

Kingston University REF2021 Code of Practice

Executive Summary for Kingston University Staff

- a. The Research Excellence Framework (REF) is the system for assessing the quality of research in Higher Education Institutes in the UK. The REF was first conducted in 2014, replacing the previous Research Assessment Exercise (RAE). The next submission will happen in March 2021, with outcomes published in April 2022. The REF is undertaken by the four UK higher education funding bodies: Research England (RE), the Scottish Funding Council (SFC), the Higher Education Funding Council for Wales (HEFCW), and the Department for the Economy, Northern Ireland (DfE). The timetable for REF2021 can be found at <https://www.ref.ac.uk/about/timetable>.
- b. REF2021 assesses three distinct elements: the quality of research **outputs**; the **impact** of research beyond academia and the **environment** which supports research and impact and its development.
- c. Kingston University's REF2021 submission will showcase the breadth and excellence of its research outputs since 2014, the reach and significance of its impact, and the development and quality of its institutional infrastructure for research and impact. This will be managed to ensure adherence to the principles of transparency, consistency, accountability and inclusivity, in accordance with this Code of Practice.
- d. In accordance with the guidance for REF2021 the University is required to establish a code of practice that will explain the procedures used for:
 - identifying staff with significant responsibility for research, whose work would be eligible for submission to REF2021
 - determining who is an independent researcher
 - the selection of outputs, including approaches to supporting staff with circumstances
- e. The Code is aligned with the University's commitment to and institutional strategy for Equality & Diversity. It refers to the REF2021 'Guidance on submissions' which can be found at <https://www.ref.ac.uk/guidance/key-documents/>. A copy is also available on StaffSpace.
- f. Following the postponement of REF2021 due to Covid-19, this Code has been adjusted to reflect minor amendments to the schedule and processes leading up to the new submission date of 31st

March 2021. Any additional processes put in place to support staff in relation to Covid-19 are also detailed here.

- g. The amended Code was submitted for approval on 9th October. The additional guidance on Covid Revisions can be found here: <https://www.ref.ac.uk/news/ref-2021-resumes-with-additional-guidance-on-covid-revisions/>.
- h. Kingston REF2021 Steering Group approved the amendments on 8th October. Following submission to Research England, the revised Code of Practice will be published on research intranet pages and external webpages.

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Part 1: Introduction

Our Approach to Equality, Diversity and Inclusivity

1. At Kingston, equality, diversity and inclusivity are at the heart of university life. We are widely recognised as a champion and innovator of ED&I practices in Higher Education, for sector-leading work on inclusive curricula and for significant achievement in tackling the BME attainment gap. Our approach to ED&I is a fundamental part of our research culture, and drives our mission to foster knowledge, positive engagement and partnership, and to ensure our research has direct, societal impact. In line with the 2010 Equality Act and the Public Sector Equality Duty, we are committed to treating all people with dignity and respect equally and irrespective of their protected characteristics, to advancing opportunity, enabling people to achieve their potential, and to fostering good relations. We take a holistic and active approach to ensuring that we attract and support staff and students from the greatest diversity of backgrounds, recognising that diversity brings great strength to the quality of our work and performance of our institution. We challenge inequality, understanding that patterns of inequality in society and education are reflected in the institution and must be addressed. We ensure an inclusive environment, foster respect and celebrate diversity. Our 'One Kingston' ED&I strategy is designed to ensure ED&I is at the centre of what we do, and that it has specific and measurable outcomes. The strategy underpins a university wide portfolio of initiatives that promotes equality and respect and advances opportunity.
2. We are proud to have been one of the first 8 institutions to be awarded a Bronze Race Equality Charter (in 2015, renewed 2019). We have held a Bronze Athena Swan award at institutional level since 2013 (renewed 2017), and more recently have achieved Athena Swan Bronze Departmental Awards for Life Sciences, Pharmacy and Chemistry (2017) and for Computer Science and Maths (2019). Our partner, St George's University London (a specialist institution with whom we have a joint faculty of Health, Social Care and Education), holds Silver Athena Swan at institution level. Our ED&I work on academic career progression was recognised by *The Guardian* Award for Diversity Initiative in 2014.
3. Kingston University's Code of Practice outlines the University's decision-making processes for REF2021 preparation and submission in the context of Equality and Diversity (E&D) (see structure of committees - **Appendix A**), and all relevant legislation (detailed in **Appendix B**). It adheres to the four main principles of E&D and of REF2021: transparency, consistency, accountability and inclusivity. The REF Steering Group is responsible for ensuring that these principles are applied at every stage in the REF2021 process:

Transparency: We are committed to being open and transparent about all our decision-making processes for REF2021, according to this Code of Practice, and to maintaining an effective communications process around REF, during consultation on the draft Code and in regular staff briefings thereafter;

Consistency: The Code will be applied consistently across the University, and decisions undertaken within and across Units in accordance with all illustrated process maps included on pages 16, 28 and 34; The process maps confirm how the REF principles are applied to each stage and where decisions on eligibility are made;

Accountability: All responsibilities and accountabilities of the individuals, committees and panels involved are identified and described in the Code. Terms of Reference are included for relevant Committees and the REF Steering Group (**Appendices C to I**); and available to staff on Kingston's intranet, StaffSpace;

Inclusivity: The Code of Practice reflects our approach to establishing and maintaining appropriate practices and procedures by conducting Equality Impact Assessments at each key stage of the process leading up to final submission. In support of our inclusive approach, all staff with decision-making responsibility for REF2021 are required to undertake training in the legislative context for Equality and Diversity and Unconscious Bias as outlined in this Code.

4. The University's ED&I Strategy is included as **Appendix J**. The Strategy is overseen by the Equality, Diversity and Inclusion Committee, which reports directly to the Senior Leadership Team (SLT). Terms of Reference and membership of both are included as **Appendices E and F**. Our Corporate Plan is included as **Appendix K**.
5. The University and REF2021 (Research England) will collect, store and process all personal data in accordance with current data protection legislation – the General Data Protection Regulation (EU) 2016/679 and the Data Protection Act 2018. Information will be processed for the purposes of conducting and evaluating the REF. The principles and processes governing data verification can be found in REF2021 'Guidance on submissions', paragraphs 91-100. For further information, please refer to Kingston's REF Data Collection Statement (**Appendix L**). Staff can also find our privacy notices on Staffspace.

The Legislative Context

6. The University has a duty to comply with all equality, anti-discriminatory and employment legislation relevant to the processes of REF2021. The Equality Act 2010 provides legal protection to the following protected characteristics: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex, sexual orientation. It protects those with a protected characteristic, and also those connected to someone with a protected characteristic (such as those with caring responsibilities). The University's legal responsibility (under the Public Sector Equality Duty of the Equality Act) is to eliminate all forms of unfair and unlawful discrimination; advance equality of opportunity, and to foster good relations in respect of the above. In addition, it has a duty to ensure those on fixed-term contracts or those working part-time are not treated less favourably than a comparable permanent full-time employee. Staff can find summary details of the relevant legislation in **Appendix B**.

Equality Impact Assessment

7. The University undertakes Equality Impact Assessment at regular intervals in our progress towards REF2021, beginning with the REF2014 EIA (**Appendix M**) which has informed actions taken since 2014 (see paragraph 10). Further EIAs are in process for our Mock REF exercises (2018 and 2019), and will also be conducted at the point of provisional determination of staff with significant responsibility for research and at the census date.
8. In addition, the University HR Department produces annual ED&I data reports in relation to age, gender, ethnicity, disability, pay gaps, and is currently developing further work on intersectionality.
9. EIA and workforce data is used to inform the processes which support and develop staff in relation to research and REF, such as those described below.

Actions taken since 2014

10. Our ED&I Strategy commits to increasing the diversity of staff engaged in research and eligible for submission to REF, to diversifying professorial appointments, mentoring of diverse colleagues, supporting charter mark development plans, and to delivering ED&I actions across the University. Actions taken since REF2014 include:

- Creating a network of ED&I Champions to bring together academics, professional staff and students resulting in a distributed leadership for ED&I. Members of the network identify, design and lead actions that continuously improve student and staff success (begun 2016);
- Committing to Athena Swan and the Race Equality Charter (REC) Awards as catalysts for change and supporting these at institutional and departmental level (institutional Athena Swan Bronze renewed 2017; REC renewed 2019; Athena Swan Bronze Departmental Awards for Life Sciences, Pharmacy and Chemistry awarded 2017 and for Computer Science and Maths awarded 2019);
- Undertaking a programme of BME leadership development for staff, including Diversifying Leadership (ECR and professional staff up to Grade 8) with Leadership Foundation) and Stellar HE (executive development for diverse leaders in HE, Grade 9 and above) (30 participants since 2015);
- Supporting the Aurora scheme (Leadership Foundation/Advance HE), a development programme for increasing representation of women in leadership in the sector;
- Identifying the BME attainment gap as an institutional KPI (since 2015), and closing that gap from 19.7% in 2013/14 to 11% in 2016/7, 4% ahead of sector average;
- Implementing a programme of staff training and development on inclusive pedagogical practice, through e-learning modules, case-studies, workshops and conferences;

- Establishing our 'Beyond Barriers' mentoring scheme for BME and female students and staff (since 2014);
- Introducing an ECR Network and Mentoring Scheme (since 2016/7);
- Implementing SADRAS –the University's Student Academic Development Research Associate scheme, which enables UG students to work in paid partnership with staff on research projects, enhancing the academic experience of under-represented groups at the university and bringing research and teaching closer together;
- Commissioning the Business Disability Forum to undertake a review of our disability services, following substantial changes to funding and eligibility for Access to Work and the Disabled Students Allowance. Implementing the recommended changes over an 18-month period (completed 2017);
- Becoming a holder of the Disability Confident Committed government scheme to demonstrate our commitment to equality in the work place (renewed 2019);
- Achieving the European Commission HR Excellence in Research Award (renewed 2018), for implementing the principles of the Vitae Concordat to support the Career Development of Researchers;
- Developed our inclusive Academic Careers Framework (Domains – paragraphs 16-24) to support researchers at all stages of their career;
- Ensuring ED&I is included and promoted across job criteria;
- Ensuring ED&I is used in terms of reference for all research committees;
- Ensuring ED&I metrics are available annually, and Equality Impact Assessments are undertaken on a regular basis, in order to monitor progress or deficiency;
- Celebrating diversity and fostering good relations within our University community, through regular events and initiatives, such as our award-winning 'Big Read' shared reading scheme (which began as a Stellar HE institutional project) and special events for Black History Month and International Women's Day.

How the Code was Developed and Communicated to Staff

11. Preparation for this Code of Practice began in Autumn 2018, based on the findings of the University's Mock REF exercise (which reported in April 2018), the outcomes of REF2014 and its equality impact assessment, and on the available REF2021 guidance. The Code was prepared through an iterative and consultative process. It was reviewed by REF Steering Group and by SLT before being issued for consultation. It was shared with trade unions, Senate and the Equality, Diversity and Inclusion Committee. The Draft was made available to all staff via the staff intranet and by email. Absent staff were written to directly by HR. Feedback was received through 3 routes: an email noticeboard, an anonymous staff survey and through 4 staff feedback sessions led by the Head of Impact, with all faculties and including at our partner site at St George's, University of London where a substantial part of our Joint Faculty of Health, Social Care and Education is co-located. The ED&I principles of the Code were also discussed in 2 workshops (for those with REF decision-making roles) on Unconscious Bias and the REF.

12. Feedback was collated by the REF Manager and shared with the REF Steering Group, who devised a series of proposed amendments to the Draft, for approval by SLT. The revised Code was shared with all staff on the University intranet REF pages, following its submission to Research England on 6th June 2019, along with FAQs and further details concerning staff support and development, and the submission processes for REF2021. Codes were examined by REF2021's Equality and Diversity Advisory Panel (EDAP), who reported on their adherence to the published guidance in August 2019. The Code was accepted, subject to one further clarification. Once approved, the Code will be published on the University website. As advised by REF2021, we will apply the proposed Code to all REF2021 activity (including the Mock REF in 2019) whilst the Code is under review by EDAP. The Code will be used to inform preparations for the final submission. The REF Steering Group will be responsible for ensuring adherence to the Code. Equality and Diversity Training is mandatory for all those with decision-making responsibilities for the implementation of the Code of Practice, including identifying staff with significant responsibility for research; determining research independence and the selection of outputs for the REF2021 submission. Those with these responsibilities are required to undertake training in the REF2021 context and its principles of transparency, consistency, accountability and inclusivity at the outset of their involvement. This is delivered by the Pro Vice-Chancellor Research Business and Innovation, and/or the Head of Impact (the institutional lead for REF2021). Staff with REF responsibilities are provided with a copy of the Code of Practice, with the requirement that all discussions concerning the REF2021 submission are carried out in accordance with the Code. REF updates are offered to staff on a regular basis by the Head of Impact.
13. The Communications plan, showing how the Code was consulted upon, is included as **Appendix N**. Further evidence of staff agreement for the processes described in the Code was requested by Research England and is available in **Appendix S**.
14. Following REF2021 Postponement in March 2020, a series of communications was sent to staff (via email, Staff intranet and newsletter) with updates following any new release of information from Research England. This is described in the **Appendix T: REF Postponement and Covid-19 adjustments**.

Training in the Application of the Code

15. All those with REF responsibilities were required to complete the University's online modules in Unconscious Bias and Equality Essentials (Spring 2019), followed by a further workshop on REF2021 ED&I Principles and Unconscious Bias delivered by Advance HE in May 2019. This training is supported by Kingston's HR trainers. Briefing materials by Advance HE have been shared with HR trainers so that the training module can be rolled out institutionally as required.

Table 1. REF2021 related training

Training Activity	Responsibility	Date & Attendees
Unconscious Bias and Equality Essentials	HR (online modules)	Completed March 2019, All Staff with REF responsibilities
Preparing for REF/ Self-Assessment Training	Head of Impact	February 2018 - November 2019, All Staff
REF2021 EDI Principles and Unconscious Bias Training with Advance HE	Advance HE	May 2019 and January - March 2020, All staff with REF responsibilities
Principles of REF, KEF and TEF for Managers	PVC RBI	Spring 2019, All Managers
Developing the Code of Practice	Head of Impact	UoA Coordinators, 6 th February 2019
REF 2021 Code of Practice: Open Sessions	Head of Impact	April 2019

Part 2: Identifying staff with significant responsibility for research

Kingston's Academic Career and Development Framework

16. Staff with significant responsibility for research are defined as those for whom explicit time and resources are made available to engage actively in independent research, and which is an expectation of their job role (see REF2021 'Guidance on submissions', paragraph 141).
17. Kingston's Academic Career and Development Framework is known as 'Domains'. The Domains project is designed to provide an inclusive academic career framework which supports and invests in staff research, training, development and activity at all career stages and provides guidance as to the standards and expectations that staff will aspire to within their role and domain. It has been developed in recognition of the diversity and interconnectivity of career activities and roles undertaken in a modern university including: knowledge transfer, business and income generation, knowledge exchange, impact, professional practice and scholarship, in addition to teaching and research. The University is committed to supporting and investing in staff to develop their skills and knowledge in producing quality teaching, research, business activity and professional practice as befits their expertise and career aspirations. It therefore distinguishes between research engagement and being included in REF 2021 audit which requires submission of only those staff with significant responsibility for research.
18. Staff working at or above the **30%** threshold for a research domain are considered to have **significant responsibility for research**, and will be considered eligible for REF2021, provided they meet the framework standards and expectations and other required REF2021 criteria (paragraph 25);
19. Staff who have a research domain of **20% and** are demonstrably undertaking research impact related activity in the domains of teaching & learning, business or professional practice (in relation to outputs, environment or impact case studies), may also be considered to have significant responsibility for research;
20. Staff working below the 30% threshold as outlined above are considered to have responsibility for developing research capability at a level below that deemed to be significant in the context of REF2021;
21. Research Domains below 30% are designed to support research career development for staff, with potential to achieve significant responsibility for research in future. This is reviewed annually, at appraisal.
22. The inclusion of staff in REF2021 will be judged against the above criteria at the final census date of 31st July 2020. Provisional indication of the University's intention to submit staff will be made in

October 2019 following completion of the 2019 Domains Pilot, and in line with the processes described in the Code of Practice.

23. Any recorded change to staff domains during 2019/20 will be reviewed in advance of the Census date, and staff will be notified of the University's firm intention to submit their research in July 2020. As described in the Code, an appeals process is in place in the lead-up to the final REF submission.
24. The new Academic Career and Development Framework (Domains) is being piloted in 2019, and will be fully implemented by 2020.

Criteria used for identifying staff with significant responsibility for research

25. Eligible staff who will be returned by Kingston University for REF2021 will evidence ALL of the following criteria on the census date of 31st July 2020:
 - Meet the criteria for Category A eligible staff (see REF2021 'Guidance on submissions', paragraph 117);
 - Have a substantive research connection with the submitting Unit;
 - Hold a Research Domain in accordance with the Academic Career and Development Framework, at or above the minimum 30% of contracted time (paragraphs 18-19);
 - Be employed as either lecturer, senior lecturer, associate professor, professor or reader (or their equivalents where specific non-standard titles are required) OR hold an independently funded fellowship on the approved REF2021 'List of Independent Research Fellowships' (**Appendix O**) or similar, according to the criteria for research independence set out in Part 3;
 - Have an employment contract with Kingston University of 0.2 FTE or greater.

Inclusion of outputs by former Kingston University staff

26. The University is committed to the fair and equitable treatment of current and former staff in relation to REF, and takes an inclusive approach to the value of research supported by the institution at the time it was undertaken. On this basis, and in line with REF2021 guidance, it will include research outputs produced by any former staff member with significant research responsibility (including those made redundant), that came into the public domain while employed at Kingston University, and which were publicly available on the University Repository at the time of their departure, as part of the research base of the University. This is in line with the principles of the Stern Review and the spirit of REF2021, which is an assessment of the institutional research profile, organised by Unit of Assessment, and not the assessment of individuals.

27. This approach protects the confidentiality of former staff and their reasons for departure. Outputs by former staff will be considered for inclusion in the output pool according to the same quality criteria as those by current staff. Former staff are not included in the staff FTE, which is calculated only on the basis of current staff with significant responsibility for research, employed by the institution on the census date (see REF2021 'Guidance on submissions', paragraph 150).

28. Outputs by former staff are defined as follows, and aligned with REF2021 definitions:

- Outputs by a former member of Kingston staff who was Category A eligible at the time the output was first made publicly available, and who at the census date is no longer employed by University, whatever the reason for departure;
- Outputs by a current member of Kingston staff who was Category A eligible at the time the output was first made publicly available, and who has subsequently moved to a non-eligible contract (e.g. taken up an administrative or senior management role). Only outputs produced in their period of Category A eligibility may be included;
- Co-authored outputs, where one of the authors has subsequently left the University or moved to a non-eligible contract. In these instances, the output may be attributed to another eligible contributor.

29. In order to ascertain that outputs by former staff meet with the above criteria, Category A eligibility will be confirmed by HR. Significant responsibility for research at the time the output was made publicly available will be verified by faculty management.

Process for the identification of significant responsibility for research

30. In Summer-Autumn 2019, all staff identified as having a research domain will be verified against all the criteria for 'significant responsibility for research' by the REF Manager in consultation with HR. In cases where staff wish to identify their Significant Responsibility for Research through a combination of research with research impact in another domain (see paragraph 19), verification will be required from the line manager and/or Faculty Associate Dean for Research.

31. Staff lists will be checked and approved by the REF Steering Group.

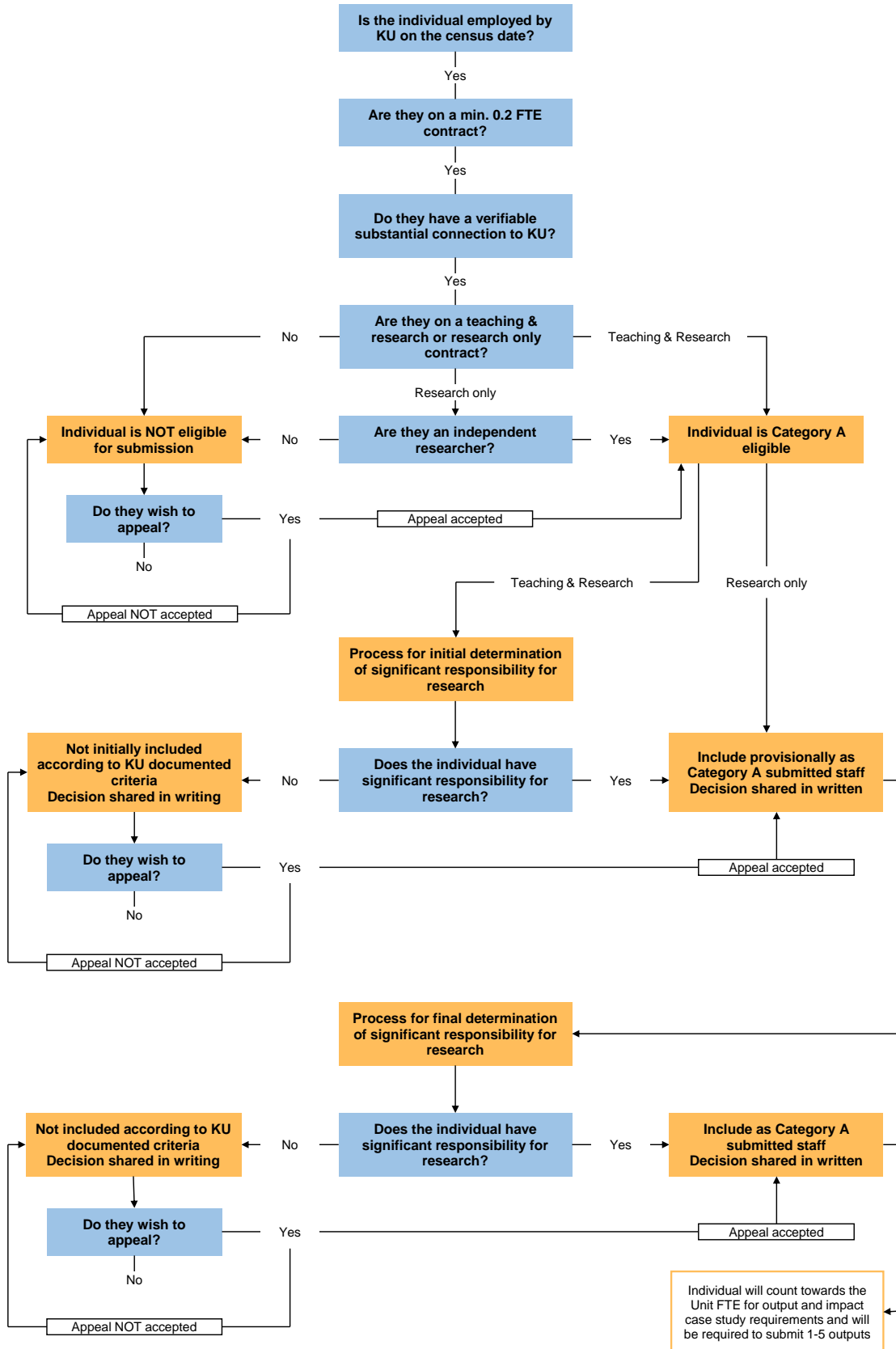
32. The process of identifying research independence is then applied (see Part 3).

33. Staff will be notified in writing of the University's provisional intention to submit them to REF2021 in October 2019.

34. REF2021 staffing data will be reviewed in January 2020, to review research independence and research evidence and to include any new staff. After this date any new joining staff will be reviewed on a case by case basis, up until the date of census.

35. Data will be verified again in June 2020, alongside the HESA return, in advance of the census date of 31st July 2020.
36. Staff will receive final confirmation in writing of the University's firm intention to submit their research to REF2021 on or soon after the census date of 31st July 2020.
37. A member of staff may appeal the decision, according to the process set out in paragraphs 45 to 50 and Table 2, either after the notification of provisional intention to submit (2019) or notification of firm intention, at the census date in 2020.

Figure 1. Kingston University (KU) Staff eligibility in REF2021



Appeals

38. Grounds for Appeal will be on the basis that:

- the process for identifying significant responsibility for research was not conducted appropriately;
- the process for identifying research independence was not conducted appropriately (see Part 3);
- significant evidence of independence had been omitted or inappropriately represented (see Part 3);
- individual staff circumstances were not given appropriate consideration (see Part 4).

39. An individual who feels that they have been excluded from REF2021 submission on the grounds set out above has the right to appeal against that decision and in time for that appeal to be considered before the final submission is made.

40. There are no grounds for appeal on the basis of selection or number of outputs. Provided that the staff member has been identified as having significant responsibility for research, and assigned to a Unit of Assessment, with the minimum requirement of one output to be submitted to REF2021, staff cannot appeal the decision on the basis of the selection of their outputs, or the number of outputs submitted above the minimum of one.

41. All staff are notified of the Appeal Process through the Code of Practice, and in guidance on the staff intranet. The Appeals Process will be flagged in individual letters to staff concerning the university's intention to submit them.

Appeals Panel / Membership

42. The Deputy Vice-Chancellor will convene and chair an independent REF2021 Appeals Panel.

43. In the absence of the Deputy Vice-Chancellor, a nominated deputy will be appointed, who has not previously been involved in REF2021 decisions in relation to the appellant(s), and who has completed the relevant Equality, Diversity and Inclusion training and Unconscious Bias training.

44. For each case, the independent panel will consist of two other senior University officials, with an appropriate HR representative (either HR Business Partner or the Equality, Diversity and Inclusion Partner). The University officials will not be members of the REF Steering Group and will not have been involved at Unit of Assessment or associated Faculty levels in the REF2021 decision processes.

Appeals process

45. Opportunities for Appeal are:

- Following notification of the University's provisional intention to submit staff to REF2021 in Autumn 2019
- Following notification of the University's intention to submit staff to REF2021 on or soon after the census date of 31st July 2020

46. If a member of staff believes they have grounds for appeal against the decision, they must do so, in writing, setting out their grounds in accordance with the Code. Appeals should be directed to the Chair of the REF2021 Appeals Panel (the Deputy Vice-Chancellor) and must be received by 12pm Friday 4th September 2020. Appeals cannot be accepted after this date.

47. This process will also be used for appeals on the basis of staff independence or individual circumstances, as outlined below. When the grounds for appeal are on the basis of individual circumstances, staff may choose to consult with an HR representative or the Equality, Diversity and Inclusion Partner prior to submitting their appeal.

48. If required, the Deputy Vice-Chancellor will seek written comments on the appeal from the Chair of the REF Steering Group.

49. The REF2021 Appeals Panel will convene within 21 days of the final date for appeals to be received in writing by the Deputy Vice-Chancellor.

50. The REF2021 Appeals Panel will confirm the outcome of the hearing to the individual and to the Chair of REF Steering Group, normally within 10 working days of the appeal hearing. The decision is final and there is no further right of appeal, but individuals have 10 working days in which to seek clarification, if required to understand the decision.

Table 2. Timetable for Appeals (Significant Responsibility for Research and Research Independence)

Date	Activity	
October 2019	Steering Group review determination of significant responsibility for research and research independence	
Week beginning 28 th October 2019	Staff notified in writing of the University's provisional intention to return them to REF2021, based on determination of significant responsibility for research	Staff notified in writing of the University's provisional intention to return them to REF2021, based on determination of research independence
31 st January 2020	<p>Deadline for appeal against the provisional decision for significant responsibility for research</p> <p>Appeals must be submitted in writing to the Deputy Vice-Chancellor (Chair of Appeals Panel)</p> <p>An Appeals Panel will be convened if required in Spring 2020</p>	<p>Deadline for response to the provisional decision for research independence</p> <p>If a member of staff has not been identified as research independent they may contact the Head of Research (RBI) in writing</p>
14 th February 2020		<p>Head of Research will respond to enquiry by this date</p> <p>Additional evidence in support of research independence may be required</p>
31 st March 2020		Deadline for submission of additional evidence for research independence
June - July 2020	Steering Group review determination of significant responsibility for research and research independence	
10 August 2020	Deadline for all staff to be informed of inclusion/non-inclusion in REF2021, including research independence	
4 th September 2020	Deadline for written appeals to the University Deputy Vice-Chancellor	
25 th September 2020	Final date for Appeals Panel	

9 th October 2020	Deadline for appellants to be informed of outcome of appeal, with reasons
23 rd October 2020	Deadline for appellants to seek clarification of appeal decision
30 th October 2020	Deadline for appellants to be provided with clarification
Friday 26 th March 2021	Internal deadline for completion of submission information to allow internal sign-off
midday, Wednesday 31 st March 2021	REF submission date

Equality Impact Assessment

51. Equality impact assessments are carried out at each stage of the process as detailed in Part 1. Responses to recommendations and lessons learned will be embedded in current and future processes.
52. An EIA will be carried out on the provisional determination of staff who will be returned in Autumn 2019, including significant responsibility for research and research independence.
53. A further EIA will be undertaken at the census date.

Part 3: Determining research independence

Policies and procedures

54. For the purposes of REF2021, Kingston University defines an independent researcher as an individual who undertakes self-directed research, rather than carrying out another individual's research programme (see REF2021 'Guidance on submissions', paragraph 131).
55. For staff who are on teaching and research contracts and who carry the job title and role of either lecturer, senior lecturer, associate professor, professor or reader (or their equivalents where specific non-standard titles are required), research independence will be evidenced in the identification of domain (see Part 2).
56. For those staff on research only contracts, additionally, the following indicators apply:
- 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 (see REF2021 List of Independent Research Fellowships included as **Appendix O**);
 - Leading a research group or a substantial or specialised work package.

Indicators that will be taken into consideration (and in relation to the additional guidance for Panels C & D), but may not be wholly conclusive alone include:

- Being named as a Co-I on an externally-funded grant award;
- Having significant input into the design, conduct and interpretation of research.

Process for determining and communicating research independence

57. The following process will inform the determination of research independence (for research-only contracts or equivalent) according to the criteria and indicators set out above.
- The REF Manager will identify those with research-only contracts from staff lists provided for Mock REF exercises and by cross-reference to HR
 - The REF Manager will cross reference to the research funding database for evidence of independent external funding activity
 - Where independence has not been established through these checks, statements from at least two individuals with responsibility for research leadership within their disciplinary area shall be sought. At least one of the above should be the individual's current line manager

- As and where possible, evidence collected will be uploaded to the HR system (Unified) as future evidence, in addition to being maintained independently in REF2021 preparation files
- Evidence of research independence will be submitted by the REF Manager to the REF Steering Group following verification with HR
- Research-only staff will be notified of their research independence in writing, together with the University's provisional intention to submit them to REF2021 in October 2019
- Research-only staff not identified as research independent will be notified in writing in October 2019
- A further review will be conducted in Summer 2020, to include any new staff or alterations to research independence. Following that, any new joining staff will be reviewed on a case-by-case basis until the census date of 31st July 2020
- Data will be verified again in 2020, in advance of the census date of 31st July 2020
- Research-only staff will receive final confirmation of their research independence along with the University's firm intention to submit them to REF2021 within 10 days of the census date of 31st July 2020
- A member of staff may appeal the decision, according to the process set out in paragraphs 59 to 64, either after the notification period, in Autumn 2019 or at the census date of 31st July 2020

Table 3. Timetable for the determination of research independence

Date	Activity
1 st July - 30 th September 2019	REF Manager and HR review research independence for research-only staff in accordance with criteria for significant responsibility of research and REF definition of research independence
October 2019	Steering Group decision on initial research independence designations
Week beginning 28 th October 2019	Staff informed of initial decision
Spring 2020	Research independence status reviewed, including any new joining staff
Early August 2020	Staff informed of research independence status for REF2021

Staff, committees and training

58. The staff and committee responsibilities and the required training for determining research independence are described in Part 2.

Appeals

59. Any appeal against the procedure for establishing research independence by individual staff members will be received in accordance with the Appeals Process outlined in Part 2 and in Table 2.

60. Where staff feel their initial independence designation does not properly reflect their actual status, they should write to the Head of Research (member of REF Steering Group) with details of their evidence of independence. They will receive an explanation of the decision and details of the evidence required to demonstrate independence. Comments and verification from research leaders (as defined in the process above) will be sought. This will be incorporated within the second review prior to the census date.

61. If, following this process, they believe they have been unfairly disadvantaged with respect to REF2021, the appeals process detailed in this Code applies (paragraphs 45-64).

62. Grounds for Appeal will be on the basis that:

- the process for identifying research independence was not conducted appropriately (see Part 3);
- significant evidence of independence had been omitted or inappropriately represented (see Part 3);

63. Opportunities for Appeal are:

- Following the notification of intended REF status in Autumn 2019. The notification will outline the reasons for the assigned status, including research independence. If this is not as anticipated staff should approach their line manager to discuss, and if appropriate may write to the Head of Research.
- Following the confirmation of staff identified with research independence by the census date, staff will be informed in writing of their inclusion status in the final submission for REF2021 on or soon after the census date of 31st July 2020. If they consider they have grounds for appeal, they should follow the process set out paragraphs 59-64 & Table 2.

64. This process will also be used for appeals on the basis of staff circumstances. When the grounds for appeal are on the basis of individual circumstances, they may choose to consult with the HR Equality, Diversity and Inclusion Partner prior to submitting their appeal.

Equality Impact Assessment

65. Equality Impact Assessments (EIAs) will be conducted at each stage of the process as detailed above. This will include a specific assessment of research independence. Responses to recommendations and lessons learned will be embedded in current and future processes.
66. An EIA will be carried out on the provisional determination of staff to be returned to REF2021 in Autumn 2019. This will include a specific assessment of research-only staff and the designation of research independence.
67. An EIA on the final census information will include a specific review of independence.

Part 4: Selection of outputs

Process for identifying Units of Assessment

68. The Units of Assessment (UoA) under consideration for inclusion in Kingston's REF2021 submission have been identified on the basis of providing the best possible outcome for the University and for the Units of Assessment submitted. This follows the principle of REF2021 as an evaluation of the University's submitted research portfolio as whole, rather than evaluation or assessment of individual researchers. Research outputs will only be submitted in the research areas identified within Units of Assessment.
69. Identification of potential Units of Assessment began in 2017 in preparation for first Mock REF exercise in 2018. This was planned by a subset of the University Research, Business & Innovation Committee [Pro Vice-Chancellor (RBI), Associate Deans (RBI), RBI Head of Research Funding (for Director), RBI Impact Manager, RBI REF Coordinator] prior to the reactivation of the REF Steering Group. Submission of units to the exercise was not considered binding on the final selection of Units of Assessment to be submitted to REF2021.
70. Units to be submitted by Kingston will be determined by the REF Steering Group, for SLT approval, according to the following criteria:
- Evidence from Mock REF exercises and intermediate modelling of alternatives of strength of units, confirmed by final reports (Autumn 2019) from external assessors.
 - Proposed UoAs meet the submission thresholds for Impact and Environment.
 - Allows for alignment of all staff with significant responsibility for research to the final selection of Units of Assessment, to ensure inclusivity. All efforts will be made to avoid such circumstances as may necessitate small unit exceptions. In the event of a UoA modelled for Mock REF 2018 not going forward, staff will be reassigned to an appropriate UoA and informed of this in writing at or before the census date in 2020.
71. Confirmation of Units will be made in line with REF2021's timetable for the survey of intentions, in Autumn 2019.
72. The Timetable for the 2019 Mock REF for Impact and Environment is as follows:

Table 4. Timetable for Mock REF 2019

Date	Activity
Spring 2019	REF team finalise Guidance for 2019 Mock REF External Assessors identified
April - June 2019	Unit (REF5b) environment templates prepared and reviewed internally Impact Case Studies finalised and reviewed internally
June/July 2019	REF Steering Group (Impact and Environment Steering Groups) review Mock submissions
September - October 2019	External review of 2019 Mock submissions
October 2019	Mock Feedback review
October - November 2019	Institutional (REF5a) environment template drafted
By end November 2019	REF2021 survey of intentions opens. SLT approves final selection of UoAs as proposed by REF Steering Group. Kingston responds to survey of intentions with this information.

73. The REF Steering Group takes responsibility for mapping staff to Units of Assessment.

Process for the selection of outputs for submission

74. The following sets out the process for the identification, assessment and selection of outputs by Unit of Assessment.

- All outputs considered for REF are collected on the University's Repository and meet an applicable research and Open Access eligibility criteria (including allowable exceptions)
- Staff record their self-assessment ratings (Self-Assessment Policy, **Appendix P**) of their favoured outputs (up to 6 per staff member), using REF criteria of significance, originality and rigour, and rank them in order of quality
- External assessment ratings, such as those from Mock REF 2018 are used alongside these ratings
- Ranking and ratings are collated by the University REF Manager for consideration by UoA Quality Review Panel

- Eligible outputs are identified by the Unit Coordinator using repository data
- Internal UoA panels are appointed by REF Steering Group to read, score and rank outputs individually. Membership and role of panel is described below.

75. The Panel will:

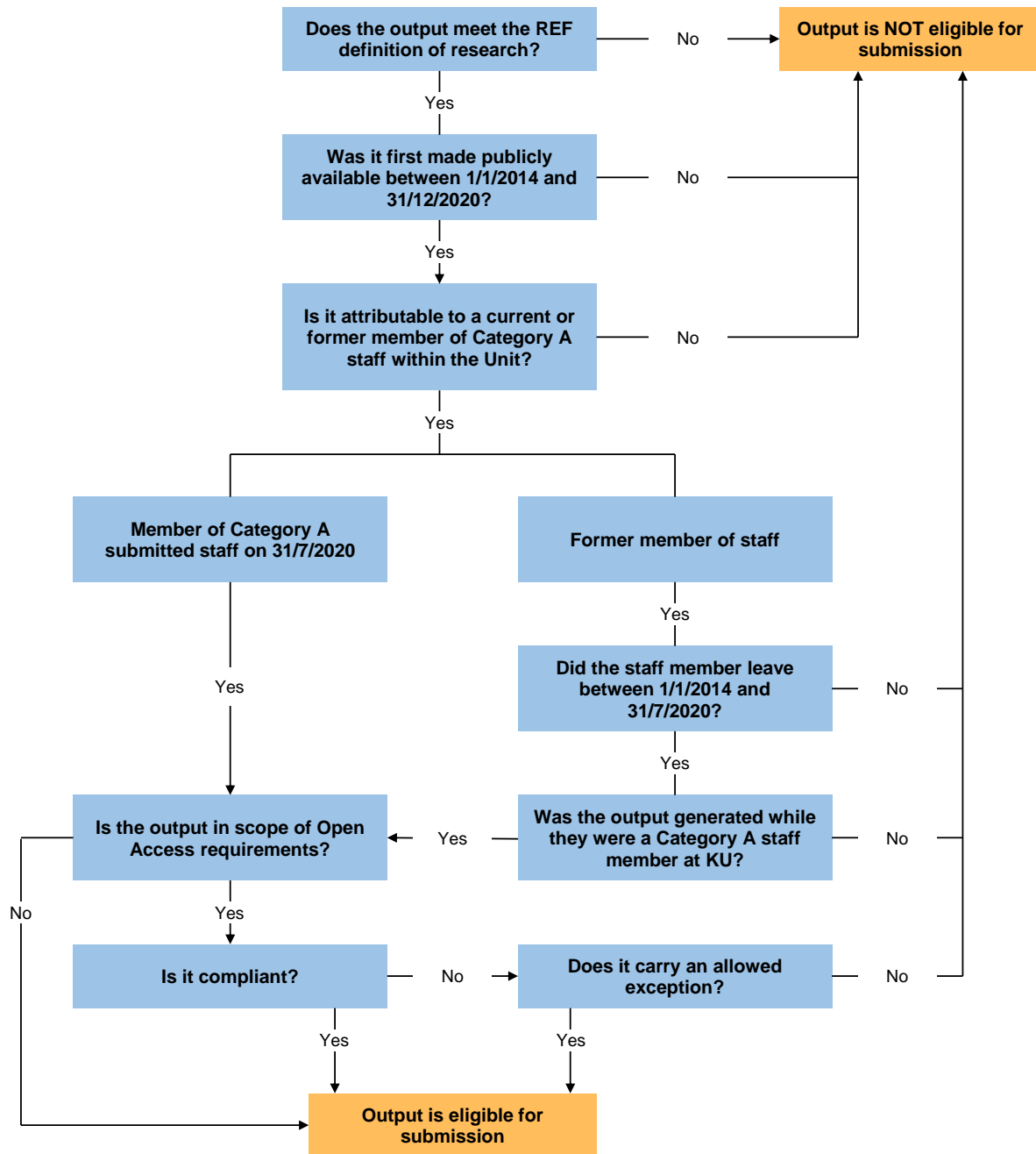
- Agree a combined quality score for each output, using available metrics as described above (external and internal review, and self-assessment).
- Rank outputs according to Quality
- Identify the highest ranked outputs against individual researchers to identify one output for each member of eligible staff
- Identify further outputs to the required 2.5 per FTE according to quality ranking
- Review the correlation of outputs to Impact and Environment contexts for each UoA
- Identify proposed double weighted outputs, ensuring adequate and appropriate reserves

76. The final ranking will then be submitted to REF Steering Group for approval.

Table 5. Timetable for the selection of outputs (Autumn 2019 - Winter 2020)

Date	Activity
October 2019	Internal UoA panels are appointed
November 2019 - November 2020	Internal UoA panels read and score outputs individually
April - December 2020	Quality review panels meet to determine output selection and ranking
At final census date	REF Steering Group review proposed Unit submission
April - May 2021	Staff informed of final selection of outputs submitted

Figure 2. Kingston University (KU) Output eligibility in REF2021



Staff, committees and training

77. The process for the selection and ranking of outputs by Unit of Assessment is described above, and is undertaken by the UoA Quality Review Panel.

78. The UoA panel is proposed by the UoA Coordinator in consultation with the Head of Research (RBI); and relevant Associate Dean RBI and must be approved by the Steering Group.

79. This panel will comprise:

- An independent chair, who is not a researcher within the Unit (An Associate Dean for RBI, or equivalent member of REF Steering Group);
- The clerk of the panel, normally a Research Operations Manager (ROM);
- An independent member from outside of the main panel in which the UoA resides, who acts as an observer (normally a school director of research from another faculty);
- Senior researchers (professors with a research domain) and mid-career researchers (with a research domain) who are experienced and capable of assessing the quality of the UoA outputs. A minimum of 4 panel members per UoA is required, although the size of Unit and number of outputs will determine the size of the panel, so that an internal assessor should assess no more than 50 outputs;
- Where 4 above is not possible RBI may also invite an external reviewer/s;
- The UoA Coordinator will act as a reviewer and member of the panel.

Staff circumstances

80. The University has a confidential and robust process in place for staff to declare voluntarily their individual circumstances; and to have the impact of these circumstances reflected in the expectations of their contribution to the output pool. In cases where applicable circumstances have affected an individual's ability to work productively, adjustment can be made to the number of outputs required from that individual for the output pool.

81. In REF2021, unlike previous REFs, the number of outputs has been decoupled from the number of staff submitted. This means that the total number of outputs returned from each Unit must be equal to 2.5 times the combined FTE of Category A submitted staff members, but may vary per individual. A minimum of 1 output is required per researcher, with a maximum of 5. Units can select outputs from across the submitted pool of staff members, so long as the maximum and minimum thresholds are adhered to. Not only is this designed to allow flexibility in building the portfolio of outputs, it is also in recognition of the reasons why an excellent researcher may have fewer or more outputs attributable to them in an assessment period. A process for the declaration and consideration of applicable staff circumstances is set out below.

82. Declaration is made on the Individual Staff Circumstances Declaration form which is found on Staffspace and included here at **Appendix Q**, and by the process described below.
83. The following equality-related circumstances have been identified as factors which may, in isolation or together, significantly constrain an individual's ability to produce outputs or work productively throughout the REF assessment period. Staff should refer to the REF 'Guidance on submissions', paragraphs 160-163 and Annex L for full descriptors. Applicable circumstances are included in this Code as **Appendix R**, and can be summarised as:
- Qualifying as an ECR
 - Qualifying as a Junior Clinical Academic (for UoAs 1-6 only – clinically qualified academics who are still completing their training in medicine or dentistry)
 - Absence from work due to secondments or career breaks outside of H.E
 - Qualifying periods of family-related leave
 - Circumstances with an equivalent effect to absence, which require a judgement about appropriate reduction to outputs, and which are: disability; ill-health, injury, or mental health conditions; constraints relating to pregnancy, maternity, paternity, adoption of childcare; other caring responsibilities (such as an elderly or disabled family member); gender reassignment; other circumstances related to protected characteristics (see **Appendix B**)
84. For purpose of clarity, it should be noted that part-time working is not an applicable circumstance, as that is already taken into account in the calculation of outputs required for a Unit (multiplying the Unit's FTE by 2.5).
85. On the basis of the voluntary declaration of individual circumstances, the University may also submit a request to REF for a reduction to the total number of outputs required for a Unit submission, if the cumulative effect of circumstances has disproportionately affected the potential output pool of a Unit. In view of the increased flexibility afforded by the principle of 'decoupling' (see paragraph 81), it is not expected that universities will need to routinely disclose circumstances or request reductions to the number of outputs – requests will be made if the effect of equality-related circumstances is understood to be disproportionately high (for example, where the number of staff with circumstances is high, or the Unit is small). The REF2021 process sets out a tariff of reductions in these cases.
86. In addition, an individual may be returned without the minimum of one output in this assessment (without penalty), where the nature of individual circumstances is such that there has been an exceptional effect on an individual's ability to work productively throughout the period. If this request is accepted, then that individual can be returned with no outputs attributed to them, and the total number of outputs required from the Unit will be reduced by one. Staff should consult the REF2021 'Guidance on submissions' on removing the 'minimum of one' requirement, paragraphs 178-183 as

well as the revised guidance in relation to Covid-19, 'Guidance on revisions to REF2021', on removing the 'minimum of one' requirement, paragraphs 20-27.

87. The University is required to submit the following information to REF when requesting a reduction at Unit level: information to enable identification of the staff members with defined circumstances within the submission; details of the nature of circumstances (max 200 words per staff member); details of how the University has determined an appropriate reduction and the reduction proposed; a supporting statement (max 300 words) outlining the rationale for the request in accordance with the University's Code of Practice.
88. The University is required to submit the following information to REF when requesting the removal of the minimum of one output for a member of staff with exceptional circumstances: information to enable identification of the staff member; details of the nature of circumstances; a brief statement describing how the circumstances affected the ability to produce an eligible output in the assessment period (max 200 words).

Process for disclosing and reviewing Staff circumstances

89. The Individual Staff Circumstances Declaration form is included as **Appendix Q**, and is available on the Intranet (from March 2019).
90. The form should be submitted on or before 6th January 2020.
91. In the event that staff circumstances affecting the ability to research productively and in the REF period develop after this date, the form can still be submitted and instances will be reviewed on a case-by-case basis.
92. Staff Circumstances Declaration forms should be sent to the REF Manager, who will check that the circumstances described are within scope of consideration for REF2021.
93. An Individual Circumstances Panel is convened in March 2020, and will be convened again if required, for both Covid and non-Covid-related circumstances, chaired by the Deputy Vice-Chancellor. The Panel is comprised of the Head of Impact (Institutional Lead for REF), an HRBP, the Equality, Diversity and Inclusion Partner, the REF Manager (clerk) and a nominated senior staff member, who does not hold any other direct responsibility for REF.
94. The Panel reviews all disclosed circumstances, and takes a decision as to whether:
 - Adjustment may be made to the number of outputs expected from an individual in the Unit's output pool
 - The cumulative effect of staff circumstances on a particular Unit is such that it merits a request for a reduction in the number of outputs required, without penalty

- Any individual with exceptional circumstances who has not been able to work productively throughout the entire REF period, and therefore unable to produce the minimum of one output, may be returned without the required minimum of one output

95. Unit Reduction requests and requests for removing the minimum of one must be submitted to REF before or by March 2020, via the secure submission system. The outcome of results will be provided before the census date.

96. Amendments to the requests can be made at the point of REF submission, if there has been a change to staff included in the request (such as departure, or new joining staff with applicable circumstances).

Notifying Units and Staff

97. All staff involved will follow the REF guidance on individual circumstances in respect to confidentiality and sensitivity. Information provided by staff will be shared with Research England and treated with confidentiality in accordance with the REF2021 'Guidance on submissions'.

98. Data will be kept according to the University's Retention Policy until the period of audit required by REF2021 is passed [April 2022] at which point any personal and confidential information will be destroyed.

99. Information on the collection, processing and retention of personal data submitted to the REF is provided in the University's REF Data Collection Statement (**Appendix L**).

100. Once permitted reductions have been granted by REF2021, the REF Steering Group will apply the permitted reduction to the number of outputs in a Unit, at the point of final selection.

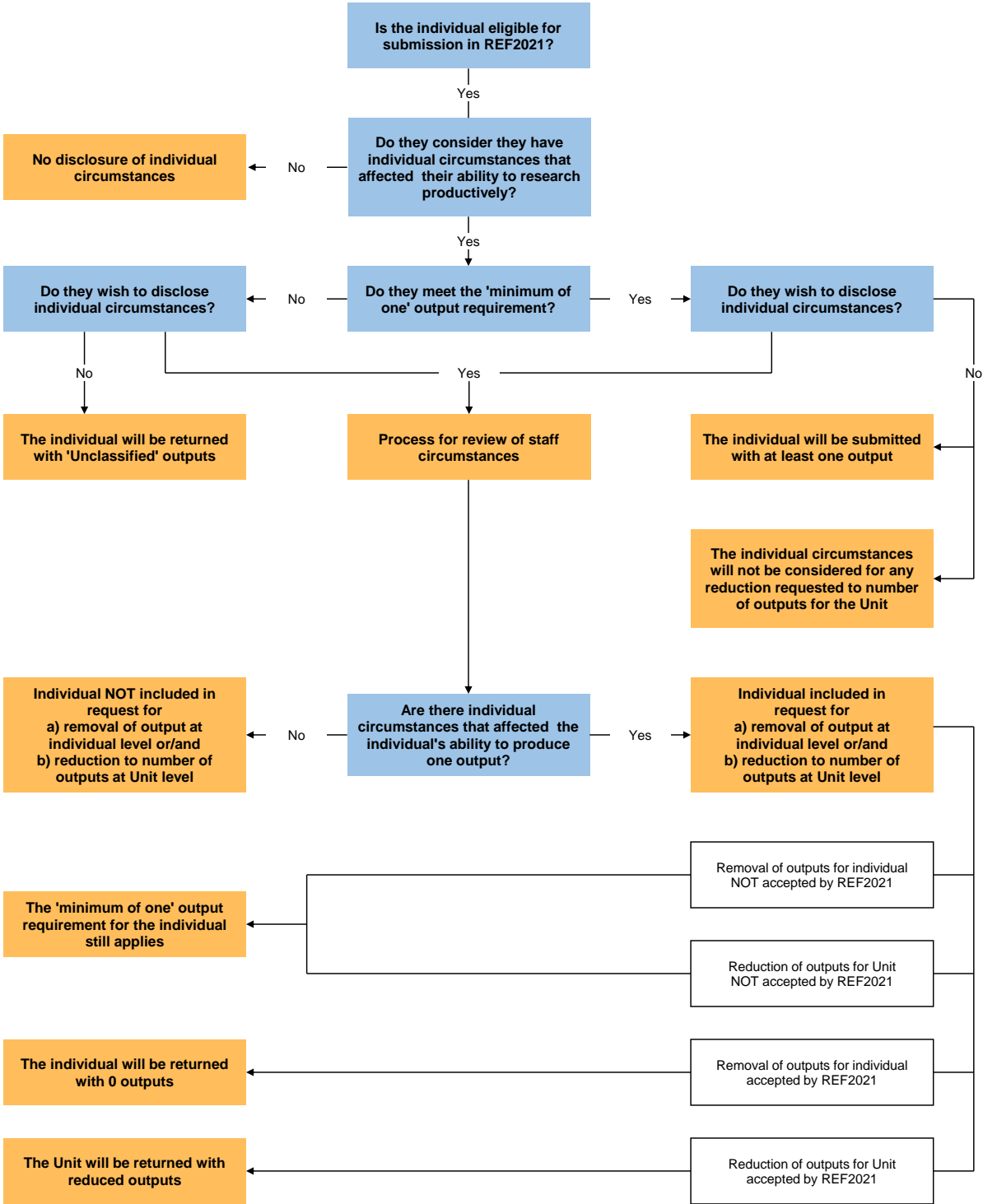
101. Staff with exceptional circumstances will be informed of the reduction in the event that the decision removes the 'minimum of one'.

Table 6. Timetable for the disclosure and decisions on Staff Circumstances

Date	Activity
By 6 th January 2020 (to give staff extra time to respond, this deadline was moved to 25 th February 2020)	Voluntary individual circumstances submitted by staff

	REF Manager checks if circumstances described are within scope of consideration for REF2021
March 2020	Individual Circumstances Panel convenes; decisions on adjustments to output pool; request for Unit-level reduction; request to remove 'minimum of one'
By March 2020	Requests submitted via secure submission system
Before Census Date	Permitted reductions granted by REF2021; affected staff informed of outcome
Autumn 2020	Further consideration of requests for Covid and non-Covid circumstances

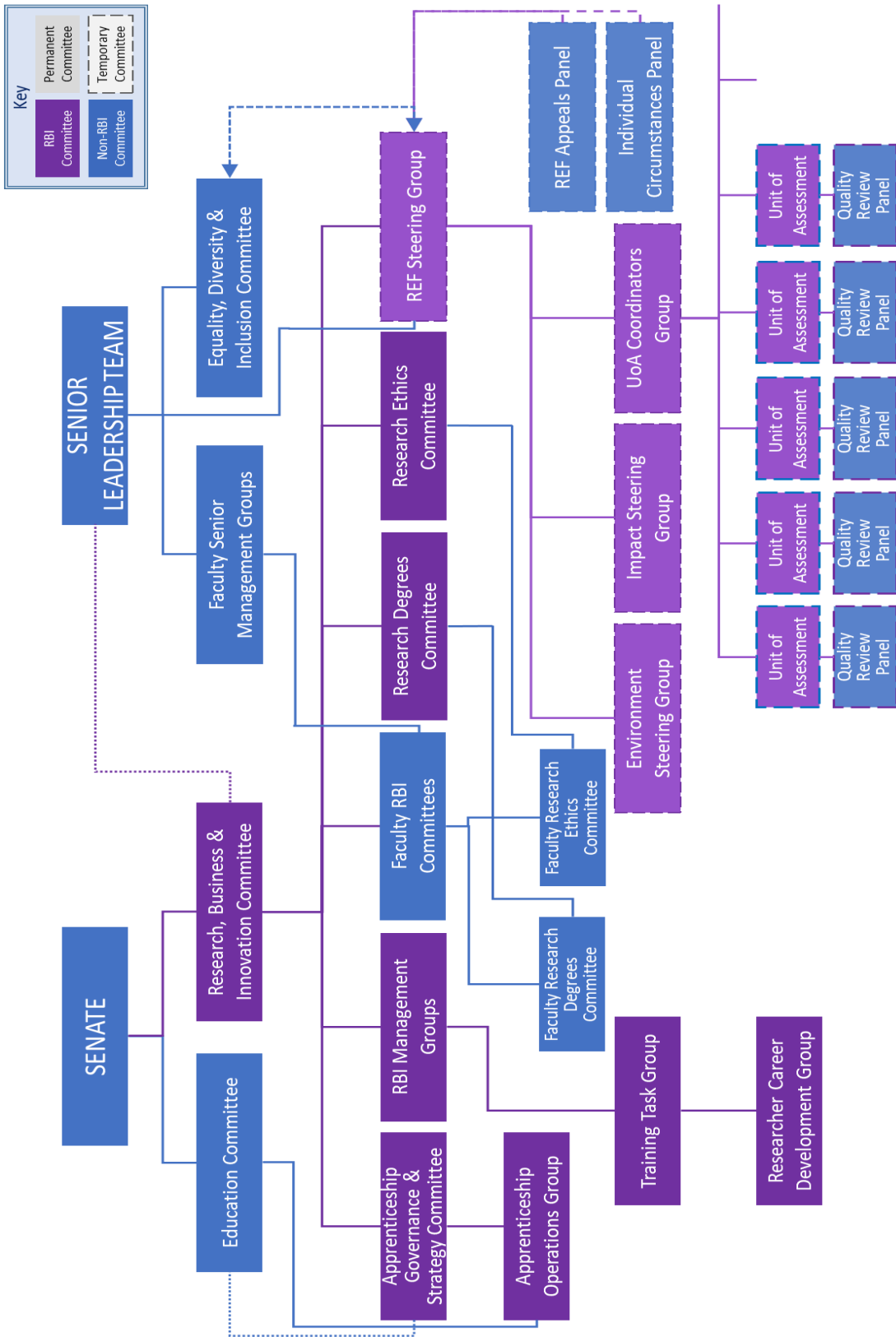
Figure 3. Kingston University disclosure of Individual Circumstances in REF2021



Equality Impact Assessment

102. An EIA will be carried out following the selection of outputs and the determination of permitted reductions on the basis of staff circumstances.

APPENDIX A – Research, Business and Innovation Committee structure



APPENDIX B – Summary of equality legislation for groups of staff covered by the Code

The Equality Act 2010 harmonised and consolidated previous anti-discrimination legislation. The Act covers the protected characteristics of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, sexual orientation.

<p>Age</p>	<p>All employees within the HE sector are protected from unlawful age discrimination, harassment and victimisation in employment under the Equality Act 2010 and the Employment Equality (Age) Regulations (Northern Ireland) 2006. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group.</p> <p>Age discrimination can occur when people of a particular age group are treated less favourably than people in other age groups. An age group could be, for example, people of the same age, the under 30s or people aged 45-50. A person can belong to a number of different age groups.</p> <p>Age discrimination will not be unlawful if it is a proportionate means of achieving a legitimate aim. However, in the context of the REF, the view of the funding bodies is that if a researcher produces excellent research an HEI will not be able to justify not selecting their outputs because of their age group.</p> <p>It is important to note that early career researchers (ECRs) are likely to come from a range of age groups. The definition of ECR used in the REF (see 'Guidance on submissions', paragraphs 148 to 149) is not limited to young people.</p> <p>HEIs should also note that, given developments in equalities law in the UK and Europe, the default retirement age has been abolished from 1 October 2011 in England, Scotland, Wales and Northern Ireland.</p>
<p>Disability</p>	<p>The Equality Act 2010, the Disability Discrimination Act (1995) (Northern Ireland only) and the Disability Discrimination (Northern Ireland) Order 2006 prevent unlawful discrimination, victimisation and harassment relating to disability. Individuals are also protected if they are perceived to have a disability or if they are associated with a person who has a disability (for example, if they are responsible for caring for a family member with a disability).</p> <p>A person is considered to have a disability if they have or have had a physical and/or mental impairment which has 'a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities'. Long-term impairments include those that last or are likely to last for at least 12 months.</p>

	<p>Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities. An impairment which is managed by medication or medical treatment, but which would have had a substantial and long-term adverse effect if not so managed, is also a disability.</p> <p>The definition of disability is different in Northern Ireland in that a list of day-to-day activities is referred to.</p> <p>There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people generally, not a specific individual, carry out on a daily or frequent basis.</p> <p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p> <ul style="list-style-type: none"> • sensory impairments • impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy • progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer • organ specific impairments, including respiratory conditions and cardiovascular diseases • developmental impairments, such as autistic spectrum disorders and dyslexia • mental health conditions such as depression and eating disorders • impairments caused by injury to the body or brain. <p>It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.</p> <p>Equality law requires HEIs to anticipate the needs of people with disabilities and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a researcher's impairment has affected the quantity of their research outputs, the submitting unit may return a reduced number of outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances').</p>
<p>Gender reassignment</p>	<p>The Equality Act 2010 and the Sex Discrimination (Gender Reassignment) Regulations (Northern Ireland) 1999 protect from discrimination, harassment and victimisation of trans people who have proposed, started or completed a process to change their sex. Staff in HE do not have to be under medical supervision to be afforded protection because they are trans and staff are protected if they are perceived to be undergoing or have undergone related procedures. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.</p>

	<p>Trans people who undergo gender reassignment will need to take time off for appointments and, in some cases, for medical assistance. The transition process is lengthy, often taking several years, and it is likely to be a difficult period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole.</p> <p>The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a transsexual may commit a criminal offence if they pass the information to a third party without consent.</p> <p>Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care.</p> <p>If a staff member's ability to work productively throughout the REF assessment period has been constrained due to gender reassignment, the unit may return a reduced number of research outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'). Information about the member of staff will be kept confidential as described in 'Guidance on submissions', paragraph 195.</p> <p>HEIs should note that the Scottish government recently consulted on, and the UK government is currently consulting on, reform of the Gender Recognition Act 2004, which may include streamlining the procedure to legally change gender.</p>
<p>Marriage and civil partnership</p>	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 as amended, individuals are protected from unlawful discrimination, harassment and victimisation on the grounds of marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and treatment in employment. The protection from discrimination does not apply to single people.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff who are married or in civil partnerships.</p>
<p>Political opinion</p>	<p>The Fair Employment and Treatment (Northern Ireland) Order 1998 protects staff from unlawful discrimination on the grounds of political opinion.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff based on their political opinion.</p>

<p>Pregnancy and maternity</p>	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 women are protected from unlawful discrimination, harassment and victimisation related to pregnancy and maternity.</p> <p>Consequently, where researchers have taken time out of work, or their ability to work productively throughout the assessment period has been affected, because of pregnancy and/or maternity, the submitting unit may return a reduced number of research outputs, as set out in 'Guidance on submissions', paragraphs 169 to 172.</p> <p>In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process.</p> <p>For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.</p>
<p>Race</p>	<p>The Equality Act 2010 and the Race Relations (Northern Ireland) Order 1997 protect HEI staff from unlawful discrimination, harassment and victimisation connected to race. The definition of race includes colour, ethnic or national origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their race or assumed race (for example, based on their name).</p>
<p>Religion and belief including non-belief</p>	<p>The Equality Act 2010 and the Fair Employment and Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination, harassment and victimisation related to religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived religion or belief, including non-belief. 'Belief' includes any structured philosophical belief with clear values that has an effect on how its adherents conduct their lives.</p>
<p>Sex (including breastfeeding and additional paternity and adoption leave)</p>	<p>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect HEI staff from unlawful discrimination, harassment and victimisation related to sex. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex.</p> <p>The sex discrimination provisions of the Equality Act explicitly protect women from less favourable treatment because they are breastfeeding.</p> <p>Consequently, the impact of breastfeeding on a woman's ability to work</p>

	<p>productively will be taken into account, as set out in ‘Guidance on submissions’, Part 3, Section 1, ‘Staff circumstances’.</p> <p>If a mother who meets the continuity of employment test wishes to return to work early or shorten her maternity leave/pay, she will be entitled to shared parental leave with the father or her partner within the first year of the baby’s birth. Partners may also be eligible for shared parental leave or pay. Fathers/partners who take additional paternity or adoption leave will have similar entitlements to women on maternity leave and barriers that exist to taking the leave, or as a result of having taken it, could constitute unlawful sex discrimination. Consequently, where researchers have taken additional paternity and adoption leave, the submitting unit may return a reduced number of outputs, as set out in ‘Guidance on submissions’, Annex L.</p> <p>HEIs need to be wary of implementing procedures and decision-making processes in relation to REF 2021 that would be easier for men to comply with than women, or vice versa. There are many cases where a requirement to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women.</p> <p>HEIs should note that there are now requirements under UK and Scottish legislation for public authorities (including HEIs) to report information on the percentage difference amongst employees between men and women’s average hourly pay (excluding overtime).</p>
Sexual orientation	<p>The Equality Act 2010 and the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003 protect HEI staff from unlawful discrimination, harassment and victimisation related to sexual orientation. Individuals are also protected if they are perceived to be or are associated with a person who is of a particular sexual orientation.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived sexual orientation.</p>
Welsh language	<p>The Welsh Language Act 1993 places a duty on public bodies in Wales to treat Welsh and English on an equal basis. This is reinforced by the provisions of the Welsh Language (Wales) Measure 2011 and the Welsh Language Standards (No 6) Regulations 2017.</p> <p>The arrangements for the assessment of outputs in the medium of Welsh by the REF panels are set out in ‘Guidance on submissions’, paragraphs 284 and 285.</p>

Research, Business and Innovation Committees

Terms of Reference

RESEARCH, BUSINESS AND INNOVATION COMMITTEE

Quoracy

A meeting shall be deemed quorate if at least 50% [12] of members are present within 20 minutes of the publicised start time. These must include the chair (or designated alternate) at least one Associate Dean and at least one RBI team head.

If quoracy is not achieved, proceedings may continue on an informal basis at the Chair's discretion. In such cases, any decisions taken will be circulated to the membership for approval. Failure to respond within 10 working days will be deemed as assent.

Purpose

To provide oversight, governance and key decision making in relation to Research, Business & Innovation activities across the University, advising SLT and Senate as appropriate.

Reporting

This committee is a Standing Committee of the Senate, to which it reports

This committee has oversight of and receives reports from:

- **Research Degrees Committee** (standing university subcommittee)
- **Research Ethics Committee** (standing university subcommittee)
- **Apprenticeship Governance & Strategy Committee** (standing university subcommittee)
- **REF Steering Group** (as required university subcommittee)
- Faculty RBI Committees (Faculty standing committees)
- RBI Management Groups (standing working group)

Frequency and timing of meetings

This committee meets quarterly, scheduled centrally within the University Committees calendar, usually in October, January, March and June. Special meetings may be convened when required.

Responsibilities and Accountabilities

Key responsibilities

1. Oversight, across the University, of the promotion, support and development of an externally facing, innovative and translational environment for research, knowledge exchange and commercial activity including short courses and residential programmes.
2. To provide assurance on data quality and integrity in relation to external returns for research and knowledge exchange.
3. To monitor the external research context and ensure that University research and business activity is consistent with, and responsive to the emerging policy environment, including encouraging the formation of new areas of inter-disciplinary excellence.
4. To annually monitor progress against key performance indicators.
5. To monitor and manage progress and performance against University and Faculty strategic implementation and planning documents, including targets for income, external

engagement and other deliverables. To receive and scrutinise Faculties' annual monitoring of research submissions.

6. To share and encourage best practice in all areas, working closely with Faculty Research, Business & Innovation Committees.
7. To promote cross-Faculty opportunities consistent with strategies for Research, Business & Innovation and to enlist senior academic support and mentoring for key endeavours.
8. To form and oversee sub groups as required to efficiently perform the function of the Committee, including receiving and considering reports and recommendations from those sub-groups as appropriate.

Key decisions

9. To approve strategies and implementation plans for Research, Business & Innovation, ensuring alignment to other key University strategies. To update strategy and implementation plans as required.
10. To consider and approve recommendations from its sub-committees regarding staff research and research degrees, including activities as covered by the REF Code of Practice.
11. To approve, oversee and monitor University policies and procedures relating to research, innovation and commercial activity.
12. To assess quality, diversity and balance of University Centres of Research Excellence, approving or downgrading as required to maintain standards.

Key advisory roles

13. To advise and refer matters to Senate as appropriate and to make an annual report on progress to Senate.
14. To refer information to the Senior Leadership Team as appropriate to inform the University management process.
15. To report to Senate on external returns relating to research and knowledge exchange including the annual HE-BCI return, the annual monitoring of the five year knowledge exchange strategy and HEIF expenditure, submissions to HEFCE for research funding and the REF.

Other accountabilities

16. To facilitate the application process and implementation of action plans for institution and department level charter marks and awards, e.g. Athena SWAN.
17. To ensure all relevant activities meet the equality and inclusion principles of the University.

Communications

The inclusion of committee chairs is intended to ensure bi-directional communication with those committees, raising issues to the parent committee and reporting discussions and outcomes through the sub-committee. Members are also expected to cascade appropriate information through their Faculties, Directorates, teams and groups, including to Management groups.

Where formal communication from the Chair, Clerk or any individual member is required, it will be flagged as an action.

Attendance

Members are expected to make all efforts to attend, but should arrange a substitute on exceptional occasions when attendance is not possible.

Membership (* denotes voting)	Current members
Members*	
Pro Vice-Chancellor Research Business & Innovation (chair)	Prof Anne Boddington
Associate Dean (RBI) or equivalent, from each Faculty (chairs of FRBICs)	Prof Simon Wortham Prof Robert Blackburn Prof Cilla Harries Prof Declan Naughton
Heads of Research Business & Innovation teams (Chair of Apprenticeships Operations Group) (Chair of REF Steering Group) (Chair of Research Ethics and Degrees Committees, HR Excellence Concordat Group)	Adele Roberts-Hunt Prof Mukesh Limbachiya Prof Jane Pavitt Prof Phil Terry
Head of Strategy, Governance & Funding (clerk)	Dr Juliet Parry

Co-opted Members*	
Deans' representative	Prof Jill Schofield
Head of School representative	Dr Mehmet Dorak
Emerging researcher representatives	Dr Rosa Busquets Dr Manolis Noikokyris
Senior researcher representatives	Prof Peter Osborne Prof Sarah Barman
Head of Learning & Research Support, Library & Learning Services	Sandra Leitch
DARE representative	Abbie Carr
HR representative	(vacancy)
I&TS representative	Tiger Wang
Finance representative	Linda Major
Marketing and Communications representative	Sarah Bell
Kingston Union of Students Representative	Kamal Mohamed
PGR Student representative	Faith Ukachkwu / Ifrah Mussa

In Attendance	
RBI Support (minuting secretary)	Caroline Whitehouse

Ex Officio Members*	

Vice Chancellor	Prof Steven Spier
Pro Vice-Chancellor (Teaching and Learning)	Dr Trish Reid
Registrar and University Secretary	Keith Brennan

Document History	
Author	Clerk, Research, Business and Innovation Committee
Authorised	
Dissemination routes	Associate Dean (RBI) via Faculty Research, Business and Innovation Committees

Research, Business and Innovation Committees

Terms of Reference

REF2021 STEERING GROUP

Quoracy

A meeting shall be deemed quorate if at least 50% of members are present within 20 minutes of the publicised start time.

If quoracy is not achieved, proceedings may continue on an informal basis at the Chair's discretion. In such cases, any decisions taken will be circulated to the membership for approval. Failure to respond within 10 working days will be deemed as assent.

Purpose

Responsible for leading, developing and implementing the University's submission to REF2021, in order to maximise quality and achieve the best outcome for the University. Responsible for REF2021 decision-making in line with the Code of Practice.

Reporting

This committee reports to the Research, Business & Innovation Committee (RBIC) for governance and the Senior Leadership Team (SLT) for management decisions.

This committee has oversight of and receives reports from:

- Environment Steering Group
- Impact Steering Group
- Unit of Assessment Coordinators Group

This committee also receives reports and decisions from the REF Appeals Panel and the Individual Circumstances Panel.

Frequency and timing of meetings

Monthly from February 2018.

Responsibilities and Accountabilities

Key responsibilities

1. Develop, consult upon and implement a Code of Practice governing policy and procedures for:
 - identifying staff with significant responsibility for research
 - determining whether staff meet the definition of an independent researcher
 - selection of outputs
 - appeals
 - individual circumstances
 - training
 - data management
2. Operate to the University's REF2021 Code of Practice, which is developed in alignment with the guidelines produced by Research England.
3. Undertake a programme of communication activity to disseminate the Code and explain all relevant processes.
4. Monitor the implementation of the Code through Equality Impact Assessments, making revisions to the Code as appropriate.

5. Lead, develop and implement the University's submission to REF2021 to maximise quality and achieve the best University outcome.
6. Devise and oversee processes to ensure Faculties and Units of Assessment implement the Code transparently and consistently across the University.
7. Ensure that all individuals and groups involved in making decisions on the selection of outputs receive relevant training on equality and diversity tailored to the requirements of the REF.
8. To form and oversee sub groups as required to efficiently perform the function of the Committee, including receiving and considering reports and recommendations from those sub- groups as appropriate. Such current subgroups are the impact and environment steering groups.
9. To Establish an Appeals Panel and an Individual Circumstances Panel, chaired by a member of SLT, independent of the Steering Group and of the decisions under appeal , to assess mitigating circumstances requests from individuals in accordance with the REF Guidance on Submissions

Key decisions

10. Responsible for REF2021 decision-making as detailed within the Code of Practice.
11. Responsible for reaching a judgement on quality profiles for outputs, impact and environment elements of each potential UOA submission, informed by expert independent assessment by external assessors and internal peer review, in order to make recommendations to SLT.
12. Align staff identified with significant responsibility for research to Units of Assessment.

Key advisory roles

13. Make recommendations to SLT on the Units of Assessment to be returned in the REF exercise and assignments to each.
14. Advise the SLT of any emerging implications of REF proposals, criteria and submission guidelines.

Other Accountabilities

15. To ensure all relevant activities meet the equality and inclusion principles of the University.

Communications

Much of the work of this committee will include confidential information, which the members and attendees will hold in the strictest confidence. Outside of confidential material, the inclusion of panel representatives is intended to ensure bi-directional communication with those constituencies. Members are also expected to cascade appropriate information through their Faculties, Directorates, teams and groups, including to Management groups.

Where formal communication from the Chair, Clerk or any individual member is required, it will be flagged as an action.

Attendance

Members are expected to make all efforts to attend. If, for an exceptional reason, a member is unable to be present, the nature of the work of this committee usually renders substitutes unacceptable. If a substitute is advisable and acceptable, the Chair will issue an invitation.

Membership (* denotes voting)	Current members
Members*	
Head of Impact (Institutional Lead for REF2021), RBI (Chair)	Prof Jane Pavitt
Representatives for subjects in Main Panels;	
Panel A	Prof Cilla Harries
Panel B	Prof Declan Naughton
Panel C	Prof Javier Ortega
Panel D	Prof Maria Chatzichristodoulou
Pro Vice-Chancellor (Strategic Development)	Prof Simon Wortham
Head of Strategy, Governance & Funding	Dr Juliet Parry
Head of Research and Graduate Research School	Prof Phil Terry

Co-opted Members*	
HR MI and Systems Partner	Ed Uff
Equality, Diversity and Inclusion Partner, HR	Amraze Khan

In Attendance	
By invitation for specific items	University Academics who also hold REF2021 positions as sub-panel chairs, members or advisors
Impact Development Managers, RBI	Nick Dagnall Rosie Anderson
REF Manager (Clerk, minutes)	Kalli Selioti

Ex Officio Members*	
Pro Vice-Chancellor (Special Projects)	Prof Anne Boddington
Registrar and University Secretary	Keith Brennan

Document History	
Author	Clerk, Research, Business and Innovation Committee
Authorised	
Dissemination routes	Associate Dean (RBI) via Faculty Research, Business and Innovation Committees

APPENDIX E – Equality, Diversity and Inclusion (EDI) Committee Membership and Terms of Reference

Type:	Standing Committee
Nature:	Advises the Senior Management Team (SMT) on strategic issues relating to the Equality, Diversity and Inclusion (EDI) Strategy.
Purpose:	The EDI committee has strategic responsibility for ensuring the successful delivery of the One Kingston: EDI Strategy; reviewing the strategy and its objectives annually.
Expectations:	Members have a shared vision, individual and collective responsibility to deliver the work of the committee and actively engage as champions for particular areas.
Reporting line:	Senior Management Team
Timing:	Meets three times per year
Cycle:	Three years

Terms of Reference

1. To have oversight of the delivery of the One Kingston EDI Strategy, ensuring that the identified goals and equality objectives are met.
2. To review and amend the One Kingston EDI Strategy annually to ensure its currency.
3. To identify and review institutional equality challenges through the analysis and evaluation of policies, reports and other quantitative and qualitative data.
4. To propose improvements to processes and practices throughout the University to ensure a supportive and inclusive environment for all our students, staff and stakeholders.
5. To advise SMT and the University on key equality challenges and provide strategies to address these and mitigate associated risk.
6. To raise awareness of the institutional equality challenges and disseminate these to the wider University community.
7. To advise on the strategic approach required to support the application to Equalities Charter Marks and awards and the implementation of the action plans.

Key information sources:

Annual Equality Reports

Equality surveys and research

Summary reports from networks and the sub-groups such as the Disability Action Group, Black and Minority Ethnic (BME) KPI Steering Group and the Network of EDI Champions (NECs)

Equality impact assessments

Key enabling committees:

Senate

University Education Committee

Research Committee

Membership

Chair

Head of Access, Participation and Inclusion, Clerk

Academic representatives from each faculty

Chief Operating Officer, Union of Kingston Students

Chair of Athena SWAN steering group

Chair of BME KPI Steering Group

Chair of the Race Equality self-assessment team

Deputy Director, Student Administration

Director of Services for Students

Head of Marketing and Communications

Head of Student Employability and Engagement

Head of Academic Staff Development

Representative from Human Resources (delegated by Head of HR)

Representatives from UKS

Union representatives

In Attendance

Minute Taker

Other members of staff will be invited to attend for specific items on the agenda.

APPENDIX F – Senior Leadership Team Membership and Terms of Reference

Senior Leadership Team Terms of Reference

1. Purpose
 - 1.1. The Senior Leadership Team (SLT) is the University's most senior, executive decision making body. It is the body responsible for designing and delivering the University strategy, and the efficient, effective and cost-effective management of the Institution.
 - 1.2. Its agenda is set by the Vice-Chancellor in order to monitor performance against plan, implement timely interventions, and elicit discussions on the key aspects of university life.
 - 1.3. Its membership brings together the senior leaders of the academic and professional services who are accountable to the Vice-Chancellor for the overall performance of their activities, and who are responsible for implementing the University strategy as it relates to their cognate area.

2. Principles
 - 2.1. Members of the SLT are expected to act according to the principles of cabinet responsibility and act as ambassadors for KU internally and externally.
 - 2.2. SLT members will operate to the values of selflessness, respect and inclusivity that underpin the Corporate Plan.
 - 2.3. The decisions taken by SLT are binding upon its members and are communicated in an open, timely and transparent way to the University's staff and students.
 - 2.4. SLT members have a responsibility to support their SLT colleagues for the collective good of the institution.
 - 2.5. Members will support the Vice-Chancellor in fulfilling his/her responsibilities to the Board of Governors.

3. Membership
 - 3.1. The following shall be members of the Senior Leadership Team
 - 3.1.1. Vice-Chancellor
 - 3.1.2. Deputy Vice-Chancellor
 - 3.1.3. Registrar and University Secretary
 - 3.1.4. Finance Director
 - 3.1.5. PVC Learning and Teaching
 - 3.1.6. PVC Research, Business and Innovation
 - 3.1.7. Deans of Faculty/PVC
 - 3.1.8. HR Director
 - 3.2. The following shall normally be in attendance
 - 3.2.1 Head of Communications
 - 3.2.3 PVCs

4. Quorum
 - 4.1. The meeting shall be quorate with 50% of its members, to include the Vice- Chancellor (or his/her nominated deputy), at least one Dean, and one substantive PVC or DVC.

5. Responsibilities and Accountabilities
 - 5.1. Strategic planning
 - 5.1.1. Develop and implement the Corporate Plan and any underpinning strategic and operational plans at an institutional level.

- 5.1.2. Ensure the implementation of strategic and operational plans at a faculty and directorate level.
- 5.1.3. Monitor and deliver performance against institutional level KPIs.
- 5.1.4. Lead the continuous faculty and directorate planning cycle.
- 5.1.5. Lead, or delegate as appropriate to sub-committees or steering groups, management of large-scale change projects.
- 5.2. Students
 - 5.2.1. Have oversight of and look to improve the student experience and student outcomes continuously.
 - 5.2.2. Have oversight of student recruitment.
- 5.3. Academic performance
 - 5.3.1. Monitor academic performance against agreed levels and ensure they are achieved.
- 5.4. People
 - 5.4.1. Develop and instill a culture of leadership, management, and engagement.
- 5.5. Risk, finance and governance
 - 5.5.1. Have oversight of the efficient and effective use of the University's resources.
 - 5.5.2. Agree, review and amend the strategic risk register and ensure business continuity.
 - 5.5.3. Ensure all legislative and regulatory requirements are met.
 - 5.5.4. Monitor the University's financial performance and take action as required.
 - 5.5.5. Develop the annual budget and financial plan, and recommend it to the Board for approval.
- 5.6. Maintain an understanding of the external HEI environment, the University's position in that context, and how it is portrayed externally to regulatory bodies and external stakeholders.
- 6. Mode of operation
 - 6.1. SLT will discharge its responsibilities through such a cycle of meetings as the Vice-Chancellor, in consultation with SLT, deems fit, and will coordinate its actions with meetings of the Board of Governors and Senate as appropriate.
 - 6.2. The format of SLT is characterised by the executive leaders submitting a concise paper that will be taken as read. In general, papers should be at a strategic level and no more than five pages long. A succinct and meaningful executive summary of the report with clear actions for the SLT to consider is to be provided in all cases.
- 7. Agenda items
 - 7.1. All items will be taken as read at the meeting. If a member is unable to attend, any comments or questions in relation to the papers should be submitted to the V- C/Chair prior to the meeting.
 - 7.2. Standing agenda items are listed below. With the exception of the VC's Report and financial items, these updates are for information of which other SLT members should be aware.
 - 7.2.1. V-C's Report
 - 7.2.2. Updates from Deans / PVCs
 - 7.2.3. Update from PVC L&T
 - 7.2.4. Update from PVC RBI
 - 7.2.5. Update from Registrar
 - 7.2.6. Financial Report – at least every other meeting
 - 7.2.7. Executive summaries and trend analysis of institutional external data submissions, as per external reporting deadlines.

8. Secretariat services

8.1. Agreement of the agenda will be no later than one week prior to the meeting

8.2. Distribution of papers will be no later than 3 working days prior to the meeting

8.3. Distribution of minutes will be No later than five working days after the meeting.

9. Frequency of meetings

9.1. Once every 3 weeks normally.

10. Review of terms of reference to be annual or as necessary.

Research, Business and Innovation Committees
Terms of Reference

IMPACT STEERING GROUP

Quoracy

A meeting shall be deemed quorate if at least 50% of members are present. If quoracy is not achieved, proceedings will continue on an informal basis at the Chair's discretion. In such cases, any decisions taken will be circulated to the membership.

Purpose

On behalf of the REF Steering Group to lead, develop and implement all impact elements of the University's submission to REF2021, in order to maximise quality and achieve the best outcome for the University.

Reporting

This task and finish group reports to the Research Excellence Framework Steering Group (REFSG).

Frequency and timing of meetings

At need: prior to the submission of the Mock REF for Impact and Environment in Summer 2019 and at least four further times in the run-up to REF 2021 submission.

Responsibilities and Accountabilities

Key responsibilities

1. Identify and consider appropriate Impact Case Studies for REF2021.
2. Craft the institutional narrative, informing and advising upon unit-level impact narrative.
3. Monitor process across the impact lifecycle, including planning and evidence.
4. Operate to the University's REF2021 Code of Practice, which is developed in alignment with the guidelines produced by Research England and operate processes devised by the REF Steering Group in relation to this.
5. Contribute to programme of communication activity to disseminate the Code and explain all relevant processes.

Key advisory roles

6. Responsibility for reaching a judgement on quality of impact elements of each potential UOA submission, informed by expert independent assessment and making recommendations to the Steering Group on the selection of Impact Case Studies and their assignment to Units of Assessment.
7. Advising on opportunities to increase reach and significance.

Other Accountabilities

8. To ensure all relevant activities meet the equality and inclusion principles of the University.

Communications

It is the responsibility of all members to ensure that information is efficiently disseminated to their colleagues and constituencies.

Attendance

Members are expected to make all efforts to attend. On exceptional occasions when attendance is not possible, Panel representatives should arrange an appropriate substitute.

Membership (* denotes voting)	Current members
Members*	
Head of Impact (Institutional Lead for REF2021), RBI, Chair	Prof Jane Pavitt
Representatives for subjects in Main Panels;	
Panel A	Prof Mary Chambers Prof Cilla Harries
Panel B	Prof Jean-Christophe Nebel Prof Declan Naughton
Panel C	Prof Gaëlle Vallee-Tourangeau Dr Atsuko Ichijo
Panel D	Prof Sara Upstone Prof Anne Boddington
In attendance	
Impact Development Managers, RBI	Nick Dagnall Rosie Anderson
Research Operations Manager, RBI (Clerk, minutes)	Emma Coleman

Ex Officio Members*	
Registrar and University Secretary	Keith Brennan

Document History	
Author	Clerk, Research, Business and Innovation Committee
Authorised	
Dissemination routes	Associate Dean (RBI) via Faculty Research, Business and Innovation Committees

Research, Business and Innovation Committees
Terms of Reference

ENVIRONMENT STEERING GROUP

Quoracy

A meeting shall be deemed quorate if at least 50% of members are present. If quoracy is not achieved, proceedings will continue on an informal basis at the Chair's discretion. In such cases, any decisions taken will be circulated to the membership.

Purpose

On behalf of the REF steering group to lead, develop and implement all environment elements of the University's submission to REF2021, in order to maximise quality and achieve the best outcome for the University.

Reporting

This task and finish group reports to the Research Excellence Framework Steering Group (REFSG).

Frequency and timing of meetings

At need: prior to the submission of the Mock REF for Impact and Environment in Summer 2019 and at least four further times in the run-up to REF 2021 submission.

Responsibilities and Accountabilities

Key responsibilities

1. Crafting the institutional environment statement and informing/advising upon unit-level environment.
2. Liaising with the Impact Steering Group on impact elements of the environment statements.
3. Consideration of data elements, including research income, research student completions and staff FTE and their assignment to units of assessment.
4. Operate to the University's REF2021 Code of Practice, which is developed in alignment with the guidelines produced by Research England and operate processes devised by the REF Steering Group in relation to this.
5. Contribute to programme of communication activity to disseminate the Code and explain all relevant processes.

Key advisory roles

6. Responsibility for reaching a judgement on quality of environment elements of each potential UOA submission, informed by expert independent assessment and making recommendations to the Steering Group on the final content of environment statements.
7. Responsibility to recommend to the REF Steering Group where a potential unit may be too small and should consider the potential to apply for an exception.
8. Advising on opportunities to improve environment through provision of additional data (e.g. contribution to discipline etc.)

Other Accountabilities

9. To ensure all relevant activities meet the equality and inclusion principles of the University.

Communications

It is the responsibility of all members to ensure that information is efficiently disseminated to their colleagues and constituencies.

Attendance

Members are expected to make all efforts to attend. On exceptional occasions when attendance is not possible, Panel representatives should arrange an appropriate substitute.

Membership (* denotes voting)	Current members
Members*	
Head of Research and Research Graduate School, RBI (chair)	Prof Phil Terry
Representatives for subjects in Main Panels;	
Panel A	Prof Vari Drennan Prof Tony Walker
Panel B	Prof Sarah Barman Dr Lucy Jones
Panel C	Prof Audley Genus Prof Javier Ortega
Panel D	Prof Peter Osborne Prof Maria Chatzichristodoulou
Pro Vice-Chancellor (Strategic Development)	Prof Simon Wortham
Head of Impact (Institutional Lead for REF2021), RBI	Prof Jane Pavitt
Head of Strategy, Governance & Funding, RBI	Dr Juliet Parry
In Attendance	
REF Manager	Kalli Selioti
Research Operations Manager, RBI (Clerk, minutes)	Emma Finch

Document History	
Author	Clerk, Research, Business and Innovation Committee
Authorised	
Dissemination routes	Associate Dean (RBI) via Faculty Research, Business and Innovation Committees

Terms of Reference

UNIT COORDINATORS WORKING GROUP

Quoracy

Three or more members to be present.

Purpose

Provide a monthly forum for leads of potential Units of Assessment (UoA), and a route for their training and the development and support of best practice across the university.

Reporting

This committee reports to the Research Excellence Framework Steering Group (REFSG). This committee has oversight of the running of Units of Assessment.

Frequency and timing of meetings

Monthly, with additional meetings as required to provide training.

Responsibilities and Accountabilities

Key responsibilities

1. Provide a monthly forum for UoA leads.
2. Provide training in necessary skills for UoA Coordinators and coordination teams.
3. Discuss equality, diversity and inclusion in relation to the REF.
4. Share best practice and disseminate information and practices obtained from external events.
5. Consultation route e.g. for Code of Practice.

Other Accountabilities

6. To ensure all relevant activities meet the equality and inclusion principles of the University.

Communications

It is the responsibility of all members to ensure that information is efficiently disseminated to their colleagues and constituencies.

Attendance

Members are expected to make all efforts to attend, but should arrange a substitute member of the coordination team for that UoA on exceptional occasions when attendance is not possible.

Membership (* denotes voting)	Current members
Members*	
Head of Impact (Institutional Lead for REF2021), RBI (Chair)	Prof Jane Pavitt
Head of Research and Research Graduate School	Prof Phil Terry
UoA Coordinators;	
UoA 03	Prof Tony Walker
UoA 04	Prof Fred Vallee-Tourangeau
UoA 11	Prof Jean-Christophe Nebel
UoA 12	Prof Jian Wang & Prof Nigel Walford
UoA 17	Prof Francesca Dall-Olmo Riley
UoA 19	Prof Ilaria Favretto & Prof Michael Wynn
UoA 23	Prof Fiona Ross
UoA 27	Prof Fred Botting
UoA 30	Prof Peter Osborne
UoA 32	Dr Catharine Rossi
UoA 33	Prof John O Maoileorca
Impact Development Managers, RBI	Nick Dagnall Rosie Anderson
Research Operations Managers, RBI	Emma Coleman Emma Finch
REF Manager (Clerk, minutes)	Kalli Selioti
In Attendance	
Unit coordination team members	As required
HR MI and Systems Partner (as required)	Ed Uff
Equality, Diversity and Inclusion Partner, HR (as required)	Amraze Khan
Ex Officio Members*	
Pro Vice-Chancellor (Special Projects)	Prof Anne Boddington

Document History	
Author	Clerk, Research, Business and Innovation Committee
Authorised	
Dissemination routes	Associate Dean (RBI) via Faculty Research, Business and Innovation Committees

APPENDIX J – One Kingston: our strategy for Equality, Diversity and Inclusion 2016-2020

One Kingston: our strategy for equality, diversity and inclusion

One Kingston is the University's strategy for equality, diversity and inclusion (EDI), it is designed to ensure EDI is at the heart of university life. It takes equality and diversity into our everyday conversations, promotes collaboration across the University's structures and has specific and measurable outcomes for staff and students.

Our statement of commitment to equality, diversity and inclusion

We value diversity highly, challenge inequality and take active steps to provide an inclusive environment for all students, staff and visitors irrespective of their age, disability, gender, gender re-assignment, marriage or civil partnership, pregnancy or maternity, race, religion or belief or sexual orientation.

We value diversity highly, recognising that different people bring different ideas, histories, knowledge and culture and that this difference brings great strength to the quality of our work and the performance of our institution.

We challenge inequality, understanding that patterns of inequality in society and higher education are reflected within the University and differences in outcome for our students and staff should be challenged by us all and addressed through a multitude of strategies and lawful positive action.

We ensure an inclusive environment, knowing our staff, students and visitors will want to study, work and visit us if we respect the rights of both individuals and groups to hold their own views and values, but will not tolerate these to being presented in a way that intimidates, degrades or is hostile to others.

Steven Spier Acting Vice Chancellor

David Edmonds Chair of the Board of Governors

Irene Bews Chair of the Equality Committee, Director of Finance

Nona McDuff Director of Equality, Diversity and Inclusion

Goal 1:

To ensure the strategy is agile and continuously improved by actions identified by the Network of EDI Champions.

Objective 1.1

Create communities of practice that enable collaboration between students and staff and result in a distributed leadership and ownership of the EDI agenda.

Focus 1: Create an open-access network of EDI Champions to bring together academics, professional staff and students who identify, design and lead actions that continuously improve student and staff success.

Completed as of February 2017

Focus 2: Adopt tools to ensure the doing-not-talking momentum is not lost and that communication about EDI is enhanced across the University.

Focus 3: Generate continuous development of new ideas that anticipate and address barriers to staff and student success.

Objective 1.2

Provide strategic direction in relation to equality, diversity and inclusion to other institutional committees and strategies.

Focus 1: Ensure relevant equality, diversity and inclusion information is available to committees to enable them to make informed decisions.

Focus 2: Ensure committees are able to consider how their work contributes to the delivery of the goals of the equality, diversity and inclusion strategy.

Goal 2:

To create an inclusive approach to recruitment and the student experience that promotes diversity and enables all our students to leave with the best possible outcomes.

Objective 2.1

Ensure our student recruitment and admissions strategies are informed by diversity data and investigate the causes for differences in offer-to-conversion rates.

Focus 1: Concentrate outreach activity on identified priority groups with key focus on young males in general and in particular white males who are the first generation in their family to attend higher education.

Focus 2: Identify and address causal factors leading to differences in offer-to-conversion rates for priority groups.

Focus 3: Work with families of identified groups of students to understand the value and demands of learning.

Objective 2.2

Ensure the black and minority ethnic (BME) attainment gap KPI is achieved.

Focus 1: Deliver the BME attainment gap KPI achievement plan.

Goal 2:

Continued

Objective 2.3

Embed the Inclusive Curriculum Framework from concept to review.

Focus 1: Include the Inclusive Curriculum Framework in quality assurance and enhancement processes.

Completed as of February 2017

Focus 2: Develop the skills of panel members who assess the extent to which the framework has been adhered to from validation to internal subject review.

Completed as of February 2017

Focus 3: Provide opportunities for personal tutors to develop knowledge and skills to support the differing needs of their diverse student body (Education Strategy).

Completed as of February 2017

Objective 2.4

Better support our diverse student body.

Focus 1: Monitor and address any differences in the uptake of co-curricular activities by protected characteristics (measures included in the International Strategy).

Focus 2: Develop measures to identify and specifically support the retention and progression of those students known to be less likely to succeed (Education Strategy and BME KPI).

Focus 3: Ensure the impact of external changes (e.g. Disabled Students' Allowance) are identified and addressed in a way that promotes equality of opportunity (Disability Review Plan).

Focus 4: Investigate the experiences of lesbian, gay, bi-sexual, transgender, queer, intersex, asexual (commonly referred to as LGBT+) students and implement any resulting actions, particularly those identified as vital by specialist external organisations.

Focus 5: Investigate the postgraduate student experience and develop an action plan to address differentials in recruitment and outcomes.

Goal 3:

Build inclusivity into each stage of the staff lifecycle, enabling staff to achieve their potential, contribute to the University's priorities and to bring the benefits of their diversity to their work.

Objective 3.1

Create a diverse staff base with the knowledge, skills and opportunities to achieve Led by Learning.

Focus 1: Ensure recruitment and promotion is informed by diversity data and delivers a workforce that meets the needs of our diverse student and staff groups and external communities.

Focus 2: Expect staff to engage in unconscious bias and equality training relevant to their job purpose.

Focus 3: Introduce contextualised equality, diversity and inclusion objectives in appraisals that reflect the local and institutional needs.

Focus 4: Ensure the impact of external changes (e.g. Access to Work) is identified and addressed in a way that promotes equality of opportunity (Disability Review Plan).

Focus 5: Increase staff understanding of strategic and local aspects of equality, diversity and inclusion.

Focus 6: Improve the consistency of experience and support of staff in relation to pregnancy, maternity and caring responsibilities.

Focus 7: Provide clear development and promotional guidance to ensure all staff can independently assess the steps needed to progress.

Focus 8: Promote and advance diversity in staff to take part in cross-institutional projects that enrich and enhance working lives and promotional prospects.

Focus 9: Improve our standing in relation to national award schemes, in particular the Athena SWAN Charter, Race Charter Mark, and Stonewall Workplace Equality Index.

Goal 3:

Continued

Objective 3.2

Increase the diversity of staff engaged in research and eligible for submission to REF 2020.

Focus 1: Explore potential reasons for multiple under-representations of staff (gender, ethnicity, disability) in units of assessments in REF 2014.

Focus 2: Implement strategies to enable greater diversity of staff taking part in research activities. These will include advancing the existing momentum to diversify professorial appointments and ensuring that appraisal work objectives (see Objective 3.1, Focus 3) inspire staff to mentor diverse colleagues, take part in charter mark self-assessment teams and deliver resultant action plans.

Focus 3: Include active contribution to charter marks, gender equality networks and conferences as part of the work of University and Faculty research committees.

Focus 4: Include qualitative and quantitative information on diversity in research as a standing agenda item for both University and Faculty research committees (charter marks included as terms of reference in Research Committee).

Goal 4:

To create an inclusive environment that facilitates and promotes belonging and respect for staff, students and the wider community.

Objective 4.1

Foster good campus relations within and between diverse groups of students and staff.

Focus 1: Implement a sustained communication and events campaign to celebrate diversity and promote inclusive behaviours.

Focus 2: Deliver diversity initiatives promoting understanding of self, belonging and commitment to other staff and student communities.

Focus 3: Advancing an inclusive environment by ensuring that transformations of the University's estate accommodate our diverse student body (e.g. flexible use of our residential offer).

Objective 4.2

Enhance the quality of learning and wellbeing of all Kingston University students and staff through inclusive civic engagement.

Focus 1: Develop measures to identify the extent to which diversity is considered in the design and delivery of civic engagement.

Focus 2: Develop and deliver an action plan to enhance the inclusivity of our civic engagement.

Equality objectives

Student metrics

1. Maintain the proportion of entrants with a household income below £25k at above 45 per cent for the duration of the strategy.
2. Increase the first-year continuation rate of full-time first-degree entrants with a household income below £25k from 84.5 per cent to 88.0 per cent.
3. Increase the proportion of students with a household income below £25k obtaining graduate employment or in further study within six months of graduation from 88.5 per cent to 90.5 per cent.
4. Maintain the proportion of entrants from state schools above the location adjusted benchmark of 96.1 per cent.
5. Increase the first-year continuation rate of mature students from 85.1 per cent to 88.0 per cent.
6. Increase the first-year continuation rate of BME students from 85.3 per cent to 88.0 per cent.
7. Increase the value added score of students from BME backgrounds from 0.91 to 1.0.
8. Increase the proportion of students from BME groups obtaining graduate employment or in further study within six months of graduation from 87.8 per cent to 90.5 per cent.
9. Increase the first-year continuation rate of care leaver students from 77.3 per cent to 80.5 per cent.
10. Increase the proportion of students with a declared disability enrolled at the University from 9.2 per cent to 11.0 per cent.
11. Increase the proportion of DSA recipients/disabled students obtaining graduate employment or in further study within six months of graduation from 88.7 per cent to 90.0 per cent.

*These metrics are from the University's Access Agreement (2016-17).
www.offa.org.uk/agreements/Kingston%20University%201617.pdf*

Equality objectives

Continued

Staff metrics

12. Reduce the difference between the proportion of female and male staff who are professors from 5.3 percentage points to an average that is between 4.3 and 3.3 percentage points by 2020.
13. Reduce the difference between the proportion of BME and white staff who are professors from 6.2 percentage points to on average between 4.0 and 2.0 percentage points by 2020.
14. Reduce the difference between the proportion of BME and white General and Professional staff in grades 8–10 from 6.1 per cent to an average that is between 5.5 per cent and 4.5 per cent by 2020.
15. Increase the satisfaction levels of staff with disabilities in the staff survey to match the average of all staff.

How the strategy is reviewed

The Equality, Diversity and Inclusion Committee will review the strategy and objectives annually until 2020.

Dealing with complaints

1. For anyone who considers they have been discriminated against or witnessed discrimination on the grounds of a protected characteristic, the University has put in place the following options:

Students

- Personal tutor, course tutor or leader
- Harassment Contact Scheme
- Student Complaint Procedure, which outlines the steps involved and the support available

Staff

- Line manager or dean or director
- Dignity at Work Procedure for those who are subject to bullying and
- Harassment Contact Scheme
- Grievance Procedure

2. The University has a central point for all community complaints. Please submit your complaint online at www.kingston.ac.uk/enquiries/99/community-enquiries-complaints-form/

We welcome your views on the strategy and invite you to send comments to:

equality@kingston.ac.uk Tel: 020 8417 40

APPENDIX K – Kingston University Corporate Plan

Kingston University Matters

The University has a proud heritage of educating people and advancing knowledge, making a difference to the world around us and having impact. To secure the academic and financial sustainability of Kingston University we will build on this heritage through our commitment to academic achievement, to learning and innovating within a supportive and inclusive community, and through a balance of scholarship, research and professional practice. The Corporate Plan sets out our overarching goals and character through vision and mission statements and our aims for students, staff and the local and global community.

Professor Steven Spier,
Vice-Chancellor
February 2018

VISION

Our students will be sought after for their academic achievements, and their ability to shape society and contribute to the economy.

MISSION

To enhance students' life chances through inspiring learning, advancing knowledge, innovating professional practice and engaging with society.

AIMS

Our students:

- will study a curriculum that equips them with the academic, social, and personal skills to prosper in global and diverse environments;
- will value their own diversity of backgrounds, identities and experiences;
- will learn in an environment of encouragement and support;
- will be part of a physical and virtual campus community;
- will have varied and extensive opportunities to enhance their practical and professional skills.

Our staff:

- will engage with the latest scholarship, research and professional practice to deliver the best possible teaching, curriculum, and student experience;
- will produce research that has impact and contributes to a vibrant learning culture;
- will have a commitment to inclusive higher education and to helping develop social capital;
- will have a diversity of backgrounds and identities;
- will be supported in developing their skills and abilities.

Our local and global community:

- will seek our research and expertise for its impact on culture, society and industry;
- will seek our students and graduates as employees, partners and providers of services;
- will benefit from our commitment to sustainability and support for local and regional communities and groups.

APPENDIX L – Kingston University REF Data Collection Statement

Kingston University Data Collection Statement for REF2021 - Staff

The purpose of the Research Excellence Framework 2021 (REF2021) is to assess the quality of UK research and to inform the selective distribution of public funds for research by the four UK higher education funding bodies. The REF is managed by the REF team, based at Research England (RE), on behalf of the four UK higher education funding bodies. RE is part of UK Research and Innovation (UKRI), and under this arrangement UKRI has the role of 'data controller' for personal data submitted by us to the REF.

If you are a researcher who has been included as part of Kingston's submission to the REF2021, in 2020 we will send some of the information we hold about you to UKRI for the purpose of the REF2021. The information will not be in coded form and your name and details such as your date of birth, research groups, and contract dates will be provided along with details of your research. If you have declared individual circumstances and a request is made to allow a reduction in the number of outputs submitted, without penalty, some details of your personal circumstances will be provided.

You can find further information about what data are being collected on the REF website, at www.ref.ac.uk in particular publication 2019/01, 'Guidance on submissions'.

Sharing information about you

UKRI may pass your data, or parts of it, to any of the following organisations that need it to inform the selective distribution of public funds for research and to carry out their statutory functions connected with funding higher education:

- Department for the Economy, Northern Ireland (DfE)
- Higher Education Funding Council for Wales (HEFCW)
- Scottish Funding Council (SFC).

Some of your data (Unit of Assessment, HESA staff identifier code and date of birth) will also be passed to the Higher Education Statistics Agency (HESA) to enable it to verify coded data returned to it as part of our HESA staff return (see www.hesa.ac.uk). Data returned to the REF will be linked to that held on the HESA staff record to allow UKRI and the organisations listed above to conduct additional analysis into the REF and fulfil their statutory duties under the Equality Act 2010 (England, Wales and Scotland) or the Northern Ireland Act 1998 (Northern Ireland).

UKRI and the organisations listed above will use the information to analyse and monitor the REF2021. This may result in information being released to other users including academic researchers or consultants (commissioned by the funding bodies), to carry out research or analysis, in accordance with the Data Protection Act 2018 and the General Data Protection Regulation (GDPR) (Regulation (EU) 2016/679). Where information not previously published is released to third parties, this will be anonymised where practicable.

UKRI will require that anyone who has access to your data, held in UKRI's records, paper or electronic, will respect its confidentiality and will only process it in accordance with instructions issued for the purposes specified by UKRI.

Parts of your data will be passed to the REF expert panels and the Equality and Diversity Advisory Panel (whose members are independent of UKRI) for the purpose of conducting a systematic evaluation of submissions, in accordance with predetermined criteria and methods. Panels will make judgments

about the material contained in submissions and will not form quality judgments about individuals. All panel members are bound by confidentiality arrangements.

Publishing information about your part in our submission

The results of the assessment exercise will be published by UKRI, on behalf of the four UK higher education funding bodies, in December 2021. The published results will not be based on individual performance nor identify individuals.

Those parts of submissions that contain factual data and textual information about research activity will also be published by UKRI, on behalf of the four UK higher education funding bodies, and will be made available online. Published information is likely to include **textual information including impact case studies in which you may be referenced**. Your name and job title may be included in this textual information. Other personal and contractual details, including your date of birth and all information about individual staff circumstances will be removed.

Impact Case Studies, environment statements and other textual information will not normally be submitted with personal information, other than names and job titles. Any other personal information will be removed in the redacted version submitted. The same process will apply when any internal or external interim review of Impact Case Studies or environment statements is undertaken by the University.

Unless redacted, the information to be published by UKRI, on behalf of the four UK higher education funding bodies, will include a single list of all the outputs submitted by us in each Unit of Assessment. The list of outputs will include standard bibliographic data for each output but will not be listed by author name.

Data about personal circumstances

You may voluntarily disclose personal circumstances to your submitting unit, which could permit us to submit your information to the REF without the 'minimum of one' output requirement (without penalty), or to submit a reduced number of outputs without penalty. If (and only if) we apply either form of reduction of outputs, we will need to provide UKRI with individual-level 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 REF2021 'Guidance on submissions' document (paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted.

Kingston's process for disclosing staff circumstances is described in our Code of Practice, in the section 'Staff Circumstances'. Staff may disclose their circumstances if they choose, by using the Individual Staff Circumstances Declaration form. Circumstances will be reviewed by an internal panel, chaired by the Deputy Vice-Chancellor. Submitted data will be reviewed only by the Individual Circumstances Panel. Our requests for reduction are then submitted to the REF team, on Forms REF6 a & b, which are prepared by the University's REF Manager with HR, on the basis of information agreed with the Individual Circumstances Panel. Where this information needs to be reviewed by the REF Steering Group, as part of its responsibilities to oversee the University's REF submission, the forms will be anonymised.

You can read description of the information required by REF in the REF2021 'Guidance on submissions', paragraphs 192-3. Submitted data will be kept confidential to the REF team, the Equalities 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. Kingston will also destroy the same submitted data at the same point (December 2021).

We will send to Research England a report that will include a summary of all voluntarily disclosed personal circumstances, whether or not they were used to reduce the output requirements. This report will only contain data in aggregated form and will not contain information that will identify individual members of staff.

Accessing your personal data

Under the Data Protection Act 2018 and the GDPR, you have the right to see and receive a copy of any personal information that UKRI holds about you. Further information about the Act and GRPR, and guidance on making a subject access request, can be found on the RE web-site at <https://re.ukri.org/about-us/policies-standards/foi-data-protection/>

If you have any concerns about your information being used for these purposes, please contact:

Data Protection Officer
UK Research and Innovation
Polaris House
Swindon, SN2 1FL

Email: dataprotection@ukri.org

To read Kingston's Privacy Notice for Staff, please go to:

<http://cdn.kingston.ac.uk/documents/aboutkingstonuniversity/howtheuniversityworks/policiesandregulations/documents/privacy-notice-staff.pdf>

Kingston University Data Collection Statement for the REF2021 – Non-Staff

About the REF

The purpose of the Research Excellence Framework 2021 (REF2021) is to assess the quality of UK research and to inform the selective distribution of public funds for research by the four UK higher education funding bodies. The REF outcomes are used to calculate about £2 billion per year of public funding for universities' research, and affect their international reputations. The results also inform strategic decisions about national research priorities. The next REF will be undertaken in 2021.

The REF was first carried out in 2014, replacing the previous Research Assessment Exercise. It included for the first time an assessment of the broader impact of universities' research beyond academia: on the economy, society, culture, public policy and services, health, the environment and quality of life – within the UK and internationally.

Impact is assessed through the submission of case studies, which describe the changes or benefits brought about by research undertaken by researchers at the institution. Impressive impacts were found across all disciplines, with 44 per cent of submissions judged to be outstanding. A database of case studies submitted in 2014 can be found here: <https://impact.ref.ac.uk/>.

Data collection

The REF is managed by the REF team, based at Research England (RE), on behalf of the four UK higher education funding bodies. RE is part of UK Research and Innovation (UKRI), and under this arrangement UKRI has the role of 'data controller' for personal data submitted by us to the REF.

You may have provided information for one or more impact case studies or environment statements as part of our submission to the REF 2021. In 2020 we will send information about impact case studies and environment statements to UKRI for the purpose of the REF2021. The information will not be in coded form and your name - and details such as your job title and organisational affiliation - may be provided in these narrative statements. We refer to this information about you as 'your data'.

You can find further information about what data are being collected on the REF website, at www.ref.ac.uk in particular publication 2019/01, 'Guidance on submissions'. Annex G of that document sets out the data that we will be required to share with UKRI.

Sharing information about you

UKRI may pass your data, or parts of it, to any of the following organisations that need it to inform the selective distribution of public funds for research and to carry out their statutory functions connected with funding higher education:

- Department for the Economy, Northern Ireland (DfE)
- Higher Education Funding Council for Wales (HEFCW)
- Scottish Funding Council (SFC).

UKRI and the organisations listed above will use the information to analyse and monitor the REF2021. This may result in information being released to other users including academic researchers or consultants (commissioned by the funding bodies), to carry out research or analysis, in accordance with the Data Protection Act 2018 and the General Data Protection Regulation (GDPR) (Regulation (EU)

2016/679). Where information not previously published is released to third parties, this will be anonymised where practicable.

UKRI will require that anyone who has access to your data, held in UKRI's records, paper or electronic, will respect its confidentiality and will only process it in accordance with instructions issued for the purposes specified by UKRI.

Parts of your data will be passed to the REF expert panels and the Equality and Diversity Advisory Panel (whose members are independent of UKRI) for the purpose of conducting a systematic evaluation of submissions, in accordance with predetermined criteria and methods. All panel members are bound by confidentiality arrangements.

Publishing information about your part in our submission

The results of the assessment exercise will be published by UKRI, on behalf of the four UK higher education funding bodies, in December 2021.

Those parts of submissions that contain factual data and textual information about research activity will also be published by UKRI, on behalf of the four UK higher education funding bodies, and will be made available online. Published information is likely to include **textual information including impact case studies in which you may be referenced**. Your name and job title may be included in this textual information. Other personal details will normally be removed.

Impact Case Studies, environment statements and other textual information will not normally be submitted with personal information, other than names and job titles. Any other personal information will be removed in the redacted version submitted. The same process will apply when any internal or external interim review of Impact Case Studies or environment statements is undertaken by the University.

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Under the Data Protection Act 2018 and the GDPR, you have the right to see and receive a copy of any personal information that UKRI holds about you. Further information about the Act and GRPR, and guidance on making a subject access request, can be found on the RE web-site at

<https://re.ukri.org/about-us/policies-standards/foi-data-protection/>

If you have any concerns about your information being used for these purposes, please contact:

Data Protection Officer
UK Research and Innovation
Polaris House
Swindon, SN2 1FL

Email: dataprotection@ukri.org

To read Kingston's Privacy Policy, please go to: <https://www.kingston.ac.uk/privacy-policy/>

Equality Impact Assessment Research Excellence Framework 2014 (REF)

1. In light of the EIA conducted on the **Mock REF** in 2012 and taking into account the **ECU guidance**, the University took the following actions:
2. **A Code of Practice** on the selection of staff for submission to the REF 2014 was developed and enhanced to reflect the consultations carried out with staff and Trade Unions at Kingston University as well as discussions with St George's University of London to ensure consistency in any joint submission.
3. **Briefing workshops** were held across the 5 campuses to ensure staff had the opportunity to ask questions, raise concerns and be informed about the key stages and decision points. There was also a dedicated workshop for early career researchers.
4. A comprehensive **communications plan** was developed and implemented to ensure transparency and inclusivity.
5. All decision makers took part in **training** using material produced by the Equality Challenge Unit.
6. Staff who were **absent** from the University at any stage of the process were written to individually with relevant information to promote inclusivity.
7. All staff were requested to complete an **individual circumstances** form to promote an inclusive environment and encourage disclosure. Staff were given the option to be contacted by a member of HR to progress any reasonable adjustments.
8. A system was put in place to ensure **confidentiality and anonymity** in communications relating to individual circumstances.
9. A **Central Circumstances Board** was established and trained and agreed all clear and complex circumstances.
10. Each of the 2 Appeals Panels included one external female member and was chaired by the Deputy Vice Chancellor. All members were **independent** of any previous decisions relating to the selection of staff.
11. The data shows that **BME** (Fig 3c) and **part time** (Fig 4c) staff were **equally** likely to be included in the REF compared to their counterparts. This is an improvement on the Mock data.
12. **Women** (Fig 1c) and **Disabled** staff (Fig 2c) were **less likely** to be included in the REF compared to their counterparts.
13. **Moving forward**, we have prioritised work on enhancing the **inclusivity** of our research environment in **One Kingston**, the University's Equality, Diversity and Inclusion strategy and action plan (Goal 2 Objective 2.1 Action 7) and also as part of our commitment to **Athena SWAN** (Bronze award Action Plan). The data from this EIA will help steer the way we work and support Units of Assessment.

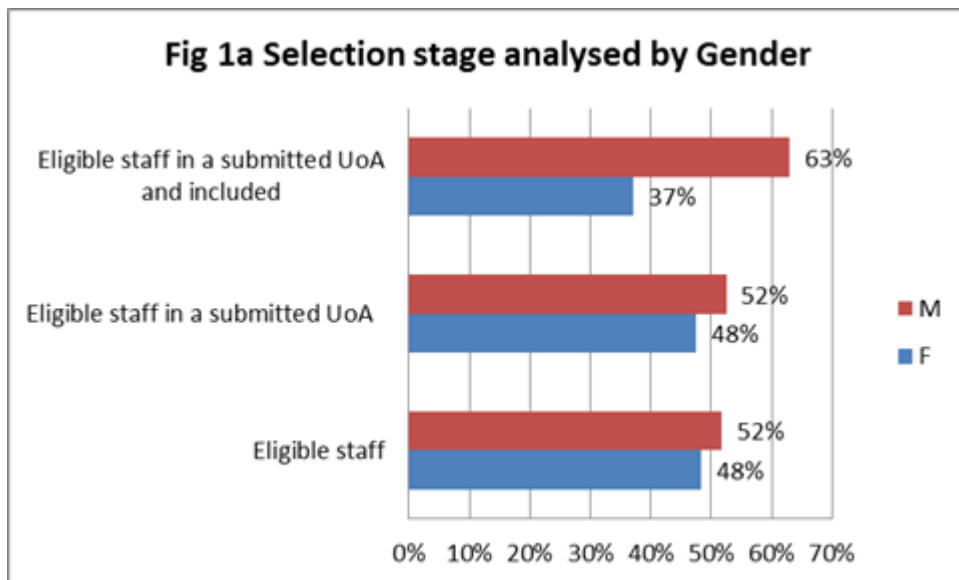
Summary of key data

14. Data was provided by the HR system and corroborated by the Research Support Office. Equality information was handled in line with our data protection protocols. To ensure anonymity it has not always been possible to provide numbers alongside percentages. Data where staff have not specified their characteristic has been included to provide a full picture. Data is rounded up to the nearest whole percentage point.
15. The data analysis assesses inclusion from two angles. The first looks at the composition of staff equality groups at each of the following stages of the selection process:
- All staff who met the eligibility criteria specified by the REF
 - Those whose research and/or teaching area was in a Unit of Assessment (UoA) that was submitted to the REF
 - Those who were included in the final submission of a Unit of Assessment (UoA) that was submitted to the REF 2014.

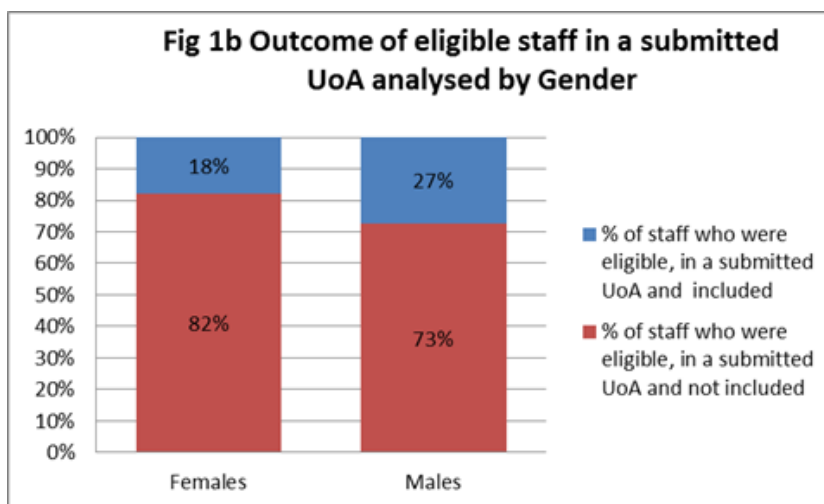
This composition information is captured in the Fig. a of each characteristic's analysis.

16. The second angle looks at the likelihood of success and examines the proportion of each staff group who are successful in the UoAs which were submitted (Fig. b in each characteristic) and in total (Fig. c in each characteristic).

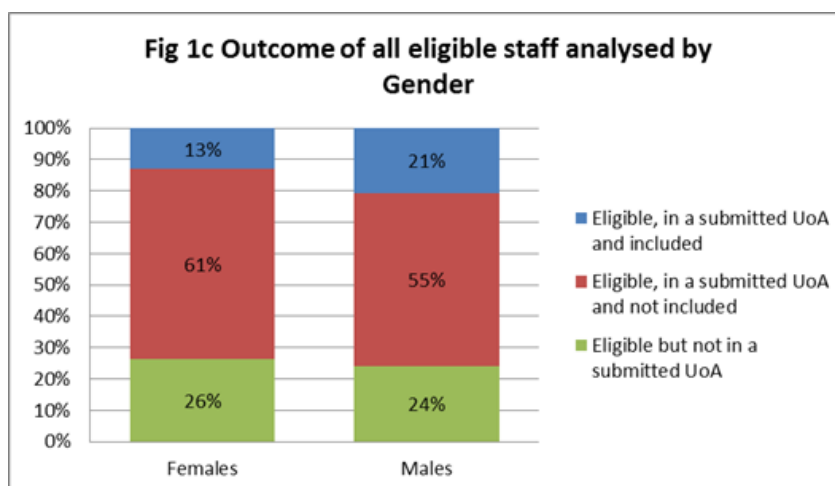
Gender analysis



17. 980 staff members met the REF eligibility criteria. Of these 48% were female and 52% were male. Of the 980 staff, 734 were in a submitted UoA of which also 48% were female and 52% were male. However, of the 167 people who were included in the REF 2014, 37% were female and 63% were men (Fig. 1a).

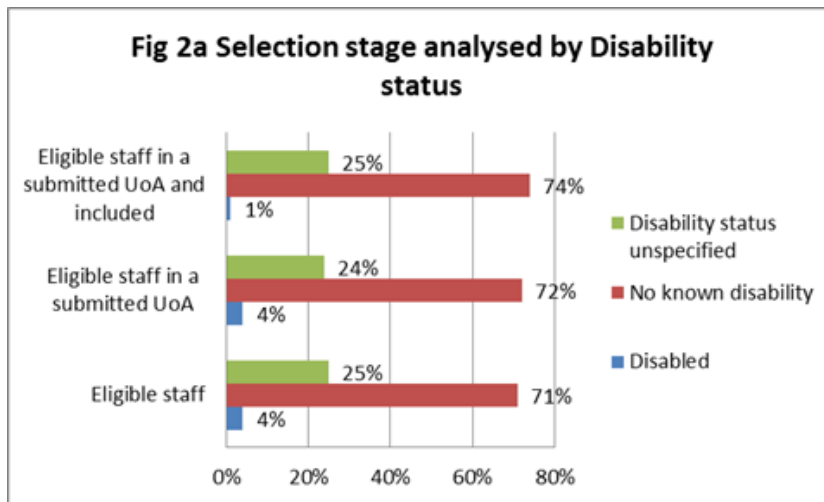


18. A smaller proportion of all eligible females who were in a submitted UoA were included in the REF 2014 compared to their male counterparts (F=18%, M=27%) (Fig 1b).

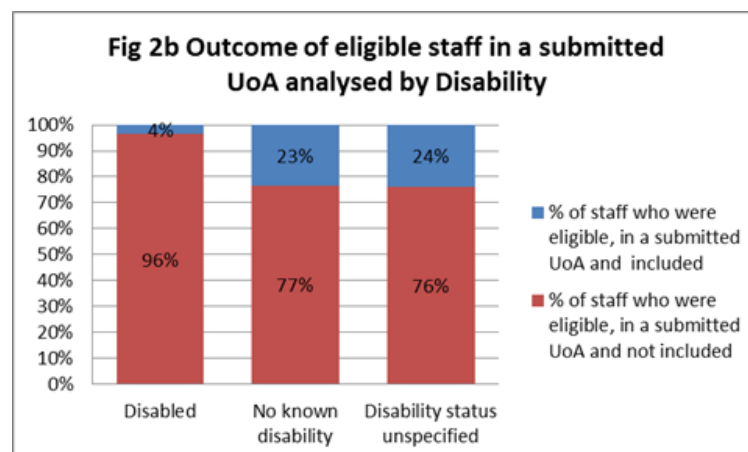


19. Only 13% of all eligible females were included in the REF 2014 compared to 21% of all eligible males (Fig. 1c).

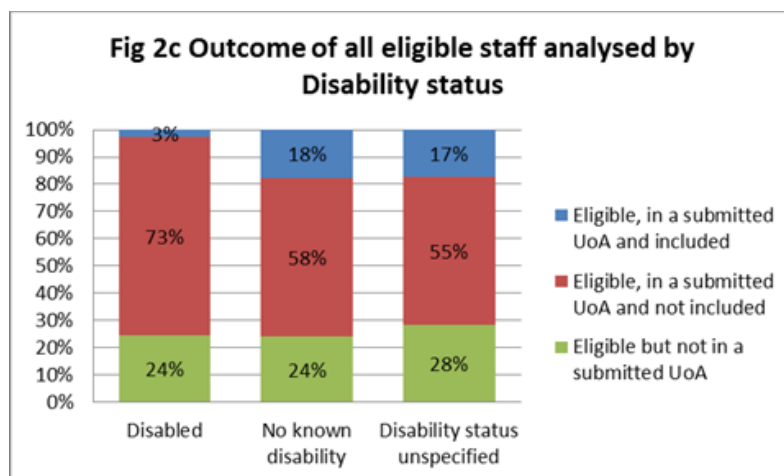
Disability analysis



20. 980 staff members met the REF eligibility criteria. Of these 4% (37 people) were disabled, 71% had no known disability and 25% did not specify a disability status. Of the 980 staff, 734 were in a submitted UoA of which also 4% were disabled, with 72% had no known disability, and 24% did not specify a disability status. Of the 167 people who were included in the REF only 1% were disabled, 74% were staff with no known disability and 25% were staff who did not specify a disability status (Fig. 2a).

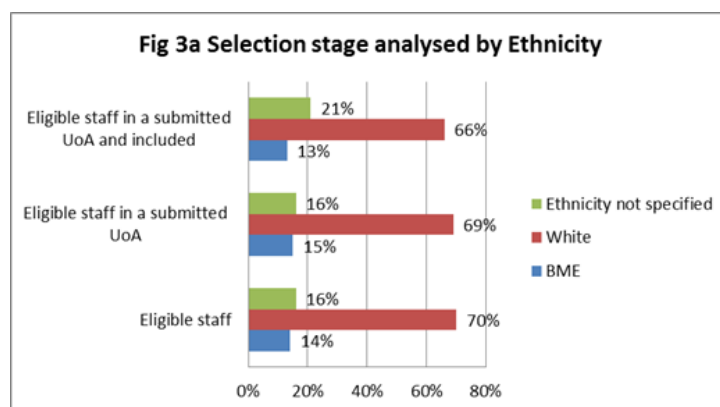


21. A smaller proportion of all eligible disabled staff who were in a submitted UoA were included in the REF 2014 compared to their counterparts (Disabled=4%, No known disability=23%, disability status unspecified=24%) (Fig 2b).

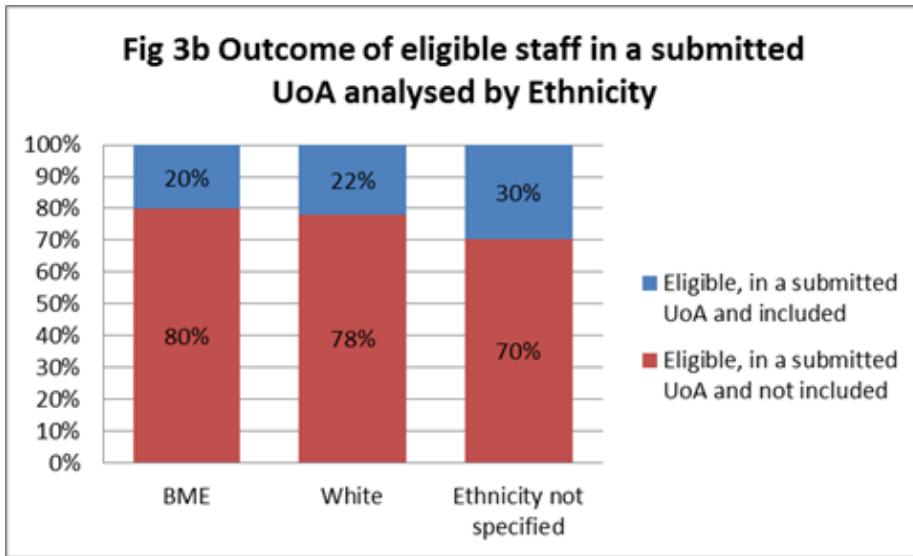


22. A lower proportion of eligible disabled staff (3%) were included in the REF compared to staff with no known disability (18%).

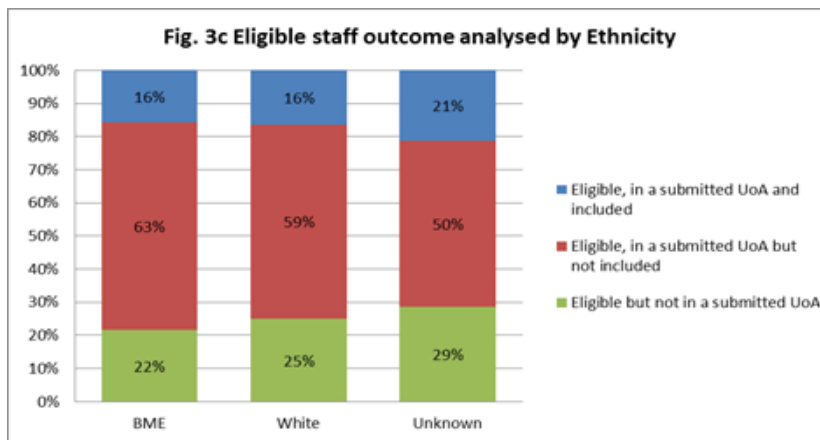
Ethnicity Analysis



23. 980 staff members met the REF eligibility criteria. Of these 14% were BME, 70% were White and 16% with unspecified ethnicity. Of the 980 staff, 734 were in a submitted UoA of which 15% were BME, 69% were White and 16% with unspecified ethnicity. This pattern is consistent for those staff included in the REF. Of 167 people who were included in the REF 2014, 13% (22) were BME, 66% (111) were White and 21% (34) were staff who had not specified their ethnicity (Fig. 3a).

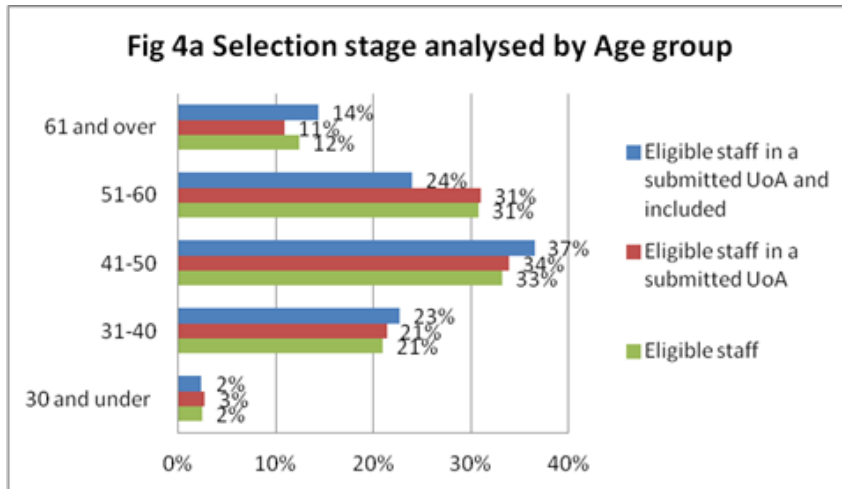


24. A similar proportion of all eligible BME staff who were in a submitted UoA were included in the REF 2014 compared to their White counterparts (BME=20%, White=22%, Ethnicity no specified=30%) (Fig 3b).

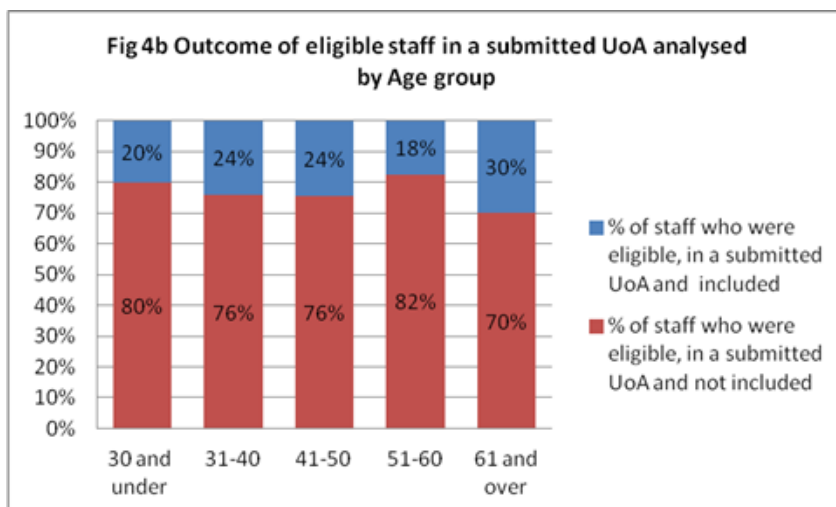


25. There was no difference in the proportion of BME and White staff that were eligible and included in the REF (16%) (Fig. 3c).

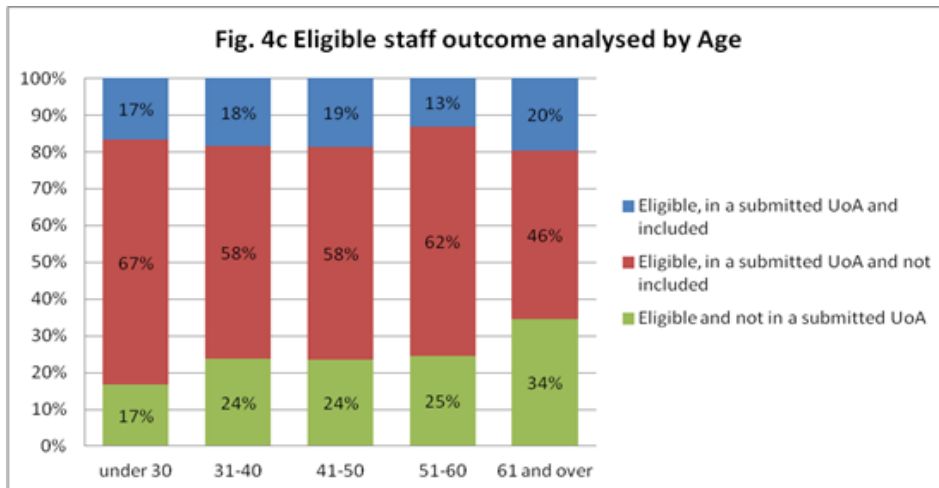
Age analysis



26. 980 staff members met the REF eligibility criteria. The greatest proportion of staff in each selection stage were in age group 41-50. In each of the age groups the proportion selected remained the same or improved for each stage, apart from the age group 51-60 where the proportion of staff included was considerably lower than the earlier stages (Fig. 4a).

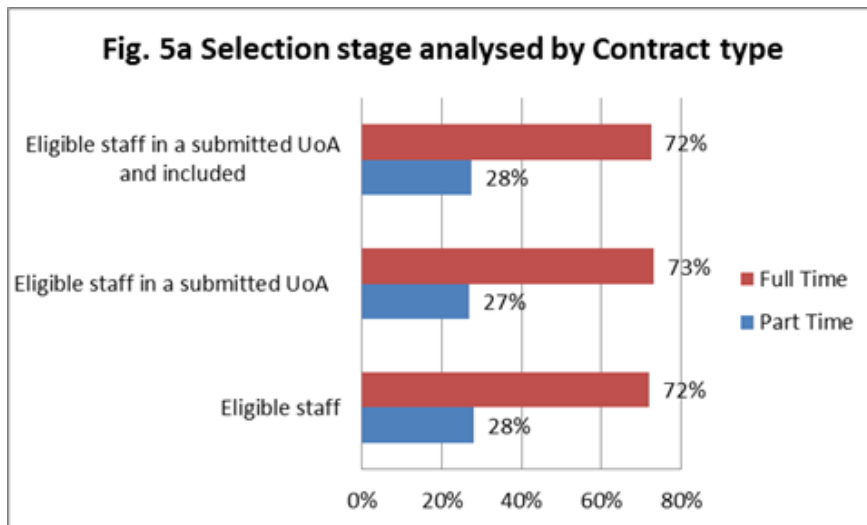


27. A smaller proportion of all eligible staff in age group 51-60 and a larger proportion in “61 and over” who were in a submitted UoA were included in the REF 2014 compared to any other age group (Fig 4b).

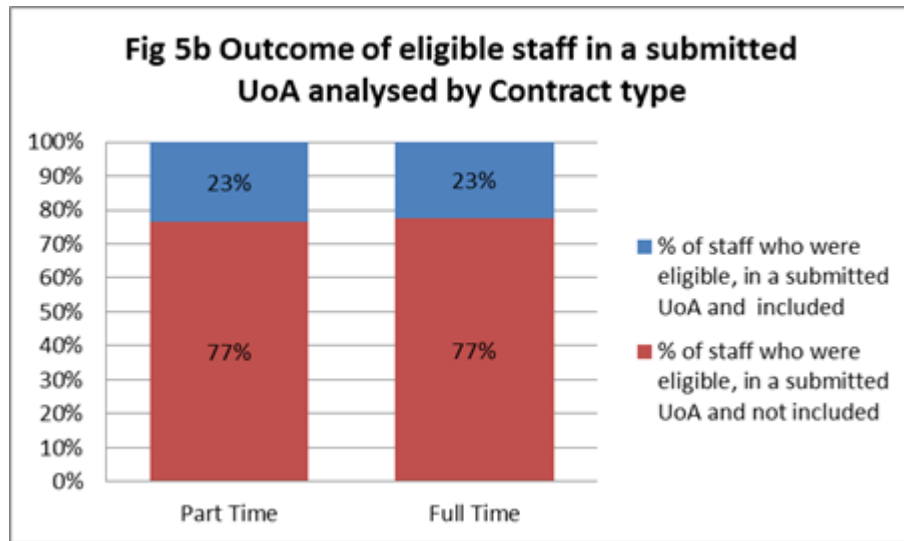


28. A lower proportion of eligible staff in age group 51-60 (13%) were included in the REF compared to any other age group (Fig. 4c).

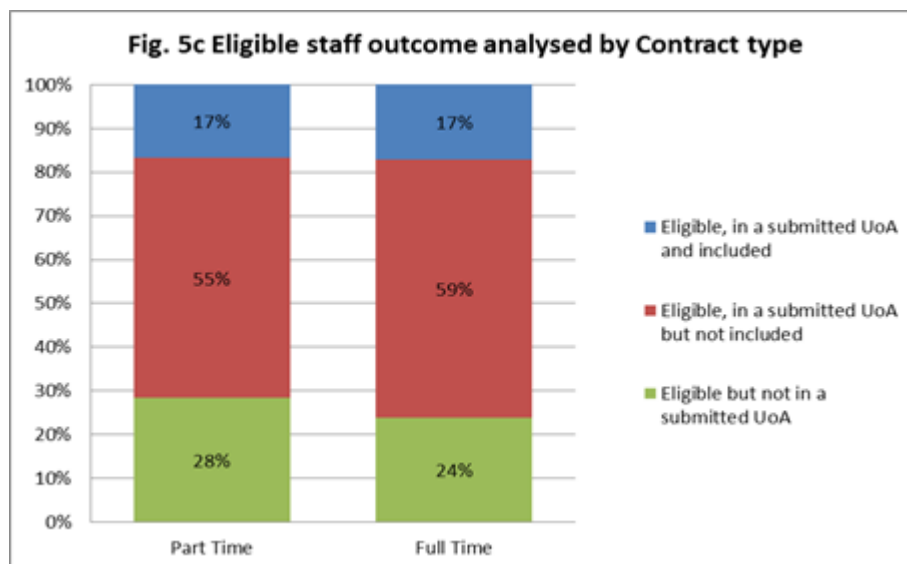
Contract Type Analysis: Full-Time/Part- Time



29. 980 staff members met the REF eligibility criteria. Of these 28% were on a part time contract and 72% were on a full time contract. This ratio is reflected for staff who were in a submitted UoA and also for staff who were included in the REF (Fig. 5a).



30. The same proportion of all eligible part time and full time staff who were in a submitted UoA were included in the REF 2014 (part time=23%, full time=23%) (Fig. 5b).



31. There was no difference in the proportion of part time and full time staff that were eligible and included in the REF (17%) (Fig. 5c).

32. Table 1 shows the proportion of included staff by protected characteristics in each UoA. In certain UoAs (eg A3 and C19) there is proportionate underrepresentation in two or more of the protected characteristics. In others (eg B11) there is a greater proportion of staff from traditionally under-represented groups who were included in the REF 2014.

UoA	Gender		Disability			Ethnicity			Age					Contract type		
	Female	Male	Disabled	No Known Disability	Disability status unspecified	BME	White	Ethnicity not specified	30 and under	31-40	41-50	51-60	61 and over	Part time	Full time	
A3	Allied Health Professions, Dentistry, Nursing and Pharmacy	5%	13%	0%	5%	17%	2%	6%	23%	0%	10%	7%	5%	19%	6%	8%
A4	Psychology, Psychiatry and Neuroscience	40%	36%	0%	44%	33%	75%	35%	20%	0%	78%	11%	33%	n/a	n/a	38%
B11	Computer Science and Informatics	33%	22%	n/a	24%	25%	29%	27%	11%	n/a	29%	35%	8%	14%	33%	23%
B15	General Engineering	15%	19%	0%	17%	25%	25%	11%	33%	20%	27%	19%	15%	14%	(10)* 0%	21%
C17	Geography, Environmental Studies and Archaeology	50%	33%	0%	43%	20%	33%	33%	67%	(1)* 100%	50%	23%	44%	n/a	(5)* 0%	45%
C19	Business and Management Studies	22%	36%	0%	34%	13%	21%	35%	14%	33%	20%	35%	27%	50%	57%	26%
D29	English Language and Literature	33%	53%	0%	43%	41%	36%	37%	62%	0%	44%	39%	38%	56%	40%	42%
D32	Philosophy	(2)* 100%	(6)* 100%	n/a	(8)* 100%	n/a	n/a	(7)* 100%	(1)* 100%	n/a	n/a	(2)* 100%	(5)* 100%	(1)* 100%	(3)* 100%	(5)* 100%
D34	Art and Design: History, Practice and Theory	23%	29%	17%	26%	28%	2%	24%	31%	33%	21%	31%	17%	30%	23%	31%
Grand Total		18%	27%	4%	23%	24%	20%	22%	30%	20%	24%	24%	18%	30%	23%	23%

n/a - There were no eligible members of staff in this group * - Actual number of staff members in the group where it is appropriate to provide this information Total – see Fig. b for each characteristic

Appeals analysis

33. There were 4 appellants. 3 out of 4 appeals were upheld on procedural grounds. All were male. 1 was BME and his appeal was upheld. None of the 4 specified a disability. 2 were in the 50-55 group, 1 was in the 40-45 group and 1 was under 30. All were full time members of staff

APPENDIX N – Communications Plan for the Code

	Activity	Date	Action/ Responsibility (led by)	Audience (who to)
DRAFT	First Draft Code of Practice	25/2/2019	Head of Impact, Head of Strategy Governance and Funding, REF Manager	Senior Leadership Team, REF Steering Group
	Draft Communications Plan for the Code of Practice shared with Equality, Diversity and Inclusion Committee	25/2/2019	REF Manager	Equality, Diversity and Inclusion Committee
	Draft Code of Practice agreed by REF Steering Group	27/2/2019	Head of Impact	REF Steering Group
	Draft Code of Practice presented to Senior Leadership Team	28/2/2019	Head of Impact	Senior Leadership Team
	Draft Code of Practice presented to University Research, Business and Innovation Committee	4/3/2019	Head of Impact	University Research, Business and Innovation Committee
CONSULTATION	Draft Code of Practice sent to Faculty Leadership Teams	Week beginning 18/3/2019	Head of Impact and REF Manager	Faculty Leadership Teams
	Communication to all staff regarding Code of Practice consultation	21/3/2019	Head of Impact and REF Manager	All staff
	Draft Code of Practice published on intranet Staff Consultation goes live Online staff survey & email noticeboard	21/3/2019	REF Manager	All staff

	1:1 communication to all staff (including absent) – email/post	21/3/2019 onwards	HR	All staff
	Meeting with Trade Union representatives	25/3/2019	Head of Impact and REF Manager	
	Consultation Events	Week beginning 1/4/2019	Head of Impact and REF Manager	All staff
	End of Staff Survey	12/4/2019	REF Manager	
	Collation and analysis of survey responses	19/4/2019		
	Staff feedback report	10/5/2019	REF Manager	REF Steering Group
	Feedback reviewed by REF Steering Group	15/5/2019		
	Amendments drafted	10-21/5/2019	Head of Impact	
	Amendments approved by Senior Leadership Team	21/5/2019	Head of Impact	Senior Leadership Team
	Amendments shared with Trade Union representatives	29/5/2019	Head of Impact	
FINAL	VC approval of final version	5/6/2019	Head of Impact	
	Code of Practice received by University Research, Business and Innovation Committee	5/6/2019	Head of Impact	University Research, Business and Innovation Committee
	Code of Practice submitted to REF2021 for approval	6/6/2019	Head of Impact	REF2021
	Code of Practice (subject to approval) published on staff intranet	June 2019	REF Manager	All staff

	Code of Practice received by Senate	26/6/2019	Head of Impact	Senate
	Received by Board of Governors	11/7/2019		Board of Governors
	Code of Practice published by REF	December 2019		Public
	Code of Practice published on university website	December 2019	Marketing and Comms	Public
	Code of Practice circulated to all staff	December 2019	Marketing and Comms	All staff

APPENDIX O – REF2021 List of Independent Research Fellowships

Research Fellowships

1. Table 1 provides a list of competitive research fellowships, presented in alphabetical order by funder, that have been confirmed by the funder to require research independence. This list is intended to guide institutions when developing their criteria to identify independent researchers. **It should not be taken to be exhaustive** and the funding bodies recognise that many relevant fellowship schemes are not captured, including research fellowships funded by HEIs, which may require research independence.

Table 1

Funder	Fellowship scheme
AHRC	AHRC Leadership Fellowships - Early Career Researchers
AHRC	AHRC Leadership Fellowships
BBSRC	BBSRC David Phillips Fellowships
BBSRC	BBSRC Future Leader Fellowships (from 2018 known as BBSRC Discovery Fellowships)
British Academy	BA/Leverhulme Senior Research Fellowships
British Academy	British Academy Postdoctoral Fellowships
British Academy	JSPS Postdoctoral Fellowships
British Academy	Mid-Career Fellowships
British Academy	Newton Advanced Fellowships
British Academy	Newton International Fellowships
British Academy	Wolfson Research Professorships
British Heart Foundation	Career Re-entry Research Fellowships
British Heart Foundation	Clinical Research Leave Fellowships
British Heart Foundation	BHF-Fulbright Commission Scholar Awards
British Heart Foundation	Intermediate Basic Science Research Fellowships
British Heart Foundation	Intermediate Clinical Research Fellowships
British Heart Foundation	Senior Basic Science Research Fellowships
British Heart Foundation	Senior Clinical Research Fellowships
British Heart Foundation	Springboard Award for Biomedical Researchers
British Heart Foundation	Starter Grants for Clinical Lecturers
Cancer Research UK	Advanced Clinician Scientist Fellowship
Cancer Research UK	Career Development Fellowship

Cancer Research UK	Career Establishment Award
Cancer Research UK	Senior Cancer Research Fellowship
EPSRC	EPSRC Early Career Fellowship
EPSRC	EPSRC Established Career Fellowship
EPSRC	EPSRC Postdoctoral Fellowship* ¹
ESRC	ESRC Future Cities Catapult Fellowship
ESRC	ESRC Future Leaders Grant
ESRC	ESRC/Turing Fellowships
ESRC/URKI	Early Career Researcher Innovation Fellowships
European Research Council	ERC Advanced Grants
European Research Council	ERC Consolidator Grants
European Research Council	ERC Starting Grants
Health Education England	Integrated Clinical Academic Programme Clinical Lectureship*
Health Education England	Integrated Clinical Academic Programme Senior Clinical Lectureship
Leverhulme Trust	Early Career Fellowship
Leverhulme Trust	Research Fellowship
Leverhulme Trust	Emeritus Fellowship
Leverhulme Trust	Major Research Fellowship
Leverhulme Trust	International Academic Fellowship
MRC	MRC Career Development Awards*
MRC	MRC New Investigator Research Grants (Non-clinical)*
MRC	MRC New Investigator Research Grants (Clinical)*
MRC	MRC Clinician Scientist Fellowships*
MRC	Senior Non-Clinical Fellowships
MRC	Senior Clinical Fellowships
NC3R	David Sainsbury Fellowship
NC3R	Training fellowship
NERC	Independent Research Fellowships
NERC/UKRI	Industrial Innovation Fellowships
NERC/UKRI	Industrial Mobility Fellowships
NIHR	Advanced Fellowship*
NIHR	Career Development Fellowship
NIHR	Clinical Lectureships*
NIHR	Clinician Scientist*

NIHR	Post-Doctoral Fellowship*
NIHR	Research Professorships
NIHR	School for Primary Care Post-Doctoral Fellowships*
NIHR	Senior Research Fellowships
Royal Academy of Engineering	RAEng Engineering for Development Research Fellowship
Royal Academy of Engineering	Industrial Fellowships
Royal Academy of Engineering	RAEng Research Fellowship
Royal Academy of Engineering	RAEng Senior Research Fellowship
Royal Academy of Engineering	UK Intelligence Community (IC) Postdoctoral Research Fellowship
Royal Society	Royal Society Wolfson Fellowship
Royal Society	Dorothy Hodgkin Fellowship*
Royal Society	JSPS Postdoctoral Fellowship
Royal Society	Newton Advanced Fellowship
Royal Society	Royal Society/Leverhulme Trust Senior Research Fellowship
Royal Society	University Research Fellowship*
Royal Society and Wellcome Trust	Sir Henry Dale Fellowship*
Royal Society of Edinburgh	RSE Arts & Humanities Awards (for permanent staff)
Royal Society of Edinburgh	RSE Personal Research Fellowship
Royal Society of Edinburgh	RSE Sabbatical Research Grants (for permanent staff)
Sêr Cymru	Research Chairs
Sêr Cymru	Rising Stars
Sêr Cymru	Recapturing Talent*
Sêr Cymru	Research fellowships for 3 -5 year postdocs
STFC	CERN Fellowships
STFC	Ernest Rutherford Fellowship
STFC	ESA Fellowships
STFC	Innovations Partnership Scheme Fellowships
STFC	Returner Fellowships
STFC	RSE/STFC Enterprise Fellowships
STFC	Rutherford International Fellowship Programme
UKRI	UKRI Future Leaders Fellowships
UKRI	UKRI Innovation Fellowships

Wellcome Trust	Intermediate Fellowship in Public Health and Tropical Medicine
Wellcome Trust	Principal Research Fellowships
Wellcome Trust	Research Award for Health Professionals
Wellcome Trust	Research Career Development Fellowship
Wellcome Trust	Research Fellowship in Humanities and Social Science
Wellcome Trust	Senior Research Fellowship

¹ Those asterisked support the transition to independence. Applicants should demonstrate readiness to become independent and the award enables them to become so. It could be argued those at the start of an award are not 'independent' yet, but those well in the award may be

APPENDIX P – Self-Assessment Policy

Kingston University Research Output Self-Assessment Policy

Policy Aims

- 1) To engender a culture of self-assessment of Research Outputs within the University's research community, which will build confidence and self-understanding of the quality of our work and give individuals a voice in its assessment.
- 2) To ensure all research outputs submitted to the Research Repository, to meet compliance with the University's Open Access Policy, and therefore the REF2021 Open Access Policy if applicable, have a self-assessment provided:

New submissions from 1st April 2019: provide an assessment record when the output is submitted,

Existing entries by 31st December 2019: provide an assessment record for prior submissions.

Process

- 3) Undertake a self-assessment of each research output by applying a star-rating and justification in each of the REF2021 criteria of significance, originality and rigour, to result in a single summative judgement (not an average).
- 4) Undertake the self-assessment privately or in conversation with colleagues
- 5) Follow these steps:

Existing Repository Record	Recently accepted journal article - OA compliance	New research output - not a journal article
<ul style="list-style-type: none">• Email the completed and correctly named score-sheet to	<ul style="list-style-type: none">• Email the Author's Accepted Manuscript (AAM) and Date of Acceptance email to eprints@kingston.ac.uk• At the same time, email the completed and correctly named score-sheet to	<ul style="list-style-type: none">• Create a new repository record• At the same time, email the completed and correctly named score-sheet to
SA_noticeboard@kingston.ac.uk		SA_noticeboard@kingston.ac.uk

SA_noticeboard@kingston.ac.
uk

- 6) Score-sheets should use the naming convention: **Surname_Initial_Eprint ID_Self-Assessment**. When the Eprint ID is not yet available, you should note this in the covering email, and submit the score sheet using the convention **Surname_Initial_Self-Assessment**.
- 7) Present the score-sheet with the output when making output selections for consideration in REF2021
- 8) RBI manages a store of assessments on Box, adding DOI of connected output. RBI and Associate Deans have access to scorecards. Relevant and appropriate data will be provided to UoA Coordinators as required. Data will be managed under the RBI code of conduct / code of practice for REF2021. The named author can request a copy of their own assessment at any time.

Guidance and support

- 9) The Research, Business and Innovation Directorate (RBI) provides guidance and training on undertaking self-assessment, the quality-levels, and on how the score-sheets may be utilised in preparations for REF2021. Further information can be found on the RBI REF2021 page:
<https://staffspace.kingston.ac.uk/dep/researchsupport/Pages/REF2021.aspx>
 - Specific guidance will be provided prior to 1st April 2019
 - A series of training workshops will be run in spring 2019
 - Periodic training will be available thereafter
- 10) Detailed descriptions of the star levels by main panel can be found in REF2021 panel criteria: [part 3, section 2, paragraphs 192-206](#)
- 11) The University's Library and Learning Services (LLS) directorate provides advice and assistance to researchers in using the Research Outputs Repository.
- 12) Queries may be sent to SA_noticeboard@kingston.ac.uk concerning issues with self-assessment, creating and naming score-sheets.

Approval and review procedure

- 13) This Policy will be reviewed on an annual basis, or when necessitated by external policy changes, by RBI. Recommendations for amendments should be submitted for consideration and approval by the Research, Business and Innovation Committee.

Document History and Review Period	
Author	Research, Business and Innovation Directorate
Authorised	
Dissemination routes	Publicised to all staff via Staffspace RBI Committee and RBI pages, Associate Deans for Research, Faculty RBI Committees, RBI training events
Review date	Annual in Autumn
Review Committee	Research, Business and Innovation Committee

APPENDIX Q – Individual Staff Circumstances Declaration form

To submit this form you should send it to the REF Manager, Kalli Selioti, in Research, Business and Innovation, k.selioti@kingston.ac.uk, marked Staff Circumstances, Confidential. An electronic or paper copy can be sent. This will be acknowledged on receipt.

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

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

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

Yes

No

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

Circumstance	Time period affected
<p>Early Career Researcher (started career as an independent researcher on or after 1 August 2016).</p> <p><i>Date you became an early career researcher.</i></p>	<p>Click here to enter a date.</p>
<p>Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2020.</p>	<p>Tick here <input type="checkbox"/></p>
<p>Career break or secondment outside of the HE sector.</p>	<p>Click here to enter dates and durations.</p>

<p>Dates and durations in months.</p>	
<p>Family-related leave;</p> <ul style="list-style-type: none"> • statutory maternity leave • statutory adoption leave • Additional paternity or adoption leave or shared parental leave lasting for four months or more. <p><i>For each period of leave, state the nature of the leave taken and the dates and durations in months.</i></p>	<p>Click here to enter dates and durations.</p>
<p>Disability (including chronic conditions)</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Mental health condition</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods</i></p>	<p>Click here to enter text.</p>

<p><i>at work when unable to research productively. Total duration in months.</i></p>	
<p>Ill health or injury</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Constraints relating to family leave that fall outside of standard allowance</p> <p><i>To include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Caring responsibilities</p> <p><i>To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>

<p>Gender reassignment</p> <p><i>To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Any other exceptional reasons e.g. bereavement.</p> <p><i>To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below
- I realise that the above information will be used for REF purposes only and will be seen by the UK funding bodies REF team who make the information available to REF panel Chairs, members and Secretaries and/ or the Equality and Diversity Advisory Panel.
- I realise it may be necessary to share the information with the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs.

I agree

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

I give my permission for an HR partner to contact me to discuss my circumstances, and my requirements in relation this these.

I give my permission for the details of this form to be passed on to the relevant contact within my department/faculty/centre. (Please note, if you do not give permission your department may be unable to adjust expectations and put in place appropriate support for you).

I would like to be contacted by:

Email Insert email address

Phone Insert contact telephone number

APPENDIX R – Summary of Applicable circumstances

This information is summarised from the REF2021 ‘Guidance on Submissions’, paragraphs 160-163.

The funding bodies, advised by EDAP, have identified the following equality-related circumstances that, in isolation or together, may significantly constrain the ability of submitted staff to produce outputs or to work productively throughout the assessment period. Details of the permitted reductions are set out in Annex L (Reductions for Staff Circumstances) of the ‘Guidance on submissions’.

- a. Qualifying as an Early Career Researcher.
ECRs are defined as members of staff who meet the definition of Category A eligible on the census date, and who started their careers as independent researchers on or after 1 August 2016. See REF2021 ‘Guidance on submissions’ paragraphs 148-149.
- b. Absence from work due to secondments or career breaks outside the HE sector.
- c. Qualifying periods of family-related leave.
- d. Other circumstances that apply in UOAs 1–6, as defined in REF2021 ‘Guidance on submissions’ paragraphs 162-163.
- e. Circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in outputs, which are:
 - i. Disability: this is defined in the ‘Guidance on codes of practice’, Table 1 under ‘Disability’.
 - ii. Ill health, injury, or mental health conditions.
 - iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances set out in Annex L.
 - iv. Other caring responsibilities (such as caring for an elderly or disabled family member).
 - v. Gender reassignment.
 - vi. Other circumstances relating to the protected characteristics listed in the ‘Guidance on codes of practice’, Table 1, or relating to activities protected by employment legislation.

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.

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

This allowance is made on the basis that the clinical staff concerned are normally significantly constrained in the time they have available to undertake research during the assessment period. Where the individual meets the criteria in paragraph 162 of the REF Guidance, and has had significant additional circumstances – for any of the other reasons in paragraph 160 of REF Guidance – the institution can make a case for further reductions as part of the unit reduction request, using the tariffs set out in Annex L as a guide.

Appendix S – VC Letter to Research England



Vice-Chancellor
Professor Steven Spier
Hon FRIAS BDA FHEA FRSA

T +44 (0) 20 8417 3001
D +44 (0) 20 8417 3010
E s.spier@kingston.ac.uk
www.kingston.ac.uk

Holmwood House
Penrhyn Road
Kingston upon Thames
Surrey
KT1 2EE

Dr Steven Hill
Director of Research
Nicholson House
Lime Kiln Close
Stoke Gifford
Bristol BS34 8SR
researchpolicy@re.ukri.org

19th September 2019

Dear Dr Hill

Re: REF2021 Codes of Practice Assessment Outcome

I am writing in response to your letter dated 16 August 2019, advising Kingston University that its Code of Practice for REF2021 has been accepted, subject to one further clarification. I am delighted with this outcome and this letter supplies the clarification requested.

The assessment highlighted that Kingston's draft Code did not provide explicit confirmation of staff agreement for the processes established to identify staff with significant responsibility for research (SRR). I confirm that staff agreement has been obtained and in accordance with the following processes.

1. Our Code of Practice sets out the consultation process with staff and Trade Union staff representatives in appendix N of Kingston University's submitted Code of Practice for assessment.
2. In response to your enquiry, further evidence of the consultative development of the Code has since been given by our Kingston University branch UCU Chair, Dr Nicholas Freestone, PhD, FSB, SFHEA, Associate Professor in Physiology, on behalf of 455 UCU members.
3. Dr Freestone has stated by email on 12th September 2019: "We can confirm that UCU representatives were involved in the development and discussion of the Code of Practice and that these discussions have not thrown up any objections."
4. The University's process for identifying staff with significant responsibility for research is its Academic Career Development Framework (known as Domains). This is an evidence-based framework co-designed with staff, senior managers and Trade Union staff representatives.
5. In addition to traditional teaching and research domains, the framework is designed to modernise the University's academic profile and recognises the contributions professional bodies, professional practitioners, business and international partnerships play in contemporary academic life, how these are integrated in research and teaching and how universities contribute through civic and social engagement to their context.
6. Domains is currently in pilot phase and commenced in April 2018. Consultation, engagement and feedback on Domains has been undertaken with the University's Trade Union staff representatives over a 15-month period throughout the 2018/19 academic year.
7. Under Domains, academic staff identify a minimum of two and normally a maximum of three domains, and where appropriate their complementarity. All staff will have discussed, identified and agreed their Domains profile with their line manager through this process.

8. Staff with significant responsibility for research will have a research Domain (or a combined research & impact Domain) of 30% or above of their contract.
9. As of 10 September 2019 75% of staff have confirmed their Domains with their line manager and entered this on their digital staff profile. I expect 100% completion by 30 September 2019.
10. Evidence of academic staff completion and the workforce profile will be available for audit. We will in due course deploy Domains to inform workforce planning and to provide a more accurate representation of TRAC and how staff invest their time.
11. Following the completion of Domains entry and subject to our further processes for testing research independence etc., all staff will receive a letter setting out the University's provisional intention to submit them to REF2021 or not in October/November 2019. An appropriate process for appeals is in place, as described in our Code.

We believe that, in addition to the agreement of UCU as detailed above, satisfactory completion of the Domains process by our staff is evidence that staff agreement has been reached on the determination of significant responsibility for research for REF2021.

I trust this letter of clarification provides sufficient detail in response to your request. I am of course happy to supply further detail or clarification should you require it.

Finally, I welcome the additional guidance on some of the more prevalent issues concerning appeals, staff circumstances, and output reduction requests which was included in your letter. The REF team at Kingston have since reviewed its Code, and I can confirm that I have been advised that the recommended measures are already in place in our processes.

I would like to thank Research England and especially EDAP for their detailed consideration of the Code, and for the ways in which institutions have been encouraged and supported to prepare their Codes for this REF, particularly in respect of promoting equality and diversity.

Yours sincerely



Professor Steven Spier
Vice-Chancellor

Appendix T – REF Postponement and Covid-19 Adjustments

1. This Appendix sets out the changes to Kingston's REF2021 Schedule, adjustments to processes and measures taken to support staff in light of Covid-19. It is submitted for approval as appendix to an updated version of the institutional Code of Practice.
2. Following REF2021 Postponement in March 2020, a series of communications was sent to staff (via email, staff intranet and university staff newsletter) with updates following each new release of information from Research England.
3. At the time of postponement, Units of Assessment were engaged in the internal peer review (IPR) of outputs (described in Part 4: selection of outputs). After consultation with internal peer review panels, the decision was taken to continue the review process and hold panel meetings online. This decision was taken with a view to reducing burden on staff later in the REF cycle.
4. Deadlines for internal output review and panel meetings were extended in cases where panel members had been unable to complete work by the original timetable. The provisional IPR panels were completed by late July 2020.
5. In September 2020 the process for submitting outputs delayed by Covid-19 was relayed to staff by email communication. Staff were requested to submit those outputs with 100-word summary and supporting evidence outlining the justification, for review by the REF team.
6. An initial assessment of the impact of Covid-19 on Impact Case Studies was made in April, and then this exercise was repeated after the announcement of the new REF timetable. Regular review is undertaken on an ongoing basis. Impact Case Studies in health-related and public and cultural engagement case studies were found to be the most affected by Covid-related circumstances. In addition, some staff members were considerably affected by personal circumstances. Actions taken were as follows:
 - I. Case Studies were identified as follows: those which could proceed as planned; those which had to be postponed until a change in circumstances allowed work to resume; those which could be modified to address new or additional impact activity
 - II. Allocation of additional funding to support gathering of evidence, including employing research assistants or administrative support to undertake this on behalf of affected staff

- III. Deferral of planned activities to Autumn 2020, once extension to period of impact assessment had been announced by Research England. Some planned activities (such as stakeholder engagement workshops and public events) were moved online.
7. In December 2019, a REF Uplift Fund of £50,000 had been approved by the University. This fund, administered by the REF team and approved by the University's Steering Group, provided additional support to Units for impact and environment (including evidence-gathering, evaluation, external review and practice research). In some cases, research assistants were hired on an hourly paid basis to undertake the work.
 8. Activities supported by the REF Uplift Fund were reviewed in April 2020 following lockdown. In cases where activity could not go ahead, that activity was re-designed or deferred or funds were diverted to other suitable action.
 9. An additional REF Uplift fund of £43,000 was approved for academic year 2020/21, to support ongoing impact and environment work in line with the revised REF schedule.
 10. At the time of lockdown, Human Resources undertook a categorisation and review of staff working arrangements, to identify staff who might be eligible for furlough and to ensure all ongoing processes for temporary and hourly paid staff were managed fairly, in accordance with its procedures. No staff related to REF were furloughed.
 11. Data checks in support of confirming SRR and REF Census Staff Data continued. Staff were reminded, by email, that the REF census date for staff data was unaffected by Covid postponement. Line managers were reminded to ensure Domains information (used in the identification of SRR) was completed. In August, following the census date staff were sent letters concerning their REF2021 status and, as relevant, their research independence. This is the process described in Parts 2-3 of the Code, and was unaffected.
 12. The Appeals process was conducted according to the process set out in paragraphs 37-49 and 58-63 of the Code, and was unaffected. As the University had already run a first stage appeals process before Covid-19 based on the provisional identification of significant responsibility for research, and research independence, the likelihood of further appeals was judged to be low. 3 appeals were received at the first stage process and upheld at this point. At the final appeals stage in September 2020, there were no appeals.
 13. In light of Covid-19, Steering Group reviewed the requirements for unit reductions to outputs due to staff circumstances and also requirements for the removal of the minimum of one (March 2020). As the provisional output selection and assessment had already taken place, it was judged that no unit would require any further request for reduction.

14. Covid-19 was made a standing item on the University's Steering Group agenda in order to monitor effect on delivery and staff circumstances.
15. In addition to the above actions taken to support staff with the delivery of REF submission, the University took a series of actions to support research culture in light of Covid-19. These included:
 - I. An expedited process for funding applications related to Covid-19 was put in place.
 - II. The University regularly runs a small grants scheme to provide a foundation for external funding. Applicants must commit to an external bid and a date for the application. Awardees with grants running were
 - supported to consider alternate methodologies which could be achieved during remote working
 - supported to find alternate relevant work for temporary research assistants hired under the funding
 - had spending deadlines extended to the end of the financial year to assist achieving alternate methods
 - supported to consider alternate external bids and adjusted commitment deadlines
 - III. Alternate funding is under consideration for those who were unable to achieve variant projects under remote working, when the ongoing circumstances clarify whether the intended activities will be achievable. Holders of other internally-awarded funds, such as GCRF allocations, were given similar support as applicable to the funding.
 - IV. Research training and events were redesigned for digital delivery. In particular the annual University Festival of Research (planned for March 2020) was deferred and held online in July 2020.
 - V. Regular faculty and cross-faculty online events for staff and students highlighting both Covid-related Research and Knowledge Exchange continue to be held, and activities disseminated to internal and external audiences, via university website.