



CODE OF PRACTICE

FOR THE IDENTIFICATION

OF STAFF AND OUTPUTS

FOR THE

RESEARCH EXCELLENCE FRAMEWORK

IN 2021 (REF 2021)

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Code of Practice for the Identification of Staff for the Research Excellence Framework in 2021 (REF 2021)

Preamble

- REF 2021 refers to the system for assessing the quality of research in UK higher education institutions (HEIs) which will be completed in 2021. The REF is undertaken by the four UK higher education funding bodies: Research England, the Scottish Funding Council (SFC), the Higher Education Funding Council for Wales (HEFCW), and the Department for the Economy, Northern Ireland (DfE). The exercise will be managed by the REF team based at Research England and overseen by the REF Steering Group, consisting of representatives of the four funding bodies.
- The primary purpose of REF 2021 is to produce assessment outcomes for each submission made by institutions. These outcomes deliver the wider threefold purpose of the exercise, as follows:
 - a. The four HE funding bodies intend to use the assessment outcomes to inform the selective allocation of their grant for research to the institutions which they fund, with effect from 2022–23.
 - b. The assessment provides accountability for public investment in research and produces evidence of the benefits of this investment.
 - c. The assessment outcomes provide benchmarking information and establish reputational yardsticks, for use within the HE sector and for public information.

Part 1: Introduction

1.1 REF 2021 Strategy

The REF Code of Practice is aligned to the University's Strategic Plan (Corporate Strategy Refresh 2017/20) which affirms the commitment to developing and sustaining an inclusive and supportive culture, welcoming and retaining staff from a diverse range of backgrounds and inspiring our academic staff to achieve their full potential. The University recognises its obligation to ensure that its Code of Practice and the manner in which it participates in REF2021 are lawful.

UWS has adopted an approach to REF 2021 that represents a strategy of inclusivity with regard to REF2021. All 'eligible' staff, i.e. those with a contract of 0.2FTE or more for teaching and research or research only, are being surveyed to determine the pool of staff 'in scope for submission.

- This Code of Practice covers the identification processes associated with the REF 2021 exercise.
- This Code of Practice is consistent with the 'HR Excellence in Research Award' from the European Commission awarded to UWS in June 2016 for its work in supporting its research staff in their career development.
- This Code of Practice operates within the context of relevant legislation. (See Appendix 7 for the University's Equality and Diversity Policy).
- The University is committed to the implementation of this Code in all aspects of the REF 2021 preparations in order to ensure equitable and transparent processes are followed.

1.1.1 Inclusivity

This Code of Practice has been written in a way to be as inclusive as possible. A significant number of colleagues will be engaging with REF for the first time. Taking into account the wider context for the University which is teaching focused with high student to staff ratios, UWS has adopted an approach to REF 2021 that represents a strategy of inclusivity with regard to REF2021. This inclusive approach recognises that there are a significant number of academic staff at UWS who will not have significant responsibility for research as defined by REF as a process of investigation leading to new insights, effectively shared, but who, as well as teaching, are responsible and enabled by UWS to undertake professional and scholarly practice, consultancy, training and to lead on continuous professional development provision. All 'eligible' staff, i.e. those with a contract of 0.2FTE or more for teaching and research or research only, are being surveyed to determine the pool of staff 'in scope for submission'. UWS is also using additional criteria to determine significant responsibility for research as outlined in 2.2.1.

1.1.2 Declared circumstances and adjusted expectations

On a voluntary basis, staff, including those absent from work, are asked to complete the survey (Annex 1 with appendices 1 and 2) to evidence research independence and significant responsibility for research. At the same time colleagues are being asked to provide an initial indication as to whether they consider that individual circumstances, including Early Career Researcher status, have constrained their ability to produce research in the period from 1 January 2014. The details of individual circumstances will be considered in a confidential manner by the Individual Circumstances Group (Appendices 6 and 7). This group will then make recommendations on reductions in outputs

at the individual and unit levels, and there will be two further general calls for staff to declare individual circumstances in October and November 2019.

1.1.3 Criteria

Significant differences in discipline-specific activities and interdisciplinary activities that vary considerably, depending on the nature of work, Activity Planning and Workload Allocation may be too restrictive in determining significant responsibility for research. It has thus been agreed by Senate and the REF Strategy Group (see Appendix 2) that a range of criteria will be used to allow staff to identify as having significant responsibility for research and for being independent researchers (Annex 1 with appendices 1 and 2).

1.1.4 Staff Survey

The staff survey closes on 16 September 2019 and the results, excluding responses relating to individual circumstances, will be circulated to Unit of Assessment (UOA) Leads and Co-Leads by 19 September 2019. Comments and responses on survey outcomes from UOA Leads and Co-Leads will be considered by the Associate Vice-Principal (Research & Enterprise and the REF Manager by 10 October 2019. Following consideration of the resulting data by the REF Strategy Group (see Appendix 2) in mid-October 2019, the list of staff in scope for submission will be made available to all colleagues in early November 2019. This is scheduled in order to allow accurate information to be included in the University's response to the Survey of Submission Intentions on 6 December 2019.

1.1.5 Appeals

Following the staff survey and identification of staff in scope for submission by the REF Strategy Group, colleagues will have the right to appeal the decisions of the REF Strategy Group on the grounds of the eligibility decision, outputselection, allocation to a specific unit of assessment or individual circumstances decision (see Appendix 3).

Appeals will be considered by the Appeals Panel from November 2019 onwards and the Appeals Panel Chair will communicate the outcomes of its considerations to individual members of staff and UoA Leads and Co-Leads as appropriate.

1.1.6 Committees

Working with the delegated authority of the University Senate and its Research & Enterprise Advisory Committee (REAC), the REF Strategy Group and its Sub-Groups will oversee the University's preparations for the REF2021 submission. The remit of the REF Strategy Group and its sub-groups is detailed at Appendix 2 of this document and the schedule and arrangements for appropriate training for group members is set out at Appendix 8.

1.1.7 Communication

The Code of Practice has been communicated to all staff including those on leave using list of all academic staff provided by the University's HR services department and the Code has been on the intranet since March 2019.

The communication of the draft Code of Practice included the following steps:

1. School representatives within Code of Practice Sub-Group communicated back to Schools.
2. Code of Practice sub-group submitted the draft to REF Strategy Group.

3. Draft document available on intranet (March 2019; location:).<https://www.uws.ac.uk/media/5618/uws-code-of-practice-nov-2019.p>
4. Draft document available on UWS website (March 2019; location: <https://connect.uws.ac.uk/documents/General%20Documents/UWS%20Code%20of%20Practice%20November%202019.pdf>)
5. UWS-wide bi-monthly communication through REF Newsletter (Date: 15 August 2018 to 10 September 2019 so far).
6. Individuals on leave informed through the Line Management structure by email or in other appropriate ways (e.g. letter).

1.1.8 Staff inclusion and agreement

Staff were represented on the Code of Practice Sub-Group (see Appendix 2) including trade unions. The Code was considered and approved by REAC, REF Strategy Group, Senate. Academic Schools had the Code for consideration from 25 March to 24 May 2019.

A letter from the Principal and Vice-Chancellor confirming agreement of the Code of Practice by the above staff groups is attached as Appendix 13.

1.2 Actions taken since REF 2014: Equality and Diversity

UWS has been awarded the Athena SWAN Institutional Bronze Award in 2016.

The Athena SWAN Charter was established in 2005 by the Equality Challenge Unit to encourage and recognise commitment to advancing the careers of women in science, technology, engineering, maths and medicine (STEMM) employment in higher education and research. The University is due to renew the Institutional award in November 2019 and each School is now working towards achieving their respective awards. Through the Athena SWAN action plan, the University is mindful of gender balance, promoting family friendly and work life balance policies and ensuring staff and students are supported during career/study breaks. The University Self-Assessment Team is composed of members from different Schools, Professional Service Departments and Students at different stages in their career.

Over 50 members of UWS staff and Court attended the UWS Athena SWAN Forum on Thursday 26th April 2018 to hear, discuss, and share best practice on advancing gender equality in Higher Education. The Vice-Principal (Academic) and the Associate Vice-Principal (Research & Enterprise) are active members of the Forum.

UWS is fully committed to the UK Concordat to support the Career Development of Researchers which sets out clear standards that research staff can expect from the University. It aims to improve the employment and support for research careers in the UK and provides a framework for career development based around seven core principles.

These principles are set around six areas:

Recruitment and Selection (Principle 1)

Recognition and Value (Principle 2)

Support and Career Development (Principles 3 & 4)

Researchers Responsibilities (Principle 5)

Diversity and Equality (Principle 6)

Implementation and Review (Principle 7)

In order to support and embed the Concordat in UWS, we have established a steering group which is led by the Vice Principal (Academic). Other members include staff from People & Organisational Development, Research Services, Doctoral College, Deans for Research and Enterprise, UWS Academy (Lecturer in Research Development), Researchers, Postgraduate Researchers and the Careers & Skills Service.

UWS works to comply with the Concordat to support Research Integrity (see Appendix 10).

Since REF 2014 outcomes were made available UWS has focused its research vision to deliver transformational change through outputs that have a tangible, early and positive impact on society across the globe.

UWS has continued and strengthened support activities and further improved preparations on a School-level immediately after receiving REF 2014 results. To date, the University REF 2021 preparations include:

- (1) Completion of 1st stage REF 2014 analysis and identified major weaknesses. (i.e. lack of public engagement evidence in impact statements, PhD completions at 47% and average grant per FTE significantly below average across all UoAs).
- (2) Identification and drafting of 52 potential impact cases.
- (3) Improvement of PhD completion rate to 91% over a period of three years with significant annual increases by introducing MyPGR Platform system for continuous monitoring of progression and completion.
- (4) Launching of £1m VP Fund that has resulted in 9 interdisciplinary projects and significant investment in key areas of strength.
- (5) Collaborative process to the implementation of PURE platform by integrating it with other University systems and processes, and included outputs published since 1st January 2014 within 3 months of acceptance for outputs in scope of the REF open access policy.
- (6) Provisional allocation of all staff on PURE using REF2014 classification to one of the 16 provisional UoAs identified through a series of staff workshops.
- (7) Completion of 1st Stage mock REF audit in Schools (self-assessment and initial internal peer assessment).

While our work covers an enormous breadth of interests, our activities are broadly aligned with the three key strategic themes, which are further aligned with the UN Sustainable Development Goals:

- Health
- Society
- Sustainability

Across these themes, the majority of our activities fall into multidisciplinary and interdisciplinary collaborations across a number of research areas.

Since last REF, four major staff development sessions as well as numerous School-level support activities (including REF Action Plans, Workshops, Research Gettogethers, Reading Clubs, etc.) have taken place in the form of Masterclasses to allow staff to engage with thinking on how to understand 3*/4* quality profile for outputs and how to develop 3*/4* impact. This latter provision is aimed at addressing an aspect of the REF 2014 where the University considers that it did not perform as well as it could in the assessment of its Impact Case Studies, taking into account the applied nature of the majority of its research activity.

We fully support and are committed to our researchers' ongoing development and of delivering doctoral research opportunities across all disciplines all under the umbrella of applied, transformative and ethical research.

A key feature of UWS doctoral provision is the multidisciplinary doctoral training programme which is aligned to the Vitae Researcher Development Framework.

A cohort based approach to training and development has been developed allowing participants to undertake activities that support their PhD journey and career development. Furthermore, the University supports and allocates 10% of time for staff without a Doctoral-level degree to achieve one of the recognised doctoral qualifications.

All research students are expected to engage in the programme during which they gain a range of valuable skills in addition to the in-depth knowledge and understanding of their research topic. Skills development has a critical part to play in employability, it is well recognised that employers both within and out with academia place great importance in, and recognise the value of, developed transferable skills in prospective employees.

1.3 Principles

- Transparency:** All processes for the identification of staff for inclusion in REF 2021 have been transparent:
 - The Code in its pre-consultation draft form has been easily accessible and publicised to all academic staff across the institution, including on the University web pages, the Staff Intranet, and drawn to the attention of those absent from work. The same applies to the final approved version.
 - All staff data will be managed in line with the UWS REF 2021 Privacy Notice (see Appendix 11).
 - The Code will be actively disseminated and explained through the University committees and the Senate as well as through relevant meetings of committees and groups involved in the identification of staff for REF 2021. This will include the REF Strategy Group and its Sub-Groups which include representation from the academic schools and academic staff trade unions. A bi-monthly REF 2021 Newsletter is published on staff email system and Staff

Intranet, alerting all staff to the most recent developments and the University's stage of readiness. (See Appendix 2 for committee/group details).

- b. **Consistency:** All processes for the identification of staff and outputs for inclusion in REF 2021 will be consistent across the institution and implemented uniformly.
- The Code of Practice sets out the principles to be applied to all aspects/stages of the process at all levels within the institution where decisions will be made, including how individual staff circumstances, including part-time employment and Early Career Researcher status, will be taken into account.
- c. **Accountability:** The responsibilities of those involved in REF 2021 processes will be clearly defined, and individuals and bodies that are involved in identifying staff and outputs for REF 2021 submission will be identified by name or role. These will include the Vice-Principal and PVC Academic, the Associate Vice-Principal Research & Enterprise, Deans of Schools, the REF Strategy Group and its Sub-Groups (including their Chairs and Co-Chairs) and Unit of Assessment (UoA) Leads and Co-Leads.
- The Code identifies those that will be involved in the identification process and identifies what training those staff will be required to undertake in order to engage in the process.
 - The Code describes the operating criteria and terms of reference for individuals, committees, advisory groups and any other bodies concerned with staff identification.
- d. **Inclusivity:** The University will promote an inclusive environment.
- The process of identification covered by the Code seeks to identify all eligible staff that have significant responsibility for research. UWS has started its REF 2021 planning on the basis of a 100% minus position. The University has identified all 'eligible' staff on teaching and research and research only contracts and seeks to include in its submissions outputs from all staff that meet the criteria set out in this Code.
 - On the basis of advice from UOA Leads and Co-Leads the REF Strategy Group will make judgments on the inclusion of outputs from former members of staff. Outputs from former members of staff who were made compulsorily redundant will not be considered for inclusion.

OUTPUTS FROM FORMER MEMBERS OF STAFF PROCEDURE (in compliance with paragraphs 150 and 211-216 of the Guidance on submission):

STEP 1: Identify eligible outputs according to relevant REF guidance (paragraph 205c of the Guidance on submission).

STEP 2: GDPR/REF-compliant attempt to contact and seek further information from eligible former staff in relation to information requirements for former staff (Form REF1b).

1.4 Communication Plan

The University will maintain clear and unambiguous communications with all staff engaged in REF preparations (including those on leave of absence), as follows:

- Initially communications will be sent to all ‘eligible’ academic staff and every member of staff will be invited to indicate whether they wish to be included for consideration for the REF, taking into account the need to satisfy the criteria of significant responsibility for research (Part 2 of this document) and research independence (Part 3).
- Thereafter communications will be directed to this self-nominated group on a central basis up to the point where staff in scope for submission and any special circumstances are established.
- Once staff in scope for submission and special circumstances are established, all communications will be managed through the Unit of Assessment Panels.
- All staff who have nominated themselves for inclusion in REF 2021 will be advised by individual letter of the outcome of the internal assessment process.
- The deadline for submitting codes of practice is noon on 7th June 2019. The Equality and Diversity Advisory Panel (EDAP) will examine the codes and advise the UK funding bodies on their adherence to the guidance, prior to approval and publication. All submitted and approved codes of practice will be published before the submission deadline. The provisional publication date is December 2019.
- This Code may be subject to final amendment following review by the REF Equality and Diversity Panel.

Communication will be on the basis of the timeline shown below:

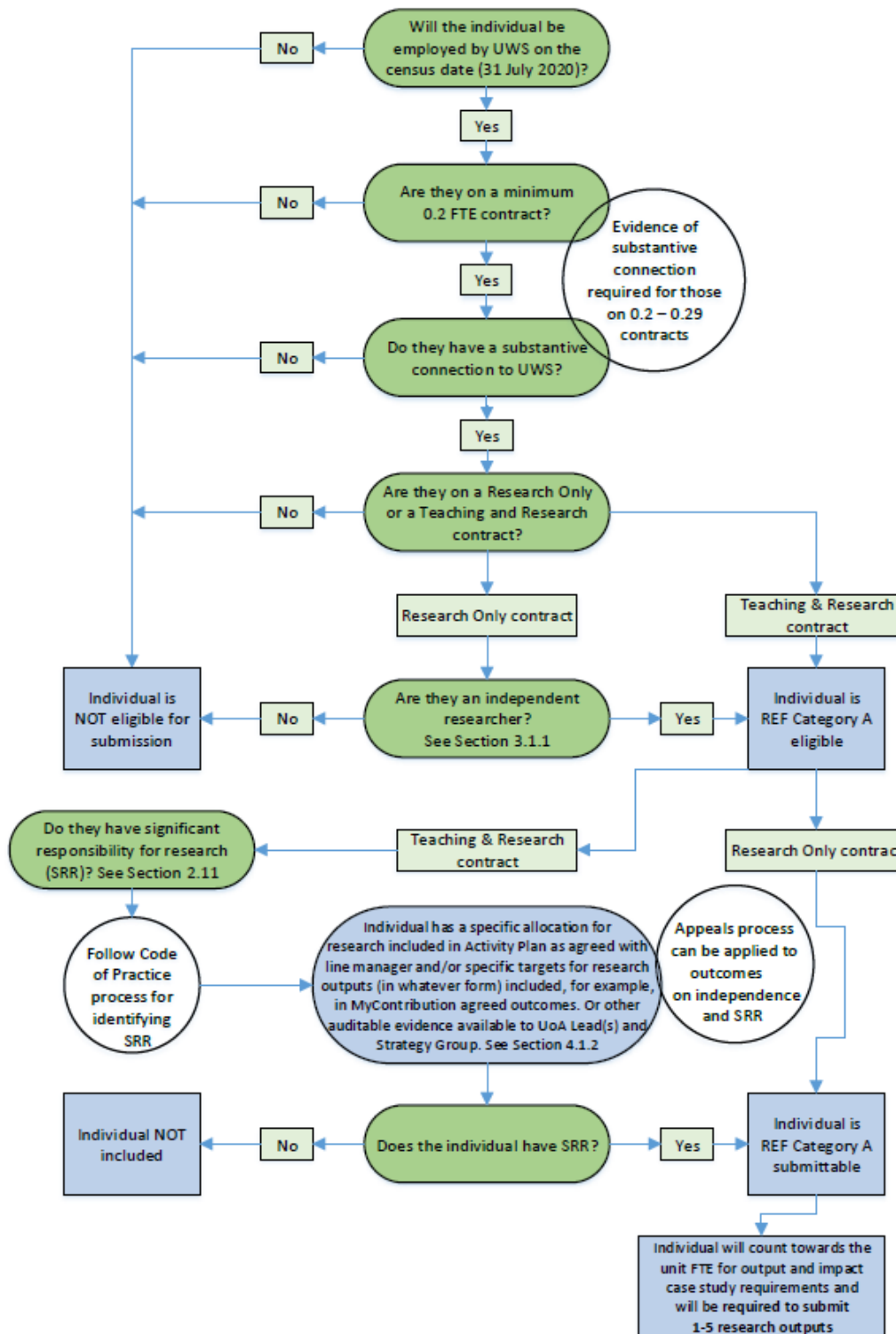
Table 1: REF Communication Plan

Timeline	UWS Activities
January 2019 – September 2020	UoA Meetings
February 2019	Draft Code of Practice to REAC for comment
21st March 2019	Senate Consultation
25th March – 24th May 2019	Consultation with Academic Schools (via School Boards, Research Forums)
28th March 2019	Draft Code of Practice posted to Staff Intranet
June 2019	Staff ‘Opt-in’ Survey released
June 2019	Planning for Mock Exercise and Equality and Diversity Training
August – November 2019	Mock Exercise
September 2019	Appeal Panel Training
September 2019	First Equality Impact Assessment
September 2019	Staff ‘Opt-in’ Survey closes

October – December 2019	Revision of UoAs, refining Impact Statements; Consideration of EIA Data, first call for self-declaration of individual circumstances.
November 2019	Appeal Panel meets.
December 2019	Call for Individual Circumstances.
January – June 2020	Second Individual Circumstances Group meeting. Submission of Individual Staff Circumstances requests (March 2020). Regular UoA Meetings to review Progress. EDI review. Regular REF 2021 Strategy Group meetings Appeals Panel scheduled as required
June – October 2020	Preparation of HESA data for academic year 19/20 to support REF submission Individual Circumstances Panel and Appeal Panel for Late Entrants
September 2020 November 2020	Further call for individual circumstances
November 2020	Second Equality Impact Assessment Final Draft of Submission prepared for Principal Sign-off
January 2021	Final call for individual circumstances
January – March 2021	Feedback on full draft submission addressed and final reviews

Part 2: Identifying staff with significant responsibility for research

Flowchart 1: Criteria for Staff Eligibility for submission to REF2021



2.1 Policies and Procedures

REF2021 Strategy Group is the key committee overseeing the development of UWS REF2021 policies and procedures consistent with the UWS REF 2021 Strategic Plan (see Section 1 above). Through the Code of Practice Sub-Group and the REF2021 Strategy Group (see Figure X), the University developed and disseminated draft policy on selection that includes criteria for staff to be identified as 'in scope for submission'. The Strategy and draft criteria have been subject to multi-stage consultation before they are finally accepted and can be included in the draft Code for all-staff consultation.

A staff survey has been developed to allow staff to opt in for consideration as 'in scope'.

The staff survey will also afford staff the voluntary opportunity to provide an initial indication that they have individual circumstances that have affected their ability to produce outputs during the period from January 2014. Those who indicate as such will be provided the opportunity to describe the relevant circumstances through the completion of a confidential form (see Appendix 7) that will only be seen by the Individual Circumstances Group.

During June 2019, People & Organisational Development, in conjunction with the Strategic Planning department, have been working to identify **all staff** (including those on leave of absence) who meet the definition of a primary employment function of 'research only' or 'teaching and research' for the purposes of the 2018/19 HESA return (codes '2' or '3' in the ACEMPFUN field).

From June to September 2019, all staff have been required to identify **up to three** of the REF 2021 Units of Assessment (UoAs) (see Appendix 1) that they believe are the closest fit in terms of their research activity and experience. **It is anticipated that staff whose work is interdisciplinary in nature will identify more than one UoA.**

By end of October 2019, the Senior Manager Global Research Excellence & Partnerships will provide the Code of Practice Sub-Group (see Appendix 2) of the UWS REF Strategy Group (also Appendix 2) with a list of 'eligible' staff by Unit of Assessment for review.

2.1.1 Policy with criteria to be used for identifying staff with significant responsibility for research

Significant responsibility for research

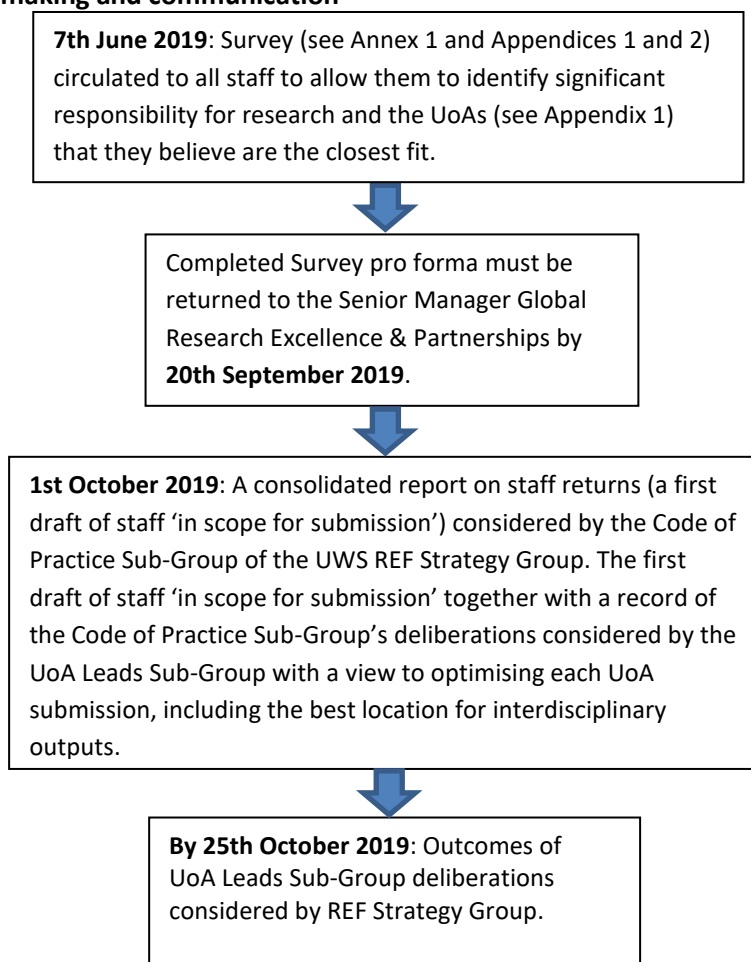
Staff with significant responsibility for research are those for whom explicit time and resources are made available to engage actively in independent research, and that is an expectation of their job role. At UWS, that includes a specific allocation for research included in the individual's Activity Plan as agreed with the appropriate line manager and/or specific targets for research outputs (in whatever form) included, for example, in MyContribution agreed outcomes. For staff in all Schools an Activity Plan allocation, as communicated in responses to the Staff Survey (Annex 1, Appendix 2), will normally be considered as significant responsibility for research. This policy calls for evidence from auditable internal systems and responses from a staff survey to be used to determine significant responsibility for research, including (Table 1):

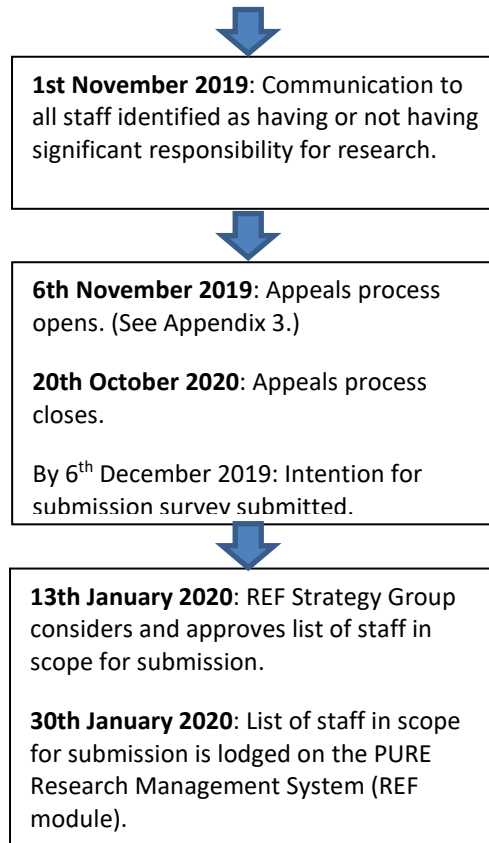
Table 1: Criteria for the identification of staff with significant responsibility for research

Staff with significant responsibility for research	Auditable evidence	Response
Contract of Employment (Teaching & Research)	iTrent	Yes/No

OR		
Contract of Employment (Independent Research Fellow)	iTrent	Yes/No
AND		
Explicit time made available (>10%[†]) [see Appendix 2]	Declaring time (Survey)	%
AND		
Explicit time made available (>10%[†])	Declaring time (Activity Plan)	%
OR(AND^{††})		
Explicit time made available (>10%[†])	Declaring time (My Contribution)	Objective(s)
AND		
Lead Supervisor - Research Doctorate (≥1)	MyPGR Platform or equivalent source of data	No
AND		
Principal Investigator (≥1 last 5 years*)	PURE	No
Members of staff publishing outputs but do not meet above criteria		
Opt-in	Declaring intention (Survey)	Yes/No
AND		
Published appropriate outputs (≥1 if UoA average ≥2.5)	PURE	No
OR		
Published appropriate outputs (≥2.5 if UoA average <2.5)	PURE	No
OR		
Published appropriate outputs (5 if UoA average <2)	PURE	No

Table 2: Decision-making and communication





2.2 Development of Process(es)

In the period between September to November 2019, the REF Strategy Group will consider the consolidated report on staff returns in the context of the UWS REF 2021 Strategy. During this period the REF Strategy Group will oversee the following:

- Based on advice from the REF 2021: UoA Leads Sub-Group (Appendix 2), the allocation of staff in scope for submission to initial Units of Assessment (UoAs) taking into account key issues such as:
 - The need to ensure that each submission normally includes a set number of items of research output equal to 2.5 times the combined FTE of Category A submitted staff included in the submission.
 - The need to ensure that all initial UoAs contain sufficient numbers of FTE Category A staff to constitute critical mass.
- Initial assessment with regards to the likelihood that UoAs can produce the required number of impact case studies based on advice from the REF 2021: Impact Sub-Group (Appendix 2).
- The inclusion of the outputs attributable to former members of staff (former staff). Outputs attributable to these staff must be produced or authored solely, or co-produced or co-authored, by a former staff member who was employed by UWS according the Category A eligible definition when the output was first made publicly available, based on advice from the REF 2021 Guidance on Submissions, paragraph 205c. UoA Leads Sub-Group (Appendix 2) is tasked to consider the inclusion of any such outputs.

- Initial assessment of the ability for UoAs to develop a coherent narrative that links outputs, impact case studies and environment statements based on advice from the REF 2021: Environment Sub-Group (Appendix 2).
- The development of processes to allow the confidential scrutiny of output reduction requests relating to individual staff circumstances to be overseen by the Individual Circumstances Group (also in Appendix 6).

2.2.1 Process for disclosure and review of individual circumstances

The University strongly agrees with the funding bodies' view that individual staff are best placed to consider whether circumstances have affected their productivity over the REF assessment period, and that they should not feel under any pressure to declare their circumstances where they do not wish to do so. Staff who choose not to disclose circumstances through the confidential process outlined below will be treated the same as staff without individual circumstances.

To ensure that REF processes are fair, we are inviting staff to submit data on a voluntary basis that will identify individual circumstances. From the point of submission of declaration of staff circumstances forms to the Chair of the Individual Circumstances Group, the University has put in place a safe and supportive process to enable staff to declare voluntarily their individual circumstances and to recognise the effect of those circumstances on their ability to contribute to the output pool at the same rate as other staff. To enable individuals to disclose circumstances in confidence, the process will be administered centrally, ensuring that decisions are consistent, transparent and robust, and taken by specifically-trained staff with relevant knowledge, expertise and awareness of equality legislation.

The data may be used to identify submitting units that may be returned with fewer than 2.5 outputs per FTE.

In determining the number of outputs staff are required to submit, the institution will observe the definitions of individual staff circumstances provided in the published REF guidance.

Further, schools and units must not put in place any separate policies, data collection processes, or in any other way pressure staff into declaring circumstances. If a staff member feels that they have been put under undue pressure to disclose a circumstance, then they should discuss this confidentially with their School HR Business Partner in the first instance.

2.2.2 Units of Assessment

Following consultation with staff groups including REAC, Senate and School Boards, the University will seek to optimise the number of staff returned, within the target Units of Assessment listed below:

- **Unit 3** Allied Health Professions, Dentistry, Nursing and Pharmacy
- **Unit 7** Earth Systems and Environmental Sciences
- **Unit 9** Physics
- **Unit 11** Computer Science and Informatics
- **Unit 12** Engineering
- **Unit 17** Business and Management Studies
- **Unit 20** Social Work and Social Policy

- **Unit 23** Education
- **Unit 24** Sport & Exercise Sciences, Leisure & Tourism
- **Unit 34** Communication, Cultural and Media Studies, Library and Information Management

2.2.3 Process Communication Plan

The Communication Plan set out in Section 1.4 will apply.

2.3 Staff Committees and Training

2.3.1 Committee Structure

The designated staff and committees/panels included in Appendix 2 will be responsible for identifying staff with significant responsibility for research taking into account the criteria set out in Parts 2 and 3 of this Code. As detailed in Appendix 2 the REF Strategy Group and its Sub-Groups were formed under the leadership of the Vice-Principal (Academic) and includes nominated representation from all academic Schools and relevant University Departments (see Figure 2.1).

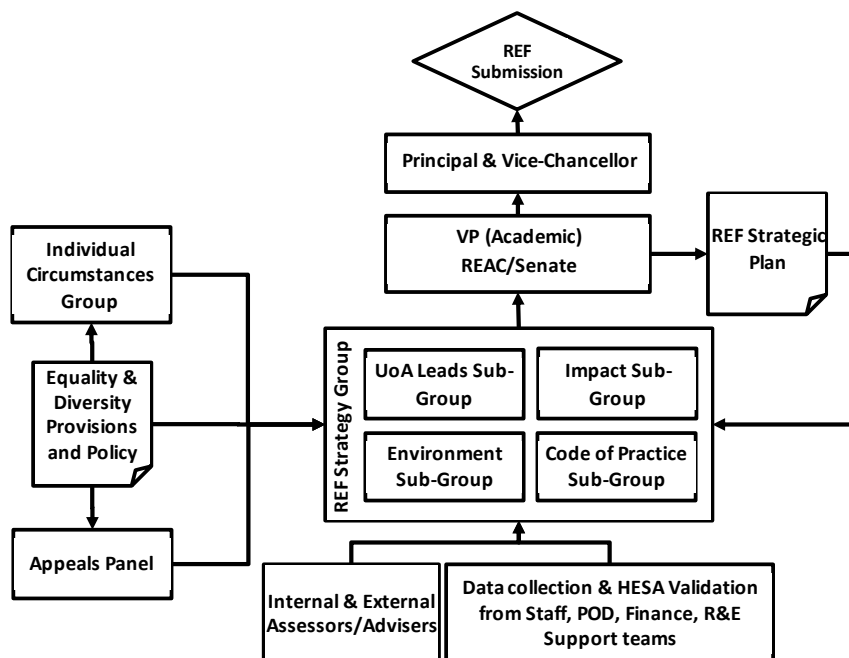


Figure 2.1: REF governance and groups with a designated REF responsibility

Details for each committee are provided in Appendix 2.

2.3.2 Training

All staff involved in the REF 2021 will receive training in Equality and Diversity within the following broader areas:

1. REF Equality and Diversity training [Criteria: knowledge and understanding of Equality & Diversity law as applied to REF including University, committee and individual responsibilities, compliance with legislation and avoidance of discrimination] and training on recognising and mitigating unconscious bias (see Appendix 8);
2. Issues in relation to the use of metrics [Criteria: FFRRM responsible use of metrics advice].

3. Consideration of outputs for REF2021 [Criteria: knowledge and understanding of compliance with legislation and avoidance of discrimination in outputs selection process];
4. Developing impact [Criteria: knowledge and understanding of compliance with legislation and avoidance of discrimination in impact development, ownership and selection process];
5. Research environment [Criteria: knowledge and understanding of compliance with legislation and avoidance of discrimination in a collaborative, interdisciplinary and collegiate research environment]

The above training sessions will be led by the department of People and Organisation Development and Research Services and will take place twice in the period leading up to the submission date to ensure that the processes for the identification of staff and outputs are compliant with UWS policy and the relevant legislation. “REF Equality and Diversity training” training will be mandatory for members of all committees and groups within the University REF governance structure, and an outline schedule is attached at Appendix 8. A log of training will be recorded and retained. The titles of staff who will be engaged in the REF 2021 process are attached at Appendix 9 and this may be supplemented over the REF period. Initial training on unconscious bias has already been provided to senior staff of the University as part of an overall plan for equality and diversity training.

2.4 Appeals

Appeals process will be open from November 2019 until January 2021 and managed by the Appeals Panel to enable staff to petition decisions relating to: (1) determination of significant responsibility for research, (2) independent researcher status, (3) decisions relating to selection of research outputs and (4) decisions relating to staff circumstances applications.

The programme of communications ensures that staff are made aware of the opportunity to disclose individual circumstances and to appeal decisions that they think have been made in error or where prejudice is perceived.

The appeals process is communicated to staff as part of this Code of Practice. It will also be communicated as part of the REF 2021 communications via the REF newsletter, REF pages on the website and within schools via emails from central REF team, UOA leads and Deans.

Chaired by the Head of the Quality Enhancement Support Team, the Appeal Panel will be responsible for the adjudication of all appeals submitted by staff. The Appeal Panel will have no locus in defining where the quality threshold is set within Units of Assessment returned by UWS. The membership and remit of the Group is listed at Appendix 2.

2.4 1 Appeals Procedure

Appeals will be considered by the Appeals Panel from November 2019 and will communicate the outcomes of its considerations to individual members of staff and UoA Leads and Co-Leads according to the following procedure (minimum time for appeal is 30 days):

6th November 2019: Appeals process opens. (See Appendix 3.)

STEP 1: Staff complete and submit the appeal form electronically to REFappeals@uws.ac.uk (automatic receipt sent back to staff confirming submission).

STEP 2: Appeals panel review submitted appeals.

STEP 3: Outcomes communicated to staff.

2.5 Equality Impact Assessment

As part of the Equality Impact Assessment (EIA) processes for REF2021 due account will be taken to the conclusions of the EIA following the UWS 2014 REF submission which showed:

- The percentage of women submitted had risen from 22% to 28.7% compared to 22% in RAE 2008. However this compared unfavourably with a 44.4% female academic population
- 100% of declared disabled staff who wished to be included in the REF were included
- BME staff performed better in the REF submission than their representation in the general population would suggest.
- The high level of non-disclosure of disability requires attention. This was reflected in a low number of submissions with reductions for complex circumstances.
- Early Career Researchers made up 22.9% of the submission. As could be expected 50% of ECR submitted were under 34 years of age.
- BME staff made up a significant proportion of ECRs (28.6%)
- Women accounted for only 21.4% of ECR submissions, illustrating that this particular category of reduction in output did not benefit women researchers.
- Two members of staff appealed against REF decisions; neither of these were related to protected characteristics or individual circumstances.

When the draft submission is drawn up (Autumn 2020) an equality profile, in terms of available data on age, disability, ethnicity, gender reassignment, marriage or civil partnership, pregnancy or maternity, religion or belief, sex and sexual orientation will be drawn up listing those who are eligible for submission and indicating those who are to be submitted and those who are not. This profile will be compiled by People & Organisational Development in line with data protection legislation to ensure that no individual can be identified.

The profile will be examined for imbalances, taking advice from the University Equality and Diversity Coordinator. If imbalances are found then UWS will consider how to address these in future through its on-going equality and diversity initiatives. An equality impact assessment (EIA) will be carried out on the policy and procedures for identifying staff for REF 2021 outlined in this Code. This will be undertaken under the auspices of the REF 2021 Strategy Group and will include a thorough and systematic analysis to determine whether the staff identification policy for the REF 2021 may have a differential impact on particular protected groups. The EIA will also review the outcome of consideration of requests on grounds of individual staff circumstances.

An EIA of the 2021 REF Mock Exercise, and of the draft Code itself, will be carried out in the aftermath of the Exercise. The EIA will be reviewed by the REF 2021 Strategy Group at key stages of the identification process, up to and including the final submission process, to

ensure that any necessary changes to prevent discrimination or promote equality are taken prior to the submission deadline.

The EIA will be undertaken by a designated group reporting to the REF 2021 Strategy Group and will be informed by an analysis of data on staff who are eligible for identification in respect of all the protected characteristics for which data is available. The analysis will cover all eligible staff and will, where feasible, involve consultation with eligible staff from protected groups.

The final version of the REF EIA, including the outcomes of any actions taken to prevent discrimination or advance equality, will be published on the web after the submission has been made.

An initial EIA on the draft Code of Practice was undertaken by the University's Equality, Diversity and Inclusivity Committee on 21 May 2019. The outcome of this scrutiny is attached at Appendix 12.

Part 3: Determining research independence

3.1.1 Criteria

Using the survey method set out at Section 2 above, staff will be asked to indicate if, in the context of REF2021 Guidance on Submissions, they can be identified as independent researchers. The criteria are:

- leading or acting as principal investigator or equivalent on an externally funded research project.
- holding an independently won, competitively awarded fellowship where research independence is a requirement.
- acting as a co-investigator on an externally funded research project.
- leading a research group or a substantial work package.
- having significant input into the design, conduct and interpretation of a research project.
- eligibility to apply for research funding as the lead or co-applicant.
- access to research leave or sabbaticals.
- membership of research groups, centres, institutes or other research groupings within the University.
- acting as Director of Studies/Lead Supervisor for doctoral student(s).

3.1.2 Decision-making and communication

The decision-making and communication procedure set out at Section 2 above will also be used to determine research independence simultaneously with significant responsibility for research.

3.2 Staff, Committees and Training

The designated staff and committees that will consider data on determining research independence are the same as those at 2.3 above (Appendix 2). Training for these colleagues will take place simultaneously with training on research independence.

3.3 Appeals

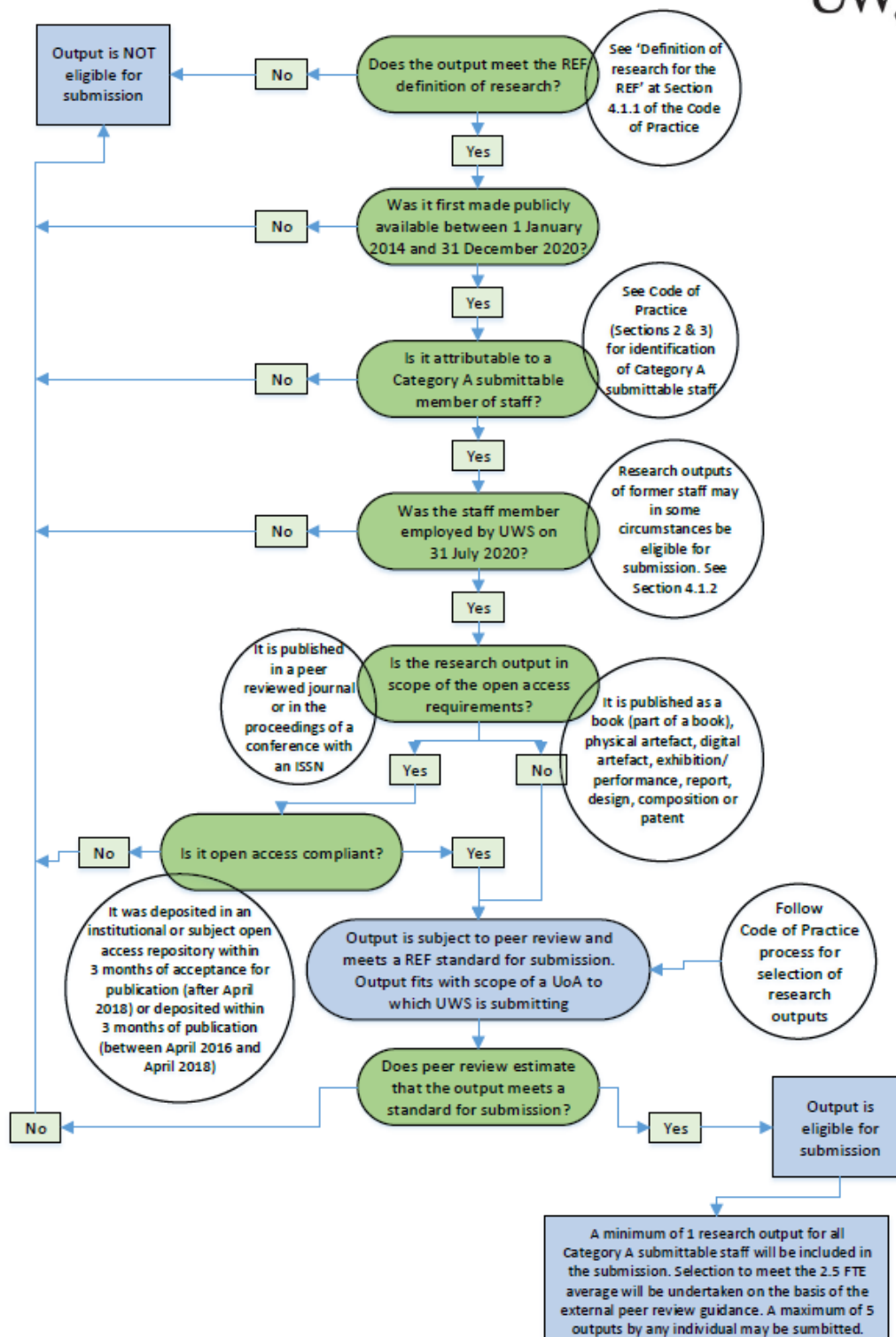
The Appeals process set out at 2.4 above (Appendix 2) will also relate to appeals on decisions relating to research independence.

3.4 Equality Impact Assessment

The Equality Impact Assessment process set out at 2.5 above will also apply to the process of determining research independence.

Part 4: Selection of Outputs

Flowchart 2: Criteria for Research Output eligibility for submission to REF2021



4.1.1 Staff Survey

As part of the staff survey process at Section 2 above colleagues will be asked to indicate if they have a minimum of one and a maximum of five research outputs first brought into the public domain during the publication period 1st January 2014 to 31st December 2020.* Appendix 4 provides a list of the outputs that would normally be considered as 'in scope for submission' for REF 2021.

However, all outputs must meet the REF definition of research: *'a process of investigation leading to new insights, effectively shared. It includes work of direct relevance to the needs of commerce, industry, culture, society, and to the public and voluntary sectors; scholarship; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction.'* In addition all outputs in scope must be compliant with the REF Open Access Policy (see Appendix 5).

* In all UOAs, an individual may be returned without the required minimum of one output without penalty in the assessment, where the nature of the individual's circumstances has had an exceptional effect on their ability to work productively throughout the period, so that the staff member has not been able to produce the required minimum of one output.

4.1.2 UoA Leads Sub-Group Responsibilities

Through the Research & Enterprise Advisory Committee (REAC) and Senate (two key representation committees of the University) Schools were asked to nominate UoA Leads and Co-Leads. UoA leadership is devolved to academic Schools with central oversight as determined by the Code of Practice.

Subsequent to the staff survey, UoA Leads will be responsible for recommending to the REF Strategy Group (on a rolling basis up to the Census date of 31st July 2020) the outputs that should be considered for submission in their UoA. For clearly recorded and auditable reasons and peer review processes, the UoA Leads Sub-Group may recommend the inclusion in submissions of outputs from researchers who meet all the criteria for significant responsibility for research and research independence but who have not returned a completed survey by the deadline date. Alternatively and for clearly recorded and auditable reasons and peer review processes, the UoA Leads Sub-Group may recommend the exclusion from a submission of outputs by colleagues who meet the criteria for significant responsibility for research and research independence but where there is no strategic fit with Unit of assessment descriptors and boundaries. Any recommendations made by UoA Leads on the inclusion or exclusion of outputs and staff, beyond or in parallel with the 'opt in' staff survey process, must be supported by recorded and auditable evidence, including documentary written evidence from Deans and other senior staff, that can support the identification of colleagues as having significant responsibility for research and being independent researchers.

The UoA Leads Sub-Group will also have responsibility for recommending how former colleagues could be contacted to determine whether either or both of UWS and their new employers would be returning outputs first brought into the public domain while employed at UWS.

4.1.3 Interdisciplinary Research

In the period up to the point in Autumn 2019, when UWS must complete the REF survey of its submission intentions and, on a rolling basis, up to the submission deadline of 31st March 2021, the UoA Leads Sub-Group will oversee the identification of interdisciplinary and/or multidisciplinary outputs to be flagged as such in REF2 within the appropriate submission(s). For the purposes of REF, interdisciplinary research is understood to achieve outcomes (including new approaches) that could not be achieved within the framework of a single discipline. Interdisciplinary research features significant interaction between two or more disciplines and/or moves beyond established disciplinary foundations in applying or integrating research approaches from other disciplines.

4.2 Final Submission

Working with recommendations from the UoA Leads Sub-Group, the REF Strategy Group will have final responsibility for recommending to the Principal and Vice-Chancellor the contents of the UWS REF 2021 submission.

4.3 Staff, Committees and Training

The designated staff and committees that will consider data on the selection of outputs are the same as those at 2.3 above (Appendix 2). Training for these colleagues will take place simultaneously with training on significant responsibility for research and research independence.

4.4 Staff Circumstances

In tandem with the survey process set out at Section 2 and to prevent undue pressure on staff, all eligible staff will be asked to complete and return a voluntary Individual Circumstances Disclosure Form. See also Appendices 6 & 7.

- Procedures for taking into account staff whose circumstances have affected their ability to research productively throughout the period in relation to the unit's total output requirement are set out in section 4.4.1 of this Code with additional information in Appendices 6 & 7.
- Procedures for taking into account the effect of circumstances that have had an exceptional effect on the ability of an individual staff member to research productively throughout the period so that they do not have the required minimum of one output are set out in 4.4.1 of this Code with additional information in Appendices 6 & 7.
- Appendices 6 & 7 make clear that the procedure for staff to disclose circumstances is conducted in a confidential manner.

4.4.1 The individual staff circumstances procedure

- 1 **Communication:** Through emails and newsletters sent on behalf of the Chair of the REF Strategy Group, all potential eligible staff detail will receive communications detailing the individual circumstances, process for disclosure, and relevant timescales. It is very clear that staff are not required to provide this information where they do not wish to do so. Additional reminders by email including the Individual Circumstances disclosure form will be sent to staff who indicate on the REF staff survey that they may have individual circumstances.
- 2 **Self-disclosure:** Using the online form available on the intranet and distributed in email communications, staff who wish to disclose circumstances can voluntarily and in confidence

disclose any equality-related circumstances that they feel may have constrained their ability to produce outputs or work productively during the assessment period. Staff should submit the Individual Circumstances Disclosure Form before one of the deadlines of 31 May 2019, 15 November 2019 and 13 January 2020 and 1 September 2020. A final call will be made before 15 January 2021 for staff joining the institution since March 2020. Staff can seek support in completing the form from the Head of Research or their HR Business Partner. To ensure that processes are applied equally to all applicable circumstances, the University will only consider circumstances that have been voluntarily disclosed by the staff concerned via this submission of the individual circumstances disclosure form. It will not take into consideration any other data, whether held centrally or locally, or any data provided by units on the behalf of researchers.

3 **Review:** Within the institution, the information that staff provides will only be seen by the University's REF Individual Circumstances Group, unless the member of staff advises on the form that they give permission for their line manager to be involved. Members of the Individual Circumstances Group will observe confidentiality and information will be stored securely in P&OD and in line with Data Protection rules. The membership and remit of this panel is described in an Appendix 6 of this Code of Practice. If further information is required about any circumstances disclosed, the staff member will be contacted by a representative from the University's REF Individual Circumstances Group.

4 **Outcome:**

- a) All applications will be considered by the REF Individual Circumstances Group and staff will be informed of the outcome using the reply form attached to the individual circumstances disclosure form.
- b) Removing the "minimum of one": the Head of Research will inform the Dean and relevant UoA management team in each case where a request to remove the "minimum of one output" requirement has been approved, leaving a corresponding reduction that must be reflected in the output selection process. The Head of Research will also submit the request to the funding bodies in March 2020.
- c) Unit reduction: A unit may, without penalty, request a reduction in the total number of outputs required for submission due to the cumulative effect of equality-related circumstances on their overall output pool. However, with the flexibility offered by the ability to allocate between 1-5 outputs per submitted staff member, and the reduction in output requirement since the previous exercise, the funding bodies do not expect units to routinely need to request reductions. If the UoA management team agrees that a unit reduction is warranted a case must be made to the REF Strategy group before February 2020 accordance with this code of practice for review and submission to the funding bodies in March 2020.
- d) Use of Data: Individual circumstance information will be used only for the respective purposes of (a) determining whether the circumstances are eligible and the scale of the applicable reduction, (b) ensuring that units have realistic expectations of a staff member's contribution to the overall output pool, (c) considering whether it is appropriate to seek a unit reduction, and (d) seeking to remove the 'minimum of one' requirement

UOA Leads and Co-Leads will know where the 'minimum of one' requirement has been removed on the basis of individual circumstances but will not have access to further information about the circumstances.

Voluntarily disclosed equality-related Information provided on the individual circumstances disclosure form may be shared externally for the purposes of evidencing any reduction in the number of research outputs. For circumstances with a clearly defined reduction in outputs, information will be seen by the relevant REF sub-panel, the REF panel secretariat and the UK funding bodies' REF team. This will be information about early career researcher status, part-time working, career breaks or secondments, and periods of maternity, additional paternity or adoption leave taken.

For more complex circumstances, information will be seen only by the REF Equality and Diversity Advisory Panel, the REF Main Panel Chairs and the UK funding bodies' REF team. This will be information to explain the impact on your research of circumstances such as disability, ill health, injury, mental health conditions, gender reassignment, caring responsibilities or constraints relating to pregnancy, maternity, breastfeeding, adoption and paternity (in addition to the period of leave taken). This information will not be seen by the REF sub-panel.

4.5 Equality Impact Assessment

The Equality Impact Assessment process set out at 2.5 above will also apply to the process of the selection of outputs.

Appendices

1. Unit of Assessment Structure for REF 2021
2. REF Strategy Group and Sub-Groups
3. Appeal Form
4. Output Categories for REF 2021
5. REF 2021 Open Access Policy
6. Membership and Remit of Individual Circumstances Group
7. Individual Circumstances Group – Process Documents
8. Training Schedule
9. List of Staff to be trained in Equality and Diversity
10. University Ethics Committee Membership and Terms of Reference
11. UWS REF 2021 Privacy Notice
12. Equality Impact Assessment – UWS REF2021 Code of Practice

Annex 1: Criteria for Identifying Staff with Significant Responsibility for Research

- Appendix 1: REF 2021 Guidance excerpt on Staff with significant responsibility for research
- Appendix 2: Questions for staff survey

Appendix 1: Unit of Assessment Structure for REF 2021

Main panel A	Unit of assessment 1 Clinical Medicine 2 Public Health, Health Services and Primary Care 3 Allied Health Professions, Dentistry, Nursing and Pharmacy 4 Psychology, Psychiatry and Neuroscience 5 Biological Sciences 6 Agriculture, Veterinary and Food Science
Main panel B	Unit of assessment 7 Earth Systems and Environmental Sciences 8 Chemistry 9 Physics 10 Mathematical Sciences 11 Computer Science and Informatics 12 Engineering
Main panel C	Unit of assessment 13 Architecture, Built Environment and Planning 14 Geography and Environmental Studies 15 Archaeology 16 Economics and Econometrics 17 Business and Management Studies 18 Law 19 Politics and International Studies 20 Social Work and Social Policy 21 Sociology 22 Anthropology and Development Studies 23 Education 24 Sport and Exercise Sciences, Leisure and Tourism
Main panel D	Unit of assessment 25 Area Studies 26 Modern Languages and Linguistics 27 English Language and Literature 28 History 29 Classics 30 Philosophy 31 Theology and Religious Studies 32 Art and Design: History, Practice and Theory 33 Music, Drama, Dance, Performing Arts, Film and Screen Studies 34 Communication, Cultural and Media Studies, Library and Information Management

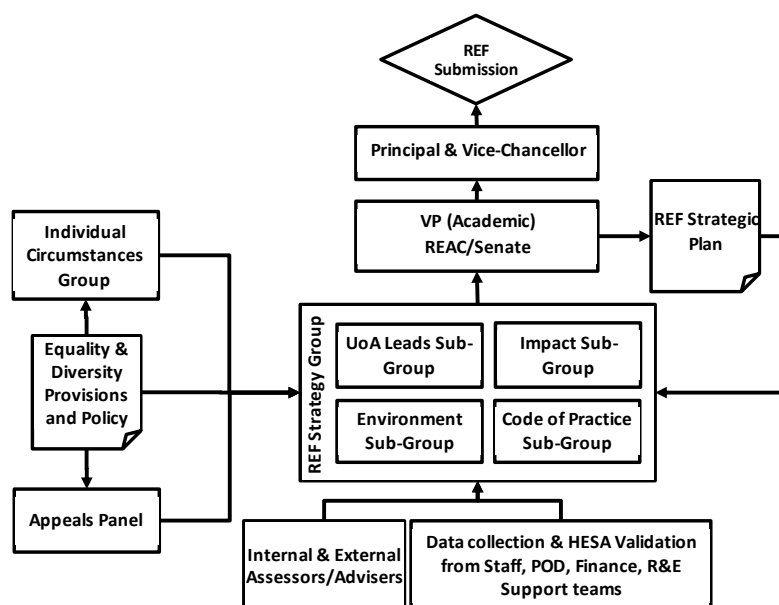
Appendix 2: REF Strategy Group and Sub-Groups

REF 2021 Governance

All institutional arrangements are coordinated through the REF 2021 Strategy Group, guided by the UWS REF 2021 Strategic Plan, which has been approved by REAC. The REF 2021 Strategic Plan will be informed by the UK REF Guidelines as and when they become publicly available (draft for consultation available in Autumn 2018).

REF Strategy Group

The REF 2021 Strategy Group has been established in Summer 2017 jointly with academic Schools and its membership has so far included Vice-Principal Research, Innovation & Engagement (RIE) - , , Dean or their nominated representatives from Academic Schools, Head of Enterprise (representing Enterprise & Employer Engagement team), Head of Research (representing Research Services team), Library representative, Equality & Organisational Development Consultant (representing People & Organisational Development (POD) department). From 1st July 2018, REF Strategy Group will also include Senior Manager Global Research Excellence and Partnerships, and representatives from Marketing, ITDS and Trade Unions.



Formation: The REF Strategy Group was formed by the Research & Enterprise Advisory Committee (REAC) reporting to Senate.

Membership: Vice-Principal (RIE) (Chair); Head of Research; Deans of Schools; University Librarian, Equality & Organisational Development Consultant, P&OD; Senior REF Partner; REF & Enterprise Funding Coordinator; Trade Unions representatives; ITDS Depute Director and Head of Operations; Marketing & Student Recruitment Manager ; Head of Enterprise & Employability, Chair Impact Sup Group and Head of Strategic Planning

*NB: Due to organisational changes, where positions no longer exist within UWS structures the Chair has approved a replacement nominee.

Meetings (to date): Quarterly: 23 May 2018; 27 August 2018; 13 December 2018; 29 January 2019; October 2019 (tbc), and as required thereafter with latest meeting at time of updating, 22 September 2020 and next meeting 17 November 2020.

Remit:

1. Based on advice from the REF 2021: UoA Leads Sub-Group (Appendix 2), the allocation of staff in scope for submission to initial Units of Assessment (UoAs) taking into account key issues such as:
 - a. The need to ensure that each submission normally includes a set number of items of research output equal to 2.5 times the combined FTE of Category A submitted staff included in the submission.
 - b. The need to ensure that all initial UoAs contain sufficient numbers of FTE Category A staff to constitute critical mass.
2. Initial assessment with regards to the likelihood that UoAs can produce the required number of impact case studies based on advice from the REF 2021: Impact Sub-Group .
3. The inclusion of the outputs attributable to a former member of staff (former staff).

1. Impact Sub-Group: Chaired by Professor Heather Tarbert and co-chaired by Johnny Mone, the sub-group is tasked to monitor impact development across all academic Schools including: (1) quarterly calls to gather information on potential impact cases, (2) report on the status of impact cases (red – undeveloped, amber – developed with gaps and green – fully developed) and (3) advise teams behind impact cases on how to address identified gaps. The sub-group will include a representative from Corporate Marketing who are conducting impact case content analysis exercise using a range of data analytics tools. The number of Impact Case Studies per FTE member of submitted staff is:

FTE of Category A submitted staff	Number of case studies
Up to 19.99	2
20 to 34.99	3
35 to 49.99	4
50 to 64.99	5
65 to 79.99	6
80 to 94.99	7
95 to 109.99	8
110 to 159.99	9
160 or more	10, plus one further case study per additional 50 FTE

Formation: The Impact Sub-Group was formed by the REF Strategy Group

Membership: Head of Business Innovation and Head of Division of Accounting, Finance & Law (Co-Chairs); Leads and Co-Leads for the following Units of Assessment (Senior Academics appointed through a consultation with Academic Schools):

Unit 3	Allied Health Professions, Dentistry, Nursing and Pharmacy
Unit 7	Earth Systems and Environmental Sciences
Unit 9	Physics
Unit 11	Computer Science and Informatics
Unit 12	Engineering
Unit 17	Business and Management Studies
Unit 20	Social Work and Social Policy
Unit 23	Education
Unit 24	Sport & Exercise Sciences, Leisure & Tourism
Unit 34	Communication, Cultural and Media Studies, Library and Information Management

Meetings (to date): 23 October 2018, 22 January 2019, 15 April 2019, October 2019 (tbc); (quarterly meetings) and as required thereafter with latest meeting at time of updating, 22 September 2020.

Remit: To monitor impact development across all academic Schools including: (1) quarterly calls to gather information on potential impact cases, (2) report on the status of impact cases (red – undeveloped, amber – developed with gaps and green – fully developed) and (3) advise teams behind impact cases on how to address identified gaps.

2. UoA Leads Sub-Group: Chaired by Professor Milan Radosavljevic, Vice-Principal (RIE), the sub-group is tasked to identify potential Units of Assessment (UoA) and UoA Leads and in an integrated manner manage UoA readiness in terms of (1) Outputs, (2) Impact and (3) Environment, and therefore includes a member from the Impact Sub-Group and Environment Sub-Group.

Formation: The UoA Leads Sub-Group was formed by the REF Strategy Group

Membership: Vice-Principal (RIE) (Chair); Head of Research; Senior REF Partner; REF & Enterprise Funding Coordinator; Leads and Co-Leads for the following Units of Assessment (Senior Academics appointed through a consultation with Academic Schools):

Unit 3	Allied Health Professions, Dentistry, Nursing and Pharmacy
Unit 7	Earth Systems and Environmental Sciences
Unit 9	Physics
Unit 11	Computer Science and Informatics
Unit 12	Engineering
Unit 17	Business and Management Studies
Unit 20	Social Work and Social Policy
Unit 23	Education
Unit 24	Sport & Exercise Sciences, Leisure & Tourism
Unit 34	Communication, Cultural and Media Studies, Library and Information Management

Meetings (to date): 21 February 2019; 17 April 2019, October 2019 (tbc); (bi-monthly meetings across UoA and regular one-to-one meetings with individual UoA Leads/Co-Leads and Chair); First set of individual meetings between Chair and UoA Leads and Co-Leads: 23 August 2019 to 3

September 2019 and as required thereafter with latest meeting at time of updating, 22 September 2020.

Remit:

1. designing and managing peer-review process within UoA according to an agreed approach developed by UoA Leads Sub-Group;
2. collating information from peer reviews of outputs which are potentially relevant to their designated UoA;
3. requesting further details from all staff eligible for submission within the UoA about research outputs (e.g. 100/300 word statement) and other research related information – including research impact – relevant for inclusion in the REF submission;
4. discussing with other UoA Leads and recommending to the REF Strategy Group the most appropriate UoA for individual researchers and their outputs;
5. discussing the outcomes from peer review and other discussions with individual researchers and submitting resulting recommendations to the REF Strategy Group;
6. ensuring that any issues relating to potential shortfalls in terms of outputs, environment data and impact case studies are drawn to the attention of the Senior Manager Global Research Excellence & Partnerships as soon as possible;
7. in consultation with other relevant staff in the UoA, preparing and submitting to the REF Strategy Group, the proposed full documentation (drafts and final copy) to be considered by the relevant REF 2021 UoA Sub-Panel by agreed deadlines;
8. revising drafts of the proposed full documentation on the basis of feedback, to produce a final set of papers by no later than 30th November 2020;
9. assisting with the provision of additional information that might be requested by the REF Strategy Group, so that informed decisions can be made about the identification of eligible staff and their research activity.
10. NB: UoA leaders will not have final responsibility for making decisions about the selection of staff, or particular outputs to be included, but will be fully consulted as part of the decision making process. Final decisions on the UWS submission to REF2021 will be taken by the Principal & Vice-Chancellor acting on the advice of the REF Strategy Group.

3. Environment Sub-Group: Chaired by Helen Kennedy, the sub-group is tasked to monitor research environment related statistics, advise Schools on required actions to achieve internationally excellent and supportive research environment. It therefore includes representatives from the Research Services team, Doctoral College, ITDS and People & Organisational Development.

Formation: The Environment Sub-Group was formed by the REF Strategy Group.

Membership: Library Services Manager; Legal Adviser; Senior Financial Accountant; Depute Director ITDS; Head of Research (Chair); ; Senior Partner Research Services; Senior Partner Doctoral College; ITDS Representative;; Information Coordinator Academic Life; Project Accountant Research Services; Senior REF Partner.

Meetings (to date): 5 November 2018, 15 January 2019, 21 May 2019, 27 August 2019, October 2019 (tbc); (quarterly meetings). Due to the disruption caused by Covid-19 pandemic the

Environment Sub-group now operates in smaller working groups to provide data analysis and REF4a and REF4b and REF5a/b preparation support.

Remit:

To oversee the production of UOA level (REF5b) and the Institutional level (REF5a) Environment Statements ensuring that they comply with REF2021 Guidance and drawing on supporting quantitative indicators where applicable. The Group will ensure that Environment Statements cover the following detail:

Institutional-level environment statement (REF5a)

Institution:
Context and mission An overview of the size, structure and mission of the institution.
Strategy The institution’s strategy for research and enabling impact (including integrity, open research, and structures to support interdisciplinary research) in the assessment period and for the next five year period.
People The institution’s staffing strategy, support and training of research students and, building on the information provided in codes of practice, evidence about how equality and diversity in research careers is supported and promoted across the institution.
Income, infrastructure and facilities The institutional-level resources and facilities available to support research and enable impact.

Unit-level environment template (REF5b)

Institution:
Unit of assessment:
Section 1. Unit context and structure, research and impact strategy This section should provide evidence of the submitted unit’s achievement of strategic aims for research and impact during the assessment period, and details of future strategic aims and goals for research and impact; how these relate to the structure of the unit; and how they will be taken forward.
Section 2. People This section should provide evidence about staffing strategy and staff development within the submitted unit; support mechanisms for, and evidence of the training and supervision of, PGR students; and evidence of how the submitting unit supports and promotes equality and diversity.
Section 3. Income, infrastructure and facilities This section should provide information about the submitted unit’s income, infrastructure and facilities pertaining to research and research impact.
Section 4. Collaboration and contribution to the research base, economy and society This section should provide information about the submitted unit’s research collaborations, networks and partnerships, including relationships with key research users, beneficiaries or audiences; and the wider activities and contributions to the research base, economy and society.

4. Code of Practice Sub-Group: Chaired by Alistair Pettigrew, Senior Manager Global Research Excellence and Partnerships, the sub-group is tasked to address REF Guidance on Transparency,

Equality and Equity, and through consultation develop the institutional REF 2021 Code of Practice. The Sub-Group's membership includes Trade Union representatives, UoA Leads, the Equality & Organisational Development Consultant, Chair of the University's Ethics Committee and a representative from the Early Career Researchers Forum.

The UWS REF 2021 Strategic Plan has identified project-based activities for each of the Sub-Groups designed to ensure effective approaches to forming the UWS submission.

Formation: The Code of Practice Sub-Group was formed by the REF Strategy Group.

Membership: Senior Manager Global Research Excellence & Partnerships (Chair); UCU Representative; EIS Representative; Head of Organisational Development and Equality; UoA3 Lead; UoA20 Lead; ECR Representative; UoA5 Lead; UoA24 Sub-Panel member; Chair of the University Ethics Committee.

Meetings (to date): 2 October 2018, 14 February 2019, 18 March 2019, October 2019 (tbc); (quarterly meetings).

Remit:

To ensure the development and onward recommendation to the REF Strategy Group, Senate and academic Schools of a Code of Practice that takes into account the context of the outcomes from Lord Stern's review of REF2014. Given the assumption that all members of academic staff in UWS hold employment contracts that include responsibilities for teaching and research (making them theoretically 'eligible' for inclusion) and in light of the fact that this information would be available to REF Panels via institutional HESA returns, it is important that the Code includes an agreed approach to determining who will eventually be 'in scope for submission'. Staff will be classified as 'in scope for submission' if they satisfy two separate criteria:

- Significant responsibility for research,
- Being an Independent Researcher.

5. Membership and remit of Appeal Panel

Membership

Chair – Head of Quality Enhancement Support Team

People & Organisational Development Representative for Appeals for issues of Eligibility and Individual Circumstances

Professor, Reader or other senior researcher from the subject discipline (excluding UoA Leader) for issues of Eligibility and Quality Assessment.

Meetings

Meetings of the Appeal Panel will be convened immediately following the Appeal Periods outlined in the Timetable

As many meetings of the Panel will be arranged as are necessary to deal with the volume of Appeals

Remit

The Panel will consider the case for appeal as submitted by a member of staff on the Appeal form attached at Appendix 3

The Panel will only consider Appeals on the grounds of:

- the eligibility decision (on the basis of the number of outputs or the employment status)
- the selection of one or more outputs
- the allocation to a particular Unit of Assessment
- the Individual Circumstances decision. Only the Chair and the People & Organisational Development Representative will see and decide on appeals relating to Individual Circumstances

No other Grounds for Appeal will be valid. There will be no Appeal or challenge on the grounds of the University's REF 2021 Strategy.

Appendix 3: Appeal Form

Name	
Department	
Unit of Assessment (complete if known)	

Further notification by the REF Strategy Group of my inclusion status in the REF 2021, I would wish to appeal this decision on the following grounds

a. The eligibility decision

b. The selection of one of one or more of my submittable outputs

(Please be specific about the outputs in question)

c. The allocation to a specific unit of Assessment

(Please be specific about the allocated unit and your preferred unit)

d. The Individual circumstances decision

Please outline the basis of your appeal, giving as much relevant information to support your appeal as possible.

Signed

Date

Appendix 4: Output Categories for REF 2021

The table below sets out categories of output types under which outputs will be submitted in REF 2021, the collection formats for the different output types, and a broad definition of each category. This includes examples, which are provided for guidance only, and do not represent a definitive list.

Category	Upload to submission system	Physical output (deposit to REF warehouse)	Definition
(Parts of) Books			
A – Authored book	PDF	Actual book	<p>An authored book written entirely by a single author or by joint authors who share responsibility for the whole book.</p> <p>Includes:</p> <ul style="list-style-type: none"> • scholarly books • research monographs textbooks based on significant research (as defined above) by the author(s) • revisions/new editions of the above, providing this includes substantial new research material • novels, plays and screenplays • collections of plays, poems, short stories or other creative writing by the author(s)
B – Edited book	PDF	Actual book (if the edition is in multiple volumes, submit representative volume in the first instance)	<p>A book or volume in which individual chapters or contributions have been written by different authors.</p> <p>To submit a work in this category the editor must have had sole responsibility, or be identified as having made a substantial contribution to the editing, choices for inclusion and underpinning process of investigation.</p> <p>Includes:</p> <ul style="list-style-type: none"> • edited books or volumes • textbooks or encyclopaedias where significant background research is required • annotated anthologies where research informs the annotations • revisions or new editions of the above providing this includes substantial new research material • literary translations, where these contain significant editorial work in the nature of research
C – Chapter in book	PDF upload of chapter and page(s) of the book that bear	Actual book or hard copy of chapter including a copy of the	<p>This category includes contributions to edited books. This may include scholarly work, such as:</p> <ul style="list-style-type: none"> • chapters in edited books

	the title, publisher, editor and publication date	page(s) of the book that bear the title, publisher, editor, and publication date	<ul style="list-style-type: none"> • entries in textbooks incorporating significant research content • entries in scholarly editions • entries in revisions or new editions providing this includes substantial new research material • translations where these contain significant editorial work which constitutes research
R – Scholarly edition	If not available in print, PDF upload of short written description of the scholarly edition, including details of how it can be freely accessed (e.g. URL, DOI)	Actual scholarly edition	<p>An edition of another author’s original work or body of works informed by critical evaluation of the sources (such as, earlier manuscripts, texts, documents and letters) often with a scholarly introduction and explanatory notes or analysis on the text and/or original author.</p> <p>This may include a translation of the original text(s) where this constitutes part of the research.</p>
Journal articles			
D – Journal article	Submit with DOI: REF team to source. If REF team is unable to source then HEI to upload PDF of article/ conference contribution	N/A (if only hard copy is available the HEI should upload a scanned PDF)	<p>A scholarly paper, usually on a specific topic, published in an externally circulated scholarly or professional journal that has an ISSN. This may include:</p> <ul style="list-style-type: none"> • full research articles • critical scholarly texts which appear in article form • review articles, where these meet the definition of research for the REF • evidence synthesis, including systematic reviews, analyses, metaanalyses, metasyntheses, where these meet the definition of research for the REF • rapid communication (short papers, usually published swiftly, in scholarly journals presenting original material) • discussion paper (short articles in scholarly journals that critically address specific results or data provided in a published research paper) • creative articles, including photographic essays
E – Conference contribution	As above	As above	<p>A conference paper or other contribution published in conference proceedings. The conference proceedings will usually have an ISSN or ISBN and may be published in a number of formats such as:</p> <ul style="list-style-type: none"> • volume of proceedings • special or normal edition of a journal

			<ul style="list-style-type: none"> • book or a monograph • website <p>Submitted outputs may include:</p> <ul style="list-style-type: none"> • full written papers that appear in published conference proceedings • other conference contributions which meet the definition of research
U – Working paper	PDF upload of working paper or details of how it can be freely accessed (e.g. URL, DOI) and evidence of year of publication		Research papers disseminated to encourage discussion and suggestions for revision. This may be through pre-print dissemination, lodging in an institutional repository or self-publication for distribution.
Physical artefacts			
L – Artefact	PDF upload of photographic/visual record of output, or details of how it can be freely accessed (e.g. URL, DOI)	Photographic/visual record of output (paper and/or DVD/CD/USB)	<p>Artefacts, objects or craftworks, exhibited, commissioned or otherwise presented or offered in the public domain, for example, visual arts, craft and cultural creations. This can include (but is not limited to):</p> <ul style="list-style-type: none"> • illustration • sculpture • media installations • ceramics • jewellery • metalwork • buildings • cultural artefacts such as large permanent public sculptures
P – Devices and products	As above	As above	<p>An element, system or substance developed to perform a particular function, set or combination of functions. Incorporates developing the concept and the design and development of any chemical, mechanical, electronic and software components, and where appropriate the overall system architecture.</p> <ul style="list-style-type: none"> • use may be functional, aesthetic or commercial • may be physical including chemical or compound, i.e. medicines • may include digital/virtual products for particular functions, i.e. gaming • analysis, display • may include services, i.e. transportation, energy supply, public

			<ul style="list-style-type: none"> • broadcasting, healthcare systems • may be associated with the manufacturing, extraction and refinement of other devices
Exhibitions and performances			
M – Exhibition	PDF upload of photographic/ visual record of output, or details of how it can be freely accessed (e.g. URL, DOI) and evidence of year of dissemination	Representation of the output (e.g. recording or photographic/ visual record) and evidence of year of dissemination (paper and/or DVD/CD/USB)	<p>A single or series of public events, or short-term, long-term or permanent installations, at which works of interest are displayed.</p> <p>Submissions can be:</p> <ul style="list-style-type: none"> • solo exhibitions • curation of exhibitions • contributions to collaborative group exhibitions <p>Submissions may include:</p> <ul style="list-style-type: none"> • original artistic works and/or designs • historical, political, social, technical/technological or scientific research and information • works exhibited in a gallery, museum, artist's book or electronic format • works exhibited in non-standard environments • curating an exhibition
I – Performance	As above	As above	<p>A live or recorded first performance (by, for example, an actor, musician, dancer, conductor, artist) to an external audience. The ‘author’ can have one (or more) of a variety of major roles (e.g. lead performer, director, writer) in the production, which should meet the REF definition of research. The role should be specified within the additional details required, with details of other participants involved in the research. Includes (but is not limited to):</p> <ul style="list-style-type: none"> • performance of a play, musical, opera, concert, television or radio • production, performance artwork • theatre productions (stage play, mime, circus, puppet show, variety act, comedy show) • concerts and recitals (music or dance) • broadcast performances and other modes of presentation • production of an audio/visual medium (such as CD or DVD recording) • artistic direction of a staged production • input into a theatre production (for example, design, dramaturgy)
Other documents			
F – Patent/ published patent	PDF upload of	Published patent	Granted patents, copyrights, trademarks, or registered designs on specific products or

application	published patent application/ granted patent	application/ granted patent (paper)	processes. Patents can have been granted in the UK or another patent-awarding country. The patent should have been granted for the first time during the assessment period.
J – Composition	Details of how audio recording (if available) can be freely accessed (e.g. URL, DOI), and PDF upload of score and evidence of year of dissemination	Audio recording (if available) and score and evidence of year of dissemination (paper and/or DVD/CD/USB)	An original published/publicly available score, first performance or first recording by a record label of a musical composition. Can include (but is not limited to): <ul style="list-style-type: none"> • compositions created while being played for example, electronic • compositions, jazz improvisation • published/publicly available score • recordings • sound component of a film or video, lyrics, multimedia composition • commissioned works • combinations or developments of the above
K – Design	PDF upload of photographic/visual record of design or details of how it can be freely accessed (e.g. URL, DOI) and evidence of year of dissemination	Photographic/visual record of design and evidence of year of dissemination (paper and/or DVD/CD/USB)	A creative research/problem-solving output in the form of design drawings, books, models, exhibitions, websites, installations or built works. This can include (but is not limited) to: <ul style="list-style-type: none"> • fashion design • textile design • graphic design • interior design • industrial design • architectural design • multimedia design • sound design • exhibition design (i.e. not the content of the exhibition) • theatre design • other designs
N – Research report for external body	PDF upload of report or details of how it can be freely accessed (e.g. URL, DOI) bearing year of publication/dissemination	Hard copy of report bearing year of publication/dissemination	Non-confidential reports, commissioned and/or funded by an external organisation, including reports for private companies, government departments and nongovernmental organisations.
O – Confidential report for	PDF upload of report and	Hard copy of report and evidence of year	Confidential reports commissioned and/or funded by an external organisation, including reports for private companies, Government

external body	evidence of year of receipt (e.g. letter, email, delivery notice)	of receipt (e.g. letter, email, delivery notice)	departments and nongovernmental organisations. For clarity, confidential material is not in scope of the open access requirements.
Digital artefacts			
G – Software	PDF upload of written description of the software and details of how the software, and if relevant, the source code, can be accessed (e.g. URL, DOI)	N/A	Originally researched, created and published software (computer programs and their associated documentation, consisting of a set of instructions written by a programmer) or database products of commercial quality, which has been made publically available. May include (but is not limited to): <ul style="list-style-type: none"> • operating systems • utilities • application programs • interactive multimedia • video games • logic systems
H – Website content	PDF upload of content as at date of publication (e.g. a date certified electronic copy of content) or details of how it can be freely accessed (e.g. URL, DOI)	Content as at date of publication e.g. a date certified electronic copy of content (DVD/CD/USB) or date-stamped printout of content (paper)	A collection of material which embodies research and is undertaken on a systematic basis specifically for dissemination through a website and/or as an interactive approach to allow users to engage directly with the process or products of the research. Web content is the textual, visual, or aural content encountered as part of the user experience on websites. It may include – among other things – text, images, sounds, videos, and animations. May present factual information, analysis or data, or fictional, imaginative and/or creative work, using pictorial, video, audio, etc.
Q – Digital or visual media	Details of how it can be freely accessed (e.g. URL, DOI) and evidence of year of dissemination	Either a copy of the published DVD, CD or other visual output; or for outputs that were broadcast, a digital or other visual copy of the content and evidence of year of dissemination	Research outputs presented in digitised and/or audio-visual format, such as: <ul style="list-style-type: none"> • films • documentaries • audio-visual presentations • computer games • animation Encoded in digital format, machine readable and presenting information and forms of communication not limited to verbal and text-based means.
S – Research	PDF upload of	N/A	Submissions may include:

data sets and databases	written description of the dataset or database and details of where it can be accessed (e.g. URL, DOI) where relevant. Do not submit copies of actual datasets or databases		<ul style="list-style-type: none"> • Data sets: May come in a variety of formats, for instance in spreadsheet, but also any collection of data on which analysis can be performed. Most commonly a data set corresponds to the contents of a single database table, or a statistical data matrix, where every column of the table represents a particular variable, and each row corresponds to a given member of the data set. • Databases: Collections of data specifically organised and presented for the ease of viewing, retrieval and analysis. May comprise multiple data sets. Often characterized by data field structuring and searchability tools.
Other			
V – Translation	PDF upload of output or description of the output, or details of how it can be freely accessed (e.g. URL, DOI)	The actual output (paper or USB)	A translation of a work or body of works by another author or authors, informed by critical evaluation of the sources (such as earlier manuscripts, texts, documents and letters), and by critical analysis of the work’s original cultural context for the new readership. Translations may also include a scholarly introduction and explanatory notes or contextual analysis. Translation may enhance existing understanding of the material in question, and may provide evidence of creativity in its own right.
T - Other	PDF upload of representation of the output or details of how it can be freely accessed (e.g. URL, DOI) and, if not clear from the output, evidence of year of dissemination	Either the actual output or a representation of the output; and, if not clear from the output, evidence of year of dissemination (paper and/or DVD/CD/USB)	Other forms of assessable output meeting the definition of research but not captured within any of the above categories. This may include (but is not limited to): <ul style="list-style-type: none"> • new materials • structures • images • buildings • food products and processes • published geological and/or geomorphological maps • creative bodies of enquiry • design processes / programme of research • multi-platform projects

Appendix 5: REF 2021 Open Access Policy

The guidance on open access set out in this document supersedes the previously published open access policy, circular letter(s) regarding the policy, and the FAQs. This section sets out the policy intent.

The four UK HE funding bodies believe that the outputs of publicly funded research should be freely accessible and widely available. Open access research brings benefits to researchers, students, institutions, governments, public bodies, professionals and practitioners, citizen scientists and many others. Open access has the potential to make research more efficient and impactful. In view of these benefits, and to embed open access as an intrinsic part of the research process, the funding bodies have introduced a policy requirement on open access in REF 2021.

The intent of the REF open access policy is to provide a set of minimum requirements for open access, while encouraging an environment where researchers and HEIs move beyond the minimum requirements. HEIs can demonstrate where they have gone beyond the requirements in the environment template (REF5b) in the research and impact strategy section. The funding bodies encourage institutions to take a proportionate view of the costs and benefits of making other types of outputs (including monographs) available as open access.

The open access policy applies to journal articles and conference contributions (with an International Standard Serial Number (ISSN)) which are accepted for publication from 1st April 2016 and published on or before 31st December 2020. It requires these research outputs to be made open access to be eligible for submission in REF 2021. The outputs should be deposited, discoverable, free to read, download, and search within, by anyone with an internet connection. The funding bodies recommend that institutions fully consider the extent to which authors currently retain or transfer the copyright of works published by their researchers, as part of creating a healthy research environment.

Authors and institutions can meet the policy requirement without necessarily incurring any additional open access publication costs (such as a through payment of an article processing charge).

Evidence gathered in 2017 indicates good progress is being made by the sector in implementing the policy, and a range of systems and tools are being developed to assist authors and institutions in making their outputs open. However, the funding bodies recognise that the current structures and software solutions are still at an early stage, and that it will take time to fully establish open access as an intrinsic part of the research process. The funding bodies expect the sector and service providers to continue the momentum to develop new tools to implement the policy, particularly relating to the deposit requirements. In view of this, there are measures and exceptions which have been developed to provide a degree of tolerance of non-compliance.

The funding bodies recognise that information on deposit permissions, licences and embargoes can sometimes be unclear, complex, or hard to find. Until significant progress has been made to address this issue (including developing machine-readable licences and permissions), it is reasonable for the sector to rely on shared services, including those offered by SHERPA (Securing a Hybrid Environment for Research Preservation and Access). Authors and institutions should feel comfortable acting on the information provided by SHERPA in meeting REF 2021 open access requirements, and should not undertake additional work to verify this information.

Institutions are not expected to correspond with previous institutions to evidence that outputs published while a staff member was previously employed elsewhere fulfilled the requirements of the policy. This is the case even if the new employer intends to submit the output to REF 2021. For example, when a researcher moves from the institution where the output was published (X), to another institution (Y), the REF does not expect that institution Y corresponds with institution X to seek and retain evidence of the output's compliance. Where an institution is unable to ascertain themselves if an output is compliant with the policy, a policy exception can be applied.

The intent of this policy is for the output to be made freely available. The policy encourages outputs which are submitted with a deposit, technical, or other exception to be made open access as soon as possible. However, this is not a requirement of the policy.

The REF 2021 audit process will seek assurance that the information and data submitted regarding compliance are accurate and reliable.

Appendix 6: Membership and Remit of Individual Circumstances Group

Membership

quality and Diversity and Inclusion Consultant (Chair); Head of Research; Senior REF Partner

Meetings

Meetings of the Individual Circumstances Group will be convened as detailed in the Timetable

Remit

Chaired by a senior member of staff nominated by the Executive Director of People & Organisational Development, the Individual Circumstances Group will consider all requests for individual circumstances to be taken into account and will make judgements on each case:

- The case has been accepted and a reduction in the number of outputs is approved, and the actual number of outputs reduced is stated
- The case has been rejected and no reduction is approved
- Insufficient evidence has been provided and so additional information will be requested in order to form an accept/reject decision

Terms of Reference

The Group will consider all requests within the context of the Relevant Legislation

All information provided by staff will be held on a confidential basis, and only accepted (with a stated reduction in papers) decisions will be communicated out with the Group.

Where necessary and only with the permission of the employee, confidential information may be provided to the National REF Team, its sub panels or its Equality and Diversity Advisory Panel.

Documents

Documents used to communicate with Staff regarding Individual Circumstances are attached at Appendix 7.

Appendix 7: Individual Circumstances Group - Process Documents

Equality and Diversity

Extract from the University's Equality Scheme 2011 "Respecting Diversity- Promoting Equality"

Equality Vision, Values and Principles

The University's commitment to equality, diversity and human rights should be seen in the context of its overall Mission, Vision, Values and Dignity and Respect Statement

The University prides itself as being inspirational, innovative, international and inclusive. It is our policy to celebrate and value the diversity of our student and staff populations and we are committed to providing Higher Education and employment opportunities to enable people of all backgrounds to fulfil their full potential. We encourage applications from potential students and potential and existing staff irrespective of age, disability, political belief, race, religion or belief, sex, sexual orientation, social background or any other protected characteristic. We will take steps to remove prejudice where it exists and tackle the underlying causes of inappropriate behaviours. We will not tolerate any form of discrimination on any grounds nor any bullying or harassment of any student, member of staff or visitor to the university.

Basis of Decision

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

- a. Clearly defined circumstances, which are:
 - i. Qualifying as an Early Career Researcher. See Table 1 below.
 - ii. Part-time working. As part-time working is taken account of within the calculation for the overall number of outputs required for the unit (which is determined by multiplying the unit's FTE by 2.5) reduction requests on the basis of part-time working hours should only be made exceptionally. For example, where the FTE of a staff member late in the assessment period does not reflect their average FTE over the period as a whole.
 - iii. Maternity, paternity or adoption leave. (Note that maternity leave may involve related constraints on an individual's ability to conduct research in addition to the defined period of maternity leave itself. These cases can be returned as 'complex' as described at sub-paragraph b below, so that the full range of circumstances can be taken into account in making a judgement about the appropriate number of outputs that may be reduced without penalty).
 - iv. Secondments or career breaks outside of the higher education sector, and in which the individual did not undertake academic research. See Table 2 below.
- b. Circumstances that are more complex and require a judgement about the appropriate number of outputs that can be reduced without penalty. These circumstances are:
 - i. Disability
 - ii. Ill health or injury

- iii. Mental health conditions
- iv. Constraints related to pregnancy or maternity, in addition to a clearly defined period of maternity leave. (These may include but are not limited to: medical issues associated with pregnancy or maternity; health and safety restrictions in laboratory or field work during pregnancy or breastfeeding; constraints on the ability to travel to undertake fieldwork due to pregnancy or breast-feeding.)¹
- v. Childcare or other caring responsibilities
- vi. Gender reassignment
- vii. Other circumstances relating to the protected characteristics listed below:
 - age
 - disability
 - marriage and civil partnership
 - race
 - religion or belief
 - sex
 - sexual orientation

Table 1: Early career researchers: permitted reduction in outputs

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

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

¹ The total output pool may be reduced by 0.5 for each discrete period of:

- a. Statutory maternity leave or statutory adoption leave taken substantially during the period 1st January 2014 to 31st July 2020, regardless of the length of the leave.
- b. Additional paternity or adoption leave, or shared parental leave lasting for four months or more, taken substantially during the period 1st January 2014 to 31st July 2020.

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

2020. This allowance is made on the basis that the staff concerned are normally significantly constrained in the time they have available to undertake research during the assessment period.

Table 2: Secondments or career breaks: permitted reduction in outputs

Total months absent between 1 January 2014 and 31 July 2020 due to a staff member's secondment or career break:	Output pool may be reduced by up to:
0–11.99	0
12–27.99	0.5
28–45.99	1
46 or more	1.5

REF 2021

UWS is committed to ensuring that decisions about selecting staff for the Research Excellence Framework (REF) are made in a fair, transparent and consistent manner. Information on how eligible staff will be selected for submission to the REF is contained in this Code of Practice.

'Category A eligible' staff will be defined as academic staff with a contract of employment of 0.2 full-time equivalent (FTE) or greater, on the payroll of the submitting institution on the census date, whose primary employment function is to undertake either 'research only' or 'teaching and research'.

Ross McNaughton, People & Organisational Development, Witherspoon Building, Storie Street, Paisley, PA1 2BE or preferably by email to REF2021IC@uws.ac.uk before 13 January 2020.

Individual Circumstances

To ensure that REF processes are fair, we are inviting staff to submit data on a voluntary basis that will identify individual circumstances. The data will be used to identify submitting units that may be returned with fewer than 2.5 outputs per FTE. Summary level data collected may also inform our monitoring of staff identification procedures at the institutional level.

In determining Submitting units that may be returned with fewer than 2.5 outputs per FTE, taking into consideration the points at (a) and (b) above in this Appendix, the University's REF Individual Circumstances Group will take the following circumstances into consideration:

- Early career researcher
- Junior clinical academic staff who have not gained a Certificate of Completion of Training or its equivalent by 31st July 2020
- Part time employment

- Career break or secondment outside of the higher education sector in which the individual did not undertake academic research
- Maternity leave, statutory adoption leave, and additional paternity leave (taken by partners of new mothers or co-adopters)
- Disability (including conditions such as cancer and chronic fatigue)
- Ill health or injury
- Mental health conditions
- Constraints relating to pregnancy, maternity, breastfeeding, adoption, paternity or childcare in addition to periods of maternity, statutory adoption or additional paternity leave taken. This could include for example, pregnancy related illness and health and safety restrictions in laboratory and field work.
- Other caring responsibilities (including caring for an elderly or disabled relative)
- Gender reassignment
- COVID-19 related circumstances (REF6a only)
- Other exceptional and relevant reasons (not including teaching or administrative work).

If your research output has been affected by any of these circumstances, please detail them on “Individual staff circumstances disclosure form” enclosed with this Appendix and return it as described above.

In determining the number of outputs staff are required to submit, the institution will observe the definitions of individual staff circumstances provided in the published REF ‘Panel criteria and working methods’ available at www.ref.ac.uk under ‘Publications’.

Who will see the information that I provide?

Within the institution, the information that you provide will be seen by the University’s REF Individual Circumstances Group, unless you advise on the form that you give permission for your line manager to be involved. Members of the Individual Circumstances Group will observe confidentiality and information will be stored securely in P&OD and in line with Data Protection rules. The membership and remit of this panel is described in an Appendix 6 of this Code of Practice.

If further information is required about any circumstances disclosed, you will be contacted by a representative from the University’s REF Individual Circumstances Group

Information provided on the form may be shared externally for the purposes of evidencing any reduction in the number of research outputs:

- For circumstances with a clearly defined reduction in outputs, information will be seen by the relevant REF sub-panel, the REF panel secretariat and the UK funding bodies’ REF team. This will be information about early career researcher status, part-time working, career breaks or secondments, and periods of maternity, additional paternity or adoption leave taken.

- For more complex circumstances, information will be seen only by the REF Equality and Diversity Advisory Panel, the REF Main Panel Chairs and the UK funding bodies' REF team. This will be information to explain the impact on your research of circumstances such as disability, ill health, injury, mental health conditions, gender reassignment, caring responsibilities or constraints relating to pregnancy, maternity, breastfeeding, adoption and paternity (in addition to the period of leave taken). This information will not be seen by the REF sub-panel.
- 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 1998.
- The REF Assessment Framework and Guidance on Submissions requires all higher education institutions participating in the REF to ensure appropriate confidentiality in handling individual staff circumstances. Where joint submissions are made it may be necessary to share the information provided with another institution.

What if my circumstances change?

UWS recognises that staff circumstances may change between now and 31st July 2020. If your circumstances change you should submit an Individual Circumstances Disclosure form.

How will I know the outcome?

Any application will be considered by the REF Individual Circumstances Group and you will be informed of the outcome using the reply form attached to the individual circumstances disclosure form.

Individual Circumstances Disclosure Form

An updated version of this document, in line with the template published on the REF2021 website was sent to all Category A staff (see 'Guidance on submissions', paragraphs 117-122). As part of the university's commitment to supporting equality and diversity in REF, we have put in place safe and supportive structures for staff to declare information about any individual circumstances that may have affected their ability to research productively during the assessment period (1 January 2014 – 31 July 2020), and particularly their ability to produce research outputs at the same rate as staff not affected by circumstances. The purpose of collecting this information is threefold:

- To enable staff who have not been able to produce a REF-eligible output during the assessment period to be entered into REF where they have;
 - circumstances that have resulted in an overall period of 46 months or more absence from research during the assessment period, due to individual circumstances (see below)
 - circumstances equivalent to 46 months or more absence from research due to individual circumstances
 - two or more qualifying periods of family-related leave.
- To recognise the effect that individual circumstances can have on an individual's ability to research productively, and to adjust expectations in terms of expected workload / production of research outputs.
- To establish whether there are any Units of Assessment where the proportion of declared circumstances is sufficiently high to warrant a request to the higher education funding bodies for a reduced required number of outputs to be submitted.

Applicable circumstances

- Qualifying as an ECR (started career as an independent researcher on or after 1 August 2016)
- Absence from work due to secondments or career breaks outside the HE sector
- Qualifying periods of family-related leave
- Junior clinical academics who have not gained a Certificate of Completion of training by 31 July 2020
- Disability (including chronic conditions)
- Ill health, injury or mental health conditions
- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment
- COVID-19 related circumstances (REF6a only)

If your ability to research productively during the assessment period has been constrained due to one or more of the following circumstances, you are requested to complete the attached form. Further information can be found paragraph 160 of the Guidance on Submissions (REF 2019/01). Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. This form is the only means by which the University will be gathering this information; we will not be consulting HR

records, contract start dates, etc. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

Ensuring Confidentiality

Within the institution, the information that you provide will be seen by the University's REF Individual Circumstances Group, unless you advise on the form that you give permission for your line manager to be involved. Members of the Individual Circumstances Group will observe confidentiality and information will be stored securely in P&OD and in line with Data Protection rules. The membership and remit of this panel is described in an Appendix 6 of this Code of Practice.

If further information is required about any circumstances disclosed, you will be contacted by a representative from the University's REF Individual Circumstances Group

If the institution decides to apply to the funding bodies for either form of reduction of outputs (removal of 'minimum of one' requirement or unit circumstances), we will need to provide UKRI with data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see the 'Guidance on submissions' document (paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted.

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

Changes in circumstances

The university recognises that staff circumstances may change between completion of the declaration form and the census date (31 July 2020). If this is the case, then staff should contact REF2021IC@uws.ac.uk to provide the updated information.

Name	
Department	
Unit of Assessment (complete if known)	
I wish to be considered for inclusion in the University's REF submission	Yes <input type="checkbox"/> No <input type="checkbox"/>

Section One:

If yes, please select one of the following:

- I have no individual circumstances that I wish to be taken into consideration for the purposes of the Research Excellence Framework (REF).
- I have individual circumstances that I wish to make known but I am not seeking a reduction in outputs. (Please complete sections two and three)
- In completing this form I am seeking a reduction in research outputs. (Please complete sections two, three and four)

Section Two:

Please select as appropriate:

- I would like to be contacted by a member of the University's REF Individual Circumstances Group to discuss my circumstances and requirements and/or the support provided by UWS. My contact details for this purpose are:

Email	
Telephone	
Preferred method of communication	

- I do **not** wish to be contacted

Section Three:

I wish to make the University aware of the following circumstances which have had an impact on my ability to produce the required number of outputs or work productively between 1st January 2014 and 31st December 2020:

Please provide information required on relevant circumstance/s and continue onto a separate sheet of paper if necessary:

Circumstance	Information required
---------------------	-----------------------------

Early career researcher (started career as an independent researcher on or after 31st July 2016)	Date on which you became an early career research
Information	
Junior clinical academic staff who have not gained Certificate of Completion of Training or its equivalent by 31st July 2020	Please place a tick in this box if the circumstance applies:
Part time employee	FTE and duration in months
Information	
Career break or secondment outside of the higher education sector	Dates and duration in months
Information	
Maternity leave, statutory adoption leave, or additional paternity leave (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
Information	
Disability (including conditions such as cancer and chronic fatigue)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
Mental health condition	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
Ill health or injury	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	

Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare in addition to the period of maternity, adoption or additional paternity leave taken.	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
Other caring responsibilities (including caring for an elderly or disabled relative)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
Gender reassignment	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
COVID-19 (Applicable only where requests are being made for the removal of the minimum of one requirement)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Other exceptional and relevant reasons, not including teaching or administrative work	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	

Please select all that apply:

- I confirm that the information provided is a true and accurate description of my circumstances.
- I recognise that the information provided will only be used for REF purposes and will only be seen by the UWS REF panel for considering individual circumstances.
- As part of this process I give permission for the UWS REF Individual Circumstances Group to consult.....
(Insert name of line manager or academic referee) regarding the impact of my circumstances on my research output.
- I realise that it may be necessary to share information with the UK funding bodies' REF team, who may make the information available to REF panel chairs, members and secretaries and/or the Equality and Diversity Advisory Panel. [Delete if not applicable: I recognise that if a joint submission is made, information may be shared with another institution.] Where permission is not provided UWS will be limited in the action it can take.

Signature: _____ Date: _____

Consideration of Individual Circumstances - Outcome

Following review of your individual circumstances the University's REF Individual Circumstances Group:

- Will forward your name for consideration in the REF submission with [insert number] of research outputs. Rationale for the proposed number of outputs:
e.g. this decision is based on the tariffs outlined in the panel criteria

- Requires further information of your circumstances described as follows:
e.g. someone from the REF panel will contact you regarding the information required

- Has concluded that you do not meet the criteria outlined within the REF 'Panel criteria and working methods' for submitting fewer than the required number of research outputs. The reason(s) for this decision are:
e.g. circumstances detailed are not recognised within the assessment framework and guidance on submissions

If you wish to appeal against the decision of the panel you will need to do so by [insert date] and details of the appeals process can be found in the UWS REF Code of Practice.

Signature: _____ **Date:** _____

Chair REF Individual Circumstances Group

Appendix 8: REF Equality & Diversity Training Schedule

Training will be arranged for all those involved in REF 2021 decision making; a list is at Appendix 7. The training will provide an overview of UWS Equality and Diversity practice, details of the equality issues around the REF 2021 and will examine case studies relating to reduction in outputs for employees with individual circumstance.

The training has been developed nationally by the Equality Challenge Unit and tailored to meet UWS' specific needs.

Training will be available from April 2019 and is mandatory.

The indicative content is as follows:

1. Introduction, purpose and context
2. UWS and the REF
3. Why equality is important in the REF
4. Issues to be aware of since the RAE 2014
5. Identifying clearly defined and complex staff circumstances and using tariffs
6. Implications for staff responsible for selecting staff for submission to the REF
7. Handling complex staff circumstances

Appendix 9: List of Staff to be trained in Equality & Diversity

Principal

Deputy Principal and Provost

VP (RIE)

People & Organisational Development Representative

Equality & Diversity Coordinator

Appeal Panel Members

Deans

School Research Leads

Head of Research

Senior REF Partner

REF & Enterprise Funding Coordinator

UoA Leads/Co-Leads

Appendix 10: University Ethics Committee Membership and Terms of Reference

At UWS we are committed to ethical behaviour in all we do.

All students and staff must strive to meet the highest standards of academic rigour and professionalism. This includes integrity in research and education.

Our code of ethics sets out our approach. It outlines:

- how we raise the ethical awareness of staff and students
- the policies and guidelines we follow
- how we monitor the ethical dimension of our activities

All our research activities must conform to national legislation, all relevant national and international codes of practice and the policies and guidelines of the University.

All research student applications for ethical approval will be considered by the relevant School committee. Once received, an application will be referred to the University Ethics Committee (UEC) by the School where studies involve vulnerable groups and/or invasive procedures.

UEC will consider general ethical issues relating to University activity, specifically but not exclusively research activity. The Committee will also consider ethical applications involving human participants and also where risks may be posed to the researchers themselves. The Committee monitors the quality of ethical applications and ensures the approval process is conducted in a fair and independent manner.

Membership

Chair	Appointed by the Senate
Vice Chair	Appointed from within the membership of the Committee
Ex-officio Members	Chair of the Research & Enterprise Advisory Board Chair of each School Ethics Committee or nominee Secretary to Senate SAUWS President Education
External or Lay Members	Up to three members external to the University, with experience of ethical issues
Co-opted Members	The Committee may co-opt up to four additional members for a period specified by the Committee The membership of the Committee should include at least three members from the Professoriate
Administrative Support	A member of staff appointed by the Secretary to Senate who shall act as Secretary to the Committee

Quorum

The quorum shall be one-third of the total membership, with at least one external in attendance per meeting.

Terms of Reference

- To consider general ethical issues relating to University activity, specifically but not exclusively research activity
- To oversee the operation, monitoring, evaluation, dissemination and review of the University Code of Ethics & Guidelines for Ethical Practice in Research & Scholarship
- To provide formal guidance and advice to Academic Schools on ethics issues in line with the policy
- To consider high risk or complex applications referred from School Ethics Committees, and also where risks may be posed to the researchers themselves, e.g. in laboratory or field
- To monitor the quality of ethical applications and ensure that the approval process is conducted in a fair and independent manner

- To receive annual reports from School Ethics Committees
- To ensure that students and staff are aware of the importance of considering ethical issues and of the appropriate channels for seeking ethical approval

Frequency of Meetings

The Committee shall meet four times per annum.

Reporting

The Committee shall report to the Senate.

Periods of Appointment

Ex-officio members will remain members as long as they hold the office by virtue of which they are members.

The Chair and other appointed members will be appointed for a period not exceeding three years.

All appointees shall be eligible for re-appointment on the expiry of their terms of office.

Appendix 11: REF 2021 Privacy Notice

REF 2021 Privacy Notice must be read along with the UWS Employee Privacy Notice found [here](#).

The “REF 2021 Privacy Notice” is relevant to the following groups of individuals:

1. Current UWS employees (employed during the REF Assessment Period) who are considered to be REF-eligible (Category A eligible), this includes individuals with a primary employment function of “Teaching & Research” and may include staff with a primary employment function of “Research only” (see Table 1).
2. Former UWS employees (employed during the REF assessment period) who were REF-eligible at the time of ceasing employment and who have research outputs that were generated while they were employed at the University during the REF Assessment Period (see Table 2).
3. Individuals who are not employed by the University but whose contract or job role includes the undertaking of research primarily focused at the University during the REF Assessment Period (see Table 3).
4. Individuals who are not employed by the University but who have provided testimonials concerning the development of impact case studies in relation to the University’s preparations for the REF 2021 exercise (see Table 4).

The REF 2021 Privacy Notice explains what personal information the University holds about you in relation to the REF 2021 exercise, detailing why we hold this information, what we do with it, how long we keep it for and if we share it with third parties.

We collect and use your personal information for the purpose of the REF 2021 exercise, principally to ensure that the University meets the validation requirements for the submission for REF 2021. For example, REF 2021 requires the University to provide key information about current staff being submitted by the University to the exercise.

We also use individual information to help us understand the make-up of our research active staff population. We use it to undertake equality impact assessments to help inform our decision making processes in relation to current and future research assessments.

The tables below describe the information we hold and what we need it for. They also explain the basis we can legally rely on to request and retain information about you. In the main, legal basis will be described as “the University’s legitimate interest”. This means we need the information to ensure that the University can participate fully in the REF 2021 process, the purpose of which is to:

- provide accountability for public investment in research and produce evidence of the benefits of this investment;
- provide benchmarking information and establish reputational yardsticks, for use within the higher education sector and for public information;
- and importantly, inform the selective allocation of funding for research.

The team within the University making the submission to REF 2021 obtain the required staff personal data from central records collected and stored by People & Organisational Development department. While the retention periods for these data are determined by how long the individual is in the

employment of the University, the REF Team will securely dispose of all personal data for current and former staff, as well as for individuals who have provided testimonials, no later than the end of December 2022. Note that for former staff this may be longer than the standard 6 year retention period for personal data.

We share categories of your personal data with REF 2021 to meet the validation requirements of the submission. Other third parties we share your data with are listed in Table 5 below. In these circumstances, we will only share your data if we are required to do so by law, you ask us to do so, or we are contractually obliged to do so.

Additional information:

- UWS Employee Privacy Notice is [here](#)
- General information about the University’s approach to data protection and to your rights can be found [here](#)
- Further information about REF 2021 is available online: www.ref.ac.uk
- The University’s retention schedule for staff personal data is [here](#)
- Data will be stored in line with the University’s Security Policy which is available online [here](#)
- Further information about GDPR is available [here](#)

Definitions:

REF = Research Excellence Framework, the system for assessing the quality of research in UK higher education institutions

REF Assessment Period (as updated July 2020 by REF2021) =

31st July 2020: staff census date

1st January 2014 – 31st December 2020: publication period

1st August 2013 – 31st December 2020: impact assessment period

1st August 2013 – 31st July 2020: environment assessment period

Category A Eligible/Submitted Staff = Staff defined as academic staff with a contract of employment of 0.2 FTE or greater, on the payroll of the submitting institution on the census date, whose primary employment function is to undertake either “Research only” or “Teaching & Research” and meet the criteria set out in the code of practice demonstrating significant responsibility for research. Staff should have a substantive connection with the submitting unit. Staff with a primary employment function of “Research only” should meet the REF 2021 definition of an independent researcher.

Category C Staff = Staff defined as individuals employed by an organisation other than an HEI, whose contract or job role (as documented by their employer) includes the undertaking of research, and whose research is primarily focused in the submitting unit.

ECR = Early Career Researcher. In REF terms this means members of staff who meet the definition of Category A Eligible on the census date, and who started their careers as independent researchers on or after 1st August 2016.

Primary Employment Function = Individuals whose primary employment function is to undertake either ‘research only’ or ‘teaching and research’ are staff returned to the Higher Education Statistics Agency Staff Collection with an academic employment function of either ‘Academic contract that is research only’ or ‘Academic contract that is both teaching and research’ (identified as codes ‘2’ or ‘3’ in the ACEMPFUN field).

Table 1: Personal data of current Category A Eligible/Submitted staff

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis, and specific condition (where relevant))</i>
HESA staff identifier and/or staff number.	To assist with the University’s REF 2021 preparations. Data required by REF 2021 for all Category A Submitted staff on form REF1a. Data will be submitted to REF as part of the University’s submission, March 2021.	The University’s legitimate interest.
Name (initials and surname).	To assist with the University’s REF 2021 preparations. Data required for all Category A submitted staff on form REF1a form (REF 2021 “Information on Category A Submitted staff in post on the census date (31st July 2020)”). Data will be submitted to REF as part of the University’s submission, March 2021.	The University’s legitimate interest.
Open researcher and contributor ID (ORCID) (where held).	To assist with the University’s REF 2021 preparations. Data required by REF 2021 for all Category A Submitted staff on form REF1a. Data will be submitted to REF as part of the University’s submission, March 2021.	The University’s legitimate interest.
Job title/position	To assist with the University’s REF 2021 preparations. Data required to assist in the determination and proof of Category A Eligible staff for inclusion in the REF 2021 exercise. Data will only be shared with REF if required to do so on auditing.	The University’s legitimate interest.

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis, and specific condition (where relevant))</i>
Grade	To assist with the University's REF 2021 preparations. Data required by REF 2021 for all Category A submitted staff on form REF1a. Data will be submitted to REF as part of the University's submission, November 2020.	The University's legitimate interest.
Contracted hours/FTE.	To assist with the University's REF 2021 preparations. Data required by REF 2021 for all Category A submitted staff on form REF1a. Data will be submitted to REF as part of the University's submission, March 2021.	The University's legitimate interest.
Information about contract type and any secondments/periods of unpaid leave, including dates.	To assist with the University's REF 2021 preparations. Data required by REF 2021 for all Category A submitted staff on form REF1a. Data will be submitted to REF as part of the University's submission, March 2021.	The University's legitimate interest.
Whether any personal data should be omitted from the published data for specific reasons, such as commercial sensitivity or security.	To assist with the University's REF 2021 preparations. Data required by REF 2021 for all Category A submitted staff on form REF1a. Data will be submitted to REF as part of the University's submission, March 2021.	The University's legitimate interest.
If ECR (started career as an independent researcher on/after 1 August 2016), date of commencement of ECR status.	To identify occurrence of special circumstances to facilitate associated reduction of outputs to a submitting unit of assessment. Data will only be shared with REF if required to do so on auditing.	The University's legitimate interest.
Details of sick leave within the assessment period*.	To identify occurrence of special circumstances to facilitate associated reduction of outputs to a submitting unit of assessment. Data will only be shared with REF if required to do so on auditing.	The University's legitimate interest. Special category: substantial public interest; and archive, statistical and research purposes (monitoring equal opportunities).

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis, and specific condition (where relevant))</i>
Information about any medical or health conditions you have or have had within the assessment period*.	To identify occurrence of special circumstances to facilitate associated reduction of outputs to a submitting unit of assessment. Data will only be shared with REF if required to do so on auditing.	The University's legitimate interest. Special category: substantial public interest; and archive, statistical and research purposes (monitoring equal opportunities).
Your disability status*.	To facilitate equality impact assessments (EIA) to be undertaken at key points during the REF 2021 exercise, including, but not limited to Mock REF and related exercises and preparation of codes of practice. Following data processing for the EIA, data will be anonymised (where possible) prior to being shared (EIAs will be made publicly available in 2021). To protect the identity of individuals, data classifications of less than 5 will not be published.	The University's legitimate interest. Special category: substantial public interest; and archive, statistical and research purposes (monitoring equal opportunities).
Information about protected characteristics including: age, sex/gender, gender reassignment*, marriage and civil partnership#, pregnancy* and maternity#, race*, ethnic origin*, religion or religious beliefs*, and sexual orientation*.	To facilitate equality impact assessments to be undertaken at key points during the REF 2021 exercise, including, but not limited to Mock REF and related exercises and preparation of codes of practice. Following data processing for the EIA, data will be anonymised (where possible) prior to being shared (EIAs will be made publicly available in 2021).To protect the identity of individuals, data classifications of less than 5 will not be published. To identify occurrence of special circumstances to facilitate associated reduction of outputs to a submitting unit of assessment. Where used to identify special circumstances, data will only be shared with	The University's legitimate interest. Special category: substantial public interest; and archive, statistical and research purposes (monitoring equal opportunities).

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis, and specific condition (where relevant))</i>
	REF if required to do so on auditing.	

* Denotes data that is classed as a “special category” of personal information.

Denotes data that might disclose a “special category”.

The University must have both a legal basis and a specific condition to process “special category” personal information. Special Category is defined as personal data which is more sensitive and so needs more protection. In order to lawfully process special category data both a legal basis (under GDPR Article 6) and a separate condition (under GDPR Article 9) must be identified.

Table 2: Personal data of Former Staff

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis)</i>
HESA staff identifier and/or staff number.	Data required by REF 2021 to be submitted on the REF1b form. Data will be submitted to REF as part of the University’s submission, March 2021.	The University’s legitimate interest.
Name (initials and surname).	Data required by REF 2021 to be submitted on the REF1b form (REF 2021 “Information about former staff to whom submitted outputs are attributed”). Data will be submitted to REF as part of the University’s submission, March 2021.	The University’s legitimate interest.
Open researcher and contributor ID (ORCID) (where held).	Data required by REF 2021 to be submitted on the REF1b form. Data will be submitted to REF as part of the University’s submission, March 2021.	The University’s legitimate interest.
Contracted hours (FTE of REF-eligible contract(s)).	Data required by REF 2021 to be submitted on the REF1b form. Data will be submitted to REF as part of the University’s submission, March 2021.	The University’s legitimate interest.
Job title/position when at the University.	Data required to assist in the determination and proof of eligibility for inclusion in the REF 2021 exercise. Data will only be shared with REF if required to do so on auditing.	The University’s legitimate interest.

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis)</i>
Grade when at the University.	Data required to assist in the determination and proof of eligibility for inclusion in the REF 2021 exercise. Data will only be shared with REF if required to do so on auditing.	The University's legitimate interest.
Employment dates (on REF-eligible contract) at the University and as a researcher.	Data required by REF 2021 to be submitted on the REF1b form. Data will be submitted to REF as part of the University's submission, March 2021.	The University's legitimate interest.
Early career researcher status.	Data required by REF 2021 to be submitted on the REF1b form. Data will be submitted to REF as part of the University's submission, March 2021.	The University's legitimate interest.
Details of any periods of secondment or unpaid leave during which any outputs were first made publicly available.	Data required by REF 2021 to be submitted on the REF1b form. Data will be submitted to REF as part of the University's submission, March 2021.	The University's legitimate interest.
Whether any personal data should be omitted from the published data for specific reasons, such as commercial sensitivity or security.	Data required by REF 2021 to be submitted on the REF1b form. Data will be submitted to REF as part of the University's submission, March 2021.	The University's legitimate interest.

Table 3: Personal data of Category C Staff

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis)</i>
Staff reference code (academic visitor number, where available).	Data required to be available to REF 2021 for audit purposes (corroboration of key claims made by the University in the REF submission). Data will only be shared with REF if required to do so on auditing.	The University's legitimate interest.
Name (initials and surname).	Data required to be available to REF 2021 for audit purposes (corroboration of key claims made by the University in the REF submission).	The University's legitimate interest.

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis)</i>
	Data will only be shared with REF if required to do so on auditing.	
Employing organisation.	Data required to be available to REF 2021 for audit purposes (corroboration of key claims made by the University in the REF submission). Data will only be shared with REF if required to do so on auditing.	The University's legitimate interest.
Position/job title (including: details about specific research responsibilities).	Data required to be available to REF 2021 for audit purposes (corroboration of key claims made by the University in the REF submission). Data will only be shared with REF if required to do so on auditing.	The University's legitimate interest.
Details of affiliation with the University (including: evidence that research is primarily focused in the submitting unit; any honorary positions; and duration of affiliation).	Data required to be available to REF 2021 for audit purposes (corroboration of key claims made by the University in the REF submission). Data will only be shared with REF if required to do so on auditing.	The University's legitimate interest.
Details of any teams/groups/collaborators that the individual has/is a member of at the University.	Data required to be available to REF 2021 for audit purposes (corroboration of key claims made by the University in the REF submission). Data will only be shared with REF if required to do so on auditing.	The University's legitimate interest.
Details of any student supervision that the individual has undertaken at the University.	Data required to be available to REF 2021 for audit purposes (corroboration of key claims made by the University in the REF submission). Data will only be shared with REF if required to do so on auditing.	The University's legitimate interest.

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis)</i>
Funding (including: details of grants held during the assessment period).	Data required to be available to REF 2021 for audit purposes (corroboration of key claims made by the University in the REF submission). Data will only be shared with REF if required to do so on auditing.	The University's legitimate interest.

Table 4: Personal data of Witnesses/Testimonial Providers

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis)</i>
Organisation	Data required by REF 2021 to be submitted on the REF3 form: “Case studies describing specific examples of impacts achieved during the assessment period (1 August 2013 to 31 July 2020), underpinned by excellent research in the period 1 January 2000 to 31 December 2020”. Data will be submitted to REF as part of the University’s submission, March 2021.	The University’s legitimate interest.
Position (where appropriate)	Data required by REF 2021 to be submitted on the REF3 form. Data will be submitted to REF as part of the University’s submission, March 2021.	The University’s legitimate interest.
Name	Data required to be available to REF 2021 for audit purposes (corroboration of key claims made by the University in the REF3 form). Data will only be shared with REF if required to do so on auditing.	The University’s legitimate interest.
Contact details	Data required to be available to REF 2021 for audit purposes (corroboration of key claims made by the University in the REF3 form). Data will only be shared with REF if required to do so on auditing.	The University’s legitimate interest.

Table 5: Third parties the University may share your data with

- Higher Education Statistics Agency HESA; see the collection notice at <http://www.hesa.ac.uk/collection-notices>).
- Research Councils, and other prospective and actual funders of research.
- Government bodies that run Research Excellence Framework (REF 2021), including the UK higher education funding bodies such as the Scottish Funding Council. Note that REF will be publishing their own Privacy Notice, along with a model data collection notice. This is anticipated to be based on the REF 2014 document: www.ref.ac.uk/2014/about/guidance/datamanagement/
- Individuals who exercise their legal right to access recorded information held by the University under information legislation, particularly the Freedom of Information (Scotland) Act 2002 and data protection law (General Data Protection Regulation (GDPR) and Data Protection Act 2018).
- The University will normally only disclose work-related or professional information about its members of staff and will inform or consult any members of staff concerned where disclosure would not reasonably be expected.
- Other Higher Education Institutions (HEI) with which the University are in partnership for specific REF 2021 Unit of Assessment (UOA) Joint Submissions. In this instance, only data that will be submitted on the REF1a form (all non-special category data) for staff within a particular UOA would be shared with the partner institution for that UOA. We will develop formal agreements (Memoranda of Understanding and Data Processing/Sharing Agreements) with these institutions which will ensure the responsible use, storage and timely disposal of any University staff personal data. These agreements will be in place before any personal data are shared with partner institutions.

Appendix 12: Equality Impact Assessment – REF Code of Practice

Equality Impact Assessment - REF Code of Practice - Appendix 12	
Faculty Dept.	Professional Services - Research & Enterprise Services
Policy	Research Excellence Framework (REF2021): Code of Practice
Author The person responsible for the Impact assessment	Alistair Pettigrew, Senior Manager Global Research Excellence & Partnerships, Professional Services - Research & Enterprise Services
Effective date of implementation The EIA will need to inform decision-making so the implementation date should take this into account. This may be the date on which the policy is put to committee or when a decision is required.	<p>This EIA will begin a process of equality analysis that is embedded throughout the REF Code of Practice. The Code will evolve as issues are uncovered. The following analysis is planned and documented in the Code of Practice</p> <ul style="list-style-type: none"> • Analysis of intersectionality data • Analysis of Significant Responsibility for Research data • Analysis of Research independence data • Analysis of protected characteristics of staff in relation to selection of outputs • Analysis of staff protected characteristics in relation to disclosure of individual circumstances
Involvement and consultation What involvement and consultation has been done in relation to this decision, policy or procedure and what were the results? What additional involvement and consultation will be needed?	<p>The REF Code of Practice was developed in consultation with:</p> <ul style="list-style-type: none"> • REF Strategy Group • REF2021 Code of Practice Sub-Group • Research & Enterprise Advisory Committee (REAC) • REF Unit of Assessment Panels • Schools • Equality, Diversity and Inclusivity Committee • All staff via UWS Intranet

	It was submitted to the Senate for approval.
<p>Aim of Policy/decision It will help to ask:</p> <ul style="list-style-type: none"> • Why is the policy or decision needed? • What do we hope to achieve by it? • How will we ensure that it works as intended? 	The REF Code of Practice provides a framework to achieve excellence in research. It further aims to advance equality for research staff within UWS. This EIA considers the REF Code of Practice to ensure equality has been fully considered
<p>Available evidence Identify what evidence is available and set it out here. This includes data and evidence from involvement and consultation</p>	<p>The REF Code of Practice went through significant consultation and evidence is available in the following</p> <ul style="list-style-type: none"> • Equality, Diversity and Inclusivity Minutes 21/05/2019 • REF Strategy Group Minutes 13/12/2018 & 29 January 2019 • REF2021 Code of Practice Sub-Group Minutes 2/10/2018, 14/2/2019, 18/3/2019 • REAC Minutes 22/11/2018, 20/2/2019, 15/5/2019 • Senate Minutes 21 March 2019
<p>What is the actual/likely impact? Consider the relevance to and impact upon each equality group with protected characteristics (age, disability, gender re-assignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, sexual orientation). The assessment can be supported with a set of key questions to identify the effect, tailored to the area being considered. Broadly the following should be identified:</p> <ul style="list-style-type: none"> • Who is affected positively? • Who is affected negatively? • Will the policy or decision have the anticipated effect? <p>Give a full explanation of your reasoning and document the actual or likely impact, along with the evidence used to explain how that conclusion was reached.</p>	<p>The REF Code of Practice aims to advance equality through providing an open and transparent process where equality is considered at every stage. The REF Code of Practice will continue to evolve to advance equality and mitigate any negative impacts as new data becomes available.</p> <p>The process for deciding determining who has significant responsibility for research is open and transparent. However it is recognised that there is still an element of professional judgment where unconscious bias may influence a decision.</p>

	<p>This is also the case with determining research independence status.</p> <p>Staff also mentioned that they wanted clearer guidance on understanding how the number of outputs for part time staff is calculated and thus a FAQ Guide will be developed as questions arise so that all staff have access to information in an accessible format.</p> <p>It is also recognised that the REF Strategy Group and Unit of Assessment panels are limited in diversity and therefore may impact on decision making.</p>
<p>Address the impact Identify the range of options to address the impact. Remember to consider each of the general duties. There are three possible options:</p> <ol style="list-style-type: none"> 1. Adjust the decision/policy. 2. Continue with the decision/policy. 3. Withdraw the decision/policy. <p>Identify the option(s) chosen and document the reasons for this.</p>	<p>The following will mitigate against any negative impacts. This will continue to be reviewed and adjusted as necessary</p> <ul style="list-style-type: none"> • Blind peer review will be considered to safeguard against unconscious bias • The diversity of the REF Strategy group and UoA panels will be further advanced to ensure a diversity of views are present within decision making processes • Unconscious bias training and other training as identified will be undertaken by REF Strategy and UoA Panel Group members to ensure that staff have increased understanding and awareness of equality considerations. • Individual circumstances will be anonymised to increase disclosure
<p>Monitoring and Review Set out the arrangements for reviewing the actual impact of a decision or policy once it has been implemented.</p>	<p>This will be continually reviewed by REF2021 Strategy Group</p>
<p>Decision making and quality control</p>	<p>Chair of REF Strategy Group</p>

Includes sign-off by a responsible officer. (e.g. Head of School, Head of Department, committee chair)	
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Annex 1: REF 2021 Criteria for Identifying Staff with Significant Responsibility for Research

According to the latest REF guidance: “Each institution making a submission is required to develop, document and apply a code of practice on determining who is an independent researcher and the selection of outputs in their REF submissions. Those institutions not submitting 100 per cent of Category A eligible staff, will be required to include the criteria and processes, agreed with staff, for identifying staff with significant responsibility for research.”

The first consultation with the REF 2021 Code of Practice Sub-Group has identified a number of challenges in relation to our Activity Plans and the proposal therefore is to adopt an approach that combines data and information from relevant University systems to determine staff with significant responsibility for research.

Table 1 indicates the proposed criteria to be used. Appendix 1 provides an excerpt from REF 2021 Draft Guidance for HEIs and Appendix 2 includes relevant questions for the staff survey, which would need to result in 100% response rate.

Table 2: Criteria for the identification of staff with significant responsibility for research

Staff with significant responsibility for research	Auditable evidence	Response
Contract of Employment (Teaching & Research)	iTrent	Yes/No
OR		
Contract of Employment (Independent Research Fellow)	iTrent	Yes/No
AND		
Explicit time made available (>10%⁺) [see Appendix 2]	Declaring time (Survey)	%
AND		
Explicit time made available (>10%⁺)	Declaring time (Activity Plan)	%
OR(AND⁺⁺)		
Explicit time made available (>10%⁺)	Declaring time (My Contribution)	Objective(s)
AND		
Lead Supervisor - Research Doctorate (≥1)	MyPGR Platform or equivalent source of data	No
AND		
Principal Investigator (≥1 last 5 years*)	PURE	No
Members of staff publishing outputs but do not meet above criteria		
Opt-in	Declaring intention (Survey)	Yes/No
AND		
Published appropriate outputs (≥1 if UoA average ≥2.5)	PURE	No
OR		
Published appropriate outputs (≥2.5 if UoA average <2.5)	PURE	No
OR		
Published appropriate outputs (5 if UoA average <2)	PURE	No

* UKRI calls often explicitly require research leaders to demonstrate independence through a track record of winning grants over a period of 3-5 years. Example from MRC-UKRI: “...well-qualified for academic research having spent at least **the last 3 years in active research**, will be expected to be a proven independent researcher (track record/publications) and demonstrate promise as a future research leader”.

+ The percentage recognises that 10% is normally required for staff to manage own PhD research and that UKRI-funded projects often require a combined percentage of PI(s) and Co-I(s) time to be a minimum of 10% (i.e. 10% would be in line with expectation of funding bodies and prevent potential rejection of UWS CoP).

++ OR becomes AND if submission of populated and agreed Activity Plan is a condition to be eligible for REF 2021 submission.

Annex 1.1: REF 2021 Guidance excerpt on Staff with significant responsibility for research

140. Staff with significant responsibility for research are those for whom:

a. **‘Explicit time and resources are made available’**. Indicators of this could include:

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

b. **‘To engage actively in independent research’**. Indicators of this could include (HEIs are also advised to refer to the indicators of independence, paragraph 130, as additional guidance on this aspect):

- eligibility to apply for research funding as the lead or co-applicant
- access to research leave or sabbaticals
- membership of research centres or institutes within the HEI

c. **‘And that is an expectation of their job role’**. Indicators of this could include:

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

Annex 1.2: Questions for staff survey

Personal Details				
Title	Forename	Surname	School	Staff AD Number (8 digits)
Are you an Independent Researcher? (check one box)	Yes	No		
If Yes please use the box on the right to provide evidence to support your claim. See Indicators below.				

Indicators of research independence include:

- leading or acting as principal investigator or equivalent on an externally funded research project
- holding an independently won, competitively awarded fellowship where research independence is a requirement
- acting as a co-investigator on an externally funded research project
- leading a research group or a substantial work package
- significant input into the design, conduct and interpretation of the research
- eligibility to apply for research funding as the lead or co-applicant
- access to research leave or sabbaticals
- membership of research centres or institutes
- acting as Director of Studies/Lead Supervisor for doctoral student(s)

NB: Staff pursuing their own doctoral degree qualifications are not classified as Independent Researchers even where they have been allocated time allowances for this in Activity Plans/MyContribution.

No.	Do you have significant responsibility for research?	Response
1	I have submitted 2018/19 Activity Plan	Yes/No
2	If (1) is yes, explicit time for research on activity plan [%]	%
3	If (1) is no, I declare explicit time for research to be [%]	%
4	If (1) is no, I declare the following number of research objectives on MyContribution Form	No
5	I am Lead Supervisor for the following number of Doctoral Students	No

Please indicate up to three Units of Assessment that are the best fit with your research activity	

Rationale for the all-staff survey (Draft Code of Practice REF 2021 Guidance): *“Inclusivity: The processes described in the code should promote an inclusive environment, enabling institutions to identify all staff who have significant responsibility for research, all staff who are independent researchers, and the excellent research produced by staff across all protected groups.”*

Do you consider that individual circumstances (see Appendix 7) have constrained your ability to produce research in the period from 1st January 2014? (Check one.) This includes being an Early Career Researcher (ECR).	Yes	
	No	

Completion of survey is voluntary.

Completed surveys to be returned to Alistair Pettigrew by 12pm on 16th September 2019.

Alistair Pettigrew, Senior Manager Global Research Excellence & Partnerships

Research & Enterprise Services

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Appendix 13: Principal's Letter Confirming Staff Agreement

Date: 20/09/2019

Dr Stuart Fancey
Director of Research and Innovation
Scottish Funding Council
Apex 2, 97 Haymarket Terrace
Edinburgh
EH12 5HD



Dear Dr Fancey,

Research Excellence Framework 2021: Code of Practice Assessment Outcome

Thank for your letter of 16th August and comments regarding UWS' REF Code of Practice. I would like to confirm that we have taken every point into full consideration and revised the Code of Practice accordingly. In particular, with reference to your point about our Code of Practice not explicitly confirming that staff agreement has been received for the processes established to identify staff with significant responsibility for research, I would like to confirm the following:

1. The CoP was developed and agreed by the REF Strategy Group's Code of Practice Sub-Group over the course of three consultative meetings in the period from 2 October 2018 to 18 March 2019. The Sub-Group comprised our Senior REF manager, Trade Union representatives (EIS and UCU), Equality & Organisational Development Consultant; Academic leads for UoA3, UoA20, UoA5, UoA24 Sub-Panel member and Early Career Researchers Representative.
2. The CoP was subsequently reviewed and agreed by the University's Research & Enterprise Advisory Committee (REAC) on 20 February 2019 with staff representation from across all academic Schools and relevant departments, raising awareness of the issues in relation to accuracy of the data within academic Activity Plans (AP) with the conclusion that APs alone should not be considered the sole identifier for significant responsibility for research. Clarity on deadlines for Senate were requested as part of the consultation and REAC agreed to create a dedicated web resource.
3. The University Senate, the highest staff representation committee of the University, considered the CoP on 21 March 2019. Senate noted the arrangements for the fair and transparent identification of staff with significant responsibility for research, determining who was an independent researcher and the criteria for selection of outputs and welcomed the focus of CoP on inclusion. Senate approved the draft Code for further consultation with all academic staff across Schools before the final version was submitted to the Scottish Funding Council (SFC) on 7th June 2019.
4. Following approval by Senate the CoP was widely communicated with staff as described in Section 1.4 of the Code (Communication Plan). Table 1 in the Plan details the consultation process.

Taking the above processes into account, I am confident that our Code of Practice for REF2021 contains appropriate processes for identification of staff with significant responsibility for research that have wide staff agreement.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'C Mahoney', is written over a light blue circular stamp.

Professor Craig Mahoney
Principal and Vice-Chancellor
University of the West of Scotland

Vice-Chancellor's Executive Group

Principal & Vice-Chancellor Professor Craig Mahoney

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(Also attached separately)