



REF 2021 - Code of Practice
September 2020

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Part 1: Introduction

Introduction to this Code

1. The University of Bedfordshire will submit its research within the Research Excellence Framework 2021 (REF2021).
2. In its submission preparation, as in its leadership and management of research more broadly, the University will establish and maintain practices that reflect its commitment to the principles of equality in diversity, transparency, accountability, and the consistent treatment of its staff.
3. This Code of Practice outlines the policies and practices that will inform and steer the University's preparation for REF2021. Those policies and practices will maintain the good practice of the University's REF2014 submission process, and will adapt and apply those to the changed specification of REF2021.
4. Central to the University's preparation for REF2021 is its established commitment to the principles of equality and diversity within its mission to reduce the inequalities of outcome which result from socio-economic disadvantage, and as formulated in the Public Sector Equality Duty created by the Equality Act 2010, i.e. to have due regard in this as in other functions, to the need to:
 - Eliminate unlawful discrimination, harassment and victimisation and other conduct that is prohibited by the Act.
 - Advance equality of opportunity between people who share a characteristic and those who do not.
 - Foster good relations between people who share a characteristic and those who do not.
5. The University is also committed, in this as in all its policies, to the ensuring that workers on fixed-term contracts are not treated less favourably than permanent employees doing the same or largely the same job where there is no objective justification for the difference.
6. The University has formal recognition agreements with Unison and with UCU and has long-standing and effective arrangements for consultation and negotiation with members of both Trades Unions, as well as mechanisms by which it consults its staff membership more broadly.
7. In all aspects of this Code of Practice, the University will adhere to its Records

Management Policy and the terms of the Staff Privacy Notice (see paragraph 22 below).

The research context at the University of Bedfordshire

8. The overarching objectives of the University's research strategy, renewed following REF2014, are:
- To maintain our focus on applied research with clearly defined impact that is recognised and valued by stakeholders;
 - To continue to build research excellence on a sustainable basis as an aspect of our institutional profile and reputation;
 - To develop graduates with the ability to identify and lead positive change, through their experience of a curriculum rooted in research within a community characterised by creative enquiry.
9. Our research activity is led by the Directors of our Research Institutes, each of which may incorporate specialist centres. Our Research Institute structure enables researchers from different disciplines and different organizational teams to collaborate with colleagues in generating research with decisive impact on local and/or global challenges, through inter-disciplinary and multi-disciplinary working.
10. Since REF2014, the University has incorporated the work of its Tourism Research Institute (INTOUR) into the Business and Management Research Institute (BMRI); dissolved the Institute of Diabetes for Older People; established the Smart Cities Research Institute. Our research institutes are therefore, currently:
- Business and Management Research Institute (BMRI)
 - Centre for Research in English Language Learning & Assessment (CRELLA)
 - Institute for Applied Social Research (IASR)
 - Institute for Biological and Environmental Science and Technology (iBEST)
 - Institute for Health Research (IHR)
 - Institute for Research in Applicable Computing (IRAC)
 - Institute for Research in Education (IRED)
 - Institute for Sport and Activity Research (ISPAR)
 - Research Institute for Media, Art and Performance (RIMAP)
 - Smart Cities Research Institute (SCRI)
11. Our research institute membership policy (available on the University intranet) is transparent and inclusive while also providing a suitable forum for collaboration among senior researchers and the organisation of complex research projects. It allows those who are still at the formative stage of research development to become associate members, while those who have significant responsibility for research and a record of research excellence are full members, working alongside funded Research Institute

members engaged in specific funded projects. Associate members of Research Institutes are staff who are currently active in research and/or knowledge exchange through the generation of outputs, or through leading/contributing significantly to research dissemination, knowledge exchange or the commercialisation of research activity, or are active in the research-led supervision of postgraduate research students. Full members of research institutes are academic staff (including fixed term and part time staff) who are generating research outputs confirmed by the Research Institute Director as of 3* quality, in an area of research relevant to the Research Institute, and have a record of postgraduate (PGR) research supervision. Staff identified as Early Career Researchers, using REF methodology are associate members. Transition from associate to full membership is assessed annually by Research Institute Directors and communicated by them to the staff member, with a record maintained at the Research Institute Board. Postgraduate research students are also recognised as PGR members of research institutes and represented on their Boards.

12. There is no requirement for staff eligible for submission to REF2021 to be members of a Research Institute or any specific Research Institute associated with their field of research.
13. The governance of research conducted by Research Institutes is secured through Research Institute Boards (RI Board; see terms of reference in Appendix C.v) that report periodically through meeting minutes and annually through a monitoring report to the University's Research and Knowledge Exchange Committee (RKEC; see terms of reference in Appendix C.ii.), and through the direct oversight of Faculty activity by Faculty Academic Boards, which report to the Academic Board and are chaired by Faculty Executive Deans (see terms of reference in Appendix C.iv. and C.i. respectively). Faculty Academic Boards, and the RKEC report to Academic Board, which has overarching responsibility for the academic governance of the University.
14. Since 2013, the University has broadened the range of STEM subjects in which it teaches and researches, and the current focus of research in iBEST and IRAC, as well as the establishment of the Smart Cities Research Institute, reflects this. Our research support service has been restructured and the Innovation and Enterprise Service now provides integrated support for research and knowledge exchange activity, including support for external funding applications and collaborative projects.

Principal accountabilities for REF2021 preparation

15. As Chair of the Research and Knowledge Exchange Committee that reports to the Academic Board, the DVC(A) is accountable to the Academic Board for the preparation and finalisation of the University's REF2021 submission, and for this Code of Practice.
16. UoA Leads are accountable to the RKEC Chair (and thereby to the Academic Board)

for the quality and confidentiality of individual decisions in respect of staff and outputs presented to the UoA Leads Group, chaired by the RKEC Chair, for their review and where appropriate recommendation within the submission to RKEC and the Academic Board. UoA Leads are also responsible for the proposal of any discipline-specific variations to the UoA Leads Group for consideration and, where appropriate, recommendation for formal approval and recording by RKEC. Research Institute Directors are responsible for the promotion of the research activity that underpins this preparation process; for ensuring that invitations to participate are clear and inclusive, and for communicating confidentially the outcomes of decisions to individual staff affected by them and maintaining an auditable record of those decisions and discussions.

17. The University has established a UoA Leads group (as it did in preparation for REF2014), with the following terms of reference:

- To be accountable for the preparation of the University's submission to REF2021,
- To liaise with Research Institute Directors, Faculty Executive Deans and Heads of School in the process of this preparation, to ensure the principles of fairness, transparency, inclusivity and confidentiality are appropriately maintained
- To recommend, where necessary, policies and actions related to REF2021 to relevant University committees
- To report to the Research and Knowledge Exchange Committee on the progress of preparation activity
- To provide a forum for sharing practice across UoAs and for ensuring that, excepting legitimate disciplinary difference, practice in relation to each potential UoA submission is accountable, transparent and consistent both across UoAs, with University policy, with REF2021 specifications and with this Code of Practice.

18. Membership of the UoA Leads Group is as follows

- RKEC Chair (Chair)
- Academic lead nominees for all units of assessment to which are allocated academic staff who are on eligible contracts, in eligible functions, with the status of independent researchers and significant responsibility for research
- Director of HR
- Director of Strategic Planning and Projects
- Head of Research Development
- Director of Innovation and Enterprise

19. UoA Leads, members of the UoA leads group and the RKEC, Research Institute Directors, Heads of School/Department, and members of appeals panel described below will receive training on the implementation of this policy in line with the principles of equality and diversity in June/July 2019. This specific training builds upon the University's existing provision of Equality and Diversity training to all staff.

Preparation and finalisation of the Code of Practice

20. The University has organised its preparation for REF2021 to ensure that the academic leadership of its senior researchers is recognized and used appropriately, to secure transparency, consistency and accountability at each stage. Each Unit of Assessment (UoA) under preparation is led by a senior researcher who is a member of the research institute most closely aligned to the subject of that UoA. UoA leads will work closely with Research Institute Directors (where these are different) and Heads of Schools/Departments, to ensure that researchers are kept fully informed of the progress of the proposed submission and their own role within it. The Research Institute Director will have formal responsibility for communicating decisions relating to individual staff.
21. This policy has been approved by the Academic Board and by the University's Equality and Diversity Committee (see terms of reference in Appendix C.iii). The process for identifying staff with significant responsibility for research has been agreed with the university's two recognised Trades Unions - UCU and Unison (see Appendix D). The draft Code, prepared by the Chair of the Research and Knowledge Exchange Committee and the Head of Research Development was disseminated for feedback and comment to Research Institute Directors (and thereby their members), Faculty Executive Deans (and thereby Faculty staff), and Trades Union representatives (and thereby their members).

Dissemination and monitoring of the Code of Practice

22. To ensure transparency, the Code of Practice (once approved by the Academic Board) will be disseminated through the University's intranet site and its external website. In addition to being reviewed by approving committees and groups (see above), it will be presented to the University's Strategic Leadership Team, comprising 80-100 managers, and to Faculty Academic Boards and to Research Institute Boards.
23. Between September and December 2019, the Chair of the RKEC, the Head of Research Development, and the UOA Leads will operate a series of workshops across all main campuses, for staff, and for postgraduate research students (as prospective researchers). These workshops will focus on the operation of the Code of Practice and its associated processes. A further set of workshops will be offered in May 2020 for staff new at that point.
24. These workshops will include presentation of a data collection statement (adapted from the template available from Research England and including a link to the University's privacy notice), and these will be available to staff on the University intranet and provided in hard copy to all staff and previously employed staff who are included in the

REF2021 submission, by the end of July 2020.

25. HR will communicate the Code of Practice to those on long-term absence, and will make arrangements for them to receive briefings on the processes it describes, on an individual basis. The above workshops will be recorded and made available to those on long-term absence through the University's online platform BREO (accessible both on-campus and remotely).
26. The Code of Practice will implement institution-wide policy and practice on a consistent basis, with any differences confined to those identified and recognized as such by members of the discipline and the UoA leads group. Definitions of core University activities (for example scholarship and research) will be consistently applied and consistent with established University policy and practice, as will their specification in associated practices (such as the treatment of staff postgraduate research-degree study as staff development within the established workload planning framework).
27. An Equality Impact Assessment (EIA) will be conducted on this policy in May/June 2019, and reviewed by the Equality and Diversity Committee. An external post-implementation EIA of this policy will be conducted in May 2021, on the same basis.
28. Progress in the effective implementation of this Code of Practice will be monitored by the RKEC Committee for the duration of its application to the REF2021 exercise.

Part 2: Identifying staff with significant responsibility for research

Policies and procedures

29. The University recognises the value to its mission and its stakeholders of an academic community that combines researchers, professional practitioners, and members with specific and significant expertise in the support of student learning. Members of academic staff do not, therefore, in all cases have significant responsibility for research.
30. The University will submit to REF2021 all eligible staff who have significant responsibility for research, as established through the allocation of roles and responsibilities.
31. Individual roles and responsibilities are allocated (annually) through the University's Performance Development and Appraisal framework, and planned using the University's academic workload planning system. The workload planning framework has been operational since 2014, without material change to its principles, and was developed in collaboration between the DVC(A), Faculty Executive Deans and Heads of School, HR and UCU to ensure fair and consistent application at all levels within the University. In this online system, workload is approved by Heads of School, after discussion with staff members and in collaboration with Research Institute Directors where appropriate, and a record maintained by the staff member and the Head of School for review (for broad accuracy) at the end of the academic year. The University's annual TRAC returns are based on this data, which is archived and subject to review at Faculty level for consistency and transparency.
32. Within this framework, the University recognises staff as having significant responsibility for research where (within the annual workload plan or in the annual summative Performance Development and Appraisal [PDA] record) one of the following criteria is met:
- a) 25% of their overall allocated work time has been allocated to research across two consecutive years since 2017-18 or since appointment (where this is more recent);
 - b) 25% of their overall allocated work time was allocated to research across two consecutive years
 - c) The combined evidence of PDA and workload planning demonstrates a trajectory towards 25% allocation in 2019-20, based on recent transition to independent and/or significant research responsibility, with evidence of this as expected to be sustained;
 - d) There is evidence in the PDA and workload planning systems of one or more periods of significant intensive research allocation equivalent to point a (above)

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| <p>and in relation to a specific project;</p> <p>e) A staff member is an independent researcher and has significant responsibility at the levels defined immediately above for a funded research-related project.</p> <p>33. Where individual staff circumstances impact on the viability of these criteria (including on the basis of the process described in Part 4 below), this will be noted within the PDA process and raised with the relevant UoA lead and Head of School for action in planning the research progress of the staff member.</p> <p>34. Staff will be informed of their status in this regard, in January-February 2020, and thereafter at annual PDA meetings, by their Head of School.</p> <p>35. HR will communicate with those on long-term absence and individual arrangements to keep them informed.</p> |
| <p>Development of process(es)</p> |
| <p>36. This process has been developed, consulted on, and agreed with staff representative groups, and communicated to staff as outlined in Part 1: Introduction.</p> |
| <p>Staff, committees and training</p> |
| <p>37. Research Institute Directors will liaise with Heads of Schools and Deans to review workload plans over the period identified in paragraph 32 (above), in October-December 2019.</p> <p>38. Staff will be informed by their Head of School/Department of the outcome of this review in January-February 2020, and thereafter at annual PDA meetings.</p> <p>39. A record of these meetings, and of the basis of the review outcome for each staff member will be made by the Head of School, shared with the staff member involved, and retained on the central HR file, maintaining.</p> <ul style="list-style-type: none"> • An anonymised summary of Faculty staff and the outcomes of this review will be considered by Faculty Academic Boards in July 2020, • Faculty Academic Boards will report to the Academic Board on the overall outcome of this process, in October 2020; and report their EIAs to the Equality and Diversity Committee in July 2020. <p>40. Between September and December 2019, the Chair of the RKEC, the Head of</p> |

Research Development, and the UOA Leads will operate a series of workshops across all main campuses, for staff, and for postgraduate research students (as prospective researchers). These workshops will focus on the operation of the Code of Practice and its associated processes. A further set of workshops will be offered in May 2020 for staff new at that point.

41. HR will communicate the Code of Practice to those on long-term absence, and will make arrangements for them to receive briefings on the processes it describes, on an individual basis. The above workshops will be recorded and made available to those on long-term absence through the University's online platform BREO (accessible both on-campus and remotely).
42. HR will also communicate review outcomes to those on long-term absence and will make any arrangements necessary for them to discuss those outcomes with their Head of School to ensure transparent and fair dissemination of information to all staff involved.

Appeals

43. To provide a fair, consistent and transparent means by which staff may appeal decisions made in respect of their research responsibility, an Appeals Panel, independent of the operation of the initial selection process, will be established by RKEC and approved by the Academic Board in July 2019, to comprise
 - an academic member of the Equality and Diversity Committee (who is not a member of the UoA leads group or an RI Director)
 - The current external advisor to the Research Degrees Committee
 - Director of HR (Chair)
44. Valid bases for appeal (on the basis of the record of outcome retained by HR) will be
 - Incorrect application of the Code of Practice
 - Employment status disadvantage
 - Individual circumstances rendering either of the above applicable
45. Appeals will be heard within one month of their submission. The appellant will be invited to meet the panel, following submission (to HR) of their basis for appeal, and may be accompanied by a Union representative or another colleague. The outcome of appeals will be communicated through HR to the individual staff member and to the UoA lead if there is any status change impacting on preparation for the REF2021 submission.

Equality impact assessment

46. To ensure fairness and transparency, an external Equality Impact Assessment will be conducted on this policy in May/June 2019, and reviewed by the Equality and Diversity Committee.
47. Faculties will conduct Equality Impact Assessment on the implementation of this process (conducted by a senior Faculty academic not directly involved in the review or the allocation of workload) for review by Faculty Academic Board in July 2020.
48. The outcomes of the Faculty Academic Board review of the EIA will be reported to the Equality and Diversity Committee in July 2020 for review and any action indicated.
49. A post-implementation external EIA of this Code of Practice, including the operation of this policy and process, will be conducted in May 2021, and reviewed by the Equality and Diversity Committee.

Part 3: Determining research independence

Policies and procedures

50. An independent researcher is defined in paragraphs 131-133 of the REF2021 '[Guidance on Submissions](#)' as "an individual who undertakes self-directed research, rather than carrying out another individual's research programme".

The funding bodies have provided several possible indicators of research independence in relation to funded projects, which the University has used as the basis for the criteria below.

It is important to note that each indicator may not individually demonstrate independence, and where appropriate multiple factors may need to be considered. The criteria used will be:

- Acting as principal investigator or equivalent on an externally funded research project.
- Leading a discrete and substantial work package of a large externally funded research project, which is equivalent to a principal investigator role on a responsive mode grant.
- Holding an independently won, competitively awarded fellowship where research independence is a requirement. An illustrative, but not exhaustive, list of independent fellowships has been provided by the funding bodies and can be found at www.ref.ac.uk, under [Additional Guidance](#).
- Recruited to an internally-funded fellowship where independent research is a requirement of the role.

51. The University considers independent researchers to be staff who

- a. Work to a contract that includes research responsibility and are not currently supervised in that research
- b. are not attached by contract to a specific project in which the research independence is provided by another individual

52. Research assistants (sometimes also described as research associates or PDRAs) are defined in paragraphs 129-130 of the REF2021 '[Guidance on Submissions](#)' as academic staff whose primary employment function is 'research-only', and are employed to carry out another individual's research programme rather than as independent researchers in their own right. They are usually funded from research grants or contracts, but they may also be funded internally.

Research assistants are not eligible to be returned to the REF unless exceptionally they meet both the definition of an independent researcher (see points 50 and 51 above) and the core eligibility criteria on the census date.

53. Staff on research contracts at grades 6 and 7 are not expected to be independent researchers and most likely meet the REF definition of a research assistant. Staff at these grades who feel that, exceptionally, they meet both the definition of an independent researcher and the core eligibility criteria, can provide evidence together with a request that their independence be considered by their unit, within the annual PDA process.

54. Staff on research contracts at grade 8 should be working towards independence, through regular publication of high quality research outputs as a main author and winning external funding to support independent research. However, it is recognised that not all research-contract staff at this grade will meet the definition of an independent researcher as defined by the funding bodies for the purposes of REF 2021. The research independence of all 'research-only' staff at grade 8 and above will therefore be systematically determined by through the annual PDA process.

Staff, committees and training

55. Heads of School will review each individual staff member's status against the criteria for research independence between October and December 2019, within the annual PDA process.

56. Thereafter the process will be as in Part 2, paragraphs 41-42 (above).

Appeals

See Part 2 (above)

Equality impact assessment

57. To ensure fairness and transparency, an external Equality Impact Assessment will be conducted on this policy in May/June 2019, and reviewed by the Equality and Diversity Committee.

58. Faculties will conduct Equality Impact Assessment on the implementation of this process (conducted by a senior Faculty academic and confirmed by HR) for review by Faculty Academic Board in July 2020.
59. The outcomes of the Faculty Academic Board review of the EIA will be reported to the Equality and Diversity Committee in July 2020.
60. A post-implementation EIA of this Code of Practice, including the operation of this policy and process, will be conducted in May 2021, by the Equality and Diversity Committee.

Part 4: Selection of outputs

Policies and procedures

61. To ensure a fair and transparent process applied across all UoAs, the outputs selected for submission will be chosen on the basis that selected outputs will be

- Eligible for submission as a research output for the submitting UoA (as defined in the REF 2021 '[Guidance on Submissions](#)' document);
- Publicly available by the REF 2021 deadline (December 31, 2020)
- Attributable to a current or former Category A staff member associated with the submitting UoA;
- In scope of the submitting UoA;
- Compliant with the REF2021 [Open Access requirement](#)

The above principles are in line with the current REF 2021 guidance.

62. Where any staff member has been made formally compulsorily redundant other than as a consequence of the end of a fixed term contract, Research Institute Directors will consult with the former staff member and reach a signed agreement on the submission for review, or otherwise, of the outputs produced while the former staff member was in employment at UoB.

63. Where, following the application of the criteria outlined in paragraph 61, the volume of UoA-eligible outputs exceeds the permissible output volume in relation to the number of staff eligible for submission as independent researchers with significant responsibility for research, outputs for submission will be selected on the basis of their relative quality as evidenced by:

- academic rigour and significance
- significant and original contribution to the overall body of knowledge in the relevant subject area
- representation of the research excellence characteristic of the relevant Research Institute, as determined on the basis of annual research reporting to RKEC.

64. To ensure academic staff are continuously supported in their research development, Research Institute Directors conducted a mid-cycle peer review of research outputs and research support in 2016, and used the outcomes of this review to inform their guidance to individual staff and the provision and allocation of Research Institute support.

65. All University staff were invited to submit outputs for review in July 2018, and this invitation will be repeated in July 2019 and February 2020.

Staff, committees and training

66. Between September and December 2019, the Chair of the RKEC, the Head of Research Development, and the UOA Leads will operate a series of workshops across all main campuses, for staff, and for postgraduate research students (as prospective researchers). These workshops will focus on the operation of the Code of Practice and its associated processes. A further set of workshops will be offered in May 2020 for staff new at that point.
67. Within the formal preparation process for REF2021, the first review of submitted outputs will be completed by the UoA lead, or the Institute's publication committee, on the basis of at least one external review conducted by a reviewer approved by the RKEC Chair and contracted to undertake that review. External reviewers will offer their independent view of the publications, underpinned by the above rationale of academic rigour and significance.
68. UoA Leads will document the basis of their decision in light of the criteria above, and submit their record to the central HR record to ensure confidentiality.
69. Research Institute Directors will, after each review, advise individual staff members of the outcomes of review and the reasons for non-selection of any outputs attributable to and/or nominated by an individual staff member.
70. This formal review process will be completed for all eligible outputs by 31st January 2021.
71. HR will also communicate outcomes to those on long-term absence and will make any arrangements necessary for them to discuss those outcomes with their Head of School.
72. Faculties will conduct Equality Impact Assessments (conducted by each Research Institute Director) on the selection of outputs from the total volume put forward by staff members, in January 2021
73. The outcomes of the Faculty Academic Board review of the EIA will be reported to the Equality and Diversity Committee in April 2021.

Staff circumstances

74. Staff individual circumstances are identified in paragraphs 151 -163 of the published REF2021 ['Guidance on Submissions'](#).

75. Declaring individual circumstances remains voluntary. Staff are free to declare individual circumstances at any point from the point at which the declaration form, developed by HR, is made available (July 2019) and no later than 3 months before the census date for staff circumstances.
76. The completed form will be submitted by a staff member to HR, where a designated professional will collect and store these in accordance with the Data Protection Act 2018/GDPR principles (as outlined in the UoB policies on data management, including the Records Management Policy and Staff Privacy Notice). HR will communicate directly with the staff member to discuss any matters associated with the declaration.
77. The University does not have a set expectation of how many outputs individual staff members will contribute to the output pool. Where individual staff circumstances have had exceptional effect upon an individual's performance and ability to research productively throughout the period, HR will advise the respective UoA lead and Head of School, so that:
- In consultation with the affected individual, the Head of School and the UoA lead can make appropriate adjustments to the expectations of the individual's contribution, and increase the support offered to their research work;
 - Where appropriate, a formal reduction in the individual's contribution to the UoA output pool can be made, according to 'Annex L' of '[Guidance on Submissions](#)';
 - Where necessary, a reduction can be sought to the total number of outputs required for the submitting unit to which the individual belongs
78. Each declaration will be considered in light of the information that the staff member includes in it. There will be no preferential or differential treatment of different types of individual circumstances declared.

Equality impact assessment

79. To ensure fairness and transparency, an external Equality Impact Assessment will be conducted on this policy in May/June 2019, and reviewed by the Equality and Diversity Committee.
80. Faculties will conduct Equality Impact Assessments (conducted by each Research Institute Director) on the selection of outputs from the total volume put forward by staff members, in January 2021
81. The outcomes of the Faculty Academic Board review of the EIA will be reported to the Equality and Diversity Committee in April 2021.
82. A post-implementation EIA of this Code of Practice, including the operation of this policy

and process, will be conducted in May 2021, by the Equality and Diversity Committee. This will include review of the selection of outputs in relation to anonymised data on protected characteristics and staff circumstances (subject to the requirements for individual anonymity).

Part 5: Appendices

Appendix A: Calendar

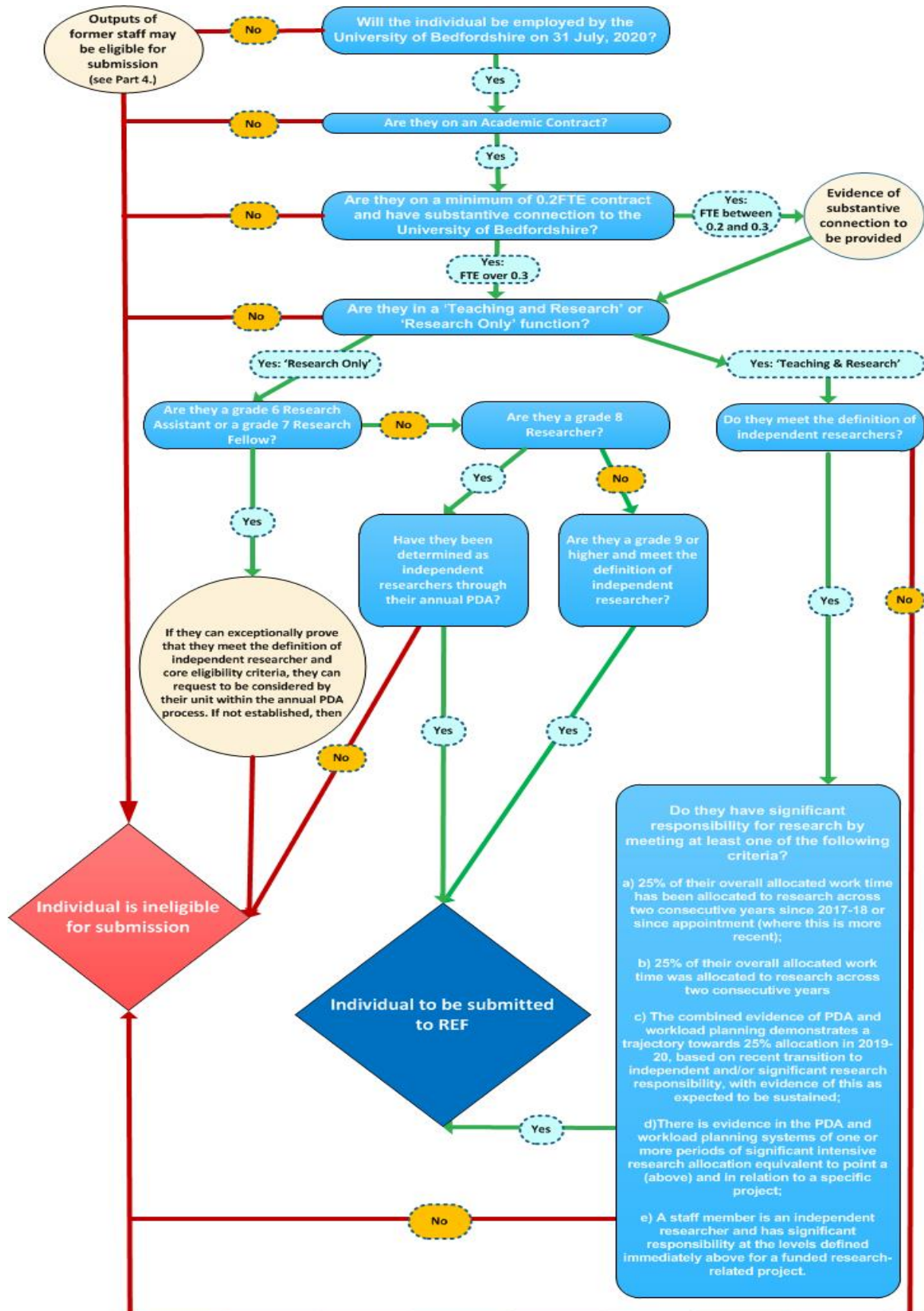
Timetable for preparation (key dates)

| Date | Item |
|------------------|--|
| 1 January 2000 | Impact achievement period start |
| 1 August 2013 | Doctoral award period start & research and impact environment start |
| 1 January 2014 | Publication period start |
| July 2018 | First invitation to all staff to submit outputs for review |
| May 2019 | Equality and Diversity Committee Meeting |
| May – June 2019 | Equality and diversity impact assessment (EIA) on staff selection process |
| June 2019 | Dissemination of approved Code of Practice on internal and external website |
| 7 June 2019 | Submission of Code of Practice |
| June – July 2019 | Training on implementation of Code of Practice to the following staff members and groups: UoA leads, members of the UoA leads group and the RKEC, Research Institute Directors, Heads of School/Department and members of Appeals Panel |
| July 2019 | <ol style="list-style-type: none"> 1. HR to commence communication of Code of Practice and its associated policies with staff on long-term absence 2. Establishment of Appeals Panel 3. Staff circumstances declaration form to be made available 4. Second invitation to all staff to submit outputs for review |
| September 2019 | Allocation of staff to UoAs |
| Autumn 2019 | Launch of official REF Pilot submission system |

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| September – October 2019 | Briefing sessions on selection of staff process |
| September – December 2019 | Provision of briefing and training (workshops) to staff and postgraduate students on the Code of Practice and its associated processes. |
| October – December 2019 | Review of workload plans by Research Institute Directors in liaison with Heads of Departments and Deans within the annual PDA process |
| October – December 2019 | Review of research independence and significant responsibility staff status |
| December 2019 | Submission of requests for exclusion of UOA |
| Early 2020 | Launch of official REF submission system |
| January – February 2020 | Staff to be informed of outcomes of: <ol style="list-style-type: none"> 1. Workload plans review 2. Research independence status review 3. Significant responsibility status review |
| February 2020 | Third invitation to all staff to submit outputs for review |
| February – March 2020 | Staff selection appeals heard within a month from communication of appeal process to staff |
| March 2020 | <ol style="list-style-type: none"> 1. Faculty Equality and diversity impact assessment (EIA) 2. Application for any removal of min 1 output for staff with exceptional individual circumstances |
| End of April 2020 | Completion of voluntary declaration of staff circumstances (later for any new staff) |
| May 2020 | New staff training workshops on staff selection process |
| July 2020 | Faculty Academic Boards to: <ol style="list-style-type: none"> a. Review the outcomes of an anonymised summary of faculty staff b. Report their staff selection EIAs to the Equality and Diversity Committee |
| 31 July 2020 | Census date for staff, income and awards |

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|------------------|---|
| October 2020 | Faculty Academic Boards to report the outcomes of the review of the anonymised summary of faculty staff to Academic Board |
| January 2021 | <ol style="list-style-type: none"> 1. Completion of formal output selection review process by 31st January 2021 2. EIA on output selection process |
| 31 March 2021 | REF submission deadline |
| April 2021 | Outcomes of Faculty Academic Board review on output selection EIA to be reported to Equality and Diversity Committee |
| April 2021 | Anticipated window for delivering physical outputs to the REF team |
| 31 December 2020 | Publication cut-off for outputs, and impact achievement endpoint |
| May 2021 | Conduction of external post-implementation Equality and Diversity Impact Assessment (EIA) on implementation of Code of Practice |
| 1 June 2021 | Deadline for providing redacted versions of REF3 and REF5a/b templates and corroborating evidence held for impact case studies |
| 30 July 2021 | Deadline for submission of final versions of codes of practice, equality impact assessments and staff circumstances reports |

Appendix B: Identifying staff to be submitted



Appendix C: Terms of Reference

i. Academic Board – Terms of Reference

In accordance and subject to the provisions outlined in paragraphs 5 and 6 of the University's Articles of Government, the Academic Board is responsible for discharging the following responsibilities:

1 University Strategy

- 1.1 To ensure that the academic activities of the University support its mission and values and the delivery of its strategic plan.
- 1.2 To plan, coordinate, develop and oversee all aspects of the academic work of the University, including the monitoring of performance through the use of relevant indicators, benchmarks and targets.
- 1.3 To ensure a shared understanding and approach to the academic work of the University.
- 1.4 To provide equality and effective opportunity for all students to achieve intended learning outcomes.

2 Academic Standards

- 2.1 To establish and maintain academic standards for all of the awards for which the University is responsible with due reference to external reference points and expectations.
- 2.2 To approve new courses and the periodic review of all courses, in conjunction with professional, statutory and regulatory bodies (PSRBs) where applicable.
- 2.3 To monitor and ensure the completion of actions taken in response to the recommendations or requirements of regulatory or inspecting bodies.

3 Academic Regulations, Policies and Procedures

- 3.1 To arrange for the admission of students and to determine and review the entry criteria for admission to the University.
- 3.2 To oversee and monitor the effective operation of the University's Academic Regulations and approving changes where necessary, including policies and procedures for:

- (a) Examining and assessing student performance, convening examination boards and awarding qualifications
 - (b) the appointment and removal of internal and external examiners
 - (c) student academic appeals
 - (d) expulsion of students for academic reasons
 - (e) awarding and rescinding honorary academic titles
- 3.3 To establish, monitor and ensure the effective operation of quality assurance procedures and the attainment of threshold academic standards for all awards.

4. Academic Infrastructure

- 4.1 To maintain oversight of the effective organisation and operation of the University's administrative and management structures for supporting academic activity and the learning infrastructure.
- 4.2 To approve term dates, to include reference to the duration of courses outlined in their validation documents.

5 Academic Portfolio

- 5.1 To oversee the planning, monitoring and development of subjects and the design of the course portfolio and curriculum.
- 5.2 To review and consider the performance of courses, including student retention, opportunities for student development, progression and achievement.
- 5.3 To approve new courses and to confirm the withdrawal of existing courses.

6 Student Experience

- 6.1 To implement and monitor mechanisms to facilitate the student voice and to secure and act upon students' views and feedback.
- 6.2 To ensure that the quality of the student experience is enhanced through the student learning experience.
- 6.3 To monitor graduate outcomes and ensure the ongoing development and delivery of opportunities for the enhancing the employability of students.
- 6.4 To ensure that staff engaged in academic work are appropriately qualified and experienced to deliver their responsibilities.
- 6.5 To identify and ensure the availability and take-up of training and

development activities by staff to improve professional practice, support and develop the curriculum, and enhance the quality of the student learning experience.

7 Strategic Partnerships and Collaborations

- 7.1 To oversee the development, delivery and effectiveness of UK and international partnership strategies.
- 7.2 To approve the academic aspects of new partnership agreements and partnership renewals, informed by appropriate due diligence and evidence to demonstrate that the proposed partner can deliver their designated role in the collaboration.
- 7.3 To monitor the student experience, consistency of academic standards and the management and delivery of University awards by partner institutions.
- 7.4 To approve the termination of partnership arrangements and, in such cases, to ensure the development and delivery of an exit strategy that clearly outlines the responsibilities of partners and safeguards the interests of students.

8 Widening Participation and Access

- 8.1 To oversee the development, delivery and effectiveness of strategies to widen participation and access.
- 8.2 To monitor and ensure the delivery of the targets and commitments outlined in the University's access agreement.

9 Research and Enterprise

- 9.1 To ensure the development, delivery and monitoring of the University research and enterprise strategy and to provide strategic oversight of research and enterprise activities.
- 9.2 To ensure the suitability of the environment offered by the University for undertaking research and for learning about research methods, procedures and protocols.
- 9.3 To approve and maintain oversight of structures, policies and procedures to ensure compliance with good practice in research ethics and relevant codes of practice for research.

10 Committees and Working Groups

- 10.1 To establish and delegate authority to committees and working groups as the Academic Board deems necessary to support its work and to disband

such committees and working groups as it deems necessary.

- 10.2 To approve and amend the structure, terms of reference and membership of committees and working groups that report to the Academic Board.
- 10.3 To oversee and give direction to committees and working groups by overseeing their programmes of work or action plans, receiving reports and minutes of their meetings and considering any recommendations, matters of concern or comments that they might wish to raise.

11 Communication and Dissemination

- 11.1 To provide a report to each scheduled meeting of the Board of Governors that summaries the business conducted at its meetings and any issues of importance that it wishes to raise for discussion or note.
- 11.2 Ensuring the effective communication and dissemination within the University of its decisions and the identification and sharing of good practice.

12 Provision of Advice and Representations

- 12.1 To advise the Board of Governors and the Vice Chancellor on any matter that they may refer to the Academic Board for advice.
- 12.2 To advise the Vice Chancellor and the Board of Governors on matters of resourcing necessary to support the academic work of the University and the effectiveness of resource provision allocated for this purpose.
- 12.3 To make representations to the Board of Governors on any academic matter
- 12.4 To elect a member of the Academic Board to serve as a member of the Board of Governors.

MEMBERSHIP

The maximum number of members of the Academic Board permitted by paragraph 6.1 of the University's Articles of Government is 30. Paragraph 6.2 of the Articles also requires that the majority of the members of the Academic Board must be drawn from those occupying posts of at least the level of head of department in academic and related departments.

Members of the Corporate Management Team who are not otherwise members of the Academic Board may attend meetings as observers.

The membership shall be:

| | |
|------------------------------|---|
| Chair | Vice Chancellor |
| Other ex-officio members | Deputy Vice Chancellor (Academic) Deputy Vice Chancellor (External Relations) Executive Deans of Faculties Executive Dean, Centre for Academic Partnerships Academic Registrar University Registrar Director of Learning Resources and Service Excellence Director of Academic Development Director for Student Experience President of Beds SU |
| Elected and co-opted members | <ul style="list-style-type: none"> - Two elected teaching staff members from each faculty, one of whom shall be Head of School/Department - One elected member of full-time teaching staff elected by the full-time teaching staff - One elected member of full-time professional support staff elected by the professional support staff - One student |

QUORACY

The quorum is half the membership, rounded down to the next whole number where the calculation results in a fractional number.

TERM OF OFFICE FOR MEMBERS

Elected, co-opted and appointed members serve for a term of two years. This is normally extendable subject to a maximum of two terms of office.

FREQUENCY OF MEETINGS

The Academic Board meets at least four times per annum. The Chair, in consultation with the Secretary to the Academic Board, may vary the schedule of meetings or arrange an extraordinary meeting, as circumstances dictate.

REPORTING RELATIONSHIPS

The Academic Board reports to the Board of Governors.
The following committees and groups report to the Academic Board:

| Name of Committee | Sub-Committee / Sub Groups reporting to the 'parent' Committee |
|---|--|
| The Teaching Quality and Standards Committee (TQSC) | Partnerships Quality Assurance Committee* (dotted line of responsibility direct to the Academic Board) External Examiner Committee (EEC) dotted line of responsibility direct to the Academic Board) Faculty Teaching Quality Standards Committees Task Groups reporting to TQSC: - Annual Monitoring Task Group - Periodic Task Group - Course Approval Task Group - Regulations Task Group - PSRB Monitoring Group |
| The Student Learning & Success Committee (SLSC) | - Employability Action Group - Retention and Performance Action Group - Student Partnership Committee - Teaching, Learning and Assessment Group |
| University Research Degrees Committee (RDC) | |
| The Research & Knowledge Exchange Committee (RKEC) | |
| The Student Liaison Committee (SLC) | |
| The Faculty Academic Boards (FAB) | Research Institute Boards Portfolio Executive Committees |
| The Scheme Board (Undergraduate and Postgraduate) | UG Portfolio Examination Boards PG Portfolio Examination Boards |
| Honours Committee | |
| Professorial Promotions Panel (PPP) | |

ii. Research, Knowledge and Exchange Committee - Terms of Reference

In accordance with paragraph 5.2 of the Articles of Government, the Academic Board has delegated authority to the University Research Committee for the following:

1. To promote research, enterprise and scholarship within the University, and oversee the implementation of the University's strategies and plans for these areas, enhancing their impact on University profile and reputation, the student and staff experience, and the sustainability of the University
2. To plan and monitor the progress of plans to develop the University's performance in outputs, impact and environment within the research excellence framework or its successor, and to advise Academic Board on a proposed strategy for strategic investment in specific research areas
3. To draft and review periodically the University's key policies and strategy in research and enterprise and to make recommendations thereon to Academic Board
4. To provide advice on the preparation of University returns to external stakeholders in relation to research and enterprise
5. To monitor and report on changes in national and regional policies and contexts relevant to enterprise and research at the University
6. To monitor and enhance the experience and performance of staff and students at the University, in relation to research and enterprise, with particular cross-reference to the University's mission and its diverse membership
7. To support members of the University to exploit significant sources of funding for research, enterprise and scholarship individually and in groups
8. To support the professional and academic development of staff in research and enterprise activity, postgraduate supervision and peer mentoring, by overseeing the planning of conferences, seminars and other developmental activities
9. To support the work of the Research Ethics Committee by ensuring that research, enterprise and scholarly activity are conducted according to sound and externally recognised principles and requirements
10. To monitor progress in the preparation of bids for external funding and the outcomes of those bids
11. To keep under review the University's provision of postgraduate research opportunities, by programme type and subject area, and to monitor and enhance the quality of provision in relation to existing and new activity

12. To report to Academic Board and to liaise with other University committees and groups on issues relating to research, enterprise and scholarship
13. To monitor the progress of Faculties, institutes and groups responsible for delivery of research and enterprise, and their plans for research and enterprise activity and development
14. To provide a forum for the initiation and progress of collaborative and multi-disciplinary activity in research and enterprise on the basis of shared information about opportunities and capabilities
15. To monitor the balance of resource, costs, income and output across research and enterprise activities, advising Academic Board on that basis

MEMBERSHIP:

| | |
|-------------------------------|---|
| Chair | Deputy Vice Chancellor (Academic) |
| (Academic) Ex-officio members | Executive Deans of Faculty |
| | Director of Research Development |
| | Director or representative of each Research Institute |
| | Director of Innovation & Enterprise |
| | Director of Academic and Organisational Development |
| | Chair of the Research Ethics Committee |
| | Director of Learning Resources and Service Excellence |
| | One representative from each of the following areas, as required by each agenda - ICT, Finance, Estates |

QUORACY

The quorum is half the membership, rounded down to the next whole number where the calculation results in a fractional number.

TERMS OF OFFICE

Appointed and co-opted members will normally serve for a period of three years, normally extendable for one further year.

FREQUENCY OF MEETINGS

The Committee will normally meet on three occasions in an academic year. The Chair, in consultation with the Secretary and in response to the weight of business on the agenda, may vary the schedule of meetings or arrange an extraordinary meeting, as circumstances dictate.

Substitutes are not normally allowed, other than by agreement of the Chair.

REPORTING RELATIONSHIPS

The Research Committee reports to the Academic Board after every meeting. The Committee will also prepare an annual summative report for the Academic Board.

iii. Equality and Diversity Committee - Terms of Reference

Constitution

1. To promote equality for all staff and students across the University by removing barriers related to protected characteristics, progression and achievement for both staff and students across the University;
2. To identifying areas for review, improved practice and development of policy and procedure where matters of equality and diversity are directly and indirectly impacted upon;
3. To monitor and review data and information from a range of sources related to equality of opportunity and protected characteristics.
4. To assess and evaluate the University's compliance with legislation, external bodies and current regulatory duties in support of equality. This may include the monitor and review of relevant case law relating to equality and diversity in the workplace and utilise external examples to strengthen policy, practice and inform the management of associated risk.
5. To advise on the development of internal policy and practice using the review of internal data, Equality Impact Assessments, criteria for key quality marks, UK Quality Code for HE and other information relating to the sector where relevant to Equality and Diversity.
6. To ensure an institutional plan of action is current so that equality is translated into programmes of action within all areas of the University, including faculties, academic departments and support/administrative departments.

MEMBERSHIP

(1) Chair (Executive Dean of Faculty of Health and Social Sciences)

(2-5) Executive Deans of Faculty

(6) Registrar

(7) University Secretary and Deputy Registrar (Deputy Chair)

(8) Director for Student Experience

(9) Director of Human Resources

(10) Director of Marketing, Admissions, Recruitment and Communications

(11) Director of Learning Resources and Student Support

(12) Director of Teaching and Learning

(13) Director of the International Office

(14) Head of HR and Staff Development

(15) Representative of the Centre of Academic Partnerships

(16) Representative of Unison

(17) Representative of the Universities and Colleges Union

(18) Vice President Welfare and Equality, Beds SU

(19) Student Officers, Beds SU

The Equality and Diversity Advisor will usually attend meetings in an advisory role.

SUBSTITUTION

If a member of the Committee is unable to attend, they are required to send a nominee or representative on their behalf.

QUORACY

Meetings will be quorate provided eight members or substitutes are present, of whom, at least two must be representatives of the faculty.

FREQUENCY OF MEETINGS

The Committee will meet three times a year.

REPORTING

The Committee will report to the Corporate Management Team who will receive minutes of meetings and the Equality and Diversity Annual Report which will note the level of attendance from each committee member of the academic year.

iv. Faculty Academic Board - Terms of Reference

In accordance with paragraph 5.2 of the Articles of Government, the Academic Board has delegated authority to the Faculty Academic Boards for the following:

1. Ensuring that the quality of the student experience is enhanced and that equal and effective support for all students to achieve intended learning outcomes is provided.
2. Ensuring that the academic activities of the Faculty support and develop a shared understanding of the University's mission and values and the delivery of its strategic plan.
3. Ensuring that the views of students and other stakeholders are sought and acted upon, through the review of the outcomes of unit, course, institutional and external surveys.
4. Planning and monitoring the development and withdrawal of courses, subjects and provision within the Faculty and at partner institutions.
5. Monitoring of the effective operation of quality procedures including the approval of Faculty annual monitoring reports, reports from PSRBs and implementation of action plans.
6. Planning, coordinating, developing and overseeing all aspects of the academic work of the faculty, including the monitoring of performance through the use of relevant indicators, benchmarks and targets.
7. Monitoring graduate outcomes within the Faculty and assuring the on-going development of employability opportunities within its portfolio
8. Ensuring that the threshold standards of awards are maintained through oversight of the appointment of external examiners and the effective management of exam boards.
9. Providing strategic oversight of the research and enterprise activities of the Faculty.
10. Ensuring that staff are appropriately qualified and have access to opportunities to engage in professional development and advising the Vice Chancellor and Vice-Chancellor's Executive Group on matters of resourcing necessary to support the academic work of the Faculty.
11. Maintaining oversight of the effective operation of the Faculty's executive function in academic-related matters.
12. Establishing sub-committees accountable to the Faculty Academic Board and maintaining oversight of their activities.

13. Ensuring the effective communication within the Faculty and to the deliberative committee structure of relevant matters and the sharing of good practice.
14. Providing a report to each scheduled meeting of the Academic Board that summarises the business conducted at its meetings and any issues of importance that it wishes to raise for discussion or note.

MEMBERSHIP

| | |
|--------------------|--|
| Chair | Executive Dean |
| Ex officio members | Associate Deans FTQSC Chair Heads of Department/School Director(s) of Faculty Research Institutes Academic Registrar (or nominee) |
| Appointed members | <ul style="list-style-type: none"> - Up to two representatives of the professors/readers in the Faculty - Up to five Portfolio Executive Committee Chairs (with particular attention to the representation of large undergraduate fields and postgraduate courses) - One executive officer of Beds SU / nominated member of BedsSU - Up to six student representatives (including at least one postgraduate course representative) - One member of staff per department/school - A representative of Learning Resources - A representative of the technical staff within the Faculty (if any) |

Individual Faculty Academic Boards have the discretion to appoint further members as they see necessary to effectively discharge their responsibilities.

QUORACY

The quorum is half the membership, rounded down to the next whole number where the calculation results in a fractional number.

TERMS OF OFFICE

Appointed members will serve for a term of two years, normally extendable for a further term of two years.

FREQUENCY OF MEETINGS

The Faculty Academic Board will normally meet on at least three occasions each academic year.

v. Research Institute Boards - Terms of Reference

Remit

Each Institute will be expected to establish a Research Institute Board. It is expected that the Board will meet on a minimum of three occasions during the year to:

- review progress against research plans and the Institute's contribution to REF and Faculty objectives and plans, and strategic research themes;
- identify and discuss new opportunities and initiatives in respect of research activity, income generation and collaboration;
- develop and confirm the research institute's contribution to the Faculty research report;
- plan and monitor the support provided by the institute and the Faculty to postgraduate research students, early career researchers and new recruits to the University of Bedfordshire;
- review and respond to formal postgraduate student feedback and the contributions of research student representatives;
- lead and coordinate activities and initiatives supportive of the enhancement of Faculty research culture;
- monitor aspects of equality and diversity relevant to the support and development of postgraduate students and academic staff in relation to the institute's activities.

Membership

The Board will comprise

1. The Research Institute Director (Chair)
2. Institute members (as defined by University policy)
3. Postgraduate research student representatives selected by their peers (minimum one);
4. A member of Faculty academic staff not currently an institute member but qualifying as research active (according to University policy), nominated by Faculty Academic Board;
5. The Director of Research Development (or their representative)
6. The Director of Innovation and Enterprise (or their representative)

Additional attendees may be invited by the Chair on the basis of the agenda.

Quoracy requires that a minimum of six attendees, to include a student representative and either the Director of Research Development or the Director of Research Development (or representative in either case).

The minutes of this Board will be considered by the Faculty Academic Board and provided thereafter to the Research and Enterprise Committee¹ for information.

¹ Currently known as 'Research &, Knowledge Exchange Committee'

Appendix D: Confirmation of Staff Agreement

17 September 2019

Dear Professor Mary Malcolm,

REF 2021 Code of Practice

Following the discussions at our regular Joint Negotiating Committee (JNC) meetings and the University Wide Joint Negotiating Consultative Committee (UWJCC) meetings held between the recognised unions, UNISON and UCU. We can confirm that we have seen and approved with the University, those proportions of the code that relate to identifying staff with significant responsibility for research.

Yours Sincerely,



Amanda Egbe (UCU University of Bedfordshire Luton Branch Chair)



Will Coster (UCU University of Bedfordshire Chair Co-com. Chair Bedford Branch)



Alison Randall (UNISON University of Bedfordshire Branch Secretary)