoring Committee, set up as part of the external Interim Research Review (IRR) process carried out between August 2017 and May 2019.[9] This committee comprises a core group of senior academics whose expertise covers the disciplinary range of the unit's activities. Academics of the appropriate experience have been selected as necessary to ensure sufficient disciplinary breadth. This committee, led by the UoA REF Champion, is responsible for making recommendations to the College Assessment Panel regarding the outputs to be selected for submission to REF2021. The composition, size and operational model of each committee has been reviewed as part of the IRR. Any changes to the membership of an Output Scoring Committee are subject to the approval of the relevant College Assessment Panel. Output Scoring Committees achieve a 40% male, 40% female, 20% any gender split where possible.

4.1.5 Outputs Scoring Methodology
As part of the IRR process, each UoA Output Scoring Committee has devised a written methodology for scoring outputs sufficient to cover the breadth of disciplinary output subsets within the UoA. This methodology sets out:

(i)   the sources of reference used by the Output Scoring Committee to evaluate and score output quality;

(ii)   the method used by the UoA to allocate the outputs to the UoA's Output Scoring Committee and to arrive at a score for each output, including (i) the process to be followed if committee members are unable to agree on a score; and (ii) the process to be followed where a committee member has a known or anticipated conflict of interest in assessing the output e.g. where they are the partner or a family member of one of the authors.

Each UoA Outputs Scoring Methodology is consistent with the University of Glasgow's Statement on the Use of Quantitative Indicators in the Assessment of Research Quality.[10] Where quantitative metrics are used by Output Scoring Committees, these are used only in tandem with qualitative indicators to assess output quality. Quantitative indicators will be used responsibly by using a defined and balanced set of measures that are normalised by subject. Journal impact factors will not be used. Output Scoring Committees will also take account of potential sources of bias, and aim to reduce them: this applies, for example, to the chosen source of assessment data, career stage and full-time equivalent (FTE) status of the author, or their race, gender or disability status.

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[8] See Annex A of the REF2021 Guidance on Submissions.
[9] Details of the Interim Research Review are available at
https://www.gla.ac.uk/myglasgow/research/ref/managingoursubmission/interimreviews/interimresearchreviews/
(campus access only)
[10] See Appendix 3.

The Outputs Scoring Methodology for each UoA has been updated following the Interim Research Review and will be published on the internal UofG REF webpages to ensure each methodology can be seen by colleagues across the UoA.

4.1.6 REF Outputs Database

A secure online database is being used by each UoA to assist in evaluating its REF-eligible outputs and to track the developing quality profile of its submission. The data sharing policy associated with the secure REF outputs database is as follows:

– The following individuals have access to the data relevant to their UoA(s) only: UoA REF Champions, Heads of School/Directors of Institute, Research Directors, Research Conveners/Directors who are also not a UoA REF Champion, the UoA Output Scoring Committee and UoA administrators nominated by the College Assessment Panel.

– The following individuals have access to data from the relevant College UoAs: College Management Group, members of the College Assessment Panel, where different, and a limited number of nominated research managers from the College.

– The following individuals have access to records from all UoAs: the Vice Principal for Research, the Head of Research Policy, and relevant staff in the Business Intelligence Team and R&I.

– Summary statistics will be shared with the College Management Group, SMG, any group named above that has received the full information, and the members of the REF Project Board and REF Operations Group.

– Where outputs authored by a member of staff based in one College are being considered for submission to a UoA associated with a different College, the Head of College and Dean of Research for the author's home College have access to data from the UoA(s) relating to the other College(s) so they can discuss and agree with their College counterparts the optimal UoA assignment of staff and outputs. Nominated research managers from the relevant Colleges will also have access to these data.

Data that are entered in the database will be visible only to approved users, who will be granted secure access to the database via their University of Glasgow ID.

4.2 Treatment of output scores

Information on output scores will be shared in accordance with the data sharing policy noted above and will not be shared with individual staff members.

The basis for this policy is as follows:

– The purpose of REF is to assess the quality of a discipline, not individual performance. The recommendations of Lord Stern's committee on the future operation of the REF have embedded this principle in the format of REF2021.[11]

– A REF submission is based on identifying the best set of outputs for each UoA; this does not guarantee the accurate scoring of each individual output. An output's perceived score might also vary over time, as more information on it becomes available. The REF submission involves selecting the best set of outputs within the constraints of the rules, and so the exercise involves ranking outputs rather than assigning an absolute score to each output.

– Retaining a separation between scoring outputs for REF and for the performance assessment of individuals maintains the integrity of each process. REF output scoring committees have been appointed to assess outputs solely for the purposes of REF, and not to inform the career development/performance management of colleagues.

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[11] See https://www.gov.uk/government/publications/research-excellence-framework-review

Senior managers have a responsibility both to develop staff and to drive the quality of the REF submission and this policy sets clear expectations that there should be a separation between REF-related and performance-related assessment. **Consequently, decisions regarding the optimal configuration of each UoA submission will have no bearing on the future career progression of an individual at the University of Glasgow.** This approach has been endorsed by the University and College Union Glasgow.

Output scores as agreed by output scoring committees and recorded in the REF Outputs Database will only be used for the purposes of institutional REF preparations and will not be used for any other purpose. These scores will not be used, for example, to inform decisions relating to cases for promotion or professorial zoning.

To support career progression, subject areas often have in place local processes of peer review and/or mentoring that provide support and advice to colleagues in relation to outputs that are in development. Whilst such local arrangements can and should continue to exist, they will be kept separate from the processes set out in Sections 4.1 and 4.2 of this Code, which are solely designed and intended for the purpose of scoring REF-eligible outputs as part of institutional preparations for REF2021.

4.1.3 Equality impact assessment

EIAs will be carried out on the process for selecting outputs for submission (see Part 7).

Part 5: Individual staff circumstances

5.1 Expectations of an individual's contribution to the output pool

The Unit as a whole is required to submit an average of 2.5 times the number of FTEs submitted. Each individual is expected to provide between one and five outputs to the output pool unless they have declared circumstances which prevented them from being able to produce one output in the REF period (see Section 5.2.2). Beyond this, there is no expectation regarding the individual's contribution to the output pool as the number of outputs submitted against each individual will be determined by the application of the outputs scoring process to achieve the highest quality submission for their unit. Where an individual has produced no eligible output in the REF period and their circumstances do not support a case for the removal of the minimum of one requirement, they will be treated in the REF assessment as having a missing output which will be graded as 'unclassified'.

Should an individual have declared circumstances that have an effect on their output productivity, they may indicate their approval on the declaration form for details of their circumstances to be shared with line management so that appropriate support can be offered. The decision to allow details of their circumstances to be shared with their line manager and College HR manager is entirely voluntary and is at the individual's discretion.

5.2 Individual staff circumstances - overview

5.2.1 Impact of individual staff circumstances
To allow for normal variation in individuals' different research productivities, the REF2021 system allows a flexible approach to the submission process. For each member of REF-eligible staff in post on the Census Date, 31 July 2020, a minimum of one and no more than five outputs may be returned. In addition, the University recognises that those who have experienced circumstances of the type listed in Table 2 (below) may have experienced a reduced level of productivity.

The University has established robust and confidential processes to enable individuals to <u>declare voluntarily</u> their individual circumstances and to have the impact of those circumstances taken into account for REF2021.

Circumstances can be taken into account in the following ways:

(i) **Unit reductions:** Where the cumulative effect of circumstances has disproportionately affected the unit's potential output pool, submitting units may <u>optionally</u> submit a request to the funding bodies for a reduction, without penalty, in the total number of outputs required for a submission. Any reduction requests will be determined according to the tables and guidance in Appendix 4.

(ii) **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 been such that the staff member has not been able to produce the required minimum of one output (see Section 5.2.2).

5.2.2 Criteria for the removal of the minimum of one output

Where any of the following circumstances apply within the period 1 January 2014 to 31 July 2020, requests may be made to the funding bodies to remove the minimum of one output in respect of an individual researcher who has not been able to produce an eligible output:

(i) 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 Table 2 (such as an ECR who has only been employed as an eligible staff member for part of the assessment period). This may include absence from work due to working part-time, where this has had an exceptional effect on ability to work productively throughout the period 1 January 2014 to 31 July 2020.

(ii) circumstances equivalent to 46 months or more absence from research, where circumstances set out in Table 2 apply (such as mental health issues, caring responsibility, long-term health conditions); or

(iii) two or more qualifying periods of family-related leave, as defined in Appendix 4.

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

5.2.3 Voluntary declaration of individual staff circumstances

Those with individual circumstances can declare these via a confidential online web form. 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. This form is the only means by which the University will be gathering this information.

The University encourages those with individual circumstances to declare them in order that each Unit of Assessment is able to submit a return that most accurately reflects the productivity of its staff and so that staff can be provided with appropriate support in relation to their circumstances.

Staff requiring advice on completing the form can contact Research and Innovation Services at ris-policy@glasgow.ac.uk.

5.2.4 Types of individual staff circumstances

The circumstances which will be taken into account for REF2021 are noted in **Table 2** below.

Table 2 – Types of individual staff circumstances

Category of Circumstance	Type of Circumstance

'Clearly defined' circumstances	- Qualifying as an ECR (started career as an independent researcher on or after 1 August 2016) - Absence from work due to secondments or career breaks outside the HE sector - Qualifying periods of family-related leave - Junior clinical academics who have not gained a Certificate of Completion of training by 31 July 2020
Circumstances requiring a judgement about the appropriate reduction in outputs	- Disability (including chronic conditions) - Ill health, injury or mental health conditions - Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances set out in Appendix 4 - Other caring responsibilities (such as caring for an elderly or disabled family member) - Gender reassignment - Other personal circumstances related to COVID-19 (applicable only where requests are being made for the removal of the minimum of one requirement)[12] - Other circumstances relating to characteristics or activities protected by employment legislation

5.3 Process for declaring and considering circumstances

5.3.1 Process for declaring staff circumstances

(i) In Autumn 2019, the REF Team at Research England will invite HEIs to submit unit reduction requests and requests for removing the minimum of one requirement. The deadline for HEIs to submit their requests will be March 2020 and the outcome of requests will be provided to HEIs before the census date. For the University of Glasgow, the main round of decisions on appropriate reductions in outputs for those with individual staff circumstances will therefore be determined between 1 July 2019 and 31 January 2020.

(ii) From 1 July 2019, all REF-eligible staff will receive a communication via e-mail (or a letter to their home address for those who are absent from the University) informing them that they have an opportunity to voluntarily declare individual circumstances and encouraging them to do so. In that communication, staff

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[12] 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).

will be provided with the link to a secure, confidential web form via which they will be able to make a voluntary declaration of their circumstances.

(iii) Staff who require the web form in a different format will be invited to contact the Equality and Diversity Unit at equality@gla.ac.uk or on 0141 330 1887.

(iv) Should a member of staff be unsure as to whether to declare individual staff circumstances, they will be able to contact a central advice point. Discussions will be treated confidentially and where appropriate, queries will be directed to the relevant College HR team or the Equality and Diversity Unit (EDU).

5.3.2 Process for reviewing staff circumstances

(i) Declarations of staff circumstances will be reviewed by the Staff Circumstances and Equality and Diversity (SCE&D) subgroup[13] of the institutional REF Operations Group. This group decides in each case what reduction in outputs, if any, would be justified according to the application of the tariffs contained in Appendix 4.

(ii) Where cases only contain clearly defined circumstances, these cases will be reviewed in the first instance by a small number of designated staff in College HR who will make a recommendation to the SCE&D group regarding the appropriate reduction in outputs justified by those circumstances. The status of this recommendation is advisory only and the SCE&D group is ultimately responsible for deciding on the reduction of outputs that would be justified in each case.

(iii) The SCE&D group will provide each REF UoA Champion[14] with a summary document providing details of the total number of 'clearly defined' circumstances and circumstances requiring a judgement applying to the unit and the total number of output reductions the Unit could potentially claim under each of these circumstance types (see Table 2). The total of 'clearly defined' circumstances will be further broken down by circumstance type to assist the UoA Champion in considering whether the Unit's productivity has been disproportionately affected. Where an individual's circumstances support the removal of the minimum of one requirement, the summary document will include the individual's name, but not the nature of the circumstances, as this is necessary information for configuring the submission.

(iv) HR will communicate with the individual confirming the reduction in outputs which the SCE&D group has calculated that the unit would be entitled to claim based on that individual's circumstances, should the unit decide to seek a Unit-level reduction. In that communication, the individual will be directed to appropriate institutional support in relation to their circumstances.

(v) Where the University holds corroborating evidence for declared circumstances (such as periods of maternity leave), this evidence will be used for audit purposes. From staff who declare circumstances which are not already recorded within individual HR records, further evidence will be required. This evidence may include medical records, a social services record or a relevant report from a third sector organisation.

5.3.3 Process for determining whether an output reduction will be sought

(i) The REF UoA Champion will consider the summary document described in Section 5.3.2 (iii) above to judge whether the cumulative effect of circumstances has disproportionately affected the Unit's available output pool. The REF UoA Champion will consider the total number of outputs the Unit is required to submit and whether the cumulative impact of staff circumstances in the Unit has resulted in there being an exceptional impact on the available output pool from which selection will be made. This judgement will have regard to, for example, the number of cases of staff circumstances across the unit, the number of cases of staff circumstances associated with particular groups of staff (e.g. staff at different levels or who share protected

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[13] See Appendix 5, Section 5.
[14] See Appendix 5, Section 9.

characteristics) and the impact of circumstances on the Unit as a whole. The REF UoA Champion will be required to set out the case for a reduction should it be considered justified.

(ii) UoA responses to Section 5.3.3(i) above will be provided to College Assessment Panels[15] who will determine whether or not cases seeking a reduction of outputs at unit-level are justified. Where cases are considered justified, the College Assessment Panel will submit those cases, in turn, to the REF Project Board[16] with a recommendation that they be submitted to the REF Team at Research England for approval.

(iii) The REF Project Board will make the final decision as to whether cases seeking a reduction of outputs should go forward to the REF Team at Research England.

5.3.4 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 the Staff Circumstances Equality and Diversity Committee (SCE&D) to provide any information as soon as possible following the change in circumstances and by no later than 31 August 2020.

5.4 Data governance

Information provided in relation to individual staff circumstances will be stored electronically within the University's HR system and will be considered confidential. The data will be kept in accordance with the retention schedule detailed in the Data Protection Impact Assessment and associated Privacy Notice, links to which will be provided on the online web form.

Part 6: Management of the REF2021 submission

6.1 Roles of groups and committees

In reaching decisions about our REF submission strategy and the materials to be submitted to REF2021, the University draws on its existing committee structures for the management of research, together with REF-specific committees and individuals appointed to have certain responsibilities for REF matters.

Committees and groups involved in preparations for REF2021[17] are summarised in Figure 1 below. Full details of their membership, responsibilities and appointments processes are provided in Appendix 5 and their training schedules are provided in Appendix 6.

Committees and groups may use their professional judgement in choosing to seek advice from others, both internal and external to the University.

The REF2021 submission is coordinated by Research & Innovation Services, supported by professional support staff in central services (including Human Resources, Planning and Business Intelligence, Finance, and Information Services) and Colleges (research support staff, including College Impact Managers and REF Impact Officers).

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[15] See Appendix 5, Section 7.
[16] See Appendix 5, Section 2.
[17] A list of current REF Champions, REF Impact Champions and CAP members and details of their remits can be found at https://www.gla.ac.uk/myglasgow/research/ref/refleadershipgovernance/ (campus access only)
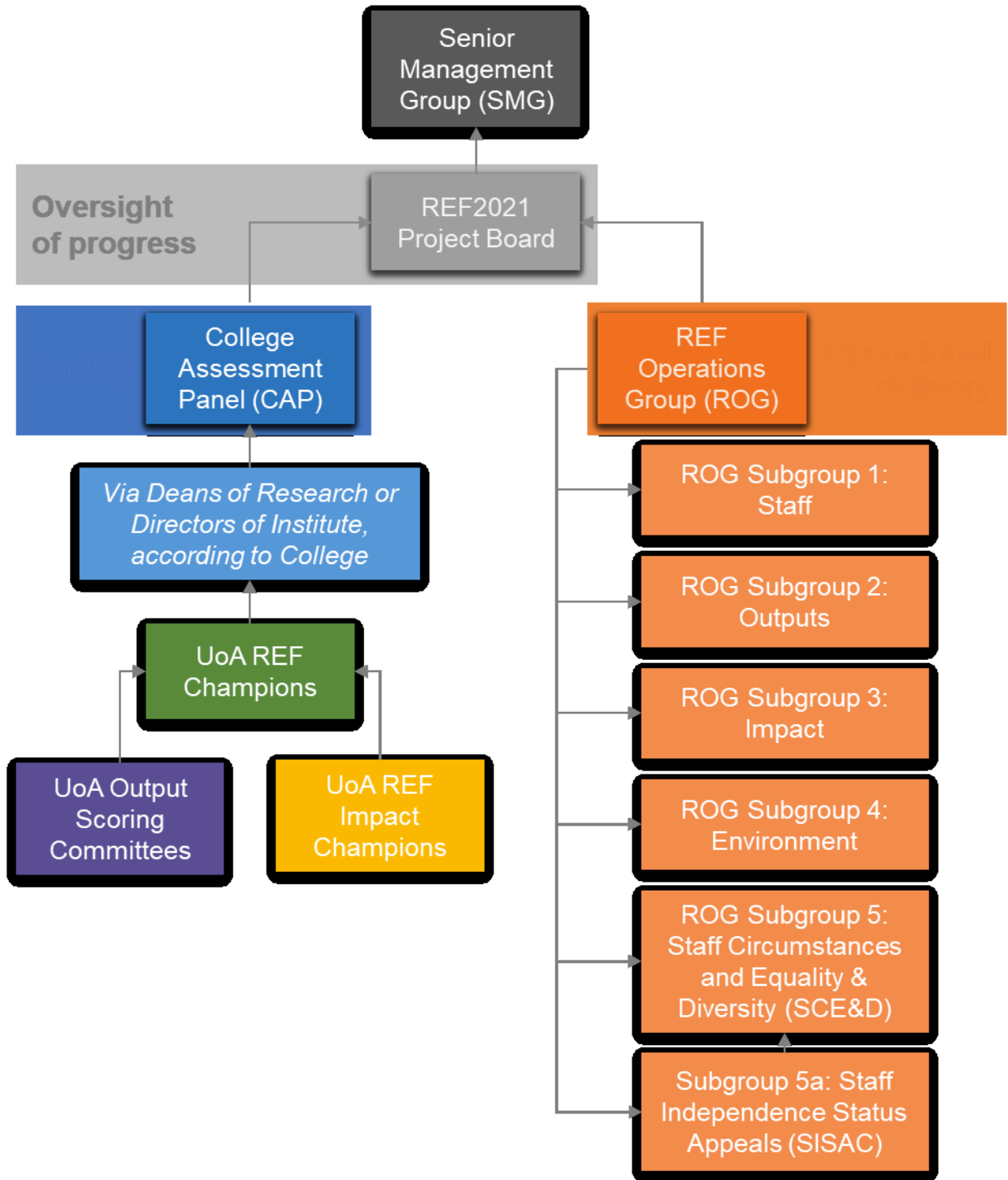
Figure 1

Senior Management Group (SMG)
Chaired by: Principal
Composition: Principal, Vice Principals, Chief Operating Officer (COO) and University Secretary, Director of Finance, Director of Human Resources
Remit: Overall responsibility for strategic decisions relating to the progression and shape of the institutional submission to REF2021.
Accountable to: Court
Appointed by: Principal and Vice-Chancellor

REF2021 Project Board
Chaired by: Vice Principal (Academic Planning & Technological Innovation)
Composition: Vice Principal (Academic Planning & Technological Innovation),
Vice Principal for Research, Chief Operating Officer (COO) and University Secretary, Executive Director, Research & Innovation, Head of Research Operations, College Deans of Research (DoRs)
Remit: Review progress of the submission against pre-agreed timelines, as reported by the REF Operations Group (ROG), and consider any associated risks; Receive queries or concerns from CAPs on their progress or on centrally-coordinated preparations, as presented by the College Deans of Research (DoRs); Agree actions for Colleges and University Services; Sign-off on the College-level and centrally-coordinated operational progress reports provided by the ROG, for subsequent review by SMG.
Accountable to: SMG
Appointed by: SMG

College Assessment Panel (CAP)
Chaired by: Head of College and Vice Principal (MVLS) or College Dean of Research (Arts, CoSE and CoSS)

> **Delegated responsibility for operational management of REF Preparations:** **College Dean of Research.** The Dean of Research has delegated responsibility from the Head of College and Vice Principal for the strategic leadership and coordination of REF preparations at an operational level and for liaising between the CAP and UoA Champions to ensure that REF-related business and documentation is brought timeously and in the correct format to CAP meetings.

Composition: The composition of the College Assessment Panel (CAP) may vary between Colleges but will include the Head of College and Vice Principal **and/or** the College Dean of Research and individuals with expertise of serving on REF2014 sub-panels or who were involved in the University of Glasgow's REF2014 submission.
Remit: The CAP is responsible for overseeing and coordinating the preparation and approval of REF materials for the College up until the submission is made to REF2021. The CAP has ultimate responsibility for signing off the submission of each UoA.
Accountable to: REF2021 Project Board
Appointed by: Head of College and Vice Principal

UoA REF Champions
Remit: With direction from the College Assessment Panel (CAP), REF Champions are responsible for supporting the CAP in developing and managing the REF2021 submission for the UoA. REF Champions chair the Output Scoring Committee and collaborate with the REF Impact Champion for their UoA.
Accountable to: CAP, College Dean of Research and Head of School/Director of Institute.
Appointed by: College Assessment Panel on the recommendation of the Head of School/Director of Research Institute (CoSE and MVLS); Head of College and Vice Principal, College Dean of Research and the Head of School (Arts and CoSS).

UoA Output Scoring Committees
Chaired by: REF Champion
Composition: Led by the REF Champion, each UoA has its own Output Scoring Committee comprising a core group of senior academics whose expertise covers the disciplinary breadth of the unit's activities.
Remit: Reviewing and scoring outputs in accordance with the unit's Outputs Scoring Methodology and making recommendations to the CAP regarding the outputs to be submitted to REF2021.
Accountable to: College Dean of Research
Appointed by: REF Champion

UoA REF Impact Champions
Remit: REF Impact Champions are responsible for designing, implementing, coordinating and overseeing robust processes for identifying, monitoring, drafting and evidencing impact case studies of the highest quality for consideration by the CAP.
Accountable to: Relevant CAP member (CoSE, CoSS and MVLS); UoA Champion, College Dean of Research and CAP (Arts).
Appointed by: College Assessment Panel on the recommendation of the Head of School/Director of Research Institute (CoSE and MVLS); Head of College and Vice Principal, College Dean of Research and the Head of School (Arts and CoSS).

REF Operations Group (ROG)
Chaired by: Executive Director Research and Innovation
Composition: R&I Head of Research Operations (Alternate Chair), Assistant Director, Digital Strategy, Library Services, P&BI Head of Business Intelligence, Planning, Insight & Analytics, HR representative nominated by the Executive Director of HR, Heads of Research Support in each College, Research Planning Manager, REF Data Analyst and Chairs of the subgroups.
Remit: Data collection and operational delivery of the institutional REF submission.
Accountable to: REF Project Board
Appointed by: Executive Director Research and Innovation

ROG Subgroup 1: Staff
Chaired by: R&I Research Strategy & Policy Manager
Composition: R&I Research Policy Team, HR Operations Manager, IT Services Senior Analyst, College representatives, one College HR Manager.
Remit: Assembly of submission data from HESA and Glasgow systems relating to staff.
Accountable to: REF Operations Group
Appointed by: Executive Director Research and Innovation

ROG Subgroup 2: Outputs
Chaired by: R&I Strategic Research Excellence Framework Coordinator
Composition: R&I Research Policy Team, Library Research Information Manager, Assistant Director, Digital Strategy (Library Services), PIA Data Analytics Manager, REF Data Analyst, College Librarian (Scholarly Research Communications), College representatives.
Remit: All aspects of output submission including data requirements, OMT, Open Access and ORCID.
Accountable to: REF Operations Group
Appointed by: Executive Director Research and Innovation

ROG Subgroup 3: Impact
Chaired by: R&I Research Impact Manager
Composition: R&I Research Impact Officer, College Impact Officers.
Remit: All aspects of impact submission relating to development and submission of impact case studies.
Accountable to: REF Operations Group
Appointed by: Executive Director Research and Innovation

ROG Subgroup 4: Environment
Chaired by: R&I REF Coordinator
Composition: R&I Research Policy Team, PIA Data Analytics Manager, REF Data Analyst, Finance Systems Senior Analyst, College representatives.
Remit: All aspects of environment template submission including provision of background data to UoAs, assembly of environment statements.
Accountable to: REF Operations Group
Appointed by: Executive Director Research and Innovation

ROG Subgroup 5: Staff Circumstances and Equality & Diversity (SCE&D)
Chaired by: Clerk of Senate (and Equality Champion), Executive Director HR
Composition: Equality and Diversity Manager, Head of Research Operations, academic College representatives.
Remit: Equality and Diversity issues in REF, decisions on appropriate output reductions due to individual staff circumstances, design and conduct of Equality Impact Assessments and operation of the REF Code of Practice.
Accountable to: REF Operations Group
Appointed by: Executive Director Research and Innovation

Subgroup 5a: Staff Independence Status Appeals Committee (SISAC)
Chaired by: Vice Principal (Learning & Teaching)
Composition: Deputy Director of HR, academic representative from the appellant's own College, Dean of Research from a College other than appellant's own College,
Remit: Consideration of appeals from research–only staff in relation to independence status.
Accountable to: ROG Subgroup: Staff Circumstances and Equality & Diversity
Appointed by: Executive Director Research and Innovation

Part 7: Equality impact assessments

The University conducts Equality Impacts Assessments (EIA) on policies, processes and products as outlined in the Scottish Public Sector Equality Duty (PSED). The University will conduct an EIA of the Code of Practice comprising:

- A University-wide EIA of the staff selected as Independent Researchers compared to the potential pool of all R-only staff, to be completed on first application of the criteria for determining independence and on conclusion of the REF submission. Sufficiency of data permitting, this EIA will look at age, disability, sex, ethnicity and part-time/fixed term status.
- An EIA on the selection of outputs for submission, to include:
  - o A review of the framework of principles adopted by Output Scoring Committees to mitigate potential sources of bias in output selection following completion of its interim research review process.
  - o An analysis of the scores given to the outputs (~900) reviewed on completion of the interim research review process by sex and age.
  - o Following submission, an EIA of staff in relation to outputs, by UoA and Main Panel and to include analysis of:
    - Eligible staff in the area by protected characteristic
    - All potential outputs, by author's protected characteristic
    - All selected outputs, by author's protected characteristic
- Following submission, and sufficiency of data permitting, a University-wide EIA of those selected with zero outputs by protected characteristic.
- Following submission, an analysis by sex and career stage of staff involved in impact case studies.

This EIA information will provide data to ensure the University can address any understood equality issues both within this REF process and for the future.

Part 8: Appendices

Appendix 1: Consultation and communication schedule

Consultation Schedule

The Code of Practice underwent continuous revision during the consultation process, based on feedback from the various groups consulted.

Target audience	Purpose	Format	Led by	Timing
Deans of Research	Consultation on key content* and proposed policies and processes to be set out in code.	Discussions at monthly meetings of Deans of Research and the Office of the Vice Principals plus circulation of draft code for comment.	Office of the Vice Principals	Meetings: January 2019 to May 2019 Draft code circulated: April 2019
Equality and Diversity Strategy Committee	Consultation on proposed arrangements for declaration and consideration of cases of individual staff circumstances.	Presentation and discussion.	Director of Research & Innovation Services	12 March 2019 and 5 June 2019 Final code circulated: June 2019
University and College Union Glasgow (UCUG)	Consultation on key content* and proposed policies and processes to be set out in code.	Presentation and discussion at dedicated meetings plus circulation of draft code for comment.	Head of Research Policy	Meetings: 15 March 2019 and 17 April 2019 Draft code circulated: April 2019
Postdoctoral Researchers Forum	Consultation on key content* and proposed policies and processes to be set out in code.	Presentation and discussion at Forum meeting plus circulation of draft code for comment.	Head of Research Policy	Meeting: 20 March 2019 Draft code circulated: April 2019

Senior Management Group	Consultation on key content* and proposed policies and processes to be set out in code. Approval of final version of code.	Presentation and discussion plus circulation of draft code for comment (March) and approval (June).	Vice Principal for Research	Meetings: 25 March 2019 and 28 May 2019 Code circulated: March 2019 (draft) and May 2019 (final)
Council of Senate	Consultation on key content* and proposed policies and processes to be set out in code. Approval of final version of code.	Presentation and discussion plus circulation of draft code for comment (March) and approval (June).	Vice Principal for Research	Meetings: 4 April 2019 and 6 June 2019 Code circulated: March 2019 (draft) and May 2019 (final)
College Research and Knowledge Exchange Committees/College Assessment Panels	Consultation on key content* and proposed policies and processes to be set out in code.	Presentation and discussion at committee meetings.	Head of Research Policy or Director of Research & Innovation Services	19 March 2019 (CoSS R&KE) 20 March (Arts R&KE) 22 March (CoSE R&KE) 22 March (MVLS CAP)
Senior HR Team	Consultation on key content* and proposed policies and processes to be set out in code.	Discussions at monthly meetings of the Senior HR Team.	Equality and Diversity Manager, Central REF Team, Head of Research Policy	March 2019 – May 2019 Draft code circulated: April 2019
REF UoA Champions	Consultation on key content* and proposed policies and processes to be set out in code.	Presentation at drop in session plus circulation of draft code for comment.	Director of Research & Innovation Services and Central REF Team	Drop in session: 26 March 2019 Draft code circulated: April 2019
All Staff	Consultation on key content* and proposed policies and processes to be set out in code.	Promotion of University-wide consultation on draft code in MyGlasgow News, 8 April 2019.	Central REF Team	8 April 2019 – 26 April 2019

*Including criteria for determining research independence and approach to selecting outputs, including those of former staff made redundant.

Communication Schedule

Target audience	Format	Purpose	Communicated by	Timing
All R&T Staff	E-mail communication of link to confidential web form allowing colleagues to voluntarily declare staff circumstances (communication to staff who are absent from work will be by sending a letter to their home address containing a link to the form, and a hard copy of the form where required).	To communicate location of confidential web form for declaring staff circumstances.	Vice Principal for Research	From 1 July 2019
All independent R-only staff	E-mail communication of link to confidential web form allowing colleagues to voluntarily declare staff circumstances (communication to staff who are absent from work will be by sending a letter to their home address containing a link to the form, and a hard copy of the form where required).	To communicate location of confidential web form for declaring staff circumstances.	Vice Principal for Research	Following identification of independent Research-only staff (Summer 2019 onwards)
All UofG staff	Upload Code to internal UofG REF webpages with summary material and associated FAQs.	To provide access to the code and information to aid its interpretation.	Central REF Team	Summer 2019 (following approval of Code by the Scottish Funding Council)
All UofG staff	Item in MyGlasgow News.	Promotion of launch of code and link to code webpages.	Head of Communications	Summer 2019 (following approval of Code by the Scottish Funding Council)
All R&T and R-Only staff	E-mail to all R&T and R-only staff providing link to Code. Communication to staff who are absent from work will be done by sending a letter to their home address containing a link to the Code, and a hard copy of the Code where required.	To communicate launch and key content of Code.	Vice Principal for Research	Summer 2019 (following approval of Code by the Scottish Funding Council)
All Research-only staff	E-mail communication to all Research-only staff (communication to staff who are absent from work will be by sending a letter to their home address).	To inform staff of process for identifying independent researchers and associated appeals process.	Vice Principal for Research	Summer 2019 (following approval of Code by the Scottish Funding Council)

Research Fellowships

This appendix provides the list of research fellowships, presented in alphabetical order by funder, that the University of Glasgow considers to be competitively awarded and to require research independence

Funder	Fellowship scheme
AHRC	AHRC Leadership Fellowships - Early Career Researchers
AHRC	AHRC Leadership Fellowships
BBSRC	BBSRC David Phillips Fellowships
BBSRC	BBSRC Future Leader Fellowships (from 2018 known as BBSRC Discovery Fellowships)
British Academy	BA/Leverhulme Senior Research Fellowships
British Academy	British Academy Postdoctoral Fellowships
British Academy	JSPS Postdoctoral Fellowships
British Academy	Mid-Career Fellowships
British Academy	Newton Advanced Fellowships
British Academy	Newton International Fellowships
British Academy	Wolfson Research Professorships
British Heart Foundation	Career Re-entry Research Fellowships
British Heart Foundation	Clinical Research Leave Fellowships
British Heart Foundation	BHF-Fulbright Commission Scholar Awards
British Heart Foundation	Intermediate Basic Science Research Fellowships
British Heart Foundation	Intermediate Clinical Research Fellowships
British Heart Foundation	Senior Basic Science Research Fellowships
British Heart Foundation	Senior Clinical Research Fellowships
British Heart Foundation	Springboard Award for Biomedical Researchers
British Heart Foundation	Starter Grants for Clinical Lecturers
Cancer Research UK	Advanced Clinician Scientist Fellowship
Cancer Research UK	Career Development Fellowship
Cancer Research UK	Career Establishment Award
Cancer Research UK	Clinician Scientist Fellowship*
Cancer Research UK	Senior Cancer Research Fellowship
EPSRC	EPSRC Early Career Fellowship
EPSRC	EPSRC Established Career Fellowship
EPSRC	EPSRC Postdoctoral Fellowship*1
ESRC	ESRC Future Cities Catapult Fellowship
ESRC	ESRC Future Leaders Grant
ESRC	ESRC/Turing Fellowships
ESRC/URKI	Early Career Researcher Innovation Fellowships
European Research Council	ERC Advanced Grants
European Research Council	ERC Consolidator Grants
European Research Council	ERC Starting Grants

Health Education England	Integrated Clinical Academic Programme Clinical Lectureship*
Health Education England	Integrated Clinical Academic Programme Senior Clinical Lectureship
Kidney Research UK/CSO	Postdoctoral Fellowship in Renal Research*
Leukaemia UK	John Goldman Fellowship*
Leverhulme Trust	Early Career Fellowship
Leverhulme Trust	Research Fellowship
Leverhulme Trust	Emeritus Fellowship
Leverhulme Trust	Major Research Fellowship
Leverhulme Trust	International Academic Fellowship
MRC	MRC Career Development Awards*
MRC	MRC New Investigator Research Grants (Non-clinical)*
MRC	MRC New Investigator Research Grants (Clinical)*
MRC	MRC Clinician Scientist Fellowships*
MRC	Senior Non-Clinical Fellowships
MRC	Senior Clinical Fellowships
NC3R	David Sainsbury Fellowship
NC3R	Training fellowship
NERC	Advanced Fellowships
NERC	Independent Research Fellowships
NERC/UKRI	Industrial Innovation Fellowships
NERC/UKRI	Industrial Mobility Fellowships
NIHR	Advanced Fellowship*
NIHR	Career Development Fellowship
NIHR	Clinical Lectureships*
NIHR	Clinician Scientist*
NIHR	Post-Doctoral Fellowship*
NIHR	Research Professorships
NIHR	School for Primary Care Post-Doctoral Fellowships*
NIHR	Senior Research Fellowships
Royal Academy of Engineering	RAEng Engineering for Development Research Fellowship
Royal Academy of Engineering	Industrial Fellowships
Royal Academy of Engineering	RAEng Research Fellowship
Royal Academy of Engineering	RAEng Senior Research Fellowship
Royal Academy of Engineering	UK Intelligence Community (IC) Postdoctoral Research Fellowship
Royal Society	Royal Society Wolfson Fellowship
Royal Society	Dorothy Hodgkin Fellowship*
Royal Society	JSPS Postdoctoral Fellowship
Royal Society	Newton Advanced Fellowship
Royal Society	Royal Society/Leverhulme Trust Senior Research Fellowship
Royal Society	University Research Fellowship*
Royal Society and Wellcome Trust	Sir Henry Dale Fellowship*
Royal Society of Edinburgh	RSE Arts & Humanities Awards (for permanent staff)
Royal Society of Edinburgh	RSE Personal Research Fellowship

Royal Society of Edinburgh	RSE Sabbatical Research Grants (for permanent staff)
Sêr Cymru	Research Chairs
Sêr Cymru	Rising Stars
Sêr Cymru	Recapturing Talent*
Sêr Cymru	Research fellowships for 3 -5 year postdocs
STFC	CERN Fellowships
STFC	Ernest Rutherford Fellowship
STFC	ESA Fellowships
STFC	Innovations Partnership Scheme Fellowships
STFC	Returner Fellowships
STFC	RSE/STFC Enterprise Fellowships
STFC	Rutherford International Fellowship Programme
UKRI	UKRI Future Leaders Fellowships
UKRI	UKRI Innovation Fellowships
University of Glasgow	Lord Kelvin Adam Smith Fellowships
Urban Studies Foundation	International Fellowship
Urban Studies Foundation	Post-Doctoral Fellowship
Versus Arthritis	Career Progression Fellowship
Wellcome Trust	Intermediate Fellowship in Public Health and Tropical Medicine
Wellcome Trust	Principal Research Fellowships
Wellcome Trust	Research Award for Health Professionals
Wellcome Trust	Research Career Development Fellowship
Wellcome Trust	Research Fellowship in Humanities and Social Science
Wellcome Trust	Senior Research Fellowship

* Those asterisked support the transition to independence. Applicants should demonstrate readiness to become independent and the award enables them to become so.

Statement on the Use of Quantitative Indicators in the Assessment of Research Quality

At the University of Glasgow we apply fair and transparent mechanisms for monitoring and reporting research performance. These principles underpin the institutional 2015–2020 key performance indicators (KPIs) for the quality of our research[18]. As we explain below, these principles are also applied in our processes for recruiting staff and assessing their research performance.

The University uses both qualitative and quantitative indicators to assess individual and institutional performance. We acknowledge the limitations of using either approach alone: qualitative indicators can be perceived as being subjective, whereas quantitative indicators can be viewed as being unsophisticated; conversely, qualitative indicators allow the application of expert disciplinary judgement, whereas quantitative indicators allow the application of assessment methodologies that are transparent and consistent.

Both approaches are important, and indeed both are used successfully in the assessment processes used by the UK Research Excellence Framework (REF)[19]. The University additionally recognises the ever-increasing role of quantitative indicators in the external measurements of our reputation, as measured by various league tables and funding agencies.

Below we list the principles by which the University uses quantitative indicators, and then describe how we apply them specifically in assessing research outputs (e.g. journal articles, book chapters, monographs), income, postgraduate research (PGR) supervision, and in recruitment, performance management and promotion.

1. Guiding Principles for the Use of Quantitative Indicators in Research Assessment

The University will:
1. Adopt assessment procedures that are evidence-based and, as such, will use quantitative indicators only in tandem with qualitative indicators to assess the quality of research.

2. Apply quantitative indicators responsibly by using a defined and balanced set of measures that are normalised by subject. We will also take account of potential sources of bias, and aim to reduce them: such a consideration applies, for example, to the chosen source of assessment data, career stage and full-time equivalent (FTE) status of the individual being assessed, or their race, gender or disability status. It is acknowledged, for example, that the most widely used citation databases are not equally representative of all our disciplines or output types (e.g. monographs), and that publishing practices vary by gender[20].

3. Declare the quantitative indicators used, and apply them fairly and consistently. Fairness and transparency of the methodology will be exercised by ensuring that metrics are simple and open, and therefore available for scrutiny by those being assessed.

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[18] http://www.gla.ac.uk/about/strategy/kpi
[19] http://www.ref.ac.uk
[20] See, for example: https://arxiv.org/abs/1607.00376 and
http://journals.plos.org/plosbiology/article?id=10.1371/journal.pbio.2001003

4. Evaluate researchers based on performance across different dimensions, with expectations set in advance and clearly communicated to researchers on the University's webpages, and in line with the values outlined in the University strategy[21].

5. Undertake regular review of the quantitative indicators used, so that they are appropriate and up-to-date. The University's Research Planning and Strategy Committee would undertake such a review on a biannual basis, drawing on expert knowledge and evidence across the sector.

For the avoidance of doubt, the University will consequently not use single, non-normalised metrics (e.g. raw citation counts) in research assessment. It will also not apply indicators that are opaque or that are decontextualised (e.g. from citation practices in a subject area). It is acknowledged, for example, that variation between disciplines both in citation practices and in their representation in publication databases affects the degree to which citation metrics can be used as indicators of output quality.

2. Applications of Quantitative Indicators in Research Assessment

Research Outputs.
High-quality research outputs are central to the University's vision and to the careers of our individual researchers**.**

To inform the assessment of individual outputs, article-level metrics are more appropriate than journal-level metrics, and consequently the University will not use a Journal Impact Factor as an indicator of output quality. Although article-level citation counts can inform the peer-review assessment of outputs quality, all such indicators will be normalised to account for both publication dates and sub-discipline variations. Such normalisation is possible within several publication databases for many hundreds of sub-disciplines (e.g.[22,23]).

Research Income and Postgraduate Research Student Supervision.
The volume of research income and the number of postgraduate research students supervised by staff FTE are primary research KPIs for the University. These measures are also important indicators of the quality and vibrancy of the research environment as captured in the REF and in many international league tables. When the University applies such metrics at a more granular level, to units and/or individuals, they will always be normalised to account for discipline variations and career stage. Discipline normalisation can be made through HESA cost centres, using data that higher education institutions report annually and that are openly available[24].

Staff Recruitment, Performance Management, and Promotion.
The use of metrics in any process should be declared in advance of the process commencing, and their use indication should be considered alongside other metrics and other more qualitative assessments. Any quantitative indicator that is used will be based upon published formulae and will rely on openly available data, such that other experts in the field can reproduce the quantification of the metric.

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[21] http://www.gla.ac.uk/about/strategy/
[22] https://www.elsevier.com/solutions/scopus
[23] http://clarivate.libguides.com/home
[24] Higher Education Statistics Agency (HESA): https://www.hesa.ac.uk/support/documentation/cost-centres

We encourage practices that combine quantitative with qualitative indicators: the role of the metric is to inform assessment within a broader context, and not to dictate. To support the application of this principle, job or promotion candidates will be asked to provide a narrative that highlights their best outputs and to justify their contribution to advancement of the field.

3. Context and Implementation

The policies of the University of Glasgow for the use of quantitative indicators for assessing research comply with and extend the principles outlined in the San Francisco Declaration on Research Assessment, 2012 (DORA; Ref[25]), The Metric Tide, 2015 (Ref[26]), and the Leiden Manifesto for Research Metrics, 2015 (Ref[27]).

Colleges, Institutes, and Schools at the University of Glasgow are invited to develop local, more detailed policies provided that they are consistent with the institutional framework outlined in this document, and to make these widely known to staff.

Approved by the Research Strategy and Planning Committee, 13 December 2018

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[25] https://sfdora.org
[26] http://www.hefce.ac.uk/pubs/rereports/year/2015/metrictide
[27] http://www.leidenmanifesto.org

Version 1.12 (12 October 2020)

Appendix 4: Reductions for staff circumstances

Extract from Annex L of [REF2021 Guidance on Submissions](#):

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

Early career researchers

2.   ECRs are defined in the 'Guidance on submissions' (paragraph 148). Table L1 sets out the permitted reduction in outputs without penalty in the assessment that HEIs may request for ECRs who meet this definition.

Table L1: Early career researchers: Permitted reduction in outputs

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

Absence from work due to secondments or career breaks

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

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

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

4.   The allowances in Table L2 are based on the length of the individual's absence or time away from working in HE. They are defined in terms of total months absent from work.

5.   As part-time working is taken account of within the calculation for the overall number of outputs required for the unit (which is determined by multiplying the unit's FTE by 2.5), reduction requests on the basis of part-time working hours should only be made exceptionally. For example, where the FTE of a staff member late in the assessment period does not reflect their average FTE over the period as a whole.

Qualifying periods of family-related leave

6.   The total output pool may be reduced by 0.5 for each discrete period of:

   a.   Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2014 to 31 July 2020, regardless of the length of the leave.

   b.   Additional paternity or adoption leave[28], or shared parental leave[29] lasting for four months or more, taken substantially during the period 1 January 2014 to 31 July 2020.

7.   This approach to reductions for qualifying periods of family-related leave is based on the funding bodies' considered judgement following consultation in the previous REF exercise that the impact of such a period of leave and the arrival of a new child into a family is generally sufficiently disruptive of an individual's research work to justify the specified reduction.

8.   While the above reduction of outputs due to additional paternity or adoption leave is subject to a minimum period of four months, shorter periods of such leave could be taken into account as follows:

   a.   By applying a reduction in outputs where there are additional circumstances, for example where the period of leave had an impact in combination with other factors such as ongoing childcare responsibilities.

   b.   By combining the number of months for shorter periods of such leave in combination with other circumstances, according to Table L2.

9.   Any period of maternity, adoption, paternity or shared parental leave that qualifies for the reduction of an output under the provisions in paragraph 6 above may in individual cases be associated with prolonged constraints on work that justify more than the defined reduction set out. In such cases, the circumstances should be explained in the request.

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[28] 'Additional paternity or adoption leave' refers to leave of up to 26 weeks which is taken to care for a child where the person's spouse, partner or civil partner was entitled to statutory maternity leave or statutory adoption leave, and has since returned to work. The term 'additional paternity leave' is often used to describe this type of leave although it may be taken by parents of either gender. For the purposes of the REF, we refer to this leave as 'additional paternity or adoption leave'.
[29] 'Shared parental leave' refers to leave of up to 50 weeks which can be shared by parents having a baby or adopting a child. This can be taken in blocks, or all in one go.

Combining circumstances

10. Where individuals have had a combination of circumstances that have a defined reduction in outputs, these may be accumulated up to a maximum reduction of 1.5 outputs. For each circumstance, the relevant reduction should be applied and added together to calculate the total maximum reduction.

11. Where Table L1 is combined with Table L2, the period of time since 1 January 2014 up until the individual met the definition of an ECR should be calculated in months, and Table L2 should be applied.

12. When combining circumstances, only one circumstance should be taken into account for any period of time during which they took place simultaneously.

13. Where an individual has a combination of circumstances with a defined reduction in outputs **and** additional circumstances that require a judgement, the institution should explain this in the reduction request so that a single judgement can be made about the appropriate reduction in outputs, taking into account all the circumstances. The circumstances with a defined reduction in outputs to be requested should be calculated according to the guidance above (paragraphs 2 to 10).

Other circumstances that apply in UOAs 1–6

14. In UOAs 1–6, the number of outputs may be reduced by up to one, without penalty in the assessment, for Category A submitted staff who are junior clinical academics. These are defined as clinically qualified academics who are still completing their clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or its equivalent prior to 31 July 2020.

15. This allowance is made on the basis that the staff concerned are normally significantly constrained in the time they have available to undertake research during the assessment period. Where the individual meets the criteria in paragraph 14, and has had significant additional circumstances – for any of the other reasons set out in the 'Guidance on submissions' in paragraph 160 – the institution can make a case for further reductions in the unit reduction request.

Circumstances requiring a judgement about reductions

16. Where staff have had other circumstances during the period (see paragraph 160e. in this 'Guidance on submissions' document) – including in combination with any circumstances with a defined reduction in outputs – the institution will need to make a judgement about the effect of the circumstances in terms of the equivalent period of time absent, apply the reductions as set out in Table L2 by analogy, and provide a brief rationale for this judgement.

Appendix 5: Committees and individuals involved in the REF process

1. Senior Management Group

Chaired by: Principal and Vice-Chancellor

Membership:
- Principal and Vice-Chancellor
- Senior Vice-Principal & Deputy Vice-Chancellor
- Vice-Principal (Corporate Engagement & Innovation)
- Vice-Principal (Academic Planning & Technological Innovation)
- Vice-Principal (Innovation & Knowledge Exchange)
- Vice-Principal (Research)
- Clerk of Senate and Vice-Principal
- Vice-Principal (External Relations)
- Vice-Principal & Head of College of Arts
- Vice-Principal & Head of College of Medical, Veterinary and Life Sciences
- Vice-Principal & Head of College of Social Sciences
- Vice-Principal & Head of College of Science and Engineering
- Executive Director of Human Resources
- Chief Operating Officer and University Secretary
- Director of Finance
- Head of Principal's Office (Clerk to SMG)

Appointments Process: Members are appointed on an ex-officio basis by the Principal and Vice-Chancellor.

Responsibilities:
The Senior Management Group:
- advises the Principal as chief executive officer of the University on matters of policy. It also advises Court and Senate on matters of strategic policy (academic and resource), and acts on a day-to-day basis to implement the policies of Court and Senate; and
- has overall responsibility for strategic decisions relating to the progression and shape of the institutional submission to REF2021.

Accountable to: The University Court.

Record keeping procedures: Meetings of the Senior Management Group are minuted.

2. REF2021 Project Board

Chaired by: Vice-Principal (Academic Planning & Technological Innovation)

Membership:
- Vice-Principal (Academic Planning & Technological Innovation)
- Vice Principal for Research
- Chief Operating Officer (COO) and University Secretary
- Executive Director, Research and Innovation and Chair of the REF Operations Group (ROG)
- Head of Research Operations
- Dean of Research for the College of Arts

- Dean of Research for the College of Medical, Veterinary and Life Sciences
- Dean of Research for the College of Science and Engineering
- Dean of Research for the College of Social Sciences
- REF Coordinator (Clerk)

Appointments Process: Members are appointed on an ex-officio basis by the Senior Management Group (SMG).

Responsibilities:
The Board members fulfil the following roles:
a. The Vice Principal for Research is responsible for the quality of research in the institution.
b. The University COO is responsible for the line management and resourcing of the centrally-based professional service teams that deliver the REF2021 submission.
c. The Chair of the ROG, supported by the Head of Research Operations, is responsible for the operational delivery of the REF and for providing reports to the Board on College/UoA-level and centrally-coordinated operational progress.
d. Each College Dean of Research (DoR) represents their Head of College and Vice Principal with respect to REF2021 preparations in each College, both in relation to process and quality of process. The role of each DoR is to provide connectivity between the relevant CAP and central administrative processes and reporting, for example by commenting on the suitability of central processes but also by contextualising the content of the institutional tracker ahead of reporting to SMG.

The role of the Board is to:

- Review progress of the REF2021 submission against pre-agreed timelines, as reported to it by (ROG), and consider any associated risks;

- Receive queries or concerns from College Assessment Panels on their progress or on centrally-coordinated preparations, as presented by the DoRs;

- Agree actions for Colleges and University Services;

- Sign-off on the College-level and centrally-coordinated operational progress reports provided by the ROG, for subsequent review by the SMG;

- Give final approval of cases to be submitted to the Funding Bodies seeking a reduction of outputs at Unit level.

The Board may call upon the additional input or clarification from members/subgroup members of the ROG or from Colleges, as required, to support its review.

Accountable to: The Senior Management Group (SMG). The Board will report to SMG quarterly in 2019 then monthly in 2020 and 2021.

Record-keeping procedures: Actions and decisions of meetings are recorded

3. REF Operations Group (ROG)

Chaired by: Executive Director, Research and Innovation

Membership:
- Executive Director, Research and Innovation (Chair)
- Head of Research Operations, Research and Innovation (Alternate Chair)
- Assistant Director, Digital Strategy, Library Services
- Head of Business Intelligence, Planning, Insight & Analytics
- Senior HR representative nominated by Executive Director of HR
- Clerk of Senate, Chair of the Staff Circumstances and Equality & Diversity (SCE&D) Subgroup
- Head of College Research Support, Arts
- Deputy College Chief Operating Officer, MVLS
- Research Operations Manager, COSE
- Head of Operations - Research Support, COSS
- REF Data Analyst, Planning, Insight & Analytics
- R&I Research Planning Manager
- R&I Research Strategy & Policy Manager, Chair of the Staff Subgroup
- R&I Strategic Research Excellence Framework Coordinator, Chair of the Outputs Subgroup
- R&I Research Impact Manager, Chair of the Impact Subgroup
- R&I REF Coordinator, Chair of the Environment Subgroup (Clerk)

Members may designate deputies. The College Deans of Research, while not formal members of the Group, have a standing invitation to attend ROG meetings.

Appointments Process: All members are appointed by the Executive Director, Research and Innovation. Members are appointed on an ex-officio basis apart from the Senior HR representative who is appointed following nomination by the Executive Director of HR.

Responsibilities:
The REF Operations Group (ROG) will assess, monitor, and report on the progress of the REF2021 submission. It will work in association with the broader REF team, which includes College offices (Research/HR) and relevant University Services (Library, Planning, HR, Finance Office, IT Services). Activities of the ROG and its constituent subgroups comprises:
- Identifying requirements and overseeing the development of IT and data systems needed for REF2021;
- Monitoring the pipeline of REF materials and data under development;
- Quality-assuring data (e.g. staff, PhD awards, income);
- Aligning decisions to REF2021 rules;
- Managing the interface between Glasgow systems and the REF submission system;
- Reporting on progress to the REF Project Board;
- Transfer of Glasgow's final submission into the REF submission system.

Accountable to: The REF2021 Project Board.

Record keeping procedures: Meetings of the Research Operations Group are minuted.

4. REF Operations Group (ROG) Subgroups

The Research Operations Group has four technical subgroups to undertake capture of data for the submission according to the REF guidance for each of the following areas:

- **Staff** (REF 1a/b)
- **Outputs** (REF 2)
- **Impact** (REF 3)
- **Environment** (REF 4a/b/c and REF 5a/b)

In addition, the ROG has two further specialist subgroups:

The **Staff Circumstances and E&D (SCE&D)** group will assess 'clearly defined' circumstances and circumstances requiring a judgement that may lead to a reduction in outputs (REF 6a/b), agree design and conduct of equality impact assessments and ensure that decisions taken have a robust audit trail. Further details of SCE&D are noted in Section 5 below.

This group, via a separate panel known as the **Staff Independence Status Appeals Committee (SISAC)** will consider appeals against determinations of research independence made by College Assessment Panels. Further details of SISAC are noted in Section 6 below.

Membership and Appointments Process: Members of ROG Subgroups are appointed by the Executive Director, Research and Innovation. Members are appointed from Senior Management, the Colleges and University Services according to their expertise in research management and the preparation of the institutional submission to REF2021.

Accountable to: Research Operations Group (ROG).

Record-keeping procedures: Details of the record keeping procedures for the SCE&D and SISAC subgroups are noted below. For the other five sub-groups, the Chair of each group will convene meetings as required and notes of meetings will be kept.

5. Staff Circumstances and Equality & Diversity (SCE&D) Subgroup

Co-chaired by: Director of Human Resources and Clerk of Senate

Membership:
- Equality and Diversity Manager, Equality and Diversity Unit
- Head of Research Operations, Research & Innovation Services
- Academic representative from the College of Arts
- Academic representative from the College of Medical, Veterinary and Life Sciences
- Academic representative from the College of Science and Engineering
- Academic representative from the College of Social Sciences
- Member of Equality and Diversity Unit (Clerk)

Appointments Process: Members are appointed by the Executive Director, Research and Innovation. The Chairs and representatives from University Services are appointed based on their knowledge of the REF and their experience of matters relating to equality and diversity. Academic representatives are appointed from each College based on their experience of the management and delivery of research, their ability to evaluate the impact of individual staff circumstances upon an individual's research productivity, and avoidance of any conflicts of interest. To ensure their independence, members are not otherwise involved in making REF-related decisions and are not members of College Assessment Panels.

Responsibilities:
- Evaluating cases of individual staff circumstances requiring a judgement and deciding upon appropriate output reductions;

- Ratifying the recommendations of College HR on appropriate output reductions for cases of clearly defined individual staff circumstances;
- Designing and conducting Equality Impact Assessments;
- Advising on the management of Equality and Diversity issues in the context of the REF;
- Operation of the REF Code of Practice.

Accountable to: The Research Operations Group (ROG).

Record-keeping procedures: Meetings of SCE&D are minuted in a manner ensuring that all cases of individual staff circumstances are anonymised and the confidentiality of individuals is assured.

6. Staff Independence Status Appeals Committee (SISAC)

Chaired by: Vice-Principal (Learning & Teaching)

Membership:
- Vice-Principal (Learning & Teaching)
- Deputy Director of Human Resources
- Academic representative from appellant's own College
- Dean of Research from a College other than appellant's own College
- Research Strategy and Policy Manager (Clerk)

Appointments Process: Members are appointed by the Executive Director, Research and Innovation, based on their knowledge of the REF and their experience of matters relating to equality and diversity. To ensure their independence, members are not otherwise involved in making REF-related decisions in the relevant College area.

Responsibilities:
- Consideration of appeals from Research-only staff in relation to their status as independent researchers.

Accountable to: The Staff Circumstances (Equality & Diversity) (SCE&D) Sub-group

Record-keeping procedures: Records of the decisions of SISAC will be kept for the purpose of notifying appellants of the outcome of appeals.

7. College Assessment Panel

Chaired by: Head of College and Vice Principal or College Dean of Research

Membership: The composition of College Assessment Panels varies between Colleges. Members include the Head of College and Vice Principal and/or College Dean of Research, academic staff with

experience of research assessment (College of Arts), Directors of Institute/Heads of School (College of MVLS), REF UoA Champions (College of Science and Engineering and College of Social Sciences), REF Impact Champions (College of Social Sciences) and other colleagues involved in the management of research and impact within the College.

Appointments Process: Members are appointed by the Head of College and Vice Principal, either on an ex officio basis or based on their experience of research management and assessment.

Responsibilities:
The CAP is responsible for overseeing and coordinating the preparation and approval of REF materials for the College up until the submission is made to REF2021. The role of the CAP includes, but is not limited to:

- Responsibility for the College's REF preparations with oversight of the REF Champions and the individual UoA plans;
- Responsibility for selection decisions (e.g. of outputs) and for reviewing the quality of materials and assessments made at UoA level;
- Determining the independence status of staff on Research-only contracts, with advice from the Dean of Research and REF Champion;
- Coordinating and directing arrangements for the assessment of outputs, including for the Interim Research Reviews;
- Approving Output Scoring Methodologies;
- Making recommendations to the REF Project Board regarding cases where an application to the REF Team at Research England for a reduction of outputs at Unit level are considered justified;
- Providing advice to REF Champions and reporting to College R&KT Committee and CMG as required;
- Preparing, implementing and monitoring College and UoA action plans leading up to submission.

As the committee having ultimate responsibility for signing off the submission of each UoA, the CAP has authority to change the selection of outputs by Output Scoring Committees and/or to edit any aspects of a UoA's submission. Where the CAP makes any changes to a UoA submission, it must discuss these changes with the UoA Champion before final materials are sent to the Research Operations Group (ROG) for uploading to the online REF2021 Submission System.

Accountable to: The REF Project Board.

Record keeping procedures: Meetings of College Assessment Panels are minuted.

8. College Dean of Research

Appointments Process: College Deans of Research are appointed by the Head of College and Vice Principal following an open internal recruitment process.

Responsibilities:
- The Dean of Research has delegated responsibility from the Head of College and Vice Principal for the strategic leadership and coordination of REF preparations at an operational level and for liaising between the CAP and UoA Champions to ensure that REF-related business and documentation is brought timeously and in the correct format to CAP meetings;
- Responsibility, in liaison with the REF UoA Champion, for making recommendations to the College Assessment Panel regarding the independence status of staff on Research-only contracts.

Accountable to: Head of College and Vice Principal.

9. REF UoA Champions

Appointments Process: REF UoA Champions are appointed
- In the Colleges of Science and Engineering and MVLS by the College Assessment Panel following nomination by the Head of School/Director of Research Institute
- In the Colleges of Arts and Social Sciences by the Head of College and Vice Principal, the College Dean of Research and the Head of School.

Responsibilities: With direction from the College Assessment Panel (CAP), REF Champions are responsible for:
- Supporting the CAP in developing and managing the REF2021 submission for the UoA;
- Chairing the UoA Output Scoring Committee;
- Making recommendations to the College Assessment Panel, in liaison with the College Dean of Research, regarding the independence status of staff on Research-only contracts;
- Collaborating with the REF Impact Champion for their UoA.

Accountable to: CAP, College Dean of Research and Head of School/Director of Institute.

10. REF Impact Champions

Appointments Process: REF Impact Champions are appointed
- In the Colleges of Science and Engineering and MVLS by the College Assessment Panel following nomination by the Head of School/Director of Research Institute.
- In the Colleges of Arts and Social Sciences by the Head of College and Vice Principal, and College Dean of Research and the Head of School.

Responsibilities: REF Impact Champions are responsible for designing, implementing, coordinating and overseeing robust processes for identifying, monitoring, drafting and evidencing impact case studies of the highest quality for consideration by the College Assessment Panel.

Depending on local arrangements, the REF Champion will support and/or oversee the REF Impact Champion to fulfil these responsibilities.

Accountable to: Relevant CAP member (CoSE, CoSS and MVLS) or UoA Champion, College Dean of Research and the College Assessment Panel (Arts).

11. UoA Output Scoring Committees

Chaired by: REF UoA Champion

Appointed by: Members of Output Scoring Committees are appointed by the REF UoA Champion for the relevant UoA.

Membership: Output Scoring Committees comprise a core group of senior academics whose expertise covers the disciplinary range of the unit's activities. Academics of the appropriate seniority have been selected as necessary to ensure sufficient disciplinary breadth.

Responsibilities: The Output Scoring Committee is responsible for reviewing and scoring outputs in line with the UoA's agreed Outputs Scoring Methodology and this Code of Practice and making recommendations to the College Assessment Panel regarding the outputs to be selected for submission to REF2021.

Accountable to: REF UoA Champion

Record-keeping procedures: Each Output Scoring Committee is required to use the REF Outputs Database to record information on agreed output scores. In the College of Arts, UoA Champions and Output Scoring Committees will also keep an output 'in-progress' tracker spreadsheet showing commentary and scores for items which are not yet 'in press'.

Appendix 6: Training schedule

Required participants	Training required on appointment to relevant committee/role			Targeted training	Timescale for delivering targeted training
	E&D Essentials	**Understanding Unconscious Bias**	**REF2021 Sensitive Data Training**		
Senior Management Group	√	√			
REF Project Board	√	√			
REF Operations Group (ROG)	√	√			
College Assessment Panel (CAP)	√	√	√		
College Deans of Research	√	√	√	Face to face training in relation to the process for determining the independence status of Research-only staff.	August 2019
Output Scoring Committees	√	√	√		
Users of the REF Outputs Database	√	√	√	Face to face user training on the functionality and use of the database.	*Prerequisite to systems access*
UoA REF Champions	√	√	√	Face to face training in relation to the process for determining the independence status of Research-only staff.	August 2019
ROG Subgroup 1 – Staff	√	√	√		
ROG Subgroup 2 – Outputs	√	√	√		
ROG Subgroup 3 – Impact	√	√	√		
ROG Subgroup 4 – Environment	√	√	√		
ROG Subgroup 5 – Staff Circumstances and Equality and Diversity (SCE&D)	√	√	√	Face to face training on E&D in the context of REF and the process and purpose of declaring and considering cases of individual staff circumstances.	July/August 2019

ROG Subgroup 5a – Staff Independence Status Appeals Committee (SISAC)	√	√	√	Face to face training in relation to the process for determining the independence status of Research-only staff.	August 2019
College HR contacts involved in processes relating to staff circumstances	√	√	√	Face to face training on E&D in the context of REF and the process and purpose of declaring and considering cases of individual staff circumstances.	July/August 2019

Equality and Diversity Essentials is an online training module produced by the Equality and Diversity Unit at the University of Glasgow. The module introduces users to the concepts of equality and diversity and provides an overview of the main legislation and its practical implications.

Understanding Unconscious Bias is an online training module produced by the University of Glasgow's Equality and Diversity Unit in partnership with leading UK business psychology consultancy Pearn Kandola LLP. The module encompasses an in-depth look at the nature of bias and its impact in the workplace, providing useful psychological insights into how an individual might be affected by bias and what they can do to reduce or eliminate its influence on their working relationships and the decisions that they make.

REF2021 Sensitive Data Training is an online training module developed at the University of Glasgow by Research & Innovation Services in partnership with the Data Protection and Freedom of Information Office. The module and its content has been specifically designed for staff who are involved in the process of scoring outputs, developing impact case studies, managing/considering cases of individual staff circumstances or handling other personal data relating to institutional REF preparations. The course provides users with training in the fundamentals of processing and storing personal and confidential REF-related data, using Excel safely and the General Data Protection Regulation.

Appendix 7: Resources

External Resources
- REF2021 website:
  www.ref.ac.uk
- REF guidance and criteria – key documents:
  https://www.ref.ac.uk/guidance/key-documents/
- Open letter from Prof Dianne Berry, Chair of EDAP:
  https://www.ref.ac.uk/about/ed-open-letter-to-sector /
- REF2021 FAQs:
  https://www.ref.ac.uk/faqs/

Internal Resources
- University of Glasgow REF2021 website:
  www.gla.ac.uk/ref (campus access only)
- Remit and list of UoA REF2021 Champions:
  https://www.gla.ac.uk/myglasgow/research/ref/refleadershipgovernance/refchampionremitandmembership/ (campus access only)
- Remit and list of UoA REF2021 Impact Champions:
  https://www.gla.ac.uk/myglasgow/research/ref/refleadershipgovernance/refimpactchampionremitandmembership/ (campus access only)
- Remit and list of members of College Assessment Panels:
  https://www.gla.ac.uk/myglasgow/research/ref/refleadershipgovernance/capremitandmembership/ (campus access only)
- Interim Reviews:
  https://www.gla.ac.uk/myglasgow/research/ref/managingoursubmission/interimreviews/interimresearchreviews/ (campus access only)
- Research & Innovation Services:
  www.gla.ac.uk/myglasgow/ris/; ris-policy@glasgow.ac.uk
- College Offices:
  Arts: arts-ref@glasgow.ac.uk
  Medical, Veterinary and Life Sciences: mvls-research-office@glasgow.ac.uk
  Science and Engineering: scieng-ref@glasgow.ac.uk
  Social Sciences: socsci-ref@glasgow.ac.uk