

REF2021: University of Roehampton Code of Practice for REF2021

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Part 1: Introduction

1. This Code of Practice sets out the principles which form the foundation of the University of Roehampton's REF2021 submission. It documents the policies, procedures and processes that support and underpin the strategy and decision-making. Further information on the range of strategies, policies and governance structures can be found on the University's public website and, for colleagues, on the Staff Portal.
2. Drawing on REF2021 guidance on the fair and transparent identification of staff with significant responsibility for research, determining who is an independent researcher, and the selection of outputs for submission to the exercise, each institution intending to submit to REF2021 is required to develop, document and apply a Code of Practice. This document has been developed in the context of the University of Roehampton's ongoing commitment to the principles of transparency, consistency, accountability and inclusivity. It will ensure the University of Roehampton's decision-making processes live up to the principles of equality, diversity, and inclusion, and conform to all relevant legislation.
3. The Code of Practice includes a summary of the University's present policies and infrastructure for supporting equality, diversity, and inclusion; an update on the relevant actions taken since REF2014; and a description of how the University is addressing the REF2021 principles of transparency, consistency, accountability, and inclusivity specifically. Also included in this document are the mechanisms through which the Code of Practice has been communicated to all staff, and the associated consultation and approval process, including a visual representation of the process outlined in appendix A.
4. The University's final submission to the REF2021 exercise will be overseen by the University's Research Excellence Panel (REP), which is chaired by the Vice-Chancellor, consistent with preparations for the REF2014 and RAE2008 exercises. The membership and remit of the group is outlined in the document. This Code of Practice will build on the principles and procedures that were established and implemented in preparing the University's submission to the REF2014 exercise.
5. The University's research strategy is founded on a commitment to supporting research excellence and the development of the wider research culture within the framework of its strategic goals and priorities. The REF2021 exercise provides the University with the opportunity to showcase its research environment, and a selection of its excellent research in the form of outputs and impact. The University also aims to support its staff to pursue excellence in research, learning and teaching and knowledge exchange, and seeks to ensure parity of esteem across all areas of academic activity. Workload models and promotion routes recognise and enable excellence in research, learning and teaching, enterprise and professional practice activity respectively. Inclusion in the submission to REF2021 and the number of outputs selected will not be used as the criteria which determine the career progression or pay of staff at the University.

Context:

6. The University of Roehampton strives to provide an environment that embodies the principles outlined above. The University has made a public commitment to increasing diversity and promoting equality, and aims to create an inclusive culture and environment in which staff, students, and visitors are treated fairly and can prosper irrespective of their background. The commitment is underpinned by the principle that all people have a right to be able to participate fully in the education, employment and development opportunities that the University has to offer.
7. The University has a range of formal policies and best practice guidelines that sustain and enhance an inclusive environment. They ensure that discrimination of any type and in any form is not tolerated, and that appropriate action will always be taken when it is reported to the University.
8. The University's policies and procedures also ensure that it observes and upholds the principles embedded in the Equality Act 2010, which protects against discrimination on the grounds of the following characteristics: age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief; sex; sexual orientation.
9. The University provides a supportive and enabling environment for all staff. It is also committed to ensuring that fixed-term and part-time staff, and staff with caring responsibilities, do not face any discriminatory practices.

Policies:

10. The University routinely reviews its policies and procedures, and will conduct Equality Impact Assessments to facilitate their ongoing development and implementation. These policies and procedures are monitored by the committees of Council and Senate, with engagement from staff, students, and user groups including staff networks and trade unions.

All University policies support the commitment to equality, diversity and inclusion, and some are written to specifically support it:

- a. **The Equality and Diversity Policy**
(<https://www.roehampton.ac.uk/globalassets/documents/corporate-information/policies/equality--diversity-policy.pdf>)
- b. **The Dignity and Respect Policy**
(<https://www.roehampton.ac.uk/globalassets/documents/corporate-information/policies/roehampton-dignity-and-respect-policy.pdf>)
- c. **The Disability Policy**
(<https://www.roehampton.ac.uk/globalassets/documents/corporate-information/policies/disability-policy---july-2018.pdf>)
- d. **The Trans Non-Binary and Intersex Equality Policy**
(<https://www.roehampton.ac.uk/globalassets/documents/corporate-information/policies/transgender-non-binary-and-intersex-equality-policy-and-guidance.pdf>)

e. **The Occupational Health Policy**

(<https://portal.roehampton.ac.uk/information/humanresources/Documents/Guidance-Policies-and-Procedures/Occupational%20Health%20Policy.pdf>)

f. A range of family friendly policies support staff, including:

1. **Maternity Leave**

(<https://portal.roehampton.ac.uk/information/humanresources/Documents/Maternity%20Policy%20-%20July%202018.pdf>)

2. **Paternity Leave**

(https://portal.roehampton.ac.uk/information/humanresources/Documents/Guidance-Policies-and-Procedures/Paternity_Policy%2031.08.17.pdf)

3. **Adoption Leave**

(<https://portal.roehampton.ac.uk/information/humanresources/Documents/Guidance-Policies-and-Procedures/Adoption%20Leave%20and%20Pay%2031.08.17.pdf>)

4. **Shared Parental Leave, including time off for dependants**

(https://portal.roehampton.ac.uk/information/humanresources/Documents/Guidance-Policies-and-Procedures/Shared_Parental_Leave%2031.08.17.pdf)

11. This Code of Practice should be read in the spirit of the University's institutional commitment to equality, diversity and inclusion, and understood alongside this and its underpinning policies.

An update of actions taken since REF2014:

12. Since the University's submission to REF2014, the commitment to equality, diversity and inclusion has been further embedded across all staff activity, and in the research environment.

13. The University has maintained and developed its centrally led approach to research management at the institution since REF2014. In order to assure the principles of equity and transparency are applied, all research activity is managed under central oversight.

14. The University enhanced its governance structures to support equality and diversity in 2017-18, when the Equal Opportunities and Diversity Committee, which was a committee of Senate, was replaced by the Equality, Diversity and Inclusion Committee (EDIC). The EDIC is a committee of Council, the University's governing body, which has ultimate responsibility for all issues relating to equality, diversity and inclusion. In order to ensure broad stakeholder engagement, an Equality, Diversity and Inclusion Group (EDIG) was also established to support EDIC.

15. EDIC is chaired by the Vice-Chancellor and has overall strategic oversight of the University's approach to all matters relating to equality, diversity and inclusion. The EDIC publishes the Annual Equality Report, including an overview of the University's

initiatives and actions during that year, and an Equal Pay Report. It is responsible for assuring appropriate policies and procedures are in place to achieve best practice in relation to equality, diversity and inclusion for all University activity.

16. EDIG is chaired by the Pro-Vice-Chancellor and Director of Finance. It reports to the EDIC and is tasked with developing initiatives to embed equality, diversity and inclusion across the University.
17. Both the EDIC and the EDIG have broad membership that is representative of colleagues from across the University, and includes trade union representation. The Roehampton Students' Union President is a member of EDIC. The Chair of EDIG is also a member of EDIC, ensuring that staff groups related to protected characteristics are represented on EDIC.
18. Since 2014, the University has sought external recognition of its commitment to and development in matters relating to equality, diversity and inclusion. The University is: a proud Stonewall Diversity Champion and each year takes part in the Workplace Equality Index; is a Disability-Confident Employer (Level 2); and has established a number of staff networks, including the UR Pride Network, BAME Network, and the European Union Network. The University is also in the process of applying for the Race Equality Charter Bronze Award.
19. As a result of participating in the Stonewall Workplace Equality Index, the Pride Network has been energised and LGBT+ engagement has been prioritised. There is institutional commitment to advance work in this area.
20. The University was recognised with the Athena SWAN Bronze Award in 2018. Key actions relating to research and the REF2021 submission have been identified through this process and will be implemented accordingly, including the commitment to ensure that at least 50% of the membership of REP are women.
21. EDIC and EDIG will receive updates on progress on Athena Swan and other charter marks. The REF Equality Impact Assessment will also become a standing item at EDIC until the final submission to the REF2021 exercise takes place.
22. The University is currently progressing the recruitment of an Equality, Diversity and Inclusion specialist who will oversee and coordinate all work related to EDI initiatives.

Transparency, Consistency, Accountability, and Inclusivity:

23. The University is committed to upholding the REF2021 principles of transparency, consistency, accountability, and inclusivity:
 - a. **Transparency** at all levels of the development of the University's submission to REF2021 is ensured through clear criteria and decision-making processes. Academic staff have been consulted on the Code of Practice through each stage of its development (outlined in paragraphs 25 – 28). All processes and procedures for ensuring that the University meets the REF2021 criteria for identifying staff with significant responsibility for

research, determining research independence (outlined in paragraphs 29 – 42), and selecting outputs for inclusion in the submission (outlined in paragraphs 71 – 83) are clearly detailed in this document. All staff engaged in the development of the University's REF2021 submission will receive training on equality, diversity and inclusion and unconscious bias, and have been briefed to ensure this Code of Practice informs their practice. The Code of Practice is available to all staff on the University's Staff Portal and, through direct requests to the Research Office (including through the roehamptonREF2021@roehampton.ac.uk email address), in hard copies and accessible formats. It will also be disseminated through the University's internal channels, including institution-wide committees, digitally through all-staff email, and sent to the corresponding addresses for academic staff who are absent from work for any reason. Staff will be invited to provide feedback on the implementation of the Code of Practice throughout the University's preparations for the REF2021 submission, in order to ensure that its principles are being fairly applied. The Code of Practice has also been approved by the University's Research Committee, Senate, and Council in advance of submission to the REF team at Research England.

- b. **Consistency** will be applied across the University when preparing the submission to REF2021. Consistent with the approach adopted in preparations for RAE2008 and REF2014, the University will apply central oversight for the REF2021 submission. The Code of Practice sets out the principles and procedures that underpin all aspects of decision-making at all stages of the submission process. It details the evidence base that will be used to inform the final submission to REF2021. The University's Research Excellence Panel (REP) will oversee the strategy and preparation of the REF2021 submission, and its decisions will be grounded in consistent and established processes that draw on the expert advice from both within the University and from external advisors. Further details of the composition of the group, its purpose and decision-making responsibilities are outlined below (paragraphs 43 – 54). Departmental Research Leads and, where there is more than one Unit of Assessment within a Department, Unit of Assessment Coordinators, will manage this process at a Departmental and Unit of Assessment level.
- c. **Accountability** will be embedded through clearly outlined responsibilities for all individuals and bodies involved in ensuring that the REF criteria are adhered to. The REF criteria are: identifying staff with significant responsibility for research; determining research independence; and selecting outputs for REF submission. Overall responsibility for decision-making sits with the Research Excellence Panel (REP), details of which can be found in Appendix B. The Research Excellence Panel will be supported by the Research Excellence Equality Diversity and Inclusion Panel (REEDIP), details of which can be found in Appendix C. REEDIP will have specific oversight for matters relating to equality, diversity and inclusion, individual staff circumstances, receiving appeals and advising on their outcomes. The Research Excellence Panel will report on the development of the University's REF2021 submission to Research Committee, Senate,

and Council, and where appropriate to the Equality, Diversity and Inclusion Committee. All individuals and bodies involved in advising or decision-making for the University's submission to REF2021, including Departmental Research Leads and where appropriate, Unit of Assessment Coordinators, are further tasked with promoting an inclusive environment. All staff with advisory or decision-making responsibilities will be provided with mandatory Equality, Diversity and Inclusion, and unconscious bias training. Full details about the remit of the Research Excellence Panel, the Research Excellence Equality, Diversity and Inclusion Panel and the training provided to all staff involved in decision-making and advising for REF 2021 can be found in paragraphs 43 – 54 and in appendices B and C.

- d. **Inclusivity** informs the University's approach to ensuring that it is able to identify all staff who have significant responsibility for research and are independent researchers, as well as the excellent research which they produce. This Code of Practice, and its accompanying Equality Impact Assessment (EIA), will ensure that all eligible staff are identified and those who meet the REF2021 defined criteria are submitted to the exercise. Their representation in the REF submission will be determined according to their contributions to the research environment, the quality of their research, and its impact. Protected characteristics or individual circumstances, including staff who are employed as fixed-term and part-time, will also be accounted for.

24. The University will ensure that the collection, storing and processing of staff information, including research output, quality, and its impact, is managed in accordance with data protection regulation and that confidentiality is maintained.

Communication:

25. As part of the University's commitment to the principle of transparency, this Code of Practice has been widely consulted on and communicated to academic staff across the institution, including those on leave of absence. It has been discussed and feedback sought in the following forums:

1. Senate
2. Research Committee
3. Equality, Diversity and Inclusion Committee
4. Meetings of Research Leads
5. Staff were invited to participate in a formal consultation process through an all staff email, the Staff Portal, and for those absent from the University by letter to their corresponding home address. Staff were able to provide feedback through email.

26. The approval timeline can be found in Appendix A. This Code of Practice has been approved by Research Committee, Senate and the University's governing body, Council, for submission to the REF team at Research England in June 2019.

27. If approved by the REF team at Research England, the Code of Practice will be shared in electronic format with all academic staff, while hardcopies will be sent to the corresponding addresses of those who are absent from the University, including but not limited to those absent due to: sabbatical; illness; maternity, paternity, adoption or shared parental leave. Staff will also be informed that hardcopies and accessible formats of the Code of Practice will be available from the Research Office on request, including through the RoehamptonREF2021@roehampton.ac.uk email address.

28. Staff will be able to request clarification regarding the Code of Practice and the decision-making process for the REF2021 submission from their Research Lead or Head of Department, who, if necessary, will consult the REP on behalf of staff.

Part 2: Identifying staff with significant responsibility for research

29. The University will include 100% of its Category A staff, as defined by REF2021, in its submission.

30. The REF2021 guidance defines Category A staff as those staff who meet the following criteria:

- a. Hold a contract of employment of 0.2 FTE or greater;
- b. Are employed by the University on the census date of the 31 July 2020;
- c. Have a primary employment function to undertake either 'research only' or 'teaching and research';
- d. Have a substantive research connection with the submitting Unit of Assessment;
- e. Meet the definition of an independent researcher, if their employment function is 'research only'.

31. Category A are those staff who have a significant responsibility for research and who are contractually required by the University to undertake 'teaching and research'. The REF2021 exercise requires that all submitted Category A staff are also required to meet the definition of an 'independent researcher'. The University considers all colleagues with a contractual expectation to conduct research and who are formally supported with the time and resources to do so, as independent researchers.

32. Category A staff may also include those who have a contractual requirement to undertake 'research only', where they also meet the definition of independent researcher (outlined in paragraphs 36 - 38).

33. Based on annual research allocation discussions with colleagues, which enable research and researcher development in alignment with the University's strategic goals and priorities, members of staff will receive a letter confirming the outcome of the discussions they have had with their line manager ahead of each forthcoming academic year. This letter of confirmation is issued as part of the University's operating practice and will confirm contractual requirements as per the standard conditions of service for academic staff.

34. An individual's career stage, individual circumstances, or fixed-term or part-time status has no bearing on defining their status as Category A staff where they meet the REF criteria outlined above. The University is committed to supporting fixed-term and part-time staff with the full range of career development opportunities and support that is available to permanent and full-time staff.
35. Staff who have a significant responsibility for research may also include colleagues who are not employed in an academic department, for example senior managers and individuals holding other similar roles where they demonstrably meet the conditions of holding a 'teaching and research' employment function as outlined above. At the University, independent researchers may include Deputy Provosts, Directors, Heads of Department, Heads of Subject, and Research Managers who are contractually expected to conduct research, and who are formally supported with the time and resources to conduct independent research.

Part 3: Determining research independence

Criteria for determining research independence:

36. Colleagues whose key contractual activity is 'research only', for example Research Assistants, Post-Doctoral Research Associates and other non-traditional research posts, are Category A staff only if they are also independent researchers. The REF guidance indicates the following criteria demonstrate research independence and these criteria are also applied within the University:
- a. Leading or acting as Principal Investigator on an externally funded research project
 - b. Holding an independently won, competitively awarded fellowship where research independence is a requirement
 - c. Leading a research group or a substantial work package
 - d. Being eligible to apply for research funding as the lead applicant
 - e. Being named as a Co-Investigator on an externally funded research grant or award
 - f. Having significant input into the design, conduct and interpretation of the research
37. Staff on 'research only' contracts will be invited to write to the REP to confirm if they believe they meet any of the criteria for independent research.
38. Colleagues who have been in successful receipt of the Leverhulme Trust Research Fellowship, The Leverhulme Trust Early Career Fellowship and the British Academy Post-Doctoral Fellowship, will be identified by the REP and included as Category A eligible staff.

How decisions are being made and communicated to staff, including timescale:

39. The REP will invite all staff on 'research only' contracts by November 2019 to confirm if they believe they meet the criteria as independent researchers. Where staff are appointed after this date, their status as independent researchers will be confirmed on joining the University.

40. The REP will then determine whether staff meet the criteria for inclusion in REF2021 as an independent researcher.
41. The final identification of staff who are Category A eligible and who will be submitted to the REF2021 exercise will be communicated by the REP by the end of March 2020, except in exceptional instances (for example, where staff have been employed after this date).
42. Staff dissatisfied with the outcome communicated by the REP will be entitled to appeal. The appeals process can be found later in this document (outlined in paragraphs 55 – 66).

Staff, committees and training:

43. The Research Excellence Panel (REP) will be convened to oversee the University's strategy, decision-making, and preparation for the REF2021 submission. The decision-making framework is consistent with the University's preparations for RAE2008 and REF2014. The REP's terms of reference and membership are set out in appendix B, which includes information on individual roles and responsibilities. Membership of the REP will be published and updated on the Staff Portal.
44. The REP is convened for the purposes of guiding the University's overall approach to the REF2021 submission, and will be dissolved on completion of the task. The REP is established with delegated authority from the University's Senate, following Senate agreeing the Code of Practice and the overall principles and strategy underpinning its decisions.
45. The REP has sought approval from Senate on points of principle guiding the submission. All final decision-making for the submission rests with the REP in order to ensure consistency and accountability across the institution. It is responsible for all elements of the submission including overall strategy and approach, Unit of Assessment configuration, Unit of Assessment selection, identifying staff with a significant responsibility for research, determining final decisions on research independence, and output selection for each Unit of Assessment submission.
46. The REP will report regularly to Research Committee, Senate and Council, and will consult with EDIC on matters relating to equality, diversity and inclusion.
47. The REP is chaired by the Vice-Chancellor. Membership of the REP is based on a range of leadership experience and expertise. The REP will be comprised of the Vice-Chancellor, Provost, Vice-Provost (Research and External Engagement), and up to four more senior members of staff who are Heads of Academic Departments and/or senior academics with a significant responsibility for research, and an external representative (emeritus professor). The membership of REP will take into consideration matters of equality, diversity and inclusion, and will also reflect the University's Athena SWAN commitment to ensure gender parity. Membership of the REP will also include disciplinary representation from all of the Main Panels to which the University intends to submit, incorporating Main Panels A, C, and D. The central aim of the panel is to maximise the benefit of REF to the University as a whole, specifically in terms of reputation and morale, whilst upholding the principles of transparency, consistency, accountability and inclusivity.

48. Heads of Departments, Departmental Research Leads and, in departments where there are multiple Unit of Assessment submissions, Unit of Assessment Co-ordinators, will act in an advisory capacity. The REP will regularly draw on their advice and research information in determining Unit of Assessment submissions, research independence and output selection as well as evidence from peer and external assessors.
49. Research Leads will be tasked with implementing the approach determined by the REP, and will receive appropriate Equality, Diversity and Inclusion training and guidance. Research Leads are jointly appointed by the Provost, Vice-Provost (Research and External Engagement) and the Head of Department, on the basis of their research expertise, leadership capability, and contribution to external research environment including related research assessment exercises.
50. The REP will be supported by a Research Excellence, Equality, Diversity and Inclusion Panel (REEDIP). The REEDIP will operate as a sub-panel of the REP. Its membership will comprise of the Vice-Provost (Planning and Engagement), Deputy Director of HR, the REF Manager, a senior member of the University's academic staff, the Open Access and Research Information Officer and a Secretary from HR. The REEDIP may also seek external legal or specialist advice and expertise where appropriate. Information regarding the REEDIP's roles and responsibilities can be found in appendix C. Processes for staff circumstances are detailed in paragraphs 85 – 97. The REEDIP will be tasked with:
 - a. Ensuring that the University conforms to all equality legislation, and reports to the appropriate overseeing bodies;
 - b. Promoting all matters relating to equality, diversity and inclusion, throughout the REF2021 submission process, including oversight of training;
 - c. Ensuring consistency in the REP's strategic direction and decision-making;
 - d. Considering all personal circumstances confidentially, to inform the REP of the outcomes of the staff circumstances process and make recommendations accordingly.
51. The Research Office has no decision-making responsibilities for either REF2021 or the annual allocation of research workloads. The Research Office is instead responsible for maintaining the information to support decision-making by the REP and managing the logistical and technical elements of the REF2021 submission.
52. All staff involved in providing an advisory function and those with decision-making responsibilities will be required to satisfactorily complete Equality, Diversity and Inclusion training which addresses the following:
 - a. Legal obligations regarding equality, diversity and inclusion;
 - b. Unconscious bias;
 - c. Ensuring that staff identification takes equality, diversity and inclusion into account, particularly in relation to principles of transparency, consistency, inclusivity;
 - d. Ensuring that the principles determining research independence are not discriminatory, and that their application promotes inclusivity;
 - e. Ensuring that the processes and selection criteria for selecting outputs are non-discriminatory, and that their application promotes transparency, consistency, and inclusivity.

53. The design of training is informed by the University's initial REF2021 Equality Impact Assessment undertaken in November 2018, in advance of preparing this Code of Practice. Members of the REP received training in Equality, Diversity and Inclusion in January 2019, in advance of preparing the Code of Practice.

54. Further training will be provided where appropriate, and in all cases before December 2020, in order to ensure that any new staff involved in advisory or decision-making roles receive training, including but not exclusive to members of the REP, Heads of Departments, Research Leads and Unit of Assessment Coordinators.

Appeals:

55. Following the final identification of staff who meet the conditions of eligibility for submission as part of the REF2021 exercise, defined as those who meet the definition of Category A staff with a significant responsibility for research, staff will be notified of their inclusion in the exercise and the associated expectations for the submission.

56. Staff have the right to appeal the REP's decision as to their status as 'independent researchers'. Where staff wish to appeal this decision on the basis of new evidence or information, they may follow the appeals process.

How the appeals process has been communicated to staff:

57. The appeals process, as outlined in this Code of Practice, will be published on the Staff Portal, and will be openly available to all staff.

58. Staff will receive additional communications and notifications directing them to the appeals process, following the final identification of staff who meet the REF2021 criteria of a significant responsibility for research, and for those on a 'research only' contract, as an independent researcher, and after the final selection of outputs has been proposed.

59. Staff should note there is a separate process for individuals who have grounds to appeal their workload allocation in any given year. If staff wish to appeal a decision regarding workload allocation, they should consult the Workload Allocation and Sabbatical Eligibility document which is available on the Staff Portal and can be found in Appendix D.

Details of the process, including how cases are submitted, eligible grounds for appeal:

60. All appeals should be made in writing by email to the Deputy University Secretary (george.turner@roehampton.ac.uk), no later than the 11th May, 2020.

61. The written appeal should include details of the grounds for the appeal and any supporting evidence.

62. Eligible grounds for appeal will include, but are not limited to:

- a. Where personal circumstances and exemptions have not been considered

- b. Where decisions have negatively impacted on protected characteristics
- c. Where process or procedure have not been followed.

63. All appeals will be considered by 30th June 2020 and outcomes will be communicated to the appellant within 10 working days. Communications will be through email, unless staff are absent from the University, for reasons including but not limited to those absent due to: sabbatical; illness; maternity, paternity, adoption or shared parental leave. In these instances, letters will also be sent to the appellant's corresponding address.

64. If the appeal is upheld, the REP will reconsider the appellant's case.

65. The REP will provide a response to the recommendation within one month.

Details of those involved in hearing any appeals (demonstrating their independence from earlier decision processes), timescales and how decisions are being communicated to staff:

66. Appeals will be considered by the Deputy University Secretary. The Deputy University Secretary has no decision-making or advisory role in the University's REF2021 preparations.

Equality Impact Assessment:

67. An initial Equality Impact Assessment (EIA) has been undertaken at the University to assess whether policies, procedures and processes outlined in the Code of Practice could have any potential adverse effects on staff groups with protected characteristics. This initial EIA focused in particular on the principle of submitting 100% of staff with significant responsibility for research.

68. The EIA will remain a live document and will be reviewed during the process for determining the research independence status of staff with a contractual requirement to undertake 'research only'.

69. The EIA will also become a standing agenda item at REP, REEDIP, EDIC, EDIG and Research Committee.

70. The initial EIA can be found in Appendix F.

Part 4: Selection of outputs

71. The REF2021 exercise focuses on the outputs of a submitting Unit of Assessment, rather than any one individual. The number of outputs selected for each eligible individual for the exercise will vary depending on a diverse range of circumstances and for a variety of reasons. Equality Impact Assessments will be undertaken throughout the preparation period for the University's REF2021 submission in order to ensure due regard for matters relating to equality, diversity and inclusion, and to mitigate against any unintended circumstances in the selection of outputs.

72. The REP will make a strategic selection of outputs in order to submit the strongest possible Unit of Assessment submissions for REF2021.

73. The REP will make decisions on which outputs to submit based on a range of evidence that provides indicators of the quality of research, defined by the REF criteria of originality, significance and rigour. The selection of outputs will be guided by the objective of maximising the benefits of REF2021 to the institution as a whole.
74. The University will maintain a centrally-directed approach to the selection of outputs. The intention of this approach is to maintain transparency in how decisions regarding output selection are arrived at, consistency in the application of selection criteria and decision-making, accountability for all decision-making, and inclusivity in ensuring that all staff groups are fairly represented in the final selection of outputs from across the institution for submission to REF2021.
75. Each Unit of Assessment submission made by the University will require a set number of outputs to be included, after individual and unit-wide circumstances have been considered.
76. The University assesses the quality of research outputs as part of its standard operating procedures. The pool of outputs to be used as the basis of selection for REF2021 will be all those outputs attributable to Category A eligible staff that have been assessed through our standard University procedures and have been published within the current REF cycle.
77. The outputs which have previously been assessed as part of the standard procedures will be re-assessed specifically for the purposes of REF selection, alongside any further outputs proposed by colleagues. All outputs will be assessed internally and externally by senior research staff with experience of research assessment. Assessors are proposed by Research Leads and appointed by the Research Office.
78. Following assessment, the REP will consider the outcomes and then rank the outputs on the basis of quality for submission accordingly.
79. Matters relating to equality, diversity and inclusion will be considered in the appointment of assessors, and colleagues are also able to exercise a 'right to reply' on all assessments provided by internal or external colleagues. Where appropriate to the discipline, other supporting evidence or metrics may also be considered in accordance with REF2021 panel criteria. Staff circumstances will also be included on the advice of REEDIP.
80. The REP will not select outputs by named author, except to ensure that all entered staff are represented by at least one output and that individuals are not represented by more than a maximum of five outputs, in line with REF2021 guidance.
81. The REP will also ensure that all outputs meet the eligibility criteria for REF selection, including open access compliance and where the research outputs were demonstrably generated by former staff. Where an output does not meet the conditions for eligibility in the context of a Unit of Assessment, it will not be selected for submission on these grounds, irrespective of its quality.
82. The REP will seek the advice of Research Leads, and where appropriate Unit of Assessment Coordinators, on the outputs in their respective Units of Assessment,

including for the purposes of double-weighting and identifying interdisciplinary research.

83. The assessment process will begin in September 2019 and staff will be notified of the final selection of outputs in January 2021. There may be exceptions where outputs are subsequently considered for selection, for example, delayed outputs that fall within the revised eligibility criteria. In these instances, colleagues will be notified of any changes accordingly and in advance of the University's final REF submission.

Staff, committees and training:

84. The REP is the decision-making body for all elements of the REF2021 submission, including the selection of outputs. The REP will be advised by the REEDIP on matters related to equality, diversity and inclusion.

Staff circumstances:

85. All staff who meet the definition of Category A eligible staff, including those absent from the University, will be invited to declare any individual, equality-related circumstances that have restricted their ability to research productively during the period of REF2021. Where they do wish to disclose their circumstances, they will be invited to complete the initial confidential form ('Individual Staff Circumstances Form' outlined in Appendix G) providing details. A revised form, issued by Research England, will be used for further declarations after the staff census date for REF2021.
86. Individual circumstances will be considered where they have constrained the ability of staff to produce outputs or to work productively throughout the assessment period. A reduction in the number of outputs required for the submitting Unit of Assessment, or removal of the required minimum of one output where an individual's circumstances have had an exceptional effect on their ability to work productively, will be requested from the REF team at Research England where considered appropriate.
87. The process will be overseen centrally by the Deputy Director of HR or their nominee and conducted with due regard for the sensitivity of the information requested. Staff will have more than one opportunity to declare their individual circumstances.
88. Individual Staff Circumstances Forms will be returned directly to the Secretary of REEDIP, a member of HR. The information provided will only be seen by the REEDIP, who will meet and deliberate the disclosed information in strict confidence. All submitted information will be stored securely within the HR department. All staff disclosing personal circumstances will receive written feedback from the Deputy Director of HR, irrespective of the outcome of their request.
89. Prior to submission to the REF team at Research England, the information in the Individual Staff Circumstances Form will remain confidential to the members of REEDIP, and will be compliant with data protection regulation.
90. In accordance with REF2021 regulations, when dealing with circumstances which require a judgement, the Deputy Director of HR, the REF Manager, and one other member of the REEDIP will consider the Individual Staff Circumstances Form and request additional information from the member of staff, or will consult HR

records, or may seek the opinion of an occupational health professional as appropriate.

91. On the basis of this information the REEDIP will decide whether there has been a disproportionate impact on the submitting Unit of Assessment's ability to produce research within the REF period as a whole, and whether a case should be made to the REF team at Research England for submitting a reduced number of outputs, and what may constitute an appropriate reduction in the number of outputs for any submission.
92. Where applicable REEDIP will produce the cases to be made for a proposed reduction in outputs, and will only provide the names of individuals and recommendations for reductions to be considered in selecting outputs. The individual circumstances of staff will not be shared within the University, outside of the membership of REEDIP.
93. Where the REEDIP decides a case for a reduced number of outputs should be made, the REP will be informed. Where appropriate the REP will make changes to decisions on the basis of individual circumstances, irrespective of whether or not the case for a reduction is successfully made to the REF team at Research England.
94. The REF2021 guidance defines the following circumstances as potentially constraining the ability of submitted staff to produce outputs or to work productively throughout the assessment period, and will seek a reduction in outputs accordingly:
 - a. Early Career Researcher (started as an independent researcher on or after 1 August 2016)
 - b. Maternity, paternity or statutory adoption leave
 - c. Career break (including secondment) during which academic research has not been undertaken
 - d. Junior clinical academic staff who have not gained a Certificate of Completion of Training or its equivalent by 31 July 2020 [note: this applies to UoAs 1 – 6]
 - e. Disability (including chronic conditions): this is defined in REF 2018/03, Table 1 under 'Disability'
 - f. Ill health, injury, or mental health conditions
 - g. 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 made for maternity, paternity or statutory adoption leave
 - h. Other caring responsibilities (such as caring for an elderly or disabled family member)
 - i. Gender reassignment
 - j. Constraints relating to Covid-19
95. Within the University, the information that staff provide will be seen only by the REEDIP. Remit and membership of REEDIP is available in the Code of Practice. The membership of REEDIP will be published and updated on the Staff Portal. The individual members will observe confidentiality, and information will be stored securely and in compliance with data protection regulations.
96. Information provided on the form may be shared externally with the REF team at Research England for the purposes of evidencing any request for a reduction in the

number of research outputs required by a submitting Unit of Assessment. For circumstances with a clearly defined reduction in outputs, requests will be examined in the first instance by the REF audit and data verification team, who will advise the Equality and Diversity Advisory Panel (EDAP) on whether sufficient information has been provided and the guidance applied correctly. These requests may be referred to EDAP if a judgement is required. For circumstances requiring a judgement about reductions, or requests to remove the minimum of one output requirement for any individual included in the exercise, information will be seen by EDAP, who may seek advice on submitted requests from the REF Main Panel chairs. EDAP will make recommendations about the appropriate reduction in the number of outputs that may be submitted without penalty. EDAP will provide a written explanation where a request is not accepted in either full, or in part.

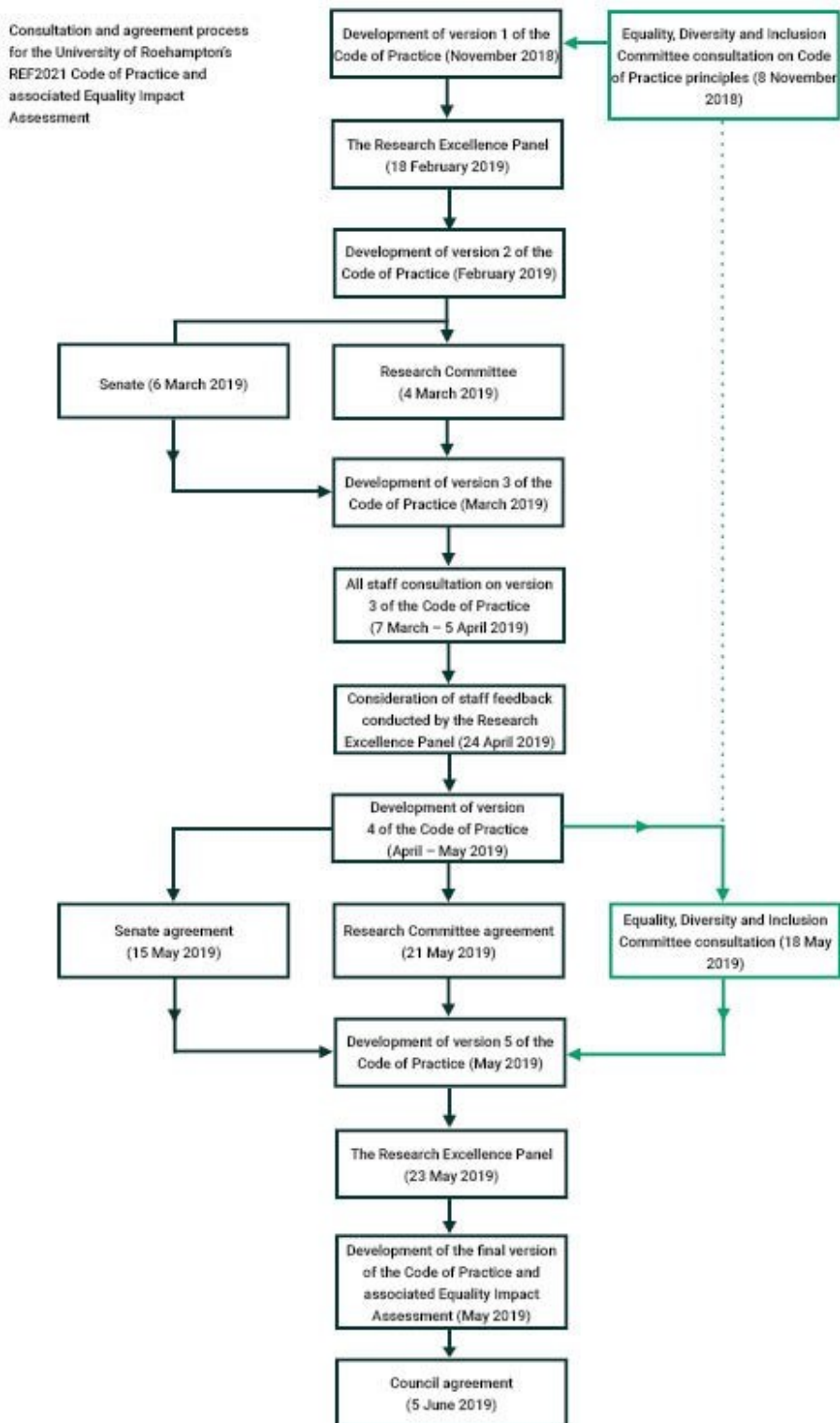
97. All REF panel members, chairs and secretaries are bound by confidentiality requirements, and acceptance of the confidentiality requirements is a condition of their appointment to the role. No information relating to identifiable individual's circumstances will be published by the funding bodies REF Team at Research England. All data collected, stored and processed by the UK funding bodies REF Team will be handled in accordance with the Data Protection Act 2018.

Equality impact assessment:

98. An initial Equality Impact Assessment (EIA) has been undertaken at the University to assess whether policies, procedures and processes outlined in the Code of Practice could have any potential adverse effects on staff groups with protected characteristics. This initial EIA focused in particular on the principle of submitting 100% of staff with significant responsibility for research.
99. The EIA will remain a live document and will be reviewed during the process of selecting outputs for submission and as part of the staff circumstances process, where any potential negative or adverse impact for groups of people with protected characteristics will be tested.
100. The EIA will also become a standing agenda item at REP, REEDIP, EDIC, EDIG and Research Committee.
101. The initial EIA can be found in Appendix F.

Part 5: Appendices

Appendix A
Consultation and Agreement Process



Appendix B Research Excellence Panel

The Research Excellence Panel is tasked with overseeing the University's strategy, decision-making, and overall submission to the Research Excellence Framework 2021 (REF2021). It will be responsible for coordinating all preparations, including the Code of Practice and final Unit of Assessment submissions. It will also ensure that all preparations are consistent with UKRI and the REF Team's equality and diversity criteria. The Research Excellence Panel has been established with delegated authority from Senate, and will be disbanded in February 2021 following submission to REF2021.

Terms of Reference

- a. To ensure that the University develops and follows a Code of Practice, which is consistent with equal opportunities guidance from REF2021 and national equal opportunities legislation;
- b. To make final decisions on all elements of the REF submission including the selection of Units of Assessment, outputs, impact and environment consistent with UKRI's guidance;
- c. To seek advice from relevant staff bodies and groups, including on points of principle from Council, Senate, and from the Equality, Diversity and Inclusion Committee, Research Committee, Heads of Department and Research Leads;
- d. To provide regular updates to Research Committee and Senate on the strategy and principles guiding the University's submission to REF2021;
- e. To consider processes and procedures for communicating REF decisions to the academic staff base, and ensuring appropriate mechanisms for any appeals on decisions or individual staff circumstances

Membership, 2018/19

Vice Chancellor (Chair)
Provost
Vice-Provost (Research and External Engagement)
Head of Department/Senior academic representative
Head of Department/Senior academic representative
Head of Department/Senior academic representative
Head of Department/Senior academic representative
External member (Emeritus Professor)

Ex Officio
Director of HR
REF Manager

The Panel will be serviced by a member of the Research Office.

Panel members will be tasked with confidentiality and maximising the benefit of REF to the University as a whole. They are not representatives of particular Departments, Units of Assessment or individuals.

Membership of the REP will be published on the Staff Portal, so members of staff can see the composition of the group at any time.

Appendix C

Research Excellence, Equality, Diversity and Inclusion Panel

The Research Excellence, Equality, Diversity and Inclusion Panel (REEDIP) will support the Research Excellence Panel (REP) in adhering to, uphold and promote the underlying REF2021 principles of equality, diversity and inclusion throughout the preparation of the University's submission to REF2021. The Research Excellence, Equality, Diversity and Inclusion Panel will also manage the confidential process for staff to declare individual circumstances. The Panel will disband following the final submission to REF2021.

Terms of Reference

- a. To ensure all matters relating to equality, diversity and inclusion, are embedded throughout the REF submission preparation process;
- b. To ensure that the REP conforms to all equality legislation, and reports to Senate and other relevant committees in preparing the University's REF2021 submission;
- c. To ensure consistency and transparency in the REP's strategic direction and decision-making, throughout the REF submission process;
- d. To develop and implement a robust process to invite staff to declare individual circumstances;
- e. To consider all personal circumstances confidentially and ensure compliance with data protection regulation, and inform the REP of appropriate outcomes and recommendations accordingly.

Membership 2018/19

Vice Provost (Planning and Engagement)
REF Manager
Deputy Director of HR
Senior academic representative
Open Access and Research Information Officer

Secretary
Member of HR

Membership of the REEDIP will be published on the Staff Portal, so members of staff can see the composition of the group at any time.

Appendix D University Research Allocation Policy:

Workload Allocations for Research, Professional Practice and Professional Development and Sabbatical Criteria

Context:

The workload allocations for research and the criteria underpinning sabbatical eligibility were first introduced at the University of Roehampton in 2009. The criteria provided clear guidance regarding the available workload allocations for research and the conditions for eligibility for each category of workload allocation. In line with national research agendas and University practices, these criteria have evolved to incorporate a broader range of research and research-related activity, and have been implemented through annual departmental and individual research plans. Until 2017 individual workload allowances were agreed in annual meetings with Deputy Provosts and Heads of Department.

In order to ensure equity and transparency, decisions regarding workload allowances and sabbaticals for research and professional practice activity have, since 2017/8, been made by a University-level panel on an annual basis. The panel comprises of the Provost, the Deputy Provost for Academic Development, the Director of Human Resources, the Director of Research Development and the Head of the Research Office, and all Heads of Department. Heads of Departments will be paired, and two Heads of Department will be present to discuss each Department, in order to ensure all individual staff circumstances are considered, and to ensure equity in the designation of allocations.

The panel will make decisions regarding workload allocations for research, professional practice, and sabbatical eligibility, in accordance with the categories and criteria outlined in this document, and the 'expectations of academic roles document' which can be found via the following link:

<https://www.roehampton.ac.uk/globalassets/documents/human-resources/expectations-of-academic-roles.pdf>

All Departments are expected to observe the agreed workload categories, and sabbatical criteria. Changes outside of the annual planning cycle must be proposed to the Head of Research Office, and confirmed in writing by the Vice Chancellor's Office.

Workload Allocations for Research, Professional Practice and Professional Development

Staff may be eligible to be allocated a percentage of their workload for research or professional practice, in accordance with established and recognised levels of activity. This document outlines the criteria taken in to account, and further, the corresponding categories for research allowance and sabbaticals in the table below.

Please note, workload allowances for all staff will be reviewed on the basis of recent activity, and are eligible to change irrespective of previous allocations. Recent activity is defined as research that has been produced in the preceding three to five years, depending on disciplinary contexts. It is expected that staff are eligible to move between categories on an annual basis. For example, staff will be eligible to increase their research or professional practice allocations on the basis of new research outputs or professional activity, judged in

line with established quality thresholds, whether or not they have previously been in receipt of a corresponding workload allowance.

Research Allocations:

A workload allocation for research will normally be made available to individuals on the basis of recent, independent research, with consideration given to output that meets *internationally excellent and world-leading standards* (the equivalent of 3* and 4* research) in line with research that is funded across the UK HE sector. Other supplementary factors include major bidding, impact and contribution to strategic research priorities.

It is expected that colleagues in receipt of a workload allocation for research would *normally* produce the equivalent of four research outputs at internationally excellent (3* equivalent) or world-leading (4* equivalent) levels, in a five- or six-year cycle. It is not expected that this output be produced annually, but rather that there is evidence of this level of production within the five or six-year cycle.

Decisions on output levels will be based on assessments undertaken by internal and external assessors, who are appointed on the basis of their research expertise and in consultation with Research Leads and Heads of Department. Following internal and external assessment rounds, outputs will be assigned an overall score on a four-point scale for the purposes of workload planning. Where there is consistency in internal and external assessments, outputs will be assigned the appropriate overall score. Where there is discrepancy in the internal and external scores, a number of principles will be applied. Overall judgments will:

1. be weighted in favour of assessors with previous REF experience, irrespective of whether they are internal or external assessors;
2. consider the prevailing view represented in the assessment scores and feedback;
3. consider the qualitative feedback provided by assessors, both internal and external;
4. consider any 'right to reply' provided by the researcher

In instances where discrepancies in output assessments are likely to have an impact on workload allocations or criteria for assessment have changed, Heads of Departments and Research Leads will be invited to present additional contextual information or to request further assessments. In most instances, an additional external assessment will be sought to provide more clarity.

The assignment of overall scores for workload planning purposes is distinct from preparations for the Research Excellence Framework, which is an exercise which requires the institution to select the best outputs from across a Unit of Assessment's production in that period, rather than to make judgements about the volume and quality of an individual's research output.

Individual Circumstances:

A number of factors will be considered in determining whether the expectations for individual staff in terms of the volume and quality of research output are appropriate. These include the following:

- Fractional contracts (a reduction of output, proportionate to FTE)

- Staff circumstances including parental leave, long-term illness (a reduction of output, per each five- or six-year cycle, proportionate to the duration or number of periods of leave)
- Early Career status (variable output, depending on FTE, commencement date as an ECR, and other factors)
- Disciplinary norms, for example the production of practice-as-research outputs and long-form publications or monographs, will be taken into account in terms of the frequency of research output
- Any other circumstances that have restricted the production of high-quality research will also be taken into account

Expectations should be clearly communicated to staff. If these expectations are unclear, staff should contact their line manager in the first instance.

Please note there may be other members of staff who are occasionally allocated more than the usual percentage if there are specific reasons for doing so, for example, they are employed full time on a dedicated research-only contract, have received external funding, or there have been identified needs to meet strategic objectives.

Professional Practice Allocation:

A workload allocation for professional practice will be provided for individuals on the basis of work which is undertaken within the scope of their role and which is not financed by additional commitments outside of the University.

Staff will be required to provide a Professional Practice Plan in order to evidence their eligibility for this allocation, which will be dependent on the scale of activity, and its contribution to the University's strategic aims. Appropriate activities, which are not already accounted for in workloads, may include: creative or clinical practice; pedagogic practice; scholarship which contributes to the profession; knowledge transfer; non-research related consultancy; substantial CPD delivery.

Professional Development (Special Projects) Allocation:

Academic staff who are not eligible for either research or professional practice workload allocation, but who wish to develop a profile in either of these areas, are able to apply for additional workload allowance.

Up to an additional 20% of workload allowance may be available for individuals who have not previously been in receipt of a workload allocation to pursue special projects, or to develop their profile as an independent researcher or professional practitioner. This allowance may only be granted once, and will last for a duration of one academic year only, unless agreed in exceptional circumstances.

Applications for a Professional Development Allowance must be made by completing the Research Plan or Professional Practice Plan, and submitted to the Head of Research Office via the Departmental Research Lead or Head of Department. If the Research Lead and Head of Department are supportive of the application, the application should be submitted for a decision to be made by the Workload Panel.

Workload Categories

Category	Definition of Staff	Normal Allocation (of FTE or equivalent)
1	<i>Scholarship Allowance (all academic staff are in receipt of this allowance. There is no responsibility for staff to pursue independent research, but this time can be used for professional development and in the manner most appropriate to their role. It may include studying for a doctorate)</i>	165 workload hours
2PP	<i>Professional practitioner (evidence of professional practice [inclusive creative, clinical, or major contributions to scholarly activity] at a sustained and nationally recognised standard within confines of role at the University)</i>	Up to a maximum of 30%, including scholarship allowance
3R	<i>Independent researcher (evidence of recent output at internationally excellent standard [3* equivalent] and plans to develop more). Not eligible for research sabbatical.</i>	Up to a maximum of 30%, including scholarship allowance
4R	<i>Independent researcher (evidence of sustained outputs at internationally excellent or world-leading standards [3 and 4* equivalent]). Eligible for research sabbatical.</i>	30%, including scholarship allowance Eligible for research sabbatical
5R	<i>Independent researcher (evidence of sustained outputs at world-leading standards [4* equivalent], and/or evidence of success at world-leading levels of bidding or impact [4* equivalent]). Eligible for research sabbatical.</i>	40%, including scholarship allowance Eligible for research sabbatical

Criteria for Research Sabbaticals

Staff who are allocated 4R or 5R are eligible for sabbatical leave. It is provided with the intention of enabling research active colleagues to develop the quality and the breadth of their research activities through the allocation of dedicated research time, free from teaching duties. Whilst on sabbatical, colleagues will continue their doctoral supervision duties. Sabbatical leave will only be provided to support delivery of the strategic research aims of the University. Whilst these may change, current priorities include substantial, high quality research outputs, materially advancing the reach and significance of research impact, and securing research funding. The following criteria apply:

1. Only staff who have demonstrated evidence of sustained output, in line with the expectation that four *internationally excellent* (3* equivalent) or *world-leading* (4* outputs are *normally* produced within a five or six-year period, will be eligible for research sabbaticals.
2. Research active colleagues are eligible to receive sabbatical leave but it is not an entitlement. The needs of the Department are paramount, and may at times have to

take precedence over individual leave priorities. In instances where this applied, the Head of Department will communicate with individual colleagues in order to come to an agreement;

3. The period of research leave will normally be one term (either the Autumn or the Spring);
4. Departments will produce sabbatical leave rotas on a rolling three-year cycle to facilitate planning, and eligibility will be confirmed by the panel in the previous academic year. Colleagues will not normally be awarded research leave of more than one term in any three years unless funding to enable this has been provided externally, or there are strategic imperatives;
5. Suitable outcomes, that align with University priorities and an individual's professional development should be identified before the sabbatical commences, be agreed in advance with Departmental Research Leads and Heads of Department, and submitted to the Head of Research Office for the panel to approve;
6. Within one month of a period of research leave all colleagues will be expected to report on their activity to their Head of Department or Departmental Research Lead and demonstrate they have delivered tangible outcomes. This information should be submitted to the Head of Research Office for the panel to review;
7. Any previous sabbatical leave must have resulted in the delivery of appropriate outcomes.

Process for determining category of workload allocation and sabbaticals:

Decisions on eligibility for workload allocations and sabbaticals are made on the basis of research information (output assessment, designation as an impact lead, bidding record and other major contributions to the University's strategic research priorities) or evidence of professional practice undertaken as part of the individual's academic role at the University and in accordance with strategic priorities.

Research information for the panel will be drawn from the PURE information system. The responsibility for ensuring up to date and accurate information for research output and impact lies with individual academic staff, and research output assessments with the central Research Office.

Professional practice information will be sourced from the relevant Head of Department, drawn in particular from records of appraisal. A plan, indicating clear professional outcomes, will need to be completed and agreed with the Vice Chancellor's Office, before a professional practice allocation will be confirmed for the following academic year.

The process for determining workload allocations is as follows:

1. The assessment of research outputs takes place throughout the academic year. Outputs are assessed by an internal and external assessor. Colleagues can propose outputs for assessment at any time, but must comply with the Open Access mandate, by uploading their final text within three months of acceptance for journal articles.

2. Once the assessments are completed, they are fed back to colleagues through Departmental Research Leads;
3. Prior to the meeting of the panel, Heads of Department are invited to provide additional details on staff, indicating pending publications, a professional practice profile, or other major contributions to the University's strategic priorities;
4. The panel meets a minimum of once a year to address any necessary changes in workload allocations on the basis of this information;
5. Heads of Departments ratify changes to workload allocations in accordance with the workload categories decided by the panel;
6. Heads of Departments will communicate any changes in workload allocation to individual staff in an appropriate manner and incorporate the changes in appraisals and departmental workload planning;
7. All staff allocations will be reviewed in the next annual planning cycle, and changes to allocations can be made on the basis of new outputs or practice, in accordance with the agreed principles, quality thresholds, and processes, irrespective of previous allocations.

Appeals:

If an individual has any concerns relating to their workload allocation they should discuss it in the first instance with their line manager.

If after speaking to their line manager the individual's concerns have not been satisfactorily resolved, an individual can appeal against their allocation of workload. In order to request this review the individual should write to the Director of Human Resources detailing the reasons why they feel the balance of workload allocated to them is not correct or has not been balanced according to the criteria found within the "*Workload Allocations and Sabbatical Eligibility for Research and Professional Practice*" document.

<https://portal.roehampton.ac.uk/information/humanresources/Pages/Academic-Workload.aspx>

All staff will be notified of the timeline for Workload Panel and communication of decisions. A timetable will be published on the Staff Portal. All appeals regarding workload allocations should be received within 25 working days of the Workload Panel notifying Heads of Department of formal outcomes, and within five working days of Heads of Departments notifying individuals of any change to their allocations.

Upon receipt of the appeal, the Director of Human Resources will reconvene the Workload Panel to consider the appeal. Consideration will be given to all points raised by the individual and their line manager. A response to the appeal will be provided within 20 working days.

If this timescale is unable to be met, the Director of Human Resources (or their Deputy) will write to the individual explaining and advising when the appeal will be considered and responded to.

Appendix E

Expectations of Academic Roles

Updated January 2019

The following criteria represent the normal expectations for appointment to academic roles, confirming probation, appraisal, promotion and progression to higher grades and Professorial Pay Reviews. All colleagues are expected to engage with the UK Professional Standards for Teaching in HE through the University URRAP scheme. No application will be accepted unless there is evidence of successful engagement at the appropriate level.

Evidence should be presented in relation to activity in the categories listed (Learning & Teaching; Research; Enterprise and Professional Practice) and normal academic judgement will be exercised in the assessment of the profile presented.

The expectation is that applications for promotion to grades **beyond Senior Lecturer** must provide:

- evidence of excellence in one pathway;
and
- evidence of good performance **in at least one other of the three remaining pathways** (Learning & Teaching; Research; Enterprise activity; Professional Practice).
 - The panel reserves the right to promote staff to Principal Teaching Fellow or Reader on the basis of *exceptional* performance in one of the four pathways.
- Evidence of meeting **at least** the criteria required to meet Senior Lecturer in the other pathways relevant to the pathway being taken.

Excellence is defined as:

Research

- Evidence of a sustained and substantial record of 4* and 3* research outputs.
- Evidence of significant Income generation through research bids and awards
- Evidence of significant and far reaching impact.

Teaching

- Excellence is defined as module evaluation scores exceeding 4.5.
- Good is defined as module evaluation scores exceeding 4 and is the minimum requirement for all applications irrespective of pathway.



The Academic Promotions Committees will also consider the overall profile of candidates in terms of their contribution to the work of their Department/School and the University.

Scholarship is an important component of any academic portfolio with an anticipated national, international and worldwide trajectory for impact.

All colleagues are expected to support academic administrative activity as part of their professional contribution and a level of good citizenship is assumed of all colleagues. It is expected that colleagues appointed to higher grades will assume greater levels of responsibility and more significant contributions to their departments and the University as they progress.

1. Learning & Teaching Capability and Activity

	Lecturer (on completion of probation)	Senior Lecturer	Principal Teaching Fellow	Professor
A. Teaching qualification for HE	Achievement of D 2 of the UKPSF (via URRAP or HEA Fellowship routes)	Achievement of D 2 of the UKPSF (via URRAP or HEA Fellowship routes)	Achievement of D 3 of the UKPSF (via URRAP or HEA Fellowship routes)	Achievement of D 3 of the UKPSF (via URRAP or HEA Fellowship routes); Working towards D4 or Principal Fellowship of HEA
B. Impact on student learning	<p>1. Appropriate level of supporting evidence on teaching effectiveness from student evaluations</p> <p>2. Evidence of engagement in L&T enhancement activity (module level)</p>	<p>1. Appropriate level of supporting evidence on teaching effectiveness from student evaluations</p> <p>2. Evidence of engagement in L&T enhancement activity (programme level)</p>	<p>1. Appropriate level of supporting evidence on teaching effectiveness from student evaluations</p> <p>2. Evidence of engagement in L&T enhancement activity (Department/School/University level)</p>	<p>1. Appropriate level of supporting evidence on teaching effectiveness from student evaluations</p> <p>2. Evidence of engagement in L&T enhancement activity (within the University and externally)</p>
C. Peer observation processes	1. Participation in Department/School/peer observation scheme	<p>1. Participation in Department/School/peer observation scheme</p> <p>2. Mentoring of junior academic staff on L&T performance</p>	<p>1. Leadership in implementation of the Department/School peer observation scheme</p> <p>2. Mentoring of academic staff on L&T performance</p>	<p>1. Leadership in developing the peer observation scheme and disseminating outcomes</p> <p>2. Strategic approach to improving L&T performance across the University through mentoring</p>
D. Programme/curriculum development	1. Evidence of contribution to module design, curriculum development and QA processes (module level)	1. Evidence of contribution to module/programme design, curriculum development and QA processes (programme level)	1. Evidence of contribution to programme design, curriculum development and QA processes across the University	1. Evidence of leadership in programme design, curriculum development and QA processes internally and externally

	2. Contribution to programme /Department/School quality review procedures	2. Significant role in programme /Department/School quality review procedures; membership of internal review panels	2. Significant role in cross-Department/School quality review procedures; chairing of internal review panels; participation in external review events	2. Leadership in University quality review procedures; chairing of internal review panels; participation in external review events; engagement with QA and curriculum development activities at national level and across the sector
E. Innovative and reflective pedagogic practice	<p>1. Evidence of developing competence in pedagogic practice through module modification and review processes</p> <p>2. Appropriate level of supporting evidence from L&T related CPD activity; attendance/participation in the annual LTEU conference</p> <p>3. Participation in pedagogy related projects internally or externally</p> <p>4. Evidence of activity that seeks to integrate research (discipline-based or pedagogic) into classroom practice</p>	<p>1. Evidence of developing competence in pedagogic practice through module and programme development activity</p> <p>2. Appropriate level of supporting evidence from L&T related CPD activity; attendance/participation in the annual LTEU conference</p> <p>3. Participation in pedagogy related projects internally or externally; bidding for funds and grants to support such initiatives and projects</p> <p>4. Evidence of activity that seeks to integrate research (discipline-based or</p>	<p>1. Evidence of developing competence in pedagogic practice through module and programme development activity; sharing of good practice across the University</p> <p>2. Appropriate level of supporting evidence from L&T related CPD activity; provision of some CPD internally; active participation in the annual LTEU conference</p> <p>3. Providing leadership in developing pedagogy related projects internally or externally; successfully bidding for funds and grants to support such initiatives and projects</p> <p>4. Evidence of activity that seeks to integrate research</p>	<p>1. Evidence of developing competence in pedagogic practice through module and programme development activity; engagement in dissemination events across the sector</p> <p>2. Provision of L&T related CPD activity (internally and externally); regular active contributions to the annual LTEU conference</p> <p>3. Involving University staff in cross-sector pedagogy related projects; successfully bidding for funds and grants to support larger scale projects with significant impact potential</p> <p>4. Evidence of activity that seeks to integrate research (discipline-based</p>

	5. Appropriate level of engagement with Moodle and Technology Enhanced Learning opportunities	pedagogic) into classroom practice 5. Appropriate level of engagement with Moodle and Technology Enhanced Learning opportunities	(discipline-based or pedagogic) into classroom practice 5. Appropriate level of engagement with Moodle and Technology Enhanced Learning opportunities	or pedagogic) into classroom practice 5. Appropriate level of engagement with Moodle and Technology Enhanced Learning opportunities
F. Implementation of University strategy in L&T	1. Evidence of appropriate engagement with the University's strategic priorities in L&T (e.g. employability; e-learning, BME attainment etc)	1. Evidence of appropriate engagement with the University's strategic priorities in L&T (e.g. employability; e-learning, BME attainment etc) 2. Membership of Department/School committees, working groups, LTAG etc	1. Significant engagement with the University's strategic priorities in L&T (e.g. employability; e-learning, BME attainment etc) 2. Leadership role in Department/School committees etc; contribution to University level committees, working groups etc	1. Significant contribution to identifying the University's strategic priorities in L&T (e.g. employability; e-learning, BME attainment etc); significant role in ensuring the achievement of University aims in L&T 2. Significant contribution to the work of Department/School and University committees; disseminating identified good practice externally and across the sector
G. Scholarship and external involvement	1. Membership of L&T related professional bodies and discipline-based associations	1. Membership of L&T related professional bodies and discipline-based associations 2. Undertaking scholarly activity in the area of L&T, including conference attendance and publishing	1. Membership of L&T related professional bodies and discipline-based associations 2. Undertaking scholarly activity in the area of L&T, including conference attendance and publishing	1. Appropriate levels of engagement with L&T related professional bodies and discipline-based associations 2. Significant cross-sector engagement in the area of L&T conference attendance and publishing

			3. Invited participation in external L&T events	3. Engagement as key note speaker, discussant etc. at external L&T events
H. Professorial level leadership				<p>1. In respect of all areas mentioned above, engagement in associated scholarly/research activity, the sharing of good practice and dissemination events through conferences, publication and media engagement</p> <p>2. Evidence of cross-sector leadership in specific areas of activity and a contribution to shaping national agendas on L&T activity</p>

2. Research Activity:

Categories B and normally A are expected to be met in all cases, plus most of the other categories, though the balance may vary. Principal Teaching Fellows applying for Reader are expected to meet the criteria for Reader should they change their trajectory

	Lecturer (on completion of probation)	Senior Lecturer	Reader	Professor
A. Qualifications	Normally a completed doctorate	Normally a completed doctorate	Normally a completed doctorate	Normally a completed doctorate
B. Outputs from original research undertaken solely or in a research team e.g. papers, books, catalogues, practice based, exhibitions, performances or any type of output recognised by the relevant research community or REF	Some published research outputs, as sole or a major author, at the forefront of current research, and of rigour, originality and significance at world-class or internationally excellent levels	Regular production of published research outputs, as sole or a major author, at the forefront of current research, and of rigour, originality and significance at world-class or internationally excellent levels	Regular production and a substantial body of published research outputs as sole or a major author, at the forefront of current research, and of rigour, originality and significance at world-class or internationally excellent levels	Regular production and a very substantial body of published research outputs as sole or a major author, at the forefront of current research, and of rigour, originality and significance at world-class or internationally excellent levels
C. Grant and funding activity	Submitting grant and funding applications for smaller grants with some success	Submitting successful grant and funding applications for smaller and more substantial grants	Submitting successful grant and funding applications for smaller and more substantial grants	Submitting successful grant and funding applications for smaller and more substantial grants
D. Research dissemination	Giving research presentations at	Regularly giving papers at conferences or presenting	Regularly giving research presentations at conferences or in other appropriate	Regularly giving research presentations at conferences or in other

	conferences or in other appropriate forums	research in other appropriate forums	forums, including invited presentations	appropriate forums, including plenary, keynote or other major invited presentations
E. Doctoral supervision	May have undertaken supervisory training and be acting as a doctoral supervisor	Undertaken supervisory training and acting as a doctoral supervisor	Undertaken supervisory training and supervised doctoral student(s) to successful completion	Undertaken supervisory training, supervised doctoral students to successful completion and acted as Director of Studies, potentially mentoring less experienced supervisor(s)
F. Impact	Starting to engage in activity that will demonstrate impact as defined by the subject area in the REF and by disseminating research to different audiences	Engaging in activity that will demonstrate impact as defined by the subject area in the REF and by disseminating research to different audiences	Engaging or leading activity that will demonstrate impact as defined by the subject area in the REF and by disseminating research to different audiences	Leading activity that will demonstrate impact as defined by the subject area in the REF and by disseminating research to different audiences
G. Research leadership			Providing some research leadership	Providing significant research leadership
H. External recognition	May have external recognition of research esteem such as receipt of research-based honours or prizes	Some evidence of external research esteem such as acting as external examiner for a doctorate in another HEI, receipt of research-based honours or prizes	Evidence of external research esteem such as acting as external examiner for a doctorate in another HEI, working with Research councils and/or funding	Substantial evidence of external research esteem such as acting as external examiner for a doctorate in other HEIs, working with Research councils and/or

			bodies receipt of research-based honours or prizes	funding bodies, receipt of research-based honours or prizes
I. External engagement	Involvement with research-related bodies such as networks, professional societies or similar bodies, attending conferences, workshops etc.	Involvement with research-related networks, professional societies or similar bodies attending conferences, workshops etc.	Active involvement with research-related networks, professional societies or similar bodies, for example organising conferences or workshops, serving on committees or working parties	Active involvement and leadership roles with research-related networks, professional societies or similar bodies, for example organising conferences or workshops, serving in an executive role on committees or working parties
J. External contribution	May be making an external contribution to the research community such as refereeing for publications or grant-awarding bodies	Making an external contribution to the research community such as refereeing for publications or grant-awarding bodies	Making regular external contributions to the research community such as refereeing for publications or grant-awarding bodies, and may serve on editorial or other research advisory groups	Making substantial external contributions to the research community such as refereeing for publications or grant-awarding bodies, serving on editorial or other research advisory groups
K. Internal contribution	Contributing to the University's research community for example organising research centre events, web materials	Contributing to the University's research community for example organising research centre events, web materials	Regularly contributing to the University's research community for example organising research centre events, web materials, providing doctoral training	Making a substantial contribution to the University's research community for example serving as a research centre director, chairing

			<p>sessions, serving on Department/School research-based committees or working groups</p>	<p>Department/School research-based committees or working groups, organising major events, providing doctoral or staff training sessions, contributing to university research-based committees or working groups</p>
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3. Enterprise and Business Development Activity.

	Lecturer (on completion of probation)	Senior Lecturer	Principal Teaching Fellow/Reader	Professor
A. Experience: Profile Esteem	1. Engagement in enterprise and business development activity	1. A track record of successful enterprise and business development activity 2. Developing a reputation with external organisations	1. Strong track record of successful in enterprise and business development activity 2. Professional standing in field as evidenced by recognition of external organisations at national/international level 3. Representing the University externally	1. Excellent track record successful enterprise and business development activity 2. High professional standing in field as evidenced by recognition of external organisations at national/international level 3. Representing the University externally 4. An established reputation with external organisations
B. Continuing professional development and capacity building	1. Engagement in training activities that will provide a foundation for external engagement	1. Engagement in training activities that will provide a foundation for external engagement	1. Contribution to training activities that will provide a foundation for external engagement 2. Engagement in training activities that will enhance external engagement	1. Leadership in training activities that will provide support for external engagement 2. Engagement in activities that will enhance external engagement

<p>C. Income generation: Consultancy CPD Bids and grants KTPs</p>	<p>1. Engagement in projects to secure external income through applications and proposals to appropriate funders and clients</p>	<p>1. Regular applications and proposals to external funders and clients; some success demonstrated</p>	<p>1. Success in attracting significant external funding</p>	<p>1. Exceptional success in attracting external funding and repeat business</p>
<p>D. Leadership and management: people</p> <p>Leadership and management: projects</p>	<p>1. Collaboration in enterprise and business development related work</p> <p>2. Involvement in enterprise and/or business development related projects</p>	<p>1. Effective mentoring of staff in enterprise and business development related activities</p> <p>2. Effective involvement in and co-ordination of enterprise and business development projects.</p>	<p>1. Successful management of individuals or groups in enterprise and business development projects; effective mentoring of staff</p> <p>2. Effective management of and major involvement in enterprise and business development projects</p>	<p>1. Successful leadership and management of individuals or groups in enterprise/ and business development projects</p> <p>2. Strategic leadership and successful management of enterprise and business development projects</p>
<p>E. Innovation</p>		<p>1. Engagement in new partnerships or new activities</p>	<p>1. Introduction of new partnerships or new activities to the University</p> <p>2. Discoveries or inventions</p>	<p>1. Initiating partnerships with external organisations or other new enterprise and business development activities</p> <p>2. Discoveries or inventions</p>
<p>F. Impact</p>	<p>1. Evidence of the identification of and</p>	<p>1. Evidence of engagement with the policies or practice of</p>	<p>1. Evidence of influence upon the formation of policies or practice in external</p>	<p>1. Evidence of significant influence upon the formation of policies or</p>

	formative engagement with external organisations	external organisations/ within the University 2. Converting enterprise and business development activities into publications	organisations/ within the University 2. Converting enterprise and business development activities into publications	practice in external organisations/ within the University 2. Converting enterprise and business development activities into publications
G. External engagement: Partnership development International recruitment Public engagement	1. Evidence of work with University partner institutions or work underlying the maintenance of partnerships 2. Evidence of public engagement	1. Promoting and maintaining links with external University partners 2. Evidence of public engagement	1. Initiating and developing links with external University partners Successful management of partnerships 2. Evidence of regular public engagement	1. Strategic leadership and management of partnerships/international recruitment within the University 2. Evidence of engagement in policy in the sector 3. Evidence of regular and sustained public engagement

4. Professional Practice

Some colleagues will be appointed on the basis of their background and expertise in an area of professional practice relevant to the work of the academic Department/School in which they are deployed. Career progression in such cases will depend on the further development of links with professional practice and/or the professional community concerned, possibly through joint contract arrangements. Links with professional practice should be ongoing and their nature and significance should be appropriate to the level of seniority and/or grade of post involved.

	Lecturer (on completion of probation)	Senior Lecturer	Principal Teaching Fellow	Professor
A. Professional qualifications and recognition	1. Completion of relevant Professional qualifications Education: (e.g. QTS; NPQH etc); Business: (Accountancy; Marketing; HR)	1. Completion of relevant Professional qualifications (e.g. QTS; NPQH etc) 2. Evidence of critical engagement with esteemed external organisations at national level	1. Completion of relevant Professional qualifications (e.g. QTS; NPQH etc) 2. Contribution to shaping national and international agendas in areas of professional practice 3. Active involvement in leadership roles in professional organisations 4. Professional standing in field recognised by esteemed external organisations at	1. Completion of relevant Professional qualifications (e.g. QTS; NPQH etc) 2. Significant contribution to shaping national and international agendas in areas of professional practice 3. Active involvement of significant leadership roles in professional organisations 4. High professional standing in field as evidenced by recognition of esteemed external organisations at national/international level

			national/international level	
B. Continuing practice	1. Evidence of a thorough knowledge, experience and skills in a relevant area of professional practice	1. Evidence of outstanding track record of achievement in a relevant area of professional practice	1. Evidence of successful leadership role in a relevant area of professional practice	1. Evidence of successful leadership role at executive level in a relevant area of professional practice
C. Practitioner research	1. Maintaining currency of knowledge with regard to Practitioner Research and professional body activities and developments	1. Publishing practitioner articles (e.g. for professional body journals, bulletins and newsletters)	1. Undertaking commissions and research for professional bodies 2. Evidence of critical engagement with issues of interest to the relevant area of professional practice and/or professional practice organisations	1. Leading critical engagement with professional practice and policy as appropriate to the discipline 2. Commissioning research on behalf of professional bodies 3. Making a significant contribution to professional body research committees and panels
D. Consultancy and funding streams	1. Engagement in projects to secure external income through applications and proposals to appropriate funders and clients	1. Regular applications and proposals to external funders and clients; some success demonstrated	1. Success in attracting significant external funding	1. Exceptional success in attracting external funding and repeat business

	2. Evidence of working with external clients (including the general public), where the opportunity arises	2. Evidence of working with external clients (including the general public), where the opportunity arises	2. Servicing the needs of local government clients or external clients at a national level	2. Servicing the needs of central government clients or external clients at an international level
E. CPD Inception, design, development and delivery of training activities, executive education and CPD	1. Engagement in training activities that will provide a foundation for enhanced professional practice and the understanding thereof	1. Engagement in the provision of knowledge based services, e.g. consultancy, advisory relationships with other organisations 2. Engagement in training activities that provide a foundation for enhanced professional practice and the understanding thereof	1. Evidence of working proactively with external clients (including the general public) on training activities, executive education and CPD, where the opportunity arises 2. Engagement in significant training/CPD activities that provide a foundation for enhanced professional practice and the understanding thereof	1. Evidence of working proactively with external clients (including the general public) on, for example, community engagement/community projects, training activities, executive education and CPD and other professionally orientated activities which generate significant income and/or value 2. Evidence of ability to generate new clients and/or repeat business for executive education and CPD
F. Practical management of Professional Practice initiatives and projects		1. Effective involvement and co-ordination of initiatives and projects	1. Effective management of initiatives and projects to ensure client satisfaction	1. Effective management of significant initiatives and projects which have recognised impact on the

				relevant profession/discipline
G. External influence and impact Evidence on interactions with key practitioners and/or organisations, networks and clients, including but not limited to the successful transfer of academic results to professional contexts or for other practical uses	1. Evidence of the identification and formative engagement with key external organisations	1. Evidence of positive engagement with key external organisations	1. Evidence of contribution to the formation of ideas, policies or practice in external organisations at a national level	1. Evidence of significant contribution to and influence on the formation of ideas, policies or practice in external organisations at a national/international level
H. Active professional networks	1. Participation in relevant professional bodies and associations	1. Active involvement in relevant professional bodies and associations	1. Active involvement and leadership activity in relevant professional bodies and associations	1. Significant involvement and leadership activity in relevant professional bodies and associations

Appendix F

University of Roehampton – Equality Impact Assessment

PLEASE NOTE: This Equality Impact Assessment will continue to be developed in line with the REF2021 submission preparations.

1. Name of the University initiative (i.e. policy, strategy, decision)

Code of Practice for REF2021

2. What is the aim, objective or purpose of initiative?

The Code of Practice is required to outline the University's approach to and preparations for REF2021 and the associated policies, processes and procedures for including staff, determining research independence and selecting outputs for REF2021. Some of the processes that will be undertaken as part of the planning for REF2021 are prescribed to us by the REF team at Research England. This Code of Practice also outlines how we will interpret and action these. It also includes information that ensures compliance with existing equality legislation, and demonstrates that all staff involved in the REF decision-making infrastructure at the University receive training in relation to equality, diversity and inclusion. This Code of Practice details the appeals processes for any decisions that have been taken, and also establishes the processes and procedures for ensuring that staff are able to disclose personal circumstances that have affected their ability to research productively throughout the REF cycle (2014-2020) and how they will be considered.

An initial Equality Impact Assessment (EIA) has been undertaken at the University to assess whether policies, procedures and processes outlined in the Code of Practice could have any potential adverse effects on staff groups with protected characteristics. This initial EIA focused in particular on the principle of submitting 100% of staff with significant responsibility for research.

The EIA will remain a live document and will be re-run and reviewed at various key stages of the submission planning process, including:

1. Final identification of staff with significant responsibility for research
2. When determining the research independence status of staff on research-only contracts
3. During the process of selecting outputs for submission
4. As part of the staff circumstances process, where any potential negative or adverse impact for groups of people with protected characteristics will be tested.

The EIA is a standing agenda item at REP, REEDIP, EDIC, EDIG and Research Committee.

3. Who is responsible for developing the initiative?

- Vice-Chancellor's Office (Provost, Associate Vice Provost for Research and External Engagement)
- Research Office (Head of Research Office)
- Members of the Research Excellence Panel (Deputy Provost, Director of HR, four Heads of Department/senior academics)

4. Who is responsible for implementing the initiative?

- Research Excellence Panel, with delegated authority from Senate
- Research Excellence Equality, Diversity and Inclusion Panel
- Vice-Chancellor's Office
- Research Office
- Academic Departments, Heads of Departments, Research Leads and Unit of Assessment Coordinators
- Human Resources

5. Who is the initiative intended to benefit?

A successful REF submission will generate benefits to the whole institution in terms of reputation, wider institutional benefits (for example, recruitment and research-informed teaching) and income. The following constituents will benefit from a successful REF submission:

- All staff
- Students
- Users of research

6. What is intended to be achieved by the initiative?

The development and consultation on the Code of Practice will enable the University to implement a fair and transparent process that takes personal circumstances into account, facilitates staff inclusion, helps identify research independence, and informs the selection of outputs for submission to REF2021.

7. How will you know if this initiative has been successful?

The University's performance in REF2021 will determine the success of this initiative, and its aim to secure a position in the top 40% of research institutions (Strategic Plan, 2019-22).

8. Is there potentially an adverse impact on the following groups as a result of this initiative? Please attach information/evidence to support your answer.

Protected Characteristics	Yes	No	Not known (do you need to generate new sources of information?)
Sex and Gender Reassignment			<p>The University does not collect information relating to sex and gender reassignment as part of its equality, diversity and inclusion data. However, as a result of our positive work with Stonewall and Advance HE, new demographic questions were added to the most recent staff survey and so in the immediate future we aim to monitor trends in responses from staff who identify as trans, non-binary and/or intersex.</p> <p>This new and additional staff data will also inform future EIAs conducted throughout the REF process.</p>
Gender		The University has a higher proportion of female academic staff than male academic staff, at 57.3% and 42.7% respectively. These proportions are reflected across the	

Protected Characteristics	Yes	No	Not known (do you need to generate new sources of information?)
		research active staff base, with 53.6% female and 46.4% male.	
Race		The University recognises that BAME staff are under-represented amongst its academic staff. Analysis of data from the staff survey conducted in early 2019 has indicated that of the 548 members of academic staff, 11.9% are BAME. 10.5% of researchers at the University are BAME. The University is seeking to address the issue of underrepresentation of BAME academics generally, as outlined in section 12.	
Disability		531 academic staff have declared whether or not they have a disability, or if they do not know. 4.9% have declared they do have a disability. 5.7% of research active staff have declared they do have a disability.	
Age			Age has been examined across 7 different age ranges: 20–9; 30–9; 40–9; 50–9; 60–9; 70–9; 80–9. The proportion

Protected Characteristics	Yes	No	Not known (do you need to generate new sources of information?)
			of research staff is lower for the age range 50–69. Further work will be undertaken to identify if there is an issue which needs to be accounted for in the University's employment of and ongoing support for staff with a significant responsibility for research in this age range.
Religion or belief		Our analysis of the staff survey data shows that the range of religion and beliefs represented amongst the academic staff base is wide ranging and diverse, as shown in item A.	
Sexual orientation		Our analysis of the data collected from the staff survey that ran in early 2019 indicates that the proportion of LGBT+ research active staff is the same as the proportion of LGBT+ staff in the overall academic staff base, at approximately 9%.	
Pregnancy, maternity and adoption		This data is currently being collected. However, the University provides the highest levels of support to staff who are pregnant or are returning from a	

Protected Characteristics	Yes	No	Not known (do you need to generate new sources of information?)
		<p>period of parental leave. If a staff member is pregnant or returning from a period of parental leave, then expectations about their overall research profile are reduced. This reduction exceeds the reduction that has been put in place by Research England for the REF2021 exercise, as outlined in the University Workload Allocation Policy, appendix B in the Code of Practice. Staff returning from a significant period of parental leave are also supported with a sabbatical within one year of returning.</p>	
Marriage and civil partnership		<p>The staff survey data collected in early 2019 demonstrates that the marital status of the research staff base and the marital status of the overall staff base is broadly aligned.</p>	

In the instances outlined above the Code of Practice has been developed to include mitigating actions as outlined in section 12.

9. Is the initiative designed or does it have the potential to promote equality for particular groups or good relations between groups? If so, how?

The Code of Practice includes interventions to promote equality, inclusive of processes and procedures to ensure equity and transparency in the identification of staff, determining research independence and the selection of outputs. The Code of Practice has been informed by learning from the outcomes of REF2014 and seeks to embed the University's institutional commitment to equality, diversity and inclusion as well as specific measures agreed upon through the various charter marks it has successfully attained.

In addition, procedures to ensure equality of opportunity and participation will be promoted in the following circumstances:

- Fractional contracts
- ECRs
- Disability
- Ill-health or injury
- Mental health
- Parental leave
- Career breaks and secondment outside of the sector
- Period of leave to undergo gender re-assignment.

10. Who has been consulted?

Throughout the development of the Code of Practice there has been opportunity for academic staff to feedback and comment at various stages. This included an initial consultation on the principles of equality, diversity and inclusion at Equality, Diversity and Inclusion Committee on 8th November 2018 and an initial review and approval on principles of policy and process by Research Committee on the 4th March 2019 and Senate on the 6th of March 2019. Following initial approval of the draft Code of Practice, an all staff consultation took place between 7th March and 5th April 2019.

The REP has met three times for in depth discussions about the feedback that was received throughout the process, and to make appropriate adjustments to the Code of Practice within the framework of the University's REF2021 strategic aims.

Equality, diversity and inclusion in the context of REF2021, the Code of Practice, and the Equality Impact Assessment were consulted on with the Equality, Diversity and Inclusion Committee on the 18th May 2019. An outcome of the feedback received was to submit the Code of Practice and associated Equality Impact Assessment for external review to ensure the approach to equality, diversity and inclusion was as robust as possible. Consequently, the Equality Impact Assessment will become a standing item at a number of committees, including Equality, Diversity and Inclusion Committee, until the final REF2021 submission.

The final version of the Code of Practice was agreed at Senate on the 15th May 2019 and agreed at Research Committee on 21st May 2019. Amendments to the Code of Practice were made as part of this agreement process. The Code of Practice was approved for submission to Research England by the governing body on 5th June 2019.

11. Do you need to carry out further formal/informal consultation internally or externally in order to answer questions 8 or 9? If so, who needs to be consulted? What method or mechanism would be best suited for this consultation?

- All academic staff have been able to provide feedback on the draft Code of Practice, and measures were also put in place to ensure that staff who are on parental leave, long-term sick leave or absent due to other circumstances are also given appropriate opportunities to respond
- Regular updates and opportunities for feedback will continue to be delivered through a variety of fora, including the Staff Portal, departmental committees, Senate, Research Committee and through the dedicated Roehampton REF email address (Roehamptonref2021@roehampton.ac.uk).
- The EIA is a live document and will be re-run and enhanced at various keystages of the REF planning process including:
 - Final identification of staff with significant responsibility for research
 - When determining the research independence status of staff on research-only contracts
 - During the process of selecting outputs for submission
 - As part of the staff circumstances process, where any potential negative or adverse impact for groups of people with protected characteristics will be tested.

The EIA will also become a standing agenda item at REP, REEDIP, EDIC, EDIG and Research Committee.

- As part of the ongoing staff data enhancement initiative being carried out by HR, it will become easier to identify trends amongst those staff who identify as trans, non-binary and/or intersex which will enable the University to consider how to enhance recruitment policies and provide ongoing support to ensure there is no adverse impact when considering the research active status of these staff members.
- The University is seeking to address underrepresentation of BAME academic staff and members of the BAME network will be consulted.

12. What action could be taken to mitigate any negative impacts identified or is there an opportunity to take steps to address different needs or promote equality of opportunity more effectively? If yes, please comment and complete action plan (see below).

The University’s Code of Practice is intended to ensure inclusive practices, and to promote equality of opportunity amongst all staff groups. It will require robust, evidence-based decision making in all elements of the selection process. The table below outlines specific mitigating actions for staff groups where it is perceived there may be an adverse impact.

The University is committed to ensuring the EIA remains a live document throughout the REF planning process and as such the EIA will become a standing agenda item at REP, EDIC, EDIG and Research Committee. As further data becomes available and analysed, and as mitigating actions are progressed, this will be incorporated into the EIA and be considered by EDIC, EDIG, REP, Research Committee, Senate and available on the Staff Portal.

Protected Characteristics	Mitigating action
Sex and Gender Reassignment	<p>As part of the Athena Swan action plan, the University has committed to supporting individuals who identify as trans and/or non-binary as effectively as possible. Specifically the University will:</p> <ul style="list-style-type: none"> • Update the University’s Transitioning at Work Policy with input from UR Pride to include paid time off during transition, flexible working and support when changing names • Launch a University Transgender Policy outlining explicitly our commitment to supporting trans people • Update all policies to include explicit statements against trans discrimination and transphobic bullying • Increase visibility and awareness of trans issues through integration of LGBT+ events and celebrations in the Diversity Calendar • Ensure that appropriate arrangements are in place to support trans and non-binary people • Incorporate a commitment to intersectionality in the University’s Equality, Diversity and Inclusion Policy

Protected Characteristics	Mitigating action
	HR provides guidance to line managers on supporting staff who are trans and information is available online and in staff induction.
Gender	<p>The University is committed to supporting and advancing all women’s careers, throughout their career lifecycle at the University, from recruitment through induction to promotion.</p> <p>As outlined earlier in this EIA, the University has outstanding policies and processes in place to support women on maternity leave and is committed to enhancing the support provided to women returning from maternity leave.</p> <p>The University has committed to ensuring that membership of the Research Excellence Panel comprises 50% women and is supported by REEDIP</p>
Race	<p>Although this Equality Impact Assessment demonstrates that the policies and processes that will be adopted for REF2021 appear not to have an adverse impact on BAME staff, the University recognises that BAME staff are underrepresented amongst its academic staff base more broadly. Specifically, the following actions have been implemented:</p> <ul style="list-style-type: none"> • Established a policy whereby all BAME candidates be offered an interview providing they meet the minimum criteria • The BAME staff group to co-design advertisements and recruitment strategies for senior roles • The BAME staff group to review annually appointments and provide advice on target setting • An annual review of all relationships with executive search agencies against targets set where applicable in relation to senior roles <p>The University is also in the process of applying for the Race Equality Charter bronze award.</p>
Disability	A policy has been established whereby any candidates who declare they have a disability will be offered an interview providing they meet the minimum criteria, including research staff.

Protected Characteristics	Mitigating action
	<p>The University is a Disability-Confident Employer (Level 2) and is striving to become a Disability-Confident Leader (Level 3).</p> <p>In 2018/19 the University engaged Access-able to conduct an accessibility audit of campus. The information collected as part of the audit will be made available to staff, students and the public to enable them to plan as effectively as possible how they will access campus.</p> <p>The University is currently supporting the development of a new disability staff network.</p>
Age	<p>Analysis of the 50 – 69 age bracket will take place to understand why this age-bracket is under-represented amongst research active staff. The University is seeking to ensure that no discriminatory practice is taking place and to understand how best to support staff within this age-bracket to ensure that research careers can flourish regardless of age.</p>
Religion or belief	<p>The University is proud of the diversity of religion and belief present on campus. At present, no mitigating actions are deemed necessary.</p>
Sexual orientation	<p>The University is proud of the energy and impetus that participation in the Stonewall Workplace Equality Index has generated and is fully committed to continuously enhancing work in this area.</p>
Pregnancy, maternity and adoption	<p>The University introduced 26 weeks' maternity leave at full pay which is mirrored in the shared parental and adoption leave. It has also introduced 4 weeks' paternity leave at full pay which can be taken at any time in the first 52 weeks after the birth.</p> <p>A parental leave policy for doctoral students has been established.</p> <p>Research staff who have taken a significant period of parental leave are provided with a sabbatical within 1 year of returning to work.</p>
Marriage and civil partnership	<p>N/A</p>

13. Who will be responsible for monitoring the implementation of the action plan?

- Research Excellence Panel (REP)
- Research Excellence Equality, Diversity and Inclusion Panel (REEDIP)
- Research Office
- Human Resources Department
- Vice Chancellor’s Office

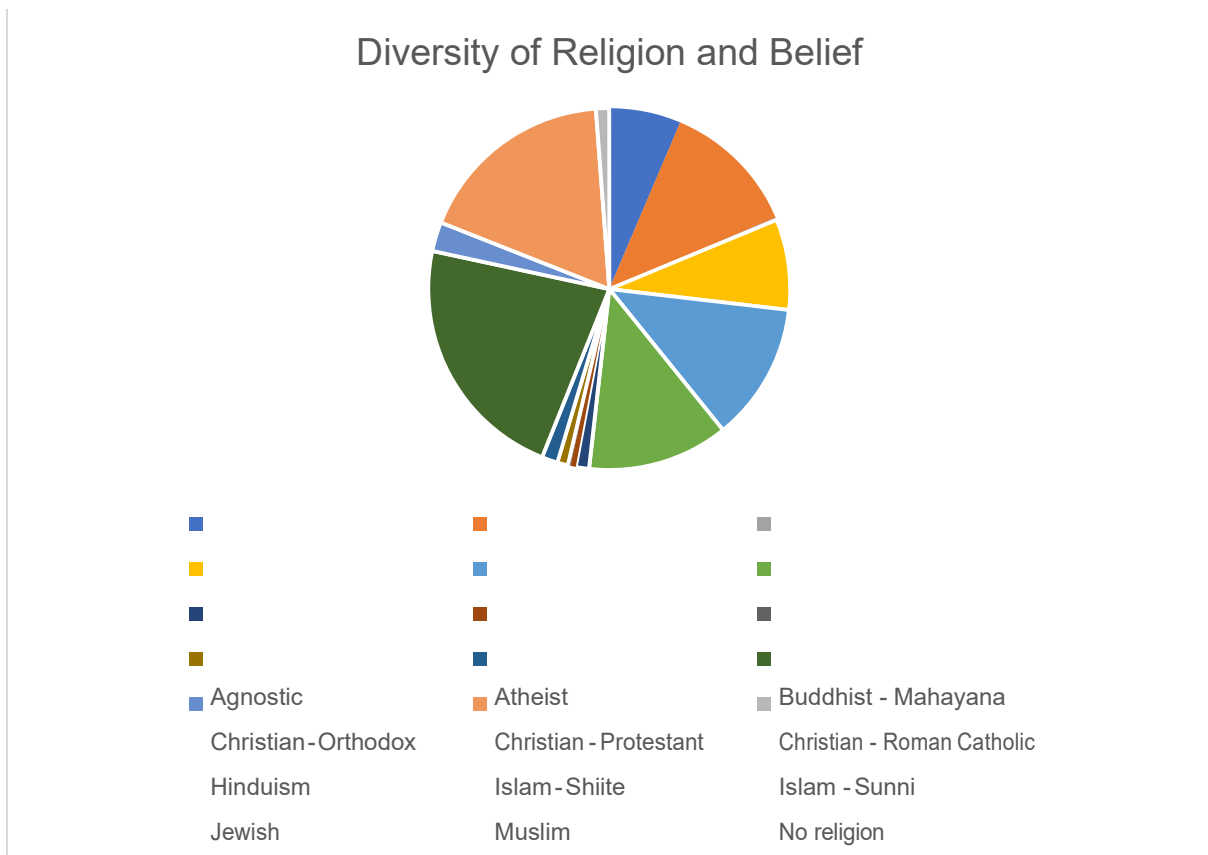
14. Please outline how you have revised the initiative (if necessary) in the light of the Equality Impact Assessment. If no change is to take place please give reasons.

The Equality Impact Assessment has informed the development of the Code of Practice. The latest version of the EIA and associated mitigating actions which will be submitted alongside the Code of Practice to the REF Team. A final version of the EIA will be submitted after November 2020, as per the REF guidance and will also be published on the Staff Portal. Process diagrams and infographics will be created to represent key processes and equality data and ensure information is as clear and accessible as possible.

15. Please indicate when you think this initiative should be reviewed next:

This initiative remains under continuous review. The Equality Impact Assessment process will be repeated in October 2019 in the context of identifying staff with significant responsibility for research, including those on research-only contracts

Item A



Other religion or belief

Prefer not to say

Sikhism

Appendix G

Individual Staff Circumstances communication and template

To: All staff who meet the definition of category A staff

From: **Anna Gough Yates**

Subject: REF2021 individual staff circumstances

Date: September 2019

As part of its commitment to equality, diversity and inclusion, the University is inviting all staff with a significant responsibility for research to declare confidentially any individual, equality-related circumstances that have restricted their ability to research productively during the assessment period (1st January 2014 and 31st December 2020) in advance of the University's submission to the REF2021 exercise.

As part of the University's commitment to supporting equality and diversity, we have put in place safe and supportive structures for staff to declare information about any equality-related circumstances that may have affected their ability to research productively during the REF2021 assessment period, when compared to staff not affected by individual circumstances.

The purpose of collecting this information is threefold:

- 1) To enable staff who have not been able to produce an output, but who still have significant responsibility for research, to request an exception for the requirement to submit at least one output to the exercise where they have:
 - circumstances that have resulted in an overall period of 46 months or more absence from research during the assessment period, due to equality-related circumstances (see below)
 - circumstances equivalent to 46 months or more absence from research due to equality-related circumstances
 - two or more qualifying periods of family-related leave
- 2) To recognise the effect that equality-related circumstances can have on an individual's ability to research productively, and to adjust expectations in terms of the production of research outputs
- 3) To establish whether there are any Units of Assessment where the proportion of declared circumstances is sufficiently high to warrant a request to the higher education funding bodies for a reduced required number of outputs to be submitted.

There are many reasons why an excellent researcher may have fewer or more outputs attributable to them in an assessment period. It is therefore not expected that all staff members would be returned with the same number of outputs in the submission.

The University's Research Excellence, Equality, Diversity and Inclusion Panel will consider all individual circumstances that are declared and will determine any reductions to the output pool.

You are now invited to disclose any circumstances by completing the enclosed confidential form ('Individual Staff Circumstances Form') providing details. If your research output has been affected by other circumstances that are not listed below, except those related to teaching and administrative duties, and you wish to declare them, please detail them on the form.

All staff wishing to declare individual circumstances should complete the attached form by end December 2019 and submit it in confidence to the Secretary of REEDIP who is a member of the HR department, Human.Resources@roehampton.ac.uk.

Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. This form is the only means by which the University will be gathering this information; we will not be consulting HR records. If you have one or more applicable equality-related circumstances which you are willing to declare, please complete and return the form

An FAQs document has also been attached to this communication. Further information on how the University of Roehampton is managing equality, diversity and inclusion in relation to REF2021, when identifying staff who are eligible for submission and selecting outputs, can be found in the Code of Practice, which is available on the Staff Portal.

Yours Sincerely

Professor Anna Gough Yates, Provost

FAQs

How will the information I declare be used?

The information declared by staff will be used in the following ways:

1. To identify which Units of Assessment may be returned with fewer than 2.5 output per FTE;
2. To identify which staff may be submitted without the required minimum of one output without penalty, where the nature of the individual's circumstances has had an exceptional effect on their research output throughout the period. This measure is intended to minimise any potential negative impact on the careers of particular groups of researchers who have not been able to produce an output in the period due to their individual circumstances;
3. To inform the University's monitoring of output selection procedures at the institutional level on the basis of summarised and anonymised information.

Which circumstances will be taken into consideration?

The University of Roehampton, in line with the REF Guidance on Submissions (https://www.ref.ac.uk/media/1092/ref_guidance_on_submissions.pdf), will take the following circumstances into consideration:

- a. Early Career Researcher (started as an independent researcher on or after 1 August 2016)
- b. Maternity, paternity or statutory adoption leave
- c. Career break (including secondment) during which academic research has not been undertaken
- d. Junior clinical academic staff who have not gained a Certificate of Completion of Training or its equivalent by 31 July 2020 [note: this applies to UoAs 1 –6]
- e. Disability (including chronic conditions): this is defined in REF 2018/03, Table 1 under 'Disability'
- f. Ill health, injury, or mental health conditions
- g. 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 made for maternity, paternity or statutory adoption leave.
- h. Other caring responsibilities (such as caring for an elderly or disabled family member)
- i. Gender reassignment

What action do I need to take?

If you meet the definition of Category A staff, you are encouraged to complete the attached form and submit it to the REEDIP Secretary no later than the end of December 2019. If further information is required about any circumstances disclosed, you will be contacted by the REEDIP Secretary or Deputy Director of HR.

Who will see the information that I provide?

Within the University, the information that you provide will be seen only by the members of the REEDIP and HR. The remit and membership of REEDIP is available in the REF 2021 Code of Practice. These individuals will observe confidentiality and information will be stored securely.

If the University decides to make a request to the funding bodies for either a reduction of outputs required by the submitting Unit of Assessment, or a removal of the minimum of one output for each individual submitted to the exercise, we will need to provide the REF team at Research England with the data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of required outputs in the submission. Please see the REF 2021 'Guidance on submissions' document (paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted.

Any information submitted to the REF team at Research England will be kept confidential to the REF team, the REF Equality and Diversity Advisory Panel, and Main Panel chairs. All these bodies are subject to confidentiality arrangements. The REF team will destroy the submitted data about individuals' circumstances on completion of the assessment phase.

All REF panel members, chairs and secretaries are bound by confidentiality requirements, and acceptance of the confidentiality requirements is a condition of their appointment to the role. No information relating to identifiable individuals' circumstances will be published by the funding bodies REF Team. All data collected, stored and processed by the UK funding bodies REF Team will be handled in accordance with the Data Protection Act 2018.

What if my circumstances change?

The University recognises that staff circumstances may change between 1 January 2014 and 31 July 2020. If your circumstances change you can download a copy of the attached form from the REF2021 page on the Staff Portal (<https://portal.roehampton.ac.uk/information/ref-2021/Pages/default.aspx>) and submit it to HR up until 31st August 2020.

Research Excellence Framework 2021

Initial Individual Staff Circumstances Disclosure Form

The University of Roehampton is committed to ensuring that decision-making processes for the Research Excellence Framework 2021 (REF) are made in a fair, transparent, consistent and inclusive manner.

As part of its commitment, the University is now inviting all staff who meet the definition of Category A staff, including those absent from the University, to declare any individual circumstances that might mean they have fewer or more outputs attributable to them during the period of REF2021. If you do wish to disclose your circumstances, you are encouraged to complete the form below.

Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. This form is the only means by which the University will be gathering this information; we will not be consulting HR records, contract start dates, etc. If you have one or more applicable equality-related circumstances which you are willing to declare, please complete and return the form.

The circumstances as laid out in section 2 are in accordance with REF 2021 requirements.

Name	
Department	
Unit of Assessment	
Email	
Telephone	
Preferred method of communication <i>(Particularly if you have leave planned over the summer)</i>	

Section 1:

Please select as appropriate:

- I have no individual circumstances that I wish to be taken into consideration for the purposes of the Research Excellence Framework 2021 (REF). (Please move straight to section 3)
- I have one or more individual, equality-related circumstances that I wish to declare. (Please continue on to section 2)

Section 2:

All staff should consider the headings in the table below and detail any circumstances which apply under the most appropriate section. Please outline any circumstances which have had an impact on your ability to productively research (and contribute outputs to your submitting Unit of Assessment from which submitted outputs will be selected) between 1 January 2014 and 31 July 2020. Please continue onto a separate sheet of paper if necessary:

Circumstance	Information required
Early career researcher (started career as an independent researcher on or after 1 August 2016)	Date you became an early career researcher
<i>Information</i>	
Career break (including secondment) during which academic research has not been undertaken	Dates and duration in months
<i>Information</i>	
Maternity leave, statutory adoption leave, or additional paternity leave lasting for four months or more (taken by partners of new mothers or co-adopters)	For each period of leave state which type of leave was taken and the dates and duration in months
<i>Information</i>	
Junior clinical academic staff who have not gained a Certificate of Completion of Training or its equivalent by 31 July 2020 (applies to UoAs 1 – 6)	
<i>Information</i>	
Disability (this is defined in REF 2018/03, Table 1 under ‘Disability’)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<i>Information</i>	
Mental health condition	Nature/name of condition, periods of absence from work and periods at work when unable to research productively. Duration in months
<i>Information</i>	

Ill health or injury	Nature/name of condition, impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<i>Information</i>	
Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare <i>in addition to</i> the period of maternity, adoption or additional paternity leave taken.	Type of leave taken and additional constraints, periods of absence from work and periods at work when unable to research productively, impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<i>Information</i>	
Other caring responsibilities (including caring for an elderly or disabled relative)	Nature of responsibility, periods of absence from work and periods at work when unable to research productively, impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<i>Information</i>	
Gender reassignment	Periods of absence from work and periods at work when unable to research productively, impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<i>Information</i>	
Other exceptional and relevant reasons, not including teaching or administrative work	Brief explanation of reason and impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<i>Information</i>	



Section 3:

Do you wish to be contacted by a member of Human Resources staff to discuss your circumstances and requirements and/or the support provided by the University of Roehampton?

Please select as appropriate:

- I would like to be contacted by a member of Human Resources staff
- I do not wish to be contacted by a member of Human Resources staff

Details of the University’s Employee Assistance Programme can be found here: <https://portal.roehampton.ac.uk/information/humanresources/Pages/default.aspx> or are available from your HR Account Manager.

Section 4:

Please confirm, by ticking the box below, that:

- I confirm that any information provided is a true and accurate description of my circumstances as of the date below.
- I recognise that the information provided will be used internally for REF purposes and will be seen by members of the REEDIP
- I realise that it may be necessary to share information externally with the REF team, who may make the information available to REF panel chairs, members and secretaries and/or the Equality and Diversity Advisory Panel. Where permission is not provided the University of Roehampton will be limited in the action it can take.

I agree

Where I have disclosed that I have a disability I would like my HR data to be amended to note that I have declared a disability – no details will be captured.

Or

I would like my HR data to note that I would prefer not to say.

Signature (or electronic signature):		Date:	
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Please return this form, in confidence, by post or email to: human.resources@roehampton.ac.uk

For use by REEDIP & HR only

Following consideration of the personal circumstances described above, the University's Research Excellence Equality, Diversity and Inclusion Panel: [delete as applicable]

- will progress the staff member's inclusion in the REF submission with the removal of a minimum of one output, or will consider a request for an overall reduction in the Unit of Assessment's output submission. [Subject to specified institutional criteria]. Rationale: *e.g. this decision is based on the tariffs for maternity leave as outlined in Code of Practice.*
- requires further information of the circumstances described as follows: *e.g. please provide information from your occupational health assessment on the effectiveness of reasonable adjustments provided.*
- does not feel that the staff member meets the criteria outlined within the REF 'Panel criteria and working methods' for submitting fewer than four research outputs. The reason(s) for this decision are: *e.g. the member of staff does not meet the definition of Early Careers Researcher as outlined in the Assessment Framework and Guidance on Submissions.*

If [insert name of staff member] wishes to appeal against the decision of REEDIP they should contact Human Resources as soon as possible following the first, second or third rounds.

Signature:	(Chair of REEDIP)	Date:	
Signature:	(REF Institutional Contact)	Date:	

Appendix H

Decision-making timeline

June 2019:	Submission of Code of Practice to Research England
July 2019:	Equality, Diversity and Inclusion training for all members of the REP, REEDIP, Heads of Department, Research Leads and Unit of Assessment Coordinators
October – November 2019:	The Equality Impact Assessment process will be repeated and reviewed in the context of identifying staff with significant responsibility for research, including those on research-only contracts
November 2019:	The REP to invite staff on research-only contracts to confirm their status as independent researchers
January – April 2019:	The Equality Impact Assessment process will be repeated and reviewed in the context of selecting outputs for submission
March 2020:	The REP to notify staff of their inclusion in the REF2021 submission and associated expectations for the submission
April – July 2020:	Appeals process in relation to the REP's decision as to the independent researcher status of staff on research-only contracts
1 st April, 2020:	The appeals process begins
11 th May, 2020:	Closing date for submission of appeals
30 th June, 2020:	The last date by which appeals will be heard
14 th July, 2020:	All appeal outcomes to have been communicated to the appellant in writing, via email
January 2021:	The REP to notify staff of the final selection of outputs
March 2021:	Final REF2021 submission