



University of  
Central Lancashire  
UCLan



# Research Excellence Framework

Code of Practice

Prepared by Research Services

**REF2021** Research  
Excellence  
Framework

## Open address from Deputy Vice-Chancellor

Dear Colleagues,

REF2021 will assess the best of the research endeavour at the University of Central Lancashire (UCLan) over a seven-year period, since REF2014. Many people will have contributed to research at UCLan over this period, from PhD students to the Professoriate, with support from across our Professional Services. All colleagues contribute to our research environment. Not everyone or everything can be showcased in our REF submission, but the work of all will be encompassed in some way within our submission, be it the outputs, impact case studies or contributions to the research environment through securing income, PhD research projects, work with other institutions and organisations, and through engaging and collaborating with the beneficiaries of our research.

This Code of Practice outlines how we will be approaching the institutional submission for REF2021. Academics at UCLan can contribute to the three career paths of teaching and learning, research and impact, and innovation and enterprise to varying degrees depending on their career path and personal aspirations. UCLan has clearly defined expectations for promotion through these three career paths. Academics who aspire to building a successful research career are supported through research planning, appraisals and mentoring opportunities. Forums have been centrally established to support staff at their different career stages from the Early Career Forum (ECR); the Mid-Career Forum (MCF) and the College of Professors and Readers (CPR). We are actively reviewing our training provision for researchers at all career stages and are investing to grow an institution and academic body which relishes the opportunity to undertake research within a conducive and supportive environment to address issues and challenges of today and the future, to benefit Society.

UCLan will be **transparent** at all steps of its REF2021 preparations; communicating decisions and progress through an ongoing series of REF Open events and via our REF Intranet Site; and consulting staff fully to ensure that the researcher's voice is heard at each stage. This includes consultations on the institutional response to the national REF2021 consultations and of course this Code of Practice.

A **consistent** approach to establishing Significant Responsibility for Research has been developed that is applicable across all disciplines. This is intended to reassure staff that no discipline areas or group of staff are disadvantaged by the REF.

A governance structure is in place to ensure clear **accountability** across the various strands of the REF, including Equality and Diversity. A recent assessment of the institution's "REF2021 preparedness" by our independent auditors PriceWaterhouseCoopers has shown that appropriate governance controls are in place.

Finally, consideration of equality and diversity is reflected throughout the Code of Practice, with **inclusivity** at the heart of our REF preparations and submission. Open calls for expressions of interest have created a diverse representation of groups with E&D characteristics and a series of alternative routes to Significant Responsibility for Research are in place to enable part-time staff, early career researchers, and those with circumstances that

have reduced productivity over this REF period are able to be included in the UCLan submission

Yours sincerely,

Deputy Vice-Chancellor

Lynne Livesey

A handwritten signature in black ink, appearing to read 'Lynne Livesey'. The signature is written in a cursive style with a large initial 'L' and a long, sweeping tail.

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## Glossary of Terms

Term/Acronym	Meaning/Definition
CLoK	Central Lancashire Online Knowledge ( <a href="http://clock.uclan.ac.uk/">http://clock.uclan.ac.uk/</a> )
E&D	Equality and Diversity
ECR	Early Career Researcher
EDAP	Equality and Diversity Advisory Panel
EIA	Equality Impact Assessment
FTE	Full-time Equivalent
GDPR	General Data Protection Regulations
IDAP	Interdisciplinary Research Advisory Panel
PGR	Postgraduate Research Student
RAE2008	Research Assessment Exercise 2008
REF Intranet Site	<a href="https://intranet.uclan.ac.uk/ou/rio/REF/SitePages/Home.aspx">https://intranet.uclan.ac.uk/ou/rio/REF/SitePages/Home.aspx</a>
REF2014	Research Excellence Framework 2014
REF2021 Census Date	31 <sup>st</sup> July 2020
REF2021 Census Period	The period between 1 <sup>st</sup> January 2014 and 31 <sup>st</sup> December 2020
REF Team	UCLan staff within Research Services with responsibility for managing the REF2021 submission
SRfR	Significant Responsibility for Research
UCU	University and College Union
UOA	Unit of Assessment
URIC	University Research and Innovation Committee



## A. Introduction

1. The purpose of this Code of Practice is to set out the University of Central Lancashire's (UCLan's) approach to ensuring that the identification of staff for inclusion in the University's Research Excellence Framework 2021 (REF2021) submission is fair, equitable, transparent, consistent, accountable and inclusive; and that opportunities for the inclusion of all eligible members of staff are maximised.
2. Unless otherwise specified, the REF2021 Census Period referred to in UCLan's Code of Practice is 1<sup>st</sup> January 2014 to 31<sup>st</sup> December 2020. Staff information will be collected on the REF2021 Census Date of 31<sup>st</sup> July 2020 and will be used to calculate the number of Outputs and Impact Case Studies that UCLan must submit.
3. The Code of Practice is a University document developed to meet the UK higher education funding body requirements regarding the management of equality and diversity (E&D) in relation to the REF2021. Specifically:

"Each institution making a submission is required to develop, document and apply a code of practice on their processes for identifying staff with significant responsibility for research (where applicable), for determining research independence, and for selecting outputs."<sup>1</sup>
4. The Code of Practice will ensure that no isolated, unaccountable decisions are taken. It is intended for use by all of UCLan's academic staff, as well as all Professional Services involved in developing the University's REF submission. It will serve as a guide, ensuring that UCLan adheres to its E&D commitments and responsibilities.
5. The ambition of the University Strategy 2015-2020 is to grow a vibrant community of academic innovators, nurture early career researchers, and develop and enthuse postgraduate students. The Research Strategy 2018-2020 will deliver "an Environment which supports the production of accessible Knowledge and Information to realise Impacts of relevance to Society".
6. UCLan's performance in REF2021 will be measured by the relevant Key Performance Indicators approved in 2015. These are as follows:
  - a) Submit at least 330 Full-time Equivalent (FTE) staff to REF2021
  - b) Have enrolled at least 1,000 postgraduate research (PGR) students in academic year 2019/20
  - c) Secure £15m in external research funding per annum by academic year 2019/20
  - d) Submit at least 70% 3\* and 4\* outputs to REF2021
7. The Research Strategy will be monitored, reviewed and communicated by the Deputy Vice-Chancellor, the Pro Vice-Chancellor Research and Enterprise and the Director of Research Services as necessary to support the REF2021 submission.

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<sup>1</sup> 2019/01 Guidance on Submissions paragraph 45d



## A. Introduction

8. On making submissions to REF2021, the Vice Chancellor will be required to confirm adherence to this Code of Practice.
9. REF2021 Codes of Practice must be submitted to the Research England by 7<sup>th</sup> June 2019. Codes of Practice will be examined by the REF2021 Equality and Diversity Advisory Panel (EDAP) with approval confirmed by the end of December 2019, in advance of the 27<sup>th</sup> November 2020 REF submission deadline<sup>2</sup>. At the point of approval, the approved version of the Code of Practice will be available on the University website.
10. Should UCLan need to make significant changes to its Code of Practice following approval by EDAP, the University will be required to resubmit the revised version to the Research England REF Team and EDAP. Final versions of Codes of Practice will be collected from all submitting institutions in April 2021 for publication along with REF submissions in 2022<sup>3</sup>.

### A.1. The legislative context

11. UCLan's Code of Practice acknowledges the legislative context relevant to the identification of individuals for submission to the REF. UCLan will adhere to the principles and requirements of the Equality Act 2010. A detailed summary of the legislative context specifically in relation to the REF can be found in the 'Guidance on Codes of Practice' (REF 03.2019, January 2019):  
  
[https://www.ref.ac.uk/media/1086/ref-2019\\_03-guidance-on-codes-of-practice.pdf](https://www.ref.ac.uk/media/1086/ref-2019_03-guidance-on-codes-of-practice.pdf)
12. UCLan has an obligation under this legislation to consider the following characteristics when preparing its submission: age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion and belief; sex; and sexual orientation. The aim of the University is to prepare its submission in a manner that will prevent direct and indirect discrimination, including where an individual is perceived to hold protected characteristics.
13. The University holds the HR Excellence in Research Award and thus subscribes to the commitments outlined in 'The Concordat to Support the Career Development of Researchers', available at: [www.researchconcordat.ac.uk](http://www.researchconcordat.ac.uk). Activities to support the Concordat include the establishment of two Research Networks for early-career stage staff and Readers/Professors (with a mid-career stage network under development), the development of the Career Researcher Pathway and launch of the Academic Professional Apprenticeship Scheme in 2019, which will have a research route available from 2020.
14. All data that UCLan collects with respect to REF2021 will be held and processed in accordance with General Data Protection Regulations (GDPR). Some information may be passed securely to Research England for the purposes of REF2021 only. All staff whose

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<sup>2</sup> Submission deadline revised to 31<sup>st</sup> March 2021 due to Covid-19

<sup>3</sup> 2019/03 Guidance on Codes of Practice, paragraph 14

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data will be held for REF2021 purposes will receive a Data Collection Statement during 2020. An exemplar of this statement can be found on the external REF webpages:

[https://www.ref.ac.uk/media/1105/ref\\_2019\\_04\\_data\\_collection\\_statements\\_for\\_heis.pdf](https://www.ref.ac.uk/media/1105/ref_2019_04_data_collection_statements_for_heis.pdf)

### A.2. Equality, diversity and inclusion within REF2021 preparations

15. As part of its REF2014 submission, the University completed an Equality Impact Assessment (EIA). The EIA noted that disclosure levels in some areas made it challenging to understand the representation of specific groups within the University. Activities to promote an environment which supports disclosure have been undertaken since this time. The EIA also noted a disparity between the combined age and gender profiles of female researchers compared to male counterparts. Improvements in support for female academic staff members have been implemented as part of the submission of UCLan's institutional Athena SWAN award. These include establishment of the Women's Network to provide support and a voice for women at UCLan, as well as targeted approaches to encouraging female staff to develop their management and leadership skills through participation in the Aurora and Springboard programmes<sup>4</sup>.
16. Since REF2014, the University has moved forwards with its commitment to E&D across its research environment, embracing and embedding inclusivity across the institution. In 2016, the University re-launched its commitments to the Equality Challenge Unit's Athena SWAN and Race Equality Charter Marks. The University continues to demonstrate its pledge to supporting LGBTQ staff through its participation in the Stonewall Workplace Index. UCLan was positioned 260/415 in 2016, rising 10 percentage points from 2015 (293/397), and continues to work to improve the experience of LGBTQ staff.
17. This Code of Practice will enable the University to deliver its REF2021 objectives in line with the University's overall commitments to E&D as outlined in its Equality, Diversity and Inclusion Strategy 2016-20. This Code is not a general statement on E&D at the University but focusses on issues related to the REF2021 submission.
18. The University's Equality, Diversity and Inclusion Strategy, policies and objectives influence its culture as a University community and are aligned to the overarching strategy of 'transforming lives'. The University's culture represents an environment where diversity is valued and widely celebrated, and fairness and inclusion are fundamental to everything that it does. UCLan continuously aims to widen participation and encourage individuals to reach their full potential. The University also works with external communities to broaden participation, increase dialogue and maximise the potential benefits in the communities it serves. This supports its success as a world-class,

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<sup>4</sup> The Aurora Programme is delivered annually by Advance HE to support the leadership development of anyone who identifies as female. UCLan has supported 21 women to participate in the programme since 2013. The Springboard Programme, delivered by The Springboard Consultancy, offers work and personal development for women by focusing on building confidence, assertiveness and positive image. UCLan has supported 331 women through the programme since 2008.

## A. Introduction

innovative University and an employer of choice. This strategy sets out to how UCLan will increase engagement, benchmark progress and assess impact. UCLan has sought to embed these aims within its REF preparations and processes.

19. The University Equality, Diversity and Inclusion Strategy Action Plan 2016-2020 outlines four objectives that support University activity. These are:
  - a) Enriching our culture of valuing and engaging people by promoting and celebrating equality, diversity and inclusion through events such as the annual Diversity and Inclusion Festival
  - b) Ensuring fair processes and inclusion by achieving Athena Swan Charter Marks and becoming a Disability Confident Employer
  - c) Empowering people (protected groups) through support for staff networks such as the LGBTQ Staff Network
  - d) Embedding diversity, dignity and wellbeing through the proactive promotion of health and wellbeing activities and the delivery of unconscious bias training to the Senior Management Team and related colleagues.
20. Equality and Diversity will be considered at all decision-making points throughout the University's REF preparations. In line with Research England recommendations and legal requirements, and in keeping with the University's Equality, Diversity and Inclusion Strategy 2016-20, an Equality Impact Assessment (EIA) will be carried out at appropriate stages during the development of the University's REF2021 submission<sup>5</sup> to ensure that the selection process for staff has no disproportionate differential impact on any group of protected characteristics.
21. Specifically, the University is addressing the principles of transparency, consistency, accountability and inclusivity within its REF2021 preparations in the following ways:
  - a) **Transparency.** All processes for determining staff inclusion, research independence and output selection have considered transparency within their design, for example, through the use of open meetings and internal availability of committee membership, terms schedules and outcomes. UCLan's Code of Practice will be made available on the staff intranet for consultation between 1st April and 30th April 2019 and hard copies will be distributed at the start of this period to all staff known to be on a leave of absence. A communication plan for the REF2021 Code of Practice can be found in Appendix 1. Once approved by Research England, UCLan's Code of Practice will be made publicly available on the external facing UCLan Research pages: <https://www.uclan.ac.uk/research/index.php>
  - b) **Consistency.** UCLan expects the principles outlined within its Code of Practice to be applied consistently across the institution. The approach to identifying staff with

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<sup>5</sup> Such points are anticipated to be; ahead of defining SRfR using the likely pool of staff in scope; following agreement of Code of Practice and definition of SRfR; upon submission to REF2021 in late 2020; and at other points that are deemed to have potential impact on the representativeness of the submission.

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Significant Responsibility for Research (SRfR) will be applied to all eligible staff, varying only with the definition where detailed within the Code of Practice.

- c) **Accountability.** The University will ensure that no decisions will be made in isolation and that all decisions are supported by robust, auditable evidence. This will include, publication of meeting synopses from all REF related committees on the internal REF Intranet Site:

<https://intranet.uclan.ac.uk/ou/rio/REF/SitePages/Home.aspx>

The REF Team will ensure that appropriate evidence has been collated or is readily available to enable UCLan to fully and efficiently respond to any audit requests associated with the REF2021 submission as described in the Guidance on Submissions (01/2019, January 2019):

[https://www.ref.ac.uk/media/1092/ref-2019\\_01-guidance-on-submissions.pdf](https://www.ref.ac.uk/media/1092/ref-2019_01-guidance-on-submissions.pdf)

- d) **Inclusivity.** The University recognises that its submission to REF2021 is an institutional submission and that all staff employed by UCLan make a valuable contribution to the outputs, impacts and research environment contained within the submission and to the institution as a whole. The University will embed processes to promote inclusion throughout its REF2021 preparations.

### A.3. How the code is being communicated to staff across the institution

22. In preparation for its submission, UCLan staff have been encouraged to attend "REF Open" events, which focus on different aspects of the University's submission and its preparation. A full timetable of events held before the submission of the Code of Practice is found in Appendix 2. Sessions were streamed where possible for those unable to physically attend and the presentations (including recordings) were made available via our REF Intranet Site. These sessions were advertised to staff via the internal staff email "Round Up"; communications to Heads of School, UOA Leads and Senior Faculty leadership; and on the REF Intranet Site. Communication with staff through the REF Open series was flagged as sector best practice in a REF Readiness Audit carried out in December 2018 by the University's auditors PricewaterhouseCoopers.
23. In addition, UCLan hosted the REF2021 Main Panel Chairs for panels B, C and D between 2017 and 2019<sup>6</sup>. These sessions were open to staff across the institution and colleagues at North West and University Alliance institutions.
24. Following the release of the draft Guidance on Submissions, and draft Panel Criteria and Working methods in November 2017, the REF Team began discussions with stakeholders from all Faculties, the University and College Union (UCU), HR, and established REF governance structures at UCLan. These conversations informed the development of the Code of Practice in early 2019.

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<sup>6</sup> The Chair of Main Panel A was also invited to UCLan but was unable to attend due to work commitments

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25. A timeline for the development of the Code of Practice can be found in Table 1. A timetable of consultation events for staff to provide feedback on the Code of Practice can be found in Appendix 1.

Table 1. UCLan timeline for the development of the institutional Code of Practice

Date 2019	Activity
31 <sup>st</sup> January	Final documentation released by Research England
8 <sup>th</sup> February	REF Steering Group agreed initial SRfR definition
8 <sup>th</sup> March	Draft Code of Practice circulated to all UOA Leads and REF Steering Group for consultation
13 <sup>th</sup> March	URIC reviews draft Code of Practice
15 <sup>th</sup> March	REF Steering Group agrees final SRfR definition and reviewed draft Code of Practice
27 <sup>th</sup> March	Academic Board reviews Code of Practice
28 <sup>th</sup> March	Equality and Diversity Sub-group reviews Code of Practice
1 <sup>st</sup> April	Internal consultation on the draft Code of Practice opens
During April	Events planned throughout April to allow staff to ask questions and provide feedback – full details in Appendix 1.
30 <sup>th</sup> April	Internal consultation closes
1 <sup>st</sup> May	Code of Practice redrafted based on feedback and Equality Impact Assessment
During May	REF Steering Group approves Code of Practice (digital sign off)
During May	URIC and Academic Board approve Code of Practice
31 <sup>st</sup> May	Code of Practice signed off by Joint Institutional Leads
7 <sup>th</sup> June	Deadline for submitting Code of Practice to Research England
16 <sup>th</sup> August	Feedback from Research England
20 <sup>th</sup> September	Deadline for resubmitting Code of Practice to Research England
8 <sup>th</sup> November	Feedback from Research England
15 <sup>th</sup> November	Deadline for resubmitting Code of Practice to Research England
29 <sup>th</sup> November	Research England approves Code of Practice
December	Code of Practice published by Research England

Note: Activities from 20<sup>th</sup> September to 29<sup>th</sup> November depend on outcome of the EDAP review of the first submission of the Code of Practice (deadline 7<sup>th</sup> June 2019).

26. After approval of the draft Code of Practice by the REF Steering Group on 15<sup>th</sup> March 2019 and Academic Board on the 27<sup>th</sup> March 2019, a month-long consultation period was opened on 1<sup>st</sup> April 2019. Comments from all staff were welcomed during this time, either directly to the REF Managers or anonymously via an electronic survey system.
27. The draft Code of Practice for consultation was emailed to all staff employed at UCLan, along with details of how to access and respond to the staff consultation. An accessible version for screen readers was also distributed to all staff and made available on the REF Intranet Site.
28. HR sent a hard copy of the Code of Practice to staff on maternity/paternity/shared parental leave or long-term absence from UCLan as deemed appropriate by the Head of School.

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29. In addition, communications were issued by the Pro Vice Chancellor for Research and Enterprise and/or the Deputy Vice-Chancellor to encourage all staff to respond to the consultation and attend one of the scheduled consultation events (Appendix 1).
30. Feedback from staff could be provided to the REF Managers in the following ways:
  - a) Staff open sessions, including opportunities to raise issues with the PVC for Research and Enterprise
  - b) An electronic survey, which could be completed anonymously
  - c) A series of informal drop in events with individual REF Managers
  - d) Direct contact with the REF Managers by email, phone or face to face.
31. Feedback from the internal consultation was collated for review and discussion by the REF Steering Group. The Code of Practice was redrafted and approved as necessary ahead of final sign off. A list of key changes made to the draft Code of Practice was made available on the REF Intranet Site.
32. The submitted Code of Practice has been made available via the REF Intranet Site. Once approved by the funding bodies, the Code of Practice will also be made available via the UCLan external Research webpages.
33. Feedback from Research England, including any actions needed before resubmission, will be shared with staff. If necessary, a second period of consultation will be scheduled and communicated.

## B. Governance, appeals and Equality Impact Assessment

### B.1. UCLan REF governance approach and structure

34. Committees involved in UCLan's REF2021 processes emerged in a variety of ways. Where possible, consideration was given to representation of disciplines, backgrounds and career stages within membership:
- a) **Panel Advisory Board Chairs** were nominated to their role in 2017 by the REF Steering Group based on seniority of their position. They chair the Panel Advisory Boards, constituted of relevant UOA Leads, co-ordinators and discipline advisors, and REF Managers. These groups are decision-making.
  - b) **UOA Leads:** Many UOA Leads remained in the role following REF2014. These individuals retained their role for REF2021. Where an emerging UOA was identified, primary consideration was given to the experience, commitment and workload of individuals willing to lead the area.
  - c) **UOA Co-ordinators:** These were appointed in some UOAs to support discipline/area specific needs. Typically, these individuals provide breadth of discipline knowledge to a large UOA.
  - d) **REF Steering Group:** Members were appointed based on their role or potential contribution to the REF2021 process, with a focus on knowledge and experience of prior submissions. All Faculties and Services connected to the process are represented, including Finance, HR and IT. The Innovation and Enterprise Service is also represented to ensure links to the Knowledge Exchange Framework. This group is decision-making.
  - e) **Equality and Diversity Sub-group:** Initial membership was drawn from individuals in relevant roles from the REF Steering Group. A call to increase the membership to improve representation recruited an additional four academic members in January 2019. Consideration was given to representation of backgrounds and career stages. This group is advisory.
  - f) **Environment Working Group:** Academic members from all four REF Main Panel areas were recruited from the Panel Advisory Boards and via an open call to the academic body, which included all Research Only staff in recognition of their importance to the research environment regardless of REF eligibility. This group is advisory.
  - g) **Technical Data Group:** Senior managers in the appropriate Professional Services were approached to nominate suitable representatives. Due to the nature of its remit no academic members were recruited. This group is advisory.
35. In 2019, the Equality and Diversity Sub-group and the REF Steering Group agreed that all new or vacant roles would be filled through an application process and wider call to staff to ensure fair and balanced representation on REF2021 committees. Under-



## B. Governance, Appeals and Equality Impact Assessment

representation will be identified before the wider call to staff is made to ensure the appropriate groups are encouraged to apply. Where specific groups are required to support the representation of a group or committee (i.e. Early Career Researchers within the Environment Working Group), a place will be advertised specifically for applicants from the identified group. The approved process can be found in Appendix 3 and is available to all staff via the REF Intranet Site. The process was approved and applicable from June 2019.

36. Information regarding the Terms of Reference, role descriptors and modes of operation for all committees can be found in Appendix 4 onwards.
37. All meetings will be minuted and records stored electronically by Research Services. Schedules, agendas and meeting summaries will be made available to all staff to view on the REF Intranet Site.

### B.2. Training for UCLan REF governance bodies

38. All members of staff with decision-making or advisory responsibilities for REF2021 up to January 2019 were required to attend a session of "Unconscious Bias Training: Decision Making for REF2021", delivered by Advance HE. Training was developed iteratively by Advance HE in collaboration with the REF Managers and the Equality, Diversity and Inclusion Manager using post-session feedback to inform subsequent sessions.
39. The training objectives are for participants to:
  - a) Understand the legislative and policy drivers and context for embedding consideration of E&D in REF2021
  - b) Understand the potential for implicit bias to play out in decision-making around selection of staff and outputs in REF2021
  - c) Begin to develop individual and institutional actions and strategies to minimise the potential for bias in REF decision-making.
40. Staff who have not attended mandatory unconscious bias training sessions, principally individuals taking up their role after January 2019, are expected to review the training material before being part of decision-making discussions and provide justification to the Equality and Diversity Sub-group for REF2021 on their reasons for not attending (if relevant). Where there is repeated non-engagement, the role of the individual in any decisions pertaining to REF2021 will be reviewed.
41. The materials have been made available to all staff via the REF Intranet Site:  
<https://intranet.uclan.ac.uk/ou/rio/REF/layouts/15/start.aspx#/SitePages/Training.aspx>
42. All Heads of School were required to attend unconscious bias training, recognising the role they play in identifying staff with significant responsibility for research.
43. The HR Manager and Equality, Diversity, Inclusion and Communities Manager responsible for leading the completion of the Equality Impact Assessment (EIA) forms have received specific training from Advance HE.

## B. Governance, Appeals and Equality Impact Assessment

44. In addition, Research Services and HR have worked in conjunction with Heads of School/Line Managers to develop documentation to support the allocation of research workloads with research-focused objectives. Alongside this, the appraisal process is available to support those staff aspiring to a research career but who do not currently meet SRfR.

### B.3. Appeals process and communication to staff

45. If staff do not feel that the University has followed the processes outlined within its Code of Practice they have the right to appeal the following:
  - a) Their inclusion/exclusion in UCLan's REF2021 submission based on their meeting the institutional definition of SRfR
  - b) Their status as an independent researcher
46. The process of appealing the above decisions is separate and distinct from the process for declaring staff circumstances (E.8 Disclosure of circumstances). This latter process is for staff who are included within the submission and would like to declare a circumstance that has affected their productivity within the REF census period. It may be necessary for some staff to complete this process to be included within the submission.
47. The appeals process outlined in paragraph 45 is for staff who feel the processes outlined within the Code of Practice have not been followed and disagree with the outcome.
48. The right to appeal has been communicated to all staff via the REF Intranet Site, direct electronic communication and the university-wide weekly email Round-Up. Where appropriate, Heads of School and UOA Leads will be asked to confirm that they have supported the delivery of these communications.
49. Staff may appeal as soon as they are informed of any decision to include/exclude them or on independence status. This includes provisional decisions and final decisions will be communicated to staff no later than 30<sup>th</sup> June 2020. Staff are required to inform the REF Team of their appeal in writing within 10 calendar days of being informed of any decision to include/exclude them from the REF2021 submission or research independence status. The REF Team will then co-ordinate the appropriate panel of experts.
50. **For staff appealing their inclusion, exclusion or independence the following procedure will apply:**
  - a) Once an appeal has been submitted, the REF Team will request feedback from the UOA Leads, Head of School and Advisory Panel Chair on how their decision had been reached.
  - b) Appeals and feedback will be reviewed in a meeting of two research active members of the Professoriate (from a different Faculty to that of the individual making the appeal), supported by a REF Manager and chaired by an HR representative. Staff members will be invited to attend this meeting and will be able to bring a Trade Union representative or other colleague to support them in this process should they

## B. Governance, Appeals and Equality Impact Assessment

wish. The outcome of this discussion will be shared with the individual within 7 days of the meeting having taken place.

- c) Should the individual remain dissatisfied with the outcome they must confirm this to the REF Team in writing. Anonymised second appeals will be reviewed by the PVC (Business Development and Partnerships, Provost of UCLan Burnley) and the PVC (Students and Teaching) who have not participated in REF2021 preparations. They will be supported by a REF Manager who was not involved in the initial appeal discussion. The outcome of this review is considered final and there will be no further appeal.
51. Where applicable, an appeal may be made on behalf of a group or by a third-party. The appeals process outlined above should be followed and details of the individuals covered by the appeal must be supplied to the REF Team. The suitability of the appeals panel will be reviewed in light of each individual group or third-party appeal.
  52. Where more information is needed to understand the context of the decision, further feedback may also be requested via the REF Team.

### B.4. Equality Impact Assessments for REF2021

53. The University will consider any positive or negative effects that the REF preparations may have on staff arising from any EIA. All EIAs completed during REF2021 preparations will be made available internally via the REF Intranet Site. An EIA covering the processes and criteria outlined in the Code of Practice can be found in Appendix 5.
54. The REF Managers, with support from HR and the Equality, Diversity, Inclusion and Communities Manager, will complete EIAs at relevant points throughout the REF preparations. This will include, but is not limited to, assessing the impact of the definition of significant responsibility for research and research independence, processes around staff circumstances and the selection of outputs.
55. In REF2014, UCLan submitted 283 staff out of an academic population of 1279. An EIA was performed following submission which raised the following points:
  - a) Disclosure rates varied across characteristics and were lower than for ethnicity and disability.
  - b) There was a small difference between the proportion of female staff submitted (43.8%) compared to the overall academic profile (46.1%) but as the disparity was less than 5% it was not considered significant.
  - c) Young researchers were better represented (14.8%) within the submission than within the overall academic staff profile (10.1%).
  - d) While a larger proportion of female staff aged  $\leq 35$  was submitted compared to male staff of the same age, a larger proportion of male staff in older age groups was submitted. This is consistent with national findings for REF2014.

## B. Governance, Appeals and Equality Impact Assessment

- e) Only a small proportion of submitted staff declared a disability, with figures broadly comparable to the overall staff profile when considering the small sample sizes (2.0% versus 3.6%, respectively).
56. UCLan will perform similar analysis for REF2021 and seek to resolve, where possible, any gaps in the underlying data or identify routes to reduce disparity between groups of staff. Currently, data has yet to be comprehensively gathered for both ECRs and independent researchers as indicated and described in Appendix 5.
57. Providing the University with up-to-date and accurate diversity information better enables UCLan to understand and support the diverse representation of its staff body; and to support its staff in any challenges that they face. To assist UCLan in its commitment to diversity and its ability to monitor the effectiveness of E&D policies and procedures, staff are strongly encouraged to record their diversity information within the University's HR system (iTrent) and where necessary follow the process for declaring staff circumstances as part of the REF2021 submission process.

## C. Identifying Staff with Significant Responsibility for Research

### C.1. Policies and procedures: criteria for Significant Responsibility for Research

58. Staff are eligible for REF2021 if they are independent researchers employed on a 0.2 FTE or greater Teaching & Research or Research Only contract and have Significant Responsibility for Research (SRfR). Staff with <0.3 FTE contracts must be able to demonstrate a substantive connection to the UOA.
59. All eligible staff with SRfR must be submitted to REF2021. Staff with SRfR are those for whom explicit time and resources are made available to engage actively in independent research and that it is an expectation of their job role<sup>7</sup>.
60. At UCLan, staff with SRfR are those for whom:
- a) **'Explicit time and resources are made available'**.
    - (1) Full-time staff have a minimum 20% allocation for research within their workload model<sup>8</sup>.
    - (2) For part-time staff this value will be pro rata.

#### **AND**

- b) **'to engage actively in independent research'**. Staff must **also** meet **one or more** of the following criteria:
  - (1) Have applied for external research funding as the lead or co-applicant or are already listed as a Principal or Co-Investigator on an externally funded research project between 1<sup>st</sup> January 2014 and 31<sup>st</sup> July 2020.
  - (2) Be able to provide evidence of external support for work or research that would not normally be categorised as research funding (i.e. external commissions, exhibitions or reports<sup>9</sup>) during the period 1<sup>st</sup> January 2014 to 31<sup>st</sup> July 2020. The individual will need to provide evidence that support has been provided for the activity.
  - (3) Be able to provide evidence of receiving Research Council facility time, (research income-in-kind), and demonstrate the value of this,<sup>10</sup> as part of a long-term project

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<sup>7</sup> 2019/01 Guidance on Submissions, para 141

<sup>8</sup> In the rare instance where a staff member's workload model has a setting of >100% allocation of time and this reduces the time allocated for research to <20%, the line manager will be expected to provide a statement confirming the individual's significant responsibility for research and a justification for the workload being set at >100% FTE.

<sup>9</sup> REF definitions of these and other externally supported outputs can be found in Annex K, 2019/01 Guidance on Submissions

<sup>10</sup> Research Council facility time has a financial value, and is included with the REF4c Environment Table. The criteria for REF eligible research income-in-kind are described in para 353-358, 2019/01 Guidance on Submissions.

## C. Identifying Staff with Significant Responsibility for Research

- (4) Have supervised, or be supervising, a doctoral student<sup>11</sup> (as defined within the Academic Regulations, Appendix 6) during the period 1<sup>st</sup> January 2014 to 31<sup>st</sup> July 2020.
- (5) Have taken recognised University, Faculty or School research leave or a research sabbatical since 1st January 2014.
- (6) Hold an independently won, competitively awarded fellowship where research independence is a requirement on the REF Census Date of 31<sup>st</sup> July 2020.
- (7) One of the following:
  - (a) lead a research group
  - (b) lead a substantial work package or portfolio (for example, within an overarching larger project)
  - (c) demonstrate a substantial body of externally peer-reviewed research<sup>12</sup> or impact produced within the REF Census Period.

### **AND**

- c) **'that is an expectation of their job role'**. Staff are **also** expected to have **at least one** clear research objective within their most recent appraisal. Examples could include:
    - (1) Production of a research output for publication within the next annual appraisal cycle
    - (2) Development of proposals to secure external research income
    - (3) Planned initiatives and commitments to delivering research impact beyond academia
61. In setting appraisal objectives outlined above, line managers are expected to consider factors including, but not limited to, fractional status of an individual's employment, caring responsibilities, disability or factors around returning to work.
62. The following alternative routes will apply to this definition across all of the UOAs that submits to:
- a) The University acknowledges that some research activities may take time to establish after joining UCLan and wishes to support new members of staff. Staff appointed after 1st August 2018 and who have joined UCLan from another research role held elsewhere may be required to demonstrate evidence of external research funding (or applications), external support for their research (e.g. commissions) or supervision of a PGR student elsewhere. All other criteria must be satisfied. This information will only be necessary where it is not clear that the criteria have been satisfied by activities undertaken since employment at UCLan.
  - b) The University wishes to allow Early Career Researchers (ECRs) to develop without additional pressures of meeting its definition of SRfR. The REF2021 definition of an

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<sup>11</sup> For the purposes of the SRfR definition, supervision of doctoral students includes supervision of Professional Doctoral candidates

<sup>12</sup> Eligible types of outputs can be found in Annex K of the REF2021 Guidance on Submissions (2019/10)

## C. Identifying Staff with Significant Responsibility for Research

ECR can be found in paragraph 151. Researchers who have yet to secure external support for their research or be part of a supervisory team will be eligible for inclusion provided they have:

- (1) A 0.2 FTE allocation for workload (pro-rata for fractional staff)
- (2) At least one clear research objective in their most recent appraisal

Staff who otherwise meet the definition of SRfR will be invited to declare their ECR status via the Staff Circumstances form (as outlined in Appendix 7).

- c) Staff with any form of declared circumstances (as outlined in Appendix 7) will be exempt from paragraph 60.b) and need only satisfy the following criteria:
  - (1) A 0.2 FTE allocation for research workload (pro-rata for fractional staff)
  - (2) At least one clear research objective in their most recent appraisal
- d) Staff from disciplines where external funding is not the norm to conduct research or where there is limited access to studentships (for example, but not limited to, Arts and Humanities) will be required to evidence their SRfR via production of a substantial body of work that has been externally peer-reviewed.

63. Staff who do not ordinarily complete a workload model but are still expected to conduct research as part of their role (as identified in their job description) will be expected to provide confirmation from their line manager that this is the case. These roles may include, but are not limited to, Faculty Directors for Research, Deans/Executive Deans and Pro Vice-Chancellors.

64. The University expects that the above definition will be sufficient to demonstrate SRfR for most staff. However, individuals who are not identified as having SRfR but feel they that they have significant responsibility for research will be required to demonstrate this. In such circumstances, the staff member should contact the REF Managers who will coordinate a meeting with their Head of School and relevant UOA Leads. A REF Manager will provide advice on suitable evidence. Should a staff member wish to appeal the outcome of this meeting, the REF appeals process will be followed (see Section B.3 Appeals process and communication to staff).

65. **UCLan does not expect to vary its Code of Practice by UOA** and believes the above alternative routes allow sufficient flexibility to support the inclusion of excellent research from all disciplinary backgrounds.

### C.2. Decision-making and communication of SRfR process

66. In May 2020, Heads of School will be asked to confirm to the REF Team the workload allocation for research for each member of eligible staff within their School, along with an indication of those staff for whom agreed research-focused objective(s) have been documented in an appraisal. This information will be recorded in the Excel workload model tool.



### C. Identifying Staff with Significant Responsibility for Research

67. No details of the contents of any appraisal will be shared with the REF Team at this time. In the case of audit by Research England, it may be necessary for elements of these objectives to be shared. This will only be to verify an individual's SRfR status and will not be stored by the REF Team beyond the audit period.
68. The workload allocation or appraisal objectives will not normally vary following the submission to the REF team until the interim appraisal. Should any amendments be made before the REF2021 Census Date it will be the Head of School's responsibility to inform the REF Team immediately.
69. Where it is not clear that an individual has SRfR based on existing data, Heads of School will be consulted. If required, a meeting will be held with the individual's Head of School and Faculty Director of Research to clarify the position. The results of any discussion or meeting, and any changes to the data, will be communicated to the individual within 7 days of its occurrence.
70. Should the above not be sufficient, or the individual wishes to provide evidence of their significant responsibility for research, a meeting will be held with the individual, relevant UOA Leads, Panel Advisory Board Chair and a REF Manager to agree the nature of the individual's responsibility for research. It will be necessary for evidence of significant responsibility to be provided by the individual ahead of this meeting.
71. Should an individual decline to meet with the above group and is unable to provide information to demonstrate that they meet the SRfR definition, they will be considered to not have SRfR. If required, the individual will be supplied with feedback from their UOA Lead and Head of School on the appropriate development and support mechanisms available to allow them to progress along a research career path.
72. Once UCLan's Code of Practice is approved by Research England, schools will be asked to provide an interim identification of staff who are eligible for submission and those who are not. Staff will be informed of their provisional status with respect to inclusion in the University's submission. Should the interim identification of any individual not meet their expectations based on their career aspirations, the Head of School, Faculty Director of Research and School Research Lead will assess what support could be put in place to help the individual to meet those expectations before the REF2021 Census Date. Staff will be informed of their provisional status with respect to inclusion in the University's submission.
73. For staff outside of the School structure, the appropriate line manager/unit lead will be used in absence of a Head of School.
74. Staff may appeal any provisional decision made on their eligibility for submission, and this does not remove the right to an appeal of any final decision made.
75. Staff will receive final confirmation of their status with respect to the REF2021 submission no later than 30<sup>th</sup> June 2020. Staff who wish to appeal will be expected to notify the REF Team within 10 calendar days of receiving their notification. Staff wishing to appeal are

## C. Identifying Staff with Significant Responsibility for Research

referred to the REF appeals processes outlined in Section B.3. For staff absent from UCLan, this process can be conducted digitally.

76. There will be no disadvantage to any member of staff in not being included in UCLan's REF2021 submission, nor will the decision to not include an individual in REF2021 automatically exclude them from future research assessment exercises.

### C.3. Development of processes, consultation and communication of final processes

77. UCLan has made efforts to actively engage with individuals from across the University in its development of a SRfR definition. This has included open engagement with staff through REF Open, meetings with Schools/individuals and discussion at different levels of UCLan governance. The process has been iterative, and efforts have been made to consult with staff from all career stages and backgrounds. The governance structure for UCLan's REF preparations can be found in Appendix 8, and Table 2 shows the iterative approach taken to arrive at UCLan's definition of SRfR.
78. The Code of Practice and the processes outlined within it were open to consultation with all staff from 1st April to 30th April 2019. Full details of the consultation programme can be found in Appendix 1.
79. In its preparations for REF2021, the Head of Research Services and the REF Team have met with staff from all representative groups, including the University and College Union, Faculty and Schools and career stage groups.

Table 2 Development of Significant Responsibility for Research at UCLan

Date	Activity
21 <sup>st</sup> November 2017	Initial decisions on staff and outputs released by Research England
November 2017- March 2018	REF Managers met with Heads of School/UoA Leads to discuss discipline specific concerns from initial guidance
17 <sup>th</sup> March 2018	REF Steering Group agreed 2017/18 ARA requirements in line with more inclusive REF criteria
23 <sup>rd</sup> July 2018	Draft documentation released by Research England
Autumn/Winter 2018	Faculty Executive Teams, PVC Research Strategy Group, and the College of Professors and Readers provided feedback on initial SRfR definition
19 <sup>th</sup> December 2018	REF Steering Group reviewed initial principles of SRfR and feedback
31 <sup>st</sup> January 2019	Final documentation released by Research England
8 <sup>th</sup> February 2019	REF Steering Group agreed initial SRfR definition
13 <sup>th</sup> March 2019	Final recommendations for SRfR from URIC
15 <sup>th</sup> March 2019	Final definition of SRfR approved by REF Steering Group

## C. Identifying Staff with Significant Responsibility for Research

### C.4. EIA: Identifying Staff with Significant Responsibility for Research

80. The University recognises that inclusion within the REF2021 submission is a sensitive topic for some staff members and can be a source of anxiety. UCLan's REF2021 submission will showcase the best of research conducted by individuals over the REF2021 Census Period. Although not all staff will be able to contribute directly to the outputs and impact case study portfolios, all staff will contribute in some way through their role in creation of a vital and sustainable research environment. All individuals will benefit from the institution delivering the strongest possible REF2021 submission through the Quality Related income allocated to UCLan by Research England that will be directly driven by REF performance, as well as from other indirect benefits of a strong REF return.
81. UCLan's definition of SRfR is associated with the institutional workload model and appraisal process, specifically through the allocation of time to do research and the specification of research objectives, respectively.
82. It is recognised that staff with caring responsibilities, who are more likely to be female, may not feel able to effectively vocalise their career or workload aspirations or any wish to be included in REF2021 during their appraisal. UCLan will ensure that all staff holding appraisals have received the relevant training to avoid introduction of any unconscious bias and to support all staff fairly.
83. Part-time staff may also find it more challenging to produce research and are encouraged to discuss workload issues with their line manager during appraisals. UCLan will not select staff for submission based on the quantity or quality of their outputs. Analysis of output selection will assess whether part-time staff are proportionately represented within the output pool.
84. Staff with a disability or illness that has reduced their productivity over the REF2021 Census Period may be disproportionately affected by the requirements of the SRfR definition, and in this instance are encouraged to speak to HR and/or their line manager about how the University can support them to be included within its REF2021 submission.
85. The eligible population at UCLan is balanced in respect to the proportion of male and female employees (51% female, 49% male). However, initial analysis of provisional SRfR data indicated that there was disparity compared to the eligible population. The proportion of women within the SRfR population was between 45 and 50% depending on the criteria assessed, reflecting the representation seen at REF2014.
86. Further analysis indicates that there is further disparity at the discipline level, with STEMM Faculties demonstrating even balances in gender, while Arts, Humanities, Social Sciences, Business and Law collectively are 61% male and 39% female.
87. Actions to reduce this gender disparity are found in the full EIA in Appendix 5 and will be reviewed routinely by the Equality and Diversity Sub-group and the REF Steering Group.

## D. Determining Research Independence

### D.1. Policies and procedures: criteria for determining research independence

#### D.1.1. Research Only staff

88. Staff at UCLan on Research Only contracts must be independent researchers to meet the definition of eligible staff in REF2021. Research Only contract status and research independence are together assumed to signify SRfR. As such, and in accordance with the Guidance on Submissions, Research Only staff do not need to meet the SRfR definition.
89. Most Research Only staff at UCLan are Research Assistants (or Research Associates). This group, defined as academic staff whose primary employment function is 'Research Only' and who are employed to carry out another individual's research program<sup>13</sup>, are not considered to be independent. An individual is not considered an independent researcher purely on the basis that they are named on one or more research outputs.
90. The definition of independent researcher for the purposes of UCLan's REF2021 submission will be as follows:

An independent researcher is an individual who undertakes self-directed research, rather than carrying out another's research program.

91. Example indicators of independence that apply across all UOAs are provided below. This is not an exhaustive list. Recognising differences in disciplinary norms, multiple factors may need to be considered to demonstrate independence in some areas.
  - a) Leading or acting as Principal Investigator or equivalent on an externally funded research project
  - b) Holding an independently won, competitively awarded fellowship where research independence is a requirement
  - c) Leading a research group or a substantial work package
92. The following criteria may also indicate independence in Research Only staff aligned to disciplines falling under REF Main Panels C and D as follows:
  - a) Significant input into the design, conduct and interpretation of the research
  - b) Acting as a Co-Investigator on an externally funded research project<sup>14</sup>

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<sup>13</sup> 2019/01 Guidance on Submissions, paragraph 130

<sup>14</sup> This might normally indicate independence in cases where large research programs have discrete and substantial work packages led by Co-Investigators, which would be equivalent to a Principal Investigator role on a smaller grant.

## D. Identifying Staff with Significant Responsibility for Research

### D.1.2. Staff undertaking PhDs or Professional Doctorates

93. UCLan recognises the commitment to professional development that undertaking a PhD<sup>15</sup> or Professional Doctorate represents and wishes to support staff members enrolled on a doctoral programme. The University recognises that time allocated within the workload model may be spent in progressing doctoral studies.
94. Normally it will be assumed that members of staff enrolled on a doctoral programme on the REF Census Date (31st July 2020), either with UCLan or elsewhere, are not independent researchers unless evidence of independence can be provided. This is regardless of employment function (Teaching & Research or Research Only).
95. All eligible staff enrolled on a PhD or Professional Doctorate who otherwise meet the SRfR criteria (Teaching & Research staff only) will be required to evidence their independence before being considered eligible for REF2021 submission. This may include the undertaking of research completed prior to starting a doctoral programme. Heads of School will be asked to survey their School to identify staff currently enrolled on a doctoral programme.

### D.1.3. Decision and communication process for research independence

96. The process for demonstrating research independence is shown in Figure 1, and will be as follows:
  - a) By default, all Research Only staff and Teaching & Research staff pursuing doctoral programmes will be assumed to be **not** independent.
  - b) Staff falling into these two groups will be invited to complete a pro forma declaration with evidence of research independence based on the above criteria or equivalent markers of independence in their discipline.
  - c) The proforma should be submitted to the REF Team no later than 30th September<sup>16</sup> 2020.
  - d) Based on the information provided in the completed pro forma, the REF Team will support the relevant Head of School and UOA Lead in determining whether a sufficient case has been made. Recommendations will then be reviewed by the appropriate Panel Advisory Board. Should the group agree that the staff member is an independent researcher, and they satisfy all other eligibility and SRfR (Teaching & Research staff only) criteria, they will be included within the University's submission to REF2021.
  - e) Decisions will be communicated to any staff within 7 days of the Panel Advisory Board meeting. Any staff member who disagrees with the outcome of this process will be referred to the appeals process described in Section B.3.

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<sup>15</sup> For the purposes of the Code of Practice, PhD by Publication is included as doctoral study

<sup>16</sup> This process was extended from 30<sup>th</sup> June until the 30<sup>th</sup> September due to the impact of Covid on staff

## D. Identifying Staff with Significant Responsibility for Research

### D.2. Equality Impact Assessment – determining research independence

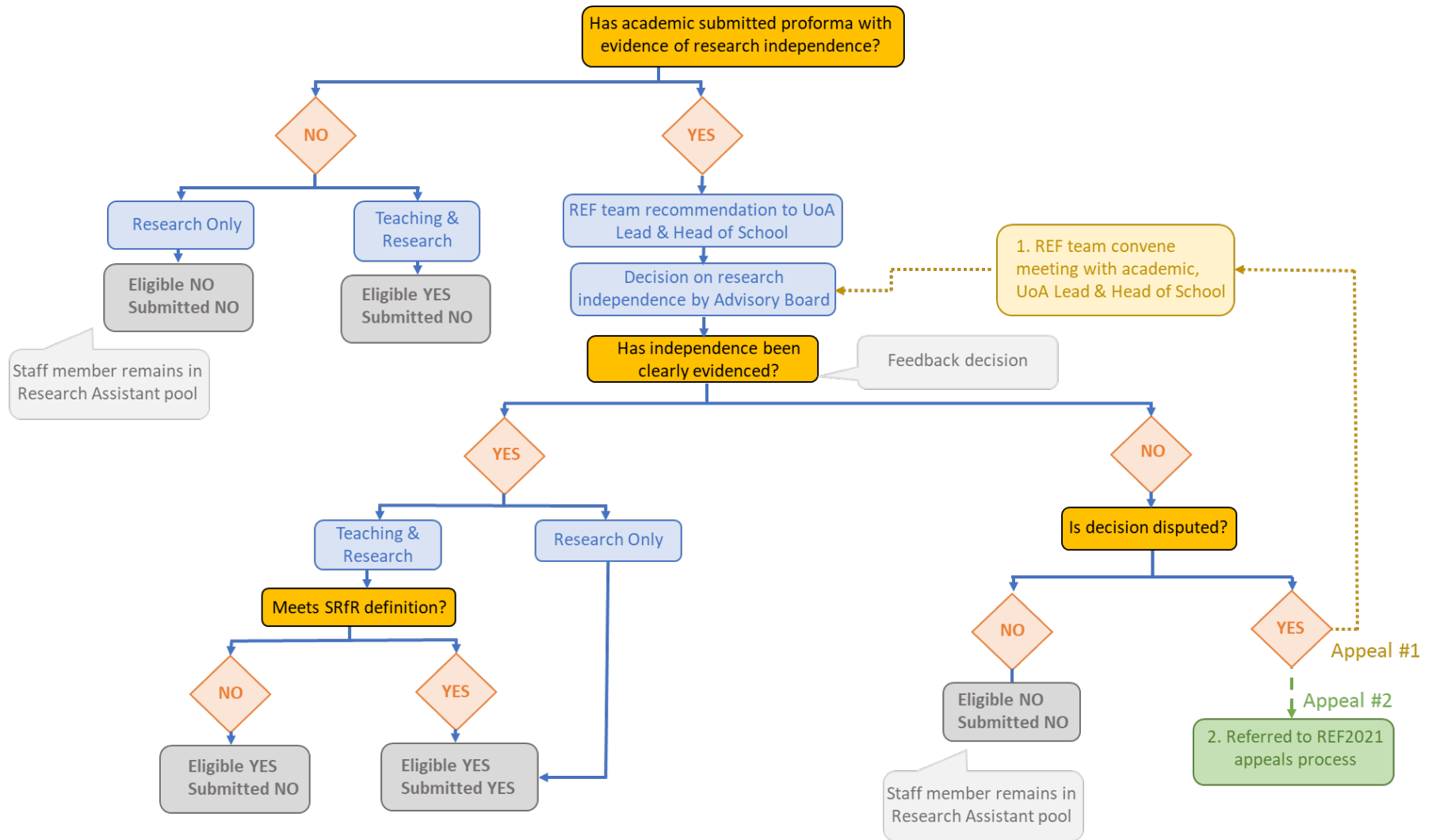
97. Accurate data on Research Only staff who must be submitted to REF2021 as independent researchers is not yet available. HR has provided the REF Team with details of staff on Research Only contracts of  $\geq 0.2$  FTE. This data, along with information on Research Only staff included in Annual Research Assessments, provides a starting point for identifying staff who will need to evidence their independence through completion of the proforma.
98. The REF Team will also work with Academic Registry to identify Schools with may need staff members registered on doctoral programmes with UCLan. Heads of School will be canvassed for information on staff registered on doctoral programmes at another Higher Education Institution.
99. Provisional analysis of the population of staff on  $\geq 0.2$  FTE Research Only contracts indicates that a larger proportion are female or  $\leq 40$  years old than the eligible staff population<sup>17</sup>, with intersectionality expected. A reduced number of staff aged  $\geq 51$  is also noted.
100. Further robust analysis will be carried out on the characteristics of the research independent population following the self-declaration and staff circumstances collections. This will allow the EIA to be refreshed and adjustments made to REF2021 processes and preparations to account for any disparities caused by the approach to identification of research independence.
101. More information regarding UCLan's EIA for the Code of Practice can be found in Appendix 5

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<sup>17</sup> The proportion of staff  $\leq 40$  in the eligible population is 28.3% and 46.9% within the Research Only population. Women comprise 60.8% of the Research Only population compared to 51% of the eligible population.

## D. Identifying Staff with Significant Responsibility for Research

Figure 1. Flow chart illustrating decision-making on research independence for Research Only staff and staff on doctoral programmes





## E. Selection of Outputs

102. All eligible outputs produced by staff who meet the University definition of SRfR (Teaching & Research contracts) or independence (Research Only contracts) will be considered for submission to REF2021. The selection of outputs for REF2021 is based on a transparent review process to estimate output quality in terms of rigour, significance and originality, followed by a selection process to determine the pool of papers to be included in each UOA submission.

### E.1. Responsibilities, processes, and transparency

103. The REF Steering Group has overall responsibility for selecting research outputs to be included in UCLan's REF2021 submission and deciding the approach to output review. The REF Steering Group have commissioned the REF Team to:

- a) Develop appropriate processes to review research outputs, including recruitment of expert external reviewers, through a dialogue with the Panel Advisory Boards and UOA Leads.
- b) Design a methodology for selecting research outputs to be submitted to REF2021.
- c) Consult colleagues from across the institution and its REF Governance Groups to ensure that the processes are fair, open, and transparent.

104. The process and methodologies developed by the REF Team will be discussed and approved by the REF Steering Group prior to them being initiated. The UCLan REF governance structure will be used to collate views on processes under development, as well as to disseminate information on approved processes and methodologies. All relevant REF Steering Group papers and documentation relating to the review and selection of outputs will be made available on the REF Intranet Site.

105. Following external review, all UCLan staff will be provided with the agreed rating and external reviewer report for their outputs. This information will be confidential and shared only between the UOA Leads and the staff member in question.

106. Staff will be advised of which of their research outputs were included in the REF2021 submission.

### E.2. Output review process

107. The University's outputs review process is shown in Appendix 9. This describes how the internal review processes operate, how outputs will be selected for independent external review and the mechanism by which UCLan will select outputs to be included in the REF2021 submission. Only research outputs deposited on the University's institutional repository (CLOK) will be considered for review.

## E. Selection of Outputs

### E.2.1. Internal review

108. UOA Leads and Coordinators are responsible for the implementation of internal review processes. However, all UOAs will be required to follow the broad structure of:
- a) Staff who meet the SRfR definition will be asked to inform the UOA Lead of their best outputs. The Scholarly Communications Unit and the REF Team will assist in this process by providing UOA Leads with lists of outputs within the scope of their UOA that have been deposited on CLoK.
  - b) Nominated outputs will be reviewed by at least one member of research active staff within the UOA (e.g. the UOA Lead, Professors and Readers). UOA leads are encouraged to convene a panel of discipline experts to moderate any discrepancies in assessments. Author assessments may also be taken into consideration. The UOA Lead is encouraged to consider the diversity of reviewers and panel.
  - c) Following internal peer-review, where possible, all outputs that could potentially be included in the submission will be sent for external review.
109. The University strongly encourages Faculties, Schools, and UOAs to run workshops for staff involved in internal review to improve their skills in assessing research outputs for REF and their awareness of potential impacts from unconscious or conscious biases during assessment. These workshops could usefully involve independent external reviewers who may be able to provide detailed guidance on the processes they use to rate outputs.

### E.2.2. Independent external review

110. The University will commission external experts to provide independent assessment of outputs identified through internal review. External reviewers will be asked to provide a REF2021 rating to each output that they are sent. They will be asked to provide a report on each output, describing the reasons for their rating, as well as separate ratings for rigour, significance, and originality.
111. All external reviewers commissioned by UCLan will be provided with guidance on how to perform the reviews, which will remind reviewers that the use of Journal Impact Factors and other citation metrics should not be used as a basis for review.
112. External reviewers will also be provided with guidance on the importance of being aware of unconscious bias within the review process and asked to judge the output solely on its content. Reviewers exhibiting biases will be withdrawn from use by UCLan.

### E.2.3. Selection of reviewers

113. Reviewers will be selected based on their expertise in subject areas aligned with UCLan's research output and experience as sub-panel members in previous exercises (e.g. REF2014 or RAE2008). Based on these criteria, UOA Leads will be asked to recommend external academics to be invited to participate in the review exercise. Where possible reviewers will not be supplied with the names of the output authors in order to reduce

## E. Selection of Outputs

potential bias, although this will not be possible where an author contribution statement is required.

114. UOA Leads will determine the number of reviewers to be recruited and the volume of outputs sent to each reviewer. To assess consistency across reviewers, the University expects that a subset of outputs will be sent to all reviewers covering a single UOA or specific subject area within a UOA.
115. The University recognises that the collegiate nature of academic research may mean that UOA Leads will use their academic network to recruit external reviewers. In these instances, UCLan will ensure that any conflicts of interest are recognised and that no output will be sent to a reviewer who is also a co-author.

### E.2.4. Moderation of reviews

116. Panel Advisory Boards will conduct moderation exercises to compare the quality ratings collected from internal and external reviews and agree a final quality rating for each output. These agreed ratings will be used to inform selection of outputs to be submitted to REF2021.
117. As part of this moderation process the Panel Advisory Board will be asked to confirm whether any outputs should be marked as double weighted.
118. Following the moderation of outputs, the UoA Lead is expected to share the feedback and scores with the authors and, where possible, consider how the individual may improve the quality of future outputs.

### E.2.5. Responsible use of metrics

119. UCLan recognises that REF2021 Main Panel A and Sub Panels 7, 8, 9, 11 and 16 will receive citation metrics during the Assessment Phase. However, UCLan is committed to the responsible use of metrics and is unable to provide consistent metric information to its reviewers or to deliver training to reviewers on how such metrics might be used. As such we request that our external reviewers base their judgment solely on the output content and do not use any of the following to inform their judgement: citation metrics, Journal Impact Factors or other journal ranking systems (e.g. Association of Business School Journal Guide).

## E.3. Output selection methodology

120. REF2021 guidelines specify that submitted staff must have a minimum of one output and a maximum of five attributed to them. Information on the attribution of output to author will not be published by Research England and submitted outputs will not be listed by author. The processes outlined here will be used by UCLan to maximise the output quality profile of each UOA and are largely formulaic. Any attribution of names is nominal and in place to comply with REF2021 minima and maxima requirements. The attribution of outputs to UCLan staff will be used for no other purpose beyond output

## E. Selection of Outputs

selection and there is no disadvantage or detriment to any staff member associated with the number of outputs attributed to them using this approach.

121. The review process described in Section E.2 will create a UOA pool of rated outputs produced by the staff within scope of each UOA. Outputs submitted to REF2021 by UCLan will be selected from this pool.
122. Decision making on selection of the output pool will in general be based on outputs that have been both internally and externally reviewed. Where this is not possible, for example for outputs published in late 2020 or where the Covid-19 pandemic has created delays, additional internal review will be required to generate an agreed estimated quality rating.
123. The following protocol will be followed to define the outputs for submission to REF2021:
  - a) All staff within the scope of a UOA submission will be (nominally) allocated their 'best' output from the outputs pool. This allocation equates to the minimum of one output per person<sup>18</sup>.
  - b) Where there are outputs co-authored by more than one member of staff within the scope of a UOA, an explicit protocol will be followed to determine which member of staff is allocated the co-authored output (see Appendix 10).
  - c) After the allocation of a 'best' output to members of a submission, the further 1.5 outputs-per-submitted FTE will be composed of the remaining outputs from the pool based on quality. This selection will also ensure that no member of staff within the submission exceeds the maximum of five outputs.
124. The E&D profile of outputs selected using this approach will be assessed to ensure fairness of this allocation approach.
125. As part of this process the UoA profile will utilise outputs which have been agreed as double weighted where this maximises the quality of the UoA profile.
126. Following the REF2021 submission deadline of 31<sup>st</sup> March 2020<sup>19</sup>, the REF Team will communicate the number and title of outputs included to submitted staff who were co-authors. REF2021 aims to decouple outputs from their authors and no indication will be given of the number of outputs attributed to an individual, only that they were a co-author.

### E.4. Allocation of co-authored outputs within same UOA

127. The University recognises the collegiate nature of research and the co-production of research outputs across all subject areas. As such, UCLan will allocate papers between co-authors such that the quality of the Institution's submission is maximised. Further details about this process are described in Appendix 10.

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<sup>18</sup> 2019/01 Guidance on Submissions, paragraph 207a

<sup>19</sup> Revised from 27<sup>th</sup> November 2020 due to the 2020 Covid-19 pandemic

## E. Selection of Outputs

### E.5. Process for approval of output sets

128. The REF Team will apply the output selection methodology to maximise the outputs quality profile in line with the University's strategic aims for its REF2021 submission.
129. Where decision-making must be made from amongst a pool of outputs of equivalent quality, the UOA Lead will be asked to select outputs to maximise the quality, taking into consideration the minimum of one output per individual, any additional information provided with the output (such as contribution statements), double weighting, and data on the output profile with respect to E&D, sub-discipline balance, whether authors are still employed at UCLan, open access status, and number of authors with 1, 2, 3...5 outputs. Selections will be discussed by the Panel Advisory Board and a recommendation made to the REF Steering Group.
130. The REF Steering Group will approve UOA output lists taking into account the Panel Advisory Boards' recommendations and information provided by the REF Team, HR and any other relevant advisory group.
131. It will be the responsibility of UOA Leads to flag outputs published after the REF Census Date but before 31st December 2020 to the REF Team. It will also be the responsibility of UOA Leads to identify outputs that have been delayed in publication into 2021 due to the Covid-19 pandemic.

### E.6. Open Access compliance

132. UCLan is committed to Open Access and the principle that all outputs of publicly funded research should be freely accessible and widely available.
133. The REF2021 Open Access Policy applies to journal articles and conference contributions (with an International Standard Serial Number (ISSN)) which are accepted for publication from 1st April 2016 and published on or before 31st December 2020. Submitted outputs in-scope of the REF Policy should be deposited, discoverable, and free to read, downloadable and searchable within, by anyone with an internet connection.
134. The REF2021 guidance allows UOAs to submit a maximum of five per cent non-compliant in-scope outputs, or one non-compliant in-scope output, whichever is higher, per submission. Whilst quality is the primary factor in determining output selection, compliant Open Access outputs in scope of the REF2021 Open Access policy will be chosen in preference to non-compliant outputs.

### E.7. Outputs from staff not employed on the REF Census Date

135. This section describes how the University will use outputs from staff that have left the institution voluntarily or through early termination of contract. UCLan will consider the submission of eligible outputs from all staff who have been employed by the University

## E. Selection of Outputs

within the REF Census Period. Outputs from staff no longer employed at UCLan will be subject to the same review processes as those of staff employed on the REF2021 Census Date.

136. The University will ensure that the majority of a UOA submission is composed of outputs published by staff employed by the University on the REF Census Date. Outputs from staff who have left the institution will be considered where the UOA output pool from current staff is not sufficient or where this benefits the output quality profile.
137. Preference will be given to outputs produced by current members of staff in selection from sets of outputs of otherwise equivalent quality, taking into account author contribution.

### E.7.1. Former staff

138. UCLan will use outputs from former staff that have left the institution voluntarily, moved to another Higher Education Institution, left the Higher Education sector or through the ending of a fixed-term contract, provided these staff met the definition for SRfR at the point of publication and where the publication date coincides with the period of employment at UCLan.

### E.7.2. Early termination of contract by the institution

139. UCLan will not use the outputs of staff who have left the University as a result of early termination of contract by the institution in the REF period where that staff member is the sole UCLan author.
140. If an output has more than one UCLan co-author and at least one remaining eligible co-author is employed by UCLan on the REF Census Date, UCLan reserves the right to attribute the output to that author and include it within the REF submission.

## E.8. Disclosure of circumstances

141. Each UOA must submit a total of 2.5 outputs per full-time equivalent member of staff included in the submission. However, it is possible for UOAs to reduce the size of the output pool required where staff members within the UOA have experienced one or more of a range of circumstances that have affected their productivity over the REF2021 Census Period. Staff will be invited to confidentially disclose such circumstances, enabling the UOA submission to reduce the total number of outputs required. Although not mandatory, staff are encouraged to engage with this process in order to support their discipline and the overall institutional submission.
142. There will be no detrimental effect on any individual for declaring or deciding not to declare their circumstances. No pressure shall be applied to any individual to disclose their circumstance and the REF Managers/HR will provide support for individuals wishing

## E. Selection of Outputs

to do so. No information identifying individuals will be reported except where information must be passed to Research England. This commitment will be outlined in the Data Collection Statement issued to staff.

143. The University must attribute a minimum of one output and a maximum of five outputs to each submitted individual. In exceptional circumstances it is possible to apply to Research England to return a member of staff with zero outputs.
144. The University's outputs submission will be based on evidence-based reviews of outputs from all submitted individuals. Unless circumstances apply, all submitted members of staff will be submitted with a minimum of one output associated with their name.
145. In recognition that there may have been constraints on an individual's productivity during the REF Census Period, all staff in this position are encouraged to complete the 'Staff Circumstance Disclosure for REF2021' form to determine whether a reduction in outputs could be applied to the relevant UOA. There will be no penalty on any individual for declaring or not declaring their circumstances.
146. Any reduction in outputs that is agreed following the disclosure of circumstances, is subtracted from the UOA required output pool. For example: a UOA has a total of 10 FTE. They receive one circumstance request which carries a tariff of 1 output reduction. The UOA's outputs will be calculated thus:  
$$(10 \times 2.5) - 1 = 24 \text{ outputs required by the UOA}$$
147. Declaration of circumstances therefore allows individuals the opportunity to have the impact of any circumstances affecting productivity recognised by the University and to support their discipline area in maximising the quality of the UOA submission.
148. Where a circumstance has been declared and a reduction request agreed, HR will coordinate between the individual and their School to discuss how support for their research activity can be provided going forwards.
149. Part-time working has been considered in the calculation for the overall number of outputs required by each UOA (UOA submitted FTE x 2.5) and therefore a reduction due to part-time working is only expected exceptionally<sup>20</sup>.
150. The following circumstances are considered, either in isolation or together, to constrain the ability of an individual to work productively:
  - a) Qualifying as an Early Career Researcher (ECR)
  - b) Absence from work due to secondments or career breaks outside the HE sector
  - c) Qualifying periods of family related leave
  - d) Other circumstances which are applicable to UOAs 1-6<sup>21</sup>

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<sup>20</sup> 2019/01 Guidance on Submissions, paragraph 161

<sup>21</sup> 2019/01 Guidance on Submissions, paragraph 119-121



## E. Selection of Outputs

- e) Circumstances with an equivalent effect to absence, and require a judgement about the appropriate reductions
- f) Disability<sup>22</sup>
- g) Ill health, injury or mental health conditions
- h) Constraints relating to pregnancy, maternity, paternity, adoption or childcare that falls outside of, or justifies a further reduction in outputs
- i) Other caring responsibilities (i.e. caring for an elderly or disabled relative)
- j) Gender reassignment
- k) Other circumstances relating to protected characteristics as listed in Table 1 of 'Guidance on Codes of Practice' or relating to activities protected by employment legislation.

151. In UOAs 1-6 the number of outputs may be reduced by up to 1 for submitted individuals who are junior clinical academics, in recognition of the constraints on time available to undertake research<sup>23</sup>. This reduction can be combined with other applicable circumstances. Individuals are encouraged to complete the relevant components of section 3 of the 'Staff Circumstance Disclosure' form.

152. Staff who have circumstances that they feel have had an exceptional effect on their ability to research productively and who do not have the minimum of one output are encouraged to declare this on the 'Staff Circumstance Disclosure' form. This may allow their inclusion within the submission by applying for a zero outputs reduction, as well as the recognition of the circumstance affecting them.

153. For the purposes of REF2021, an ECR is an individual who started their career as an independent researcher on or after 1st August 2016. This is the point at which they first held a "Research Only" or "Teaching & Research" contract which has 0.2 FTE or greater allocated for research (pro-rata for PT staff) and met the definition of an independent researcher<sup>24</sup>.

154. The reductions which UCLan may request for each disclosed circumstance is set out in Annex L of the Guidance on Submissions (2019/01). The process for declaring staff circumstances can be found in Appendix 7.

155. Where UCLan feels that a UOA can demonstrate a significant cumulative effect of staff circumstances on their overall productivity, the institution reserves the right to make a request to Research England for a unit level reduction in the size of the required output

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<sup>22</sup> As defined under Disability, Table 1 2019/03 Guidance on Codes of Practice

<sup>23</sup> A junior clinical academic is defined as a clinically qualified individual who is still completing either clinical training in medicine or dentistry but has not gained a Certificate of Completion of Training (CCT) by 31st July 2020 - 2019/01 Guidance on Submissions, paragraph 163

<sup>24</sup> 2019/01 Guidance on Submissions, Table L1

## E. Selection of Outputs

pool<sup>25</sup>. Reductions will be dealt with on a UOA level basis by the Equality and Diversity Sub-group for REF2021.

156. The REF Team may be required to disclose staff circumstances to Research England to demonstrate that criteria for a reduction in outputs (from the UOA pool) have been met. Submitted data will be kept confidential to the Research England REF team, the Equalities and Diversity Advisory Panel, and Main Panel Chairs. All these bodies are subject to confidentiality arrangements. All staff submitted to REF2021 will receive a data collection statement prior to the submission outlining UCLan obligations under GDPR legislation.
157. Information submitted to Research England as part of any application for an outputs reduction will only be used for that purpose. This information will not be published and will be destroyed by Research England following completion of the REF exercise in April 2022<sup>26</sup>.
158. Staff have the right to see what information is held about themselves as part of the disclosure process. An appointment can be made with the HR Manager assigned to staff circumstances to view this information at any point until the REF2021 exercise has ended (summer 2022). After this time, all information held regarding staff circumstances will be destroyed.

### E.9. Equality Impact Assessment – outputs selection

159. UCLan will complete an EIA focused on the output selection process prior to submission in March 2021<sup>27</sup>. This will compare the overall pool of peer-reviewed and selected outputs from which the submission will be drawn and highlight any disparity between groups of staff within it.
160. The primary consideration for outputs included in each UOA submission will be their quality. Where a UOA has sufficient outputs to allow for selection from amongst a set of outputs of equivalent quality, the Output Selection EIA will be referred to in order to identify where better representation of the outputs profile could be made.
161. The REF Steering Group will approve output lists based on Panel Advisory Board recommendations and evidence from external peer-review.
162. UCLan understands the limitations of research metrics in assessing the quality of individual outputs and recognises the E&D issues associated with citation metrics. As such, all reviewers (internal or external) will be instructed to assess outputs based only on their content.
163. Support, including training and guidance, will be provided to staff undertaking internal and external reviews in understanding unconscious bias. All reviews are expected to be

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<sup>25</sup> 2019/01 Guidance on Submissions, paragraph 173

<sup>26</sup> 2019/01 Guidance on Submissions, paragraph 196

<sup>27</sup> Revised from November 2020 due to Covid-19 pandemic.

## E. Selection of Outputs

conducted on the content of the output only. No weight should be given to the author's name within the scoring process.

164. More information regarding UCLan's EIA for the Code of Practice can be found in Appendix 5.

## Appendix 1

### Code of Practice communication plan

1. This plan outlines the process that UCLan will take for communicating its draft Code of Practice during April 2019 and beyond. The Code of Practice will be made available to all UCLan staff to give them the opportunity to provide comments. Feedback will be collated, reviewed and the institutional response shared with staff once the consultation has closed. The Code of Practice will be open to consultation between 1st April and 30th April 2019 inclusive.
2. The Code of Practice will be distributed to all staff by email on 1st April 2019. Staff will be invited to participate in the consultation via an online survey. The message will also contain details of the location of the draft Code of Practice on the REF Intranet Site and the timetable of consultation events.
3. Where appropriate, HR will distribute hard copies of the Code of Practice to staff identified by the Head of School as on long term absence from the institution no later than 10th April 2019.
4. Feedback on the draft Code of Practice can be submitted via an online survey. The link and access information will be communicated to staff alongside the draft document. This survey will comprise a series of questions on the draft Code of Practice with space for free-text commentary.
5. The REF Team will run a series of events and activities to communicate the Code of Practice to staff. These include open group events and one-to-one drop-in sessions. An online video describing the key components of the Code of Practice will also be available to staff and accessible via the REF Intranet Site.
6. Information about planned events will be communicated to staff via the internal weekly e-newsletter Round-Up and by email.
7. Table 3 shows the expected timeline of events and activities associated with the communication of the Code of Practice.
8. Depending on the outcomes of the consultation, the REF Team may initiate further discussions with focus groups to further refine the Code of Practice.
9. All submitted Codes of Practice will be reviewed by the Equality and Diversity Advisory Panel. Feedback is expected according to the deadlines shown in Table 2. It may be necessary to further consult with the staff body about the feedback received and proposed actions. Staff will be kept informed of progress and any requirements for further development of the Code of Practice.
10. Once UCLan's Code of Practice has been approved, this will be communicated to staff via Round-Up. This is expected to take place no later than December 2019.

## Appendix 1

Table 3. Activities for the communication of the REF2021 UCLan Code of Practice

Date	Event	Method	Audience
13/03/2019	Meeting with UCU		Union representatives only
w/c 25/03/2019	Communications issued to staff to notify them of the upcoming consultation.	Electronic	All staff
26/03/2019	REF Panel Advisory Board B	Face to face	UOA Leads for Panel B, Faculty Director for Research, discipline advisors
28/03/2019	Equality and Diversity Sub-group for REF2021	Face to Face	Relevant Professional Service, academic staff representation
<b>01/04/2019</b>	<b>Code of Practice consultation opens</b>		
01/04/2019	Consultation survey launched.	Electronic	All staff
01/04/2019	Communication announcing consultation and inviting staff to participate sent from Deputy Vice-Chancellor Academic	Electronic	All staff
01/04/2019	Communication to UOA Leads/Heads of School to encourage staff to respond to the consultation	Electronic	All staff
01/04/2019	REF Panel Advisory Board C	Face to face	UOA Leads for Panel C, Faculty Director for Research, discipline advisors
03/04/2019	REF Open Session	Open consultation event	All staff, emphasis on academic staff
03/04/2019	REF Panel Advisory Board A	Face to face	UOA Leads for Panel A, Faculty Director for Research, discipline advisors
03/04/2019	Announcement in Round-Up to all staff	Electronic	All staff
04/04/2019	Drop in Session	Individual drop-in	All staff
04/04/2019	REF Panel Advisory Board D	Face to face	UOA Leads for Panel D, Faculty Director for Research, discipline advisors
08/04/2019	Meeting with the Early Career Forum	Open consultation event	Members of the Early Career Forum Network
10/04/2019	Faculty of Clinical and Biomedical Sciences consultation	Faculty presentation and open discussion	All staff within Faculty, academic specifically
10/04/2019	Drop in Session	Individual drop-in	All staff
10/04/2019	Reminder to respond to consultation in Round-Up to all staff	Electronic	All staff
11/04/2019	Meeting of College of Professors and Readers	Open consultation event	Members of the Professoriate and Readers
15/04/2019	Drop in Session	Individual drop-in	All staff
17/04/2019	Reminder to respond to consultation in	Electronic	All staff

## Appendix 1

Date	Event	Method	Audience
	Round-Up to all staff		
23/04/2019	Faculty of Science and Technology consultation	Faculty presentation and open discussion	All staff within Faculty, academic specifically
24/04/2019	Faculty of Culture and Creative Industries consultation	Faculty presentation and open discussion	All staff within Faculty, academic specifically
24/04/2019	Reminder to respond to consultation in Round-Up to all staff	Electronic	All staff
24/04/2019	Lancashire School of Business and Enterprise	Faculty presentation and open discussion	All staff within Faculty, academic specifically
25/04/2019	Faculty of Health and Wellbeing consultation	Faculty presentation and open discussion	All staff within Faculty, academic specifically
26/04/2019	Drop in Session	Individual drop-in	All staff
29/04/2019	Drop in Session	Individual drop-in	All staff
<b>30/04/2019</b>	<b>Consultation survey closes</b>		
03/05/2019	Message of thanks and response from DVC	Electronic	All staff
15/05/2019	Communication of feedback and agreed changes to staff	Electronic	All staff, emphasis on academic staff
<b>07/06/2019</b>	<b>Submission of Code of Practice to Research England</b>		
08/06/2019	Final submitted version made available to staff	Intranet pages	All staff
<b>16/08/2019</b>	<b>Feedback on the Code of Practice from Research England</b>		
24/08/2019	Feedback and proposed actions communicated to staff	Electronic	All staff
24/08/2019	Second consultation with staff opens		Dependent upon feedback from EDAP
07/09/2019	Second consultation with staff closes		
20/09/2019	Resubmission of Code of Practice to Research England		
08/11/2019	Feedback on Code of Practice from Research England		
10/11/2019	Feedback and proposed actions communicated to staff	Electronic	
15/11/2019	Resubmission of Code of Practice to Research England		

Appendix 1

<b>Date</b>	<b>Event</b>	<b>Method</b>	<b>Audience</b>
29/11/2019	Code of Practice approved by Research England		Dependent upon feedback from EDAP
December 2019	Approved Code of Practice communicated to staff and place on internal/external research pages	Electronic	
December 2019	Research England publishes Code of Practice		



## Appendix 2

### REF Open Sessions timetable 2018-19

Event #	Title	Date
REF Open #1	ABC of REF	3rd July 2018
REF Open #2	REF2021: The Rules	8th August 2018
REF Open #3	UCLan & the REF	12th September 2018
REF Open #4	Impact in REF2021	2nd October 2018
REF Open #5	Annual Research Assessment 2018	16th November 2018
REF Open #6	REF2021 & Research Environment	4th December 2018
REF Open #7	Making great impact happen: personal perspectives	12th February 2019
REF Open #8	Fast Track Impact Workshop	21 <sup>st</sup> February 2019
REF Open #9	Consultation on the Code of Practice	3 <sup>rd</sup> April 2019
REF Open #10	2019 Impact Case Study Evaluation – <b>Panel A</b>	2 <sup>nd</sup> May 2019
	2019 Impact Case Study Evaluation – <b>Panel B</b>	10 <sup>th</sup> May 2019
	2019 Impact Case Study Evaluation – <b>Panel C</b>	17 <sup>th</sup> May 2019
	2019 Impact Case Study Evaluation – <b>Panel D</b>	31 <sup>st</sup> May 2019
REF Open #11	How can you support UCLan's REF2021 submission?	8 <sup>th</sup> July 2019
<b>REF Open #12</b>	Public Engagement and Impact	23rd September 2019
<b>REF Open #13</b>	ARA Update	28th October 2019
<b>REF Open #14</b>	Responsible Use of Research Metrics	27th November 2019
<b>REF Open #15</b>	Staff Circumstances	11th December 2019
<b>REF Open #16</b>	Impact in the Arts and Humanities	29th January 2020
<b>REF Open #17</b>	Make Your Research Count - CANCELLED	5th February 2020
<b>REF Open #18</b>	Appeals within the Code of Practice - drop in session	11th March 2020
<b>REF Open #19</b>	REF2021 Update	21st October 2020
<b>REF Open #20</b>	Responsible Metrics	4th November 2020

## Appendix 3

### Appointment to UCLan REF2021 roles and committees

#### Recruiting an individual to a committee or REF-related role

1. The following processes will be followed to recruit individuals into existing roles and newly created position on a REF-related committee to ensure that decisions are transparent, equitable and accountable. An example workflow can be seen in Figure 2 and anticipated uses of this process are listed below.
2. Where a UOA Lead vacancy arises, the outgoing UOA Lead must notify the Panel Advisory Board Chair as soon as possible of their intention to step down. The Chair will work with the existing UOA Lead and REF Managers to review the role requirements and to identify the relevant Schools to involve in recruiting a replacement. Representativeness of the Panel will be assessed using the University's REF2021 EIA.
3. Should additional members, or replacement members be needed for any other REF-related committee, the Chair will be required to identify the role requirements, relevant Schools/Services to approach and any under-representation to address. This information may be drawn from the University's REF2021.
4. The REF Managers will advertise the vacancy across relevant Schools using email, internal e-newsletters and the REF Intranet Site. Timescales for decisions, requirements of the role, selection criteria and application instructions will be communicated at this time. Expressions of Interest will be collated by the REF Managers.
5. Heads of School will be asked to provide comment on the suitability of the applicants and their workload to ensure adequate time and resource is available for each applicant before shortlisting takes place.
6. Shortlisting of candidates will be carried out by the Chair, a REF Manager and the Faculty Director for Research (FDR) for the relevant Schools. Where the FDR also sits as the Chair, an appropriate FDR/Chair will join the Panel.
7. Decisions will be based on the Expression of Interest received and Heads of School comments where applicable. Where it is not possible to reach a decision, the Chair may either request more information from the candidate(s) or confer with another Panel Advisory Board Chair/FDR.
8. All decisions will be fed back to the candidates within the timescale advertised. Should the successful candidate decline the position, the shortlist will be reviewed by the original Panel.
9. Candidates who wish to raise a complaint regarding the application process must confirm this in writing to the REF Managers and the University grievance process will be followed. Information on this policy can be found here:

<https://intranet.uclan.ac.uk/ou/hr/Pages/HW-Dignity-at-work.aspx>

### Process for establishing a REF related committee

10. The following process will be followed to recruit individuals to new REF-related committees.
11. The REF Steering Group will identify and agree the need for a new Group or Committee, including the remit and areas from which members should be recruited. Membership may be drawn in the following ways:
  - a. Where an existing committee has an interest in the remit of the new group, and to ensure flow of information between groups. See Sub-Process A: Recruitment from existing committees or from the staff body
  - b. To ensure appropriate representation of the staff body (e.g. across career stages), an open call to the staff body will be used. See Sub-Process A: Recruitment from existing committees or from the staff body.
  - c. Members may be recruited from a specific existing service or position, see Sub-Process B: Recruitment from a specific position or Service.
12. The Chair of the newly formed committee will be agreed by the REF Steering Group based on current experience and the needs of that group.

### Sub-Process A: Recruitment from existing committees or from the staff body

13. A call for Expressions of Interest will be communicated to:
  - a) Specific existing committee members
  - b) The wider staff body via Heads of School/UOA Leads or other appropriate channels
14. The REF Manager will ensure that calls for members are made available via the REF Internal Site and communicated in Round-up, the weekly institutional newsletter, where appropriate.
15. Expressions of Interest will be shortlisted by the Chair, a REF Manager and a member of the REF Steering Group most suitable to the committee's remit. Heads of School will also be asked to provide comment on applicant suitability and existing workload commitments. Decisions will be fed back to the candidates within the timescale advertised. Should the successful applicant not wish to take up the position the shortlist will be reviewed by the original Panel.
16. Candidates who wish to raise a complaint regarding the application process must confirm this in writing to the REF Managers and the University grievance process will be followed. Information on this policy can be found here:

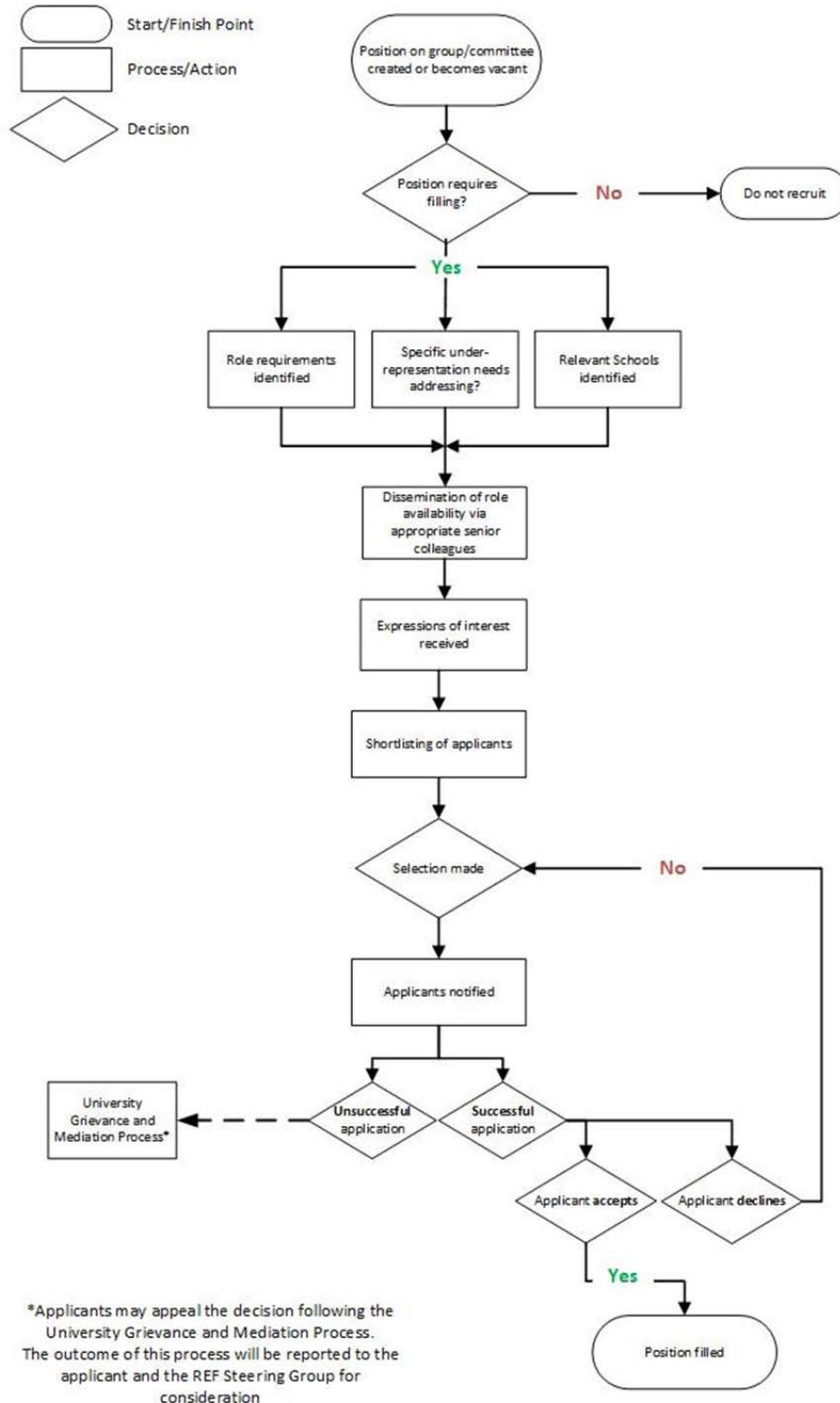
<https://intranet.uclan.ac.uk/ou/hr/Pages/HW-Dignity-at-work.aspx>

**Sub-Process B: Recruitment from a specific position or Service**

25. REF Managers will approach the Director/Head of the relevant service for recommendations. The Director/ Head of the Service will be required to discuss the role with the nominee, with respect to workload, career development and any other relevant factors.
26. The nominee will be asked to confirm their willingness to join the new committee to the REF Managers.

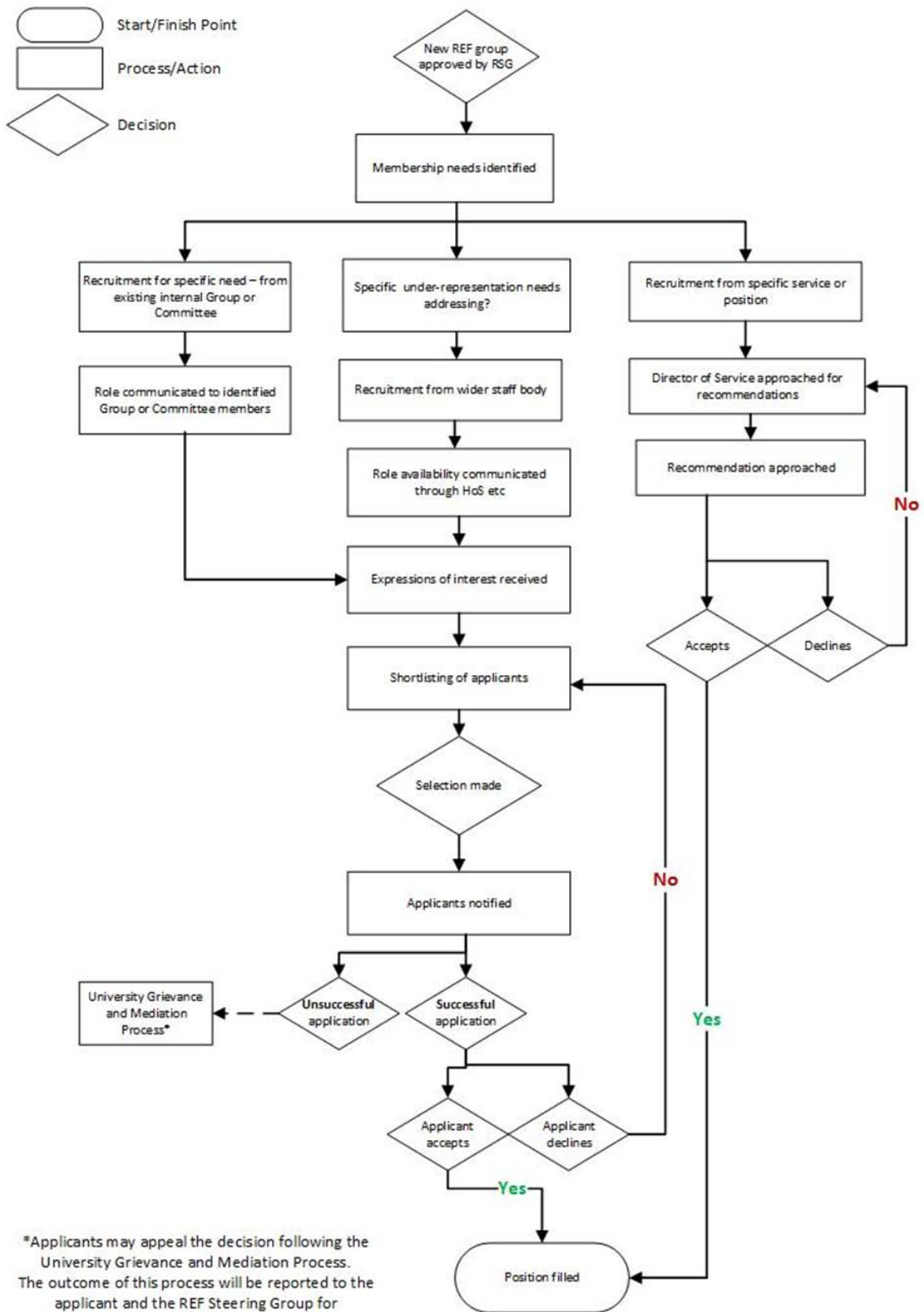
# Appendix 3

Figure 2. Process for recruiting an individual to a Group, Committee or REF related role



# Appendix 3

Figure 3. Process for establishing a REF related Group or Committee



## Appendix 4

### Terms of Reference for UCLan REF Steering Group

Title	REF Steering Group
Reports to	<p>The REF Steering Group will be chaired by the DVC (Academic) or their nominee.</p> <p>Minutes of the REF Steering Group will be received by the University Research and Innovation Committee.</p>
Purpose	<p>The REF Steering Group will focus on delivering the optimum results for the University within its remit for REF2021.</p> <p>The REF Steering Group will:</p> <ul style="list-style-type: none"> <li>• Agree targets and resources to support the development of the UOAs</li> <li>• Review the progress of the UOAs against targets</li> <li>• Review and respond to information released by Research England for REF2021</li> </ul>
<b>Terms of Reference</b>	
	<p>The REF Steering Group will:</p> <ul style="list-style-type: none"> <li>• Determine the final composition of the submission from the University to REF2021</li> <li>• Advise the Senior Executive Team (SET) on the implications, challenges and opportunities arising from REF2021 proposals</li> <li>• Ensure that appropriate institutional action is undertaken to support research productivity, resource allocation, grant capture and research student progression, in line with REF proposals and in the context of the University's Research Strategy</li> <li>• Develop a broad framework within which the University can develop its own "shadow" metrics in order to assist in identifying priorities in UCLan research policy</li> </ul>
Frequency of Meeting	<p>Meeting Arrangements</p> <p>Meetings will be quarterly initially, with frequency depending on items to be discussed.</p>



## Appendix 4

### Membership of UCLan REF Steering Group

Colleagues in italics have since left UCLan.

Name	Title	Role within committee
Dr Lynne Livesey	DVC - Chair	Chair. Senior colleague responsible for the research portfolio
Professor StJohn Crean	PVC Research and Enterprise	Deputy Chair. Responsible for research portfolio.
Professor Ian Allison	Exec Dean (S&T)	Faculty level responsibility for research
<i>Professor Nigel Harrison</i>	<i>Exec Dean (H&amp;W)</i>	<i>Faculty level responsibility for research until January 2020</i>
Jane Anthony	Exec Dean (C&CI)	Faculty level responsibility for research
Professor Cathy Jackson	Exec Dean (CBS)	Faculty level responsibility for research
Professor Chris Pyke	Exec Dean (LSBE)	Faculty level responsibility for research
Janette Grey	Exec Dean (Health & Care)	Faculty level responsibility for research from May 2020
Robin Richardson	Exec Dean (Allied Health & Wellbeing)	Faculty level responsibility for research from May 2020
Professor Umesh Chauhan	Professor in Primary Care Medicine	Advisor for clinical and medical staff
<i>Professor Stuart Hampton-Reeves</i>	<i>Faculty Director of Research (FDR) (C&amp;CI)</i>	<i>Faculty level responsibility for research until March 2020</i>
Professor Erik Knudsen	Faculty Director of Research (C&CI)	Advisor for practice-based arts and FDR from March 2020
Professor Dame Caroline Watkins	Faculty Director of Research (H&C)	Faculty level responsibility for research Former REF sub-panel member
Professor Linden Ball	Faculty Director of Research (S&T)	Faculty level responsibility for research
Professor Andrea Manfrin	Faculty Director of Research (CBS)	Faculty level responsibility for research from July 2020
Dr Mitch Larson	Deputy LSBE Director of Research	Faculty level responsibility for research
Professor Hussein Abdou	Director of Research (B&E)	Faculty level responsibility for research
Professor Jim Richards	Faculty Director of Research (AH&W)	Faculty level responsibility for research from August 2020
Dr Andrea Ferguson	Head of the Graduate Research School	Professional Service responsible for PGR students
Steve McHugh	Finance Representative	Professional Service representative
Ruth Connor	Executive Director of Strategic Marketing	Professional Service representative
Julie Orritt	Academic Registrar	Professional Service representative
Jane Hughes	Communication & Engagement	Professional Service representative

## Appendix 4

Name	Title	Role within committee
Professor Pradeep Passi	Director of Equality Diversity and Inclusion	Professional Service representative – Service with oversight of EDI at UCLan
Professor Sue Smith	Interim Director of Innovation and Enterprise	Professional Service representative until September 2020
Professor Jane Ireland	UOA 4 Psychology Lead	Previous REF Panel member
Professor Nicky Stanley	UOA 20 Social Work and Social Policy lead	Previous REF Panel member
James Crooks	LIS Representative	Professional Service representative
Linda Tompkins	Equality, Diversity and Inclusion Manager	E&D Representative
Gill Bruce	HR Data Specialist	Professional Service representative – responsible for REF staff data
Deana Ireland	HR Representative	Professional Service representative
Dr Alexis Holden	Director of Research Services	Professional Service representative – Service responsible for REF submission
<i>Dr Andrew Parker</i>	<i>REF Project Manager, Research Services</i>	<i>Responsible for project delivery until May 2020</i>
Dr Claire Tinker-Mill	REF Project Manager, Research Services	Responsible for project delivery
Dr Allison McCaig	Senior REF Project Manager, Research Services	Responsible for project delivery
Dr Jonathan Westaway	Impact Manager, Research Services	Responsible for project delivery
Karen Wickstead	Research Services	Secretariat support

The REF Steering Group is a **decision**-making group.

Approved February 2018.

## Appendix 4

### Terms of Reference of UCLan REF2021 Equality and Diversity Sub-Group

Title	Equality and Diversity Sub-group
Reports to	REF Steering Group And informs the Equality and Diversity Executive Group
Purpose	To provide the REF Steering Group with Equality and Diversity advice to inform the development and implementation of the University's REF Code of Practice and ensure the REF selection process is not having a differential impact on particular groups of university staff.
Terms of Reference	
	<ul style="list-style-type: none"> <li>• To develop the University's REF Code of Practice for approval by the REF Steering Group.</li> <li>• To perform Equality Impact Assessments for the REF process.</li> <li>• To implement the University's agreed REF Code of Practice</li> <li>• To ensure that all staff involved in the REF selection process receive specific Equality and Diversity training</li> <li>• To consider all cases of individual and complex staff circumstances and recommend the appropriate action, seeking external advice from the Equality Challenge Unit/Advance HE as appropriate</li> <li>• To provide information on UCLan Equality and Diversity achievements and profile to inform the development of the REF Environment Template</li> </ul>
Frequency of Meeting	Approximately every two months, or more frequently as required.

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### Membership of UCLan REF2021 Equality and Diversity Sub-Group

Colleagues in italics have since left UCLan.

Name	Title	Role within committee
Dr Lynne Livesey	DVC	Chair. Senior colleague responsible for the research portfolio
Professor StJohn Crean	PVC Research and Enterprise	Deputy Chair. Responsible for research portfolio.
Linda Tompkins	Equality, Diversity and Inclusion Manager	E&D Representative and advisor
Rebecca Hewitson	HR Representative	Previously responsible for the staff circumstances and appeals process, REF2014.
Dr Alexis Holden	Director of Research Services	Professional Service representative – Service responsible for REF submission
Professor Pradeep Passi	Director of Equality Diversity and Inclusion	Professional Service representative – Service with oversight of EDI at UCLan
<i>Dr Francis Donbesuur</i>	<i>Lecturer – School of Business &amp; Enterprise</i>	<i>Academic representative until August 2020</i>
Professor Hussein Abdou	Director of Research	Senior Academic representative
Jennifer Barrett	Senior Lecturer – School of Arts and Media	Academic representative
Tina McKee	Senior Lecturer – Law, Policing & Social Sciences	Academic representative
Sarla Gandhi	Principal Lecturer – School of Nursing	Academic representative
Andrew Grice	Associate Lecturer – School of Language and Global Studies	Academic representative
Dr Adebayo Oladapo	Lecturer – School of Engineering	Academic representative
Dr Claire Tinker-Mill	REF Project Manager	Project delivery
Karen Wickstead	Research Services	Secretariat

This group is **advisory** and reports to the REF Steering Group.

Approved May 2018, membership expanded January 2019

## Terms of Reference for UCLan Panel Advisory Board

Title	Panel Advisory Board
Reports to	REF Steering Group as appropriate.
Purpose	This is an Advisory Board that will report into the REF Steering Group and receive information and guidance from the appropriate Unit of Assessment (UOA) Leads for that specific Advisory Board.
<b>Terms of Reference</b>	
	<p>The Advisory Board will focus on delivering the optimum results for those UOAs within its remit for REF2021.</p> <p>With respect to the final submission to REF2021 in November 2020, the Advisory Board will:</p> <ul style="list-style-type: none"> <li>• Determine and agree targets to support the development of that Advisory Board's UOAs</li> <li>• Review the progress of the UOAs against targets</li> <li>• Review and respond to information released by Research England relating to REF2021</li> <li>• Identify resources required to support the work of the UOAs</li> <li>• Make recommendations to the REF Steering Group</li> </ul>
Frequency of Meeting	Meetings will be held every 2-3 months.

The Panel Advisory Boards are **advisory**.

## Appendix 4

### Membership of Advisory Board – Panel A

Name	Title	Role within committee
Professor StJohn Crean	PVC Research and Enterprise	Chair. Responsible for research portfolio.
Professor Aidan Worsley	Professor of Social Work	UOA 3 Lead from November 2019
Professor Umesh Chauhan	Professor of Primary Care Medicine	Discipline advisor for UOA 3
Professor Dame Caroline Watkins	Faculty Directory for Research and Innovation, Faculty of Health and Wellbeing	UOA 3 Lead until November 2019 Discipline advisor for UOA 3
Professor Carol Wallace	Professor of Food Safety Management	Discipline advisor for UOA 3
Professor Colin Davidson	Head of School, Pharmacy and Biomedical Sciences	Discipline advisor for UOA 3
Dr Malcom Edwards	Academic Lead in Restorative Dentistry	Discipline advisor for UOA 3
Professor Sub Reddy	Professor of Biomaterials and Analytical Chemistry	Discipline advisor for UOA 3
Professor Rob Forbes	Professor, Pharmacy and Biomedical Sciences	Discipline advisor for UOA 3
Professor Jane Ireland	Professor of Forensic Psychology	UOA 4 Lead
Professor Linden Ball	Dean of School of Psychology	Discipline advisor for UOA 4 Faculty Director for Research, Faculty of Science and Technology
Dr Kevin Butt	Reader in Ecology	UOA 5 Lead
Professor Simon Liversedge	Professor of Cognitive Psychology	Environment Working Group Panel A member
Dr Kalypso Iordanou	Associate Professor in Psychology, School of Sciences	UCLan Cyprus representative
Dr Alexis Holden	Director of Research Services	Professional Service responsible for delivering the REF project
Dr Jonathan Westaway	Impact Manager, Research Services	Responsible for supporting Impact at UCLan
Dr Allison McCaig	Senior REF Manager, Research Services	Project delivery
Karen Wickstead	Research Services	Secretariat

## Appendix 4

### Membership of Advisory Board – Panel B

Name	Title	Role within committee
Professor Linden Ball	Dean of School of Psychology, Faculty Director for Research, Faculty of Science and Technology	Chair
Professor Silvia Dalla	Reader in Solar Physics	UOA 9 Lead
Professor Robert Walsh	Professor in Solar Physics	School of Physical Sciences and Computing Research Lead
Dr Sylvy Anscombe	Lecturer in Mathematics	UOA 10 Lead Environment Working Group Panel B member
Professor Janet Read	Professor of Child Computing Interaction	UOA 11 Lead
Professor Ian Sherrington	Professor of Tribotechnology	UOA 12 Lead
Professor Richard Hull	Professor of Chemistry and Fire Science	Discipline advisor for UOA 12
Professor Irene Polycarpou	Head of School of Sciences	UCLan Cyprus representative
Dr Alexis Holden	Director of Research Services	Professional Service responsible for delivering the REF project
Dr Jonathan Westaway	Impact Manager, Research Services	Responsible for supporting Impact at UCLan
Dr Allison McCaig	Senior REF Manager, Research Services	Project delivery
Karen Wickstead	Research Services	Secretariat



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### Membership of Advisory Board – Panel C

Name	Title	Role within committee
Professor Chris Pyke	Exec Dean, Lancashire School of Business and Enterprise	Chair
Dr Champika Liyanage	Senior Lecturer in Quantity Surveying	UOA 13 Lead
Dr Vicki Cummings	Reader in Archaeology	UOA 15 Lead
Professor Philip Whyman	Professor of Economics	UOA 17 Co-Lead
Professor Andrei Kuznetsov	Professor of International Corporate Social Responsibility	UOA 17 Co-Lead
Professor Richard Sharpley	Professor of Tourism and Development	UOA 17 Co-Lead
Professor Hussein Abdou	Faculty Director for Research, Lancashire School of Business and Enterprise	Discipline advisor for UOA 17
Dr Mitch Larson	Senior Lecturer in Business	Discipline advisor for UOA 17
Professor Helen Codd	Professor of Law and Social Justice	UOA 18 Lead
Professor Nicky Stanley	Professor of Social Work	UOA 20 Lead
Dr Christine Barter	Reader in Young People and Violence	Discipline advisor for UOA 20
Dr Richard Davies	Higher Education Research and Development Lead	UOA 23 Lead
Professor Candice Satchwell	Professor of Education and Literacies	Discipline advisor for UOA 23
Dr Sarah Hobbs	Reader in Equine and Human Biomechanics	UOA 24 Co-Lead
Professor John Hughson	Professor in Sport and Cultural Studies	UOA 24 Co-Lead
Dr Alistair Roy	Reader in Psychosocial Research	Environment Working Group Panel C member
Professor Stephanie Laulhe-Shaeolou	Head of School of Law	UCLan Cyprus representative
Dr Alexis Holden	Director of Research Services	Professional Service responsible for delivering the REF project
Dr Jonathan Westaway	Impact Manager, Research Services	Responsible for supporting Impact at UCLan
<i>Dr Andrew Parker</i>	<i>REF Manager, Research Services</i>	<i>Project delivery until May 2020</i>
Dr Claire Tinker-Mill	REF Manager, Research Services	Project delivery from May 2020
Karen Wickstead	Research Services	Secretariat

## Appendix 4

### Membership of Advisory Board – Panel D

Colleagues in italics have since left UCLan.

<b>Name</b>	<b>Title</b>	<b>Role within committee</b>
<i>Professor Stuart Hampton-Reeves</i>	<i>Faculty Director for Research, Faculty of Culture and Creative Industries</i>	<i>Chair until March 2020</i>
Professor Erik Knudsen	<i>Faculty Director for Research, Faculty of Culture and Creative Industries</i>	<i>Chair from March 2020</i> Practice based research advisor
Dr Niki Alsford	Reader in Asian Pacific Studies	UOA 25 Lead
<i>Professor Michael Thomas</i>	<i>Professor of Higher Education and Online Learning</i>	<i>UOA 26 Lead until December 2019</i> <i>Environment Working Group Panel D member until December 2019</i>
Dr Nicholas Palfreyman	Research Fellow in Sociolinguistics	UOA 26 Lead from January 2020
Professor Will Kaufman	Professor of American Literature and Culture	UOA 27 Lead
Professor Robert Poole	Professor of History	UOA 28 Lead
Professor Tim Thornton	Professor of Philosophy and Mental Health	UOA 30 Lead
Adam Evans	Reader in Research and Innovation	UOA 32 Lead
Professor Ewa Mazierska	Professor of Contemporary Cinema	UOA 33 Lead
Dr Les Gillon	Senior Lecturer, School of Arts and Media	UOA 33 Co-Lead
Dr George Ogola	Senior Lecturer, School of Arts and Media	UOA 34 Lead
Dr Kalypso Iordanou	Head of School of Sciences	UCLan Cyprus representative
Dr Alexis Holden	Director of Research Services	Professional Service responsible for delivering the REF project
Dr Jonathan Westaway	Impact Manager, Research Services	Responsible for supporting Impact at UCLan
Dr Claire Tinker-Mill	REF Manager, Research Services	Project delivery
Karen Wickstead	Research Services	Secretariat

## Terms of Reference for the Environment Working Group

Title	Environment Working Group
Reports to	REF Steering Group Informs the Equality and Diversity Sub-Group for REF2021 as appropriate.
Purpose	The Group will ensure that UCLan's research environment is the best that it can be (for REF2021 and beyond), and that UOA Leads have consistent and accurate information to support their drafting of environment statements.
Terms of Reference	
	<p>Key responsibilities:</p> <ul style="list-style-type: none"> <li>• To determine the programme of work required to map the current position of environment themes institutionally and across all UOAs.</li> <li>• To develop and monitor implementation of an Environment Work Plan, calling on specialist support from other services/areas as appropriate for specific work packages.</li> <li>• To identify gaps and needs for information/data and to identify processes, systems and data collection methods which should be sustained beyond REF2021 and embedded as the norm for research at UCLan.</li> <li>• To recommend the approach for allocating REF4 datasets across UOAs.</li> <li>• To contribute to the development of the UCLan Code of Practice and to thereafter ensure that all environment workstreams adhere to the principles stated in the Code of Practice.</li> <li>• To consider guidance and advice from the Forum for Responsible Metrics on the inclusion and presentation of indicators in REF2021 environment statements and to ensure a responsible metrics approach to indicator use is adopted.</li> <li>• To make recommendations on the differentiation between the content of institutional and UOA statements, and to ensure consistency and quality of UOA statements by ensuring knowledge and best practice is shared amongst UOA Leads.</li> <li>• To plan effective and regular communication and collaboration with the wider group of REF stakeholders, including UOA Leads and REF main Panel groups, and the wider staff body.</li> </ul>
Frequency of Meeting	It is anticipated that the Group will meet every two months during 2019 and 2020, with a review following the REF submission.

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### Membership of Environment Working Group

Colleagues in italics have left UCLan.

Name	Title	Role within committee
Professor StJohn Crean	PVC Research and Enterprise	Chair Responsibility for the research portfolio.
Dr Mags Adams	Institute of Citizenship, Society and Change	Panel C representative
Dr Sylvie Anscombe	Lecturer, School of Natural Sciences	Panel B representative
Dr Sarah Dennison	School of Pharmacy and Biomedical Sciences	Panel A representative Research Only representative
Dr Antonios Kelarakis	Reader in Polymers and Nanomaterials	Panel B representative
Professor Simon Liversedge	Professor of Cognitive Psychology	Panel A representative
Dr Cameron McEwan	Lecturer in Architecture	Panel D representative Early Career Researcher representative
<i>Professor Michael Thomas</i>	<i>Professor of Higher Education and Online Learning</i>	<i>Panel D representative until December 2019</i>
Les Gillon	Senior Lecturer, School of Arts and Media	Panel D representative from January 2020
Professor Alastair Roy	Professor of Social Research	Panel C representative
<i>Dr Timothy Snape</i>	<i>Principal Lecturer in Pharmaceutics/Pharmaceutical Chemistry</i>	<i>Panel A representative until July 2020</i>
Dr Jan Mei Soon	Lecturer Food Safety Management Systems	Panel C representative
Dr Andrea Ferguson	Graduate Research School	Professional Service responsible for student data
Dr Alexis Holden	Director of Research Services	Professional Service responsible for delivering the REF project
Dr Allison McCaig	Senior REF Manager, Research Services	Project delivery
Karen Wickstead	Research Services	Secretariat

This group is **advisory** and reports to the REF Steering Group.

Approved January 2019

## Terms of Reference for Technical Data Group

Title	Technical Data Group
<b>Reports to</b>	Environment Working Group Informs the Equality and Diversity Sub-Group for REF2021 and REF Steering Group as appropriate.
<b>Purpose</b>	The Group will ensure that UCLan's REF2021 submission is the best that it can be, that UOA Leads have consistent and accurate data to support all area of their REF2021 submissions, and that opportunities for improving systems and data for future REF submissions and the research endeavour more generally are explored.
Terms of Reference	
	<p>Key responsibilities:</p> <ul style="list-style-type: none"> <li>• To support UOA Leads, REF Team and the Environment Working Group through identification and provision of appropriate datasets or indicators</li> <li>• Where appropriate to provide routine reports to support dynamic modelling of the REF2021 submission</li> <li>• To support data aspects of the Environment Work Plan, including REF4 environment datasets and indicators that can be used as evidence within the REF5 narrative statements</li> <li>• To work with the REF Team to ensure that HESA staff, finance and student returns are accurate and optimised with respect to the REF2021 submission</li> <li>• To support fair and transparent allocation of REF environment metrics (namely income and doctoral completions) to UOAs through provision of data that will enable mapping of HESA data to UOAs</li> <li>• To identify gaps and needs for information/data and to identify processes, systems and data collection methods which should be sustained beyond REF2021 and embedded as the norm for research at UCLan</li> <li>• To consider guidance and advice from the Forum for Responsible Metrics on the inclusion and presentation of indicators in REF2021 environment statements and to ensure a responsible metrics approach to indicator use is adopted</li> </ul>
<b>Frequency of Meeting</b>	It is anticipated that the Group will meet every two months during 2019 and 2020, with a review following the REF

## Appendix 4

	submission. The Chair may call additional interim or emergency meetings as may be required.
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### Membership of the REF2021 Technical Data Group

Colleagues in italics have left UCLan.

<b>Name</b>	<b>Title</b>	<b>Role within committee</b>
Dr Alexis Holden	Director of Research Services	Chair Professional Service responsible for delivery of REF2021 project
David Bird	Senior Information Analyst, Planning and Insight	Link to student HESA return
Kevin Boles	Head of Business Development, Innovation and Enterprise	Advice on and provision of information on activity relating to business, enterprise and innovation.
Gill Bruce	Human Resources Manager, HR	Link to HR data and staff HESA return
Gerry Cattnach	Financial Controller, Finance	Link to financial data and finance HESA return.
Gillian Chew	Grants & Funding Manager, Research Services	Link to data and information on external funding for research, and UCLan Knowledge database
<i>Fiona Mair</i>	<i>Principal Officer – Research Degrees, Student Registry</i>	<i>Advice on and provision of information and data relating to postgraduate research students and their supervisors. Until October 2019.</i>
Heidi Elliot Clare Altham	Deputy Academic Registrar Senior Administrative Officer, Research Student Registry	Advice on and provision of information and data relating to postgraduate research students and their supervisors.
Andrea Ferguson	Head of the Graduate Research School	Advice on and provision of information and data relating to postgraduate research students and their supervisors
Peter Leather	Head of IP & Commercialisation, Innovation and Enterprise	Advice on and provision of information relating to intellectual property.
John Martland	Head of IT Service Delivery, LIS	Advice on research systems improvement.
Dr Allison McCaig	REF Manager, Research Services	REF Project delivery
Andrea Oxley	HR MIS Administrator, HR	Link to HR data and staff HESA return
Annette Ramsden	Scholarly Communications Manager, Research Services	Open Access and repository support
<i>Sally Turnbull</i>	<i>Head of Planning and Insight</i>	<i>Advice and provision of university metrics and information,</i>

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		<i>link to student HESA return. Until February 2020.</i>
Steve French		Responsible for Student HESA return, from January 2020
Karen Wickstead	Research Services	Secretariat

This group is **advisory**.

Approved February 2019.



## Appendix 5

### REF Code of Practice Equality Impact Assessment

#### A. Clarify the aims and objectives of your policy or practice Aims and objectives

1. The University's Code of Practice outlines the institution's approach to REF2021 and the processes the University will take in preparing its submission. Research England expects institutions to be fair to staff and demonstrate the principles of equity, equality and transparency throughout preparations and the submission. The Code of Practice covers processes and criteria for defining Significant Responsibility for Research and research independence (and thus staff inclusion/exclusion from submission), output selection and the voluntary declaration of circumstances which may have affected an individual's productivity during the REF Census Period.
2. The University must demonstrate through Equality Impact Assessment (EIA) throughout its REF2021 preparations that it has considered any negative or positive impacts arising from the processes and criteria outlined in the Code of Practice, and that it does not unlawfully discriminate against individuals because of an actual or perceived association with one or more of the following characteristics: age, disability (or association with someone with a disability), gender, gender identity, marriage and civil partnership, pregnancy/maternity or paternity, race, religion or belief, or sexual orientation.
3. This EIA will therefore directly inform the project plan for REF2021; the Research Strategy 2018-2020 and the Equality, Diversity, Inclusion and Communities Strategy 2016-2020; institutional and School applications and action plans for Athena SWAN; and institutional policies.
4. This EIA is a "living" document which will be reviewed and refreshed throughout the University's REF2021 preparations. The most recent iteration will be made available via the REF internal pages to all staff to review and comment upon at any time.
5. In REF2014, UCLan submitted 283 staff out of an eligible<sup>28</sup> academic population of 1,279. An EIA was performed following submission which raised the following points:
  - a) Disclosure rates varied across characteristics and were lower for ethnicity and disability.
  - b) There was a small difference between the proportion of female staff submitted (43.8%) compared to the overall academic profile (46.1%)

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<sup>28</sup> The eligible staff population was considered to be staff on  $\geq 0.2$ FTE greater Teaching and Research Only contracts.

- c) Researchers aged 31-35 were better represented (14.8%) within the submission than within the overall academic staff profile (10.1%).
- d) While a larger proportion of female staff aged  $\leq 35$  was submitted compared to male staff of the same age, a larger proportion of male staff in older age groups was submitted. This is consistent with national findings for REF2014.
- e) Only a small proportion of submitted staff declared a disability, with figures broadly comparable to the overall staff profile when considering the small sample sizes (2.0% versus 3.6%, respectively).

## B. How could the processes and criteria outlined in the Code of Practice impact on people?

- 6. Inclusion within the University's REF2021 submission is a sensitive topic for some staff members and can be a source of anxiety. The submission will showcase the best of research conducted by individuals throughout the REF2021 Census Period and individuals can only be submitted if they meet the agreed UCLan definition of Significant Responsibility for Research (SRfR). As a result, not all staff will be able to contribute directly to the outputs and impact case studies submitted. However, it is recognised that all staff contribute in some way to creation of a vital and sustainable research environment. All individuals will benefit from the University returning the strongest possible submission through the securing of Quality Related (QR) income, which is directly related to REF performance.
- 7. It is anticipated that REF preparations may impact upon people or generate disparity within the submission at the following points:
  - a) Identification of staff with SRfR
  - b) Identification of staff with research independence
  - c) Appeals related to a) and b)
  - d) The selection of outputs for the final submission
  - e) Willingness to disclose circumstances affecting productivity
  - f) Committee membership and recruitment
  - g) Ability to respond to the Code of Practice consultation

### B.1. Significant Responsibility for Research

- 8. UCLan's definition of SRfR is associated with the institutional workload model and appraisal process, specifically through the allocation of time to do research and the identification of research objectives, respectively.
- 9. Some staff may not feel able to effectively vocalise their career or workload aspirations or any wish to be included in REF2021 during their appraisal.

10. UCLan will ensure that all staff holding appraisals have received relevant training to avoid introduction of unconscious bias and to support all staff fairly.
11. Part-time staff may find it more challenging to produce research and are encouraged to discuss workload issues with their line manager during appraisals. UCLan will not select staff for submission based on the quantity or quality of their outputs. Analysis of output selection will assess whether part-time staff are proportionately represented within the output pool.
12. Staff with a disability or illness that has reduced their productivity over the REF2021 Census Period may be disproportionately affected by the requirements of the SRfR definition and in this instance are encouraged to speak to HR and/or their line manager about how the University can support them to be included within its REF2021 submission.
13. Similarly, staff with caring responsibilities are also encouraged to speak to HR and/or their line manager to identify ways the University can support them.
14. Detailed analysis of each of these areas will be performed, taking into consideration the feedback received during the Code of Practice consultation.

## B.2. Identification of staff with Research Independence

15. UCLan can only submit independent researchers to REF2021. For REF purposes an independent researcher is an individual who undertakes self-directed research, rather than carrying out another's research program.
16. Staff on Teaching and Research contracts are assumed to be independent researchers unless they are undertaking doctoral study. Most Research Only staff at UCLan are Research Assistants (or Research Associates). This group, defined as academic staff whose primary employment function is 'Research Only' and who are employed to carry out another individual's research program<sup>29</sup>, are not considered to be independent. An individual is not considered to be an independent researcher on the basis that they are named on one or more research outputs.
17. Accurate data on the pool of Research Only staff who must be submitted to REF2021 as independent researchers is not yet available at this time. Due to the individual nature of independence in a Research Only contract, decisions on independence must be made on a case by case basis
18. Staff on Research Only contracts will be required to self-declare and evidence their independence through completion of a proforma and subsequent review. This process is expected to commence in Summer 2019.

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<sup>29</sup> 2019/01 Guidance on Submissions, paragraph 130

19. Until then a proxy pool of staff on  $\geq 0.2$  FTE Research Only contracts or greater will be used for data analysis. This will also be reviewed to identify where targeted support and encouragement for self-declaration is needed.
20. The REF Team will work with the Early Career Forum to disseminate information about this process and encourage involvement within the REF process. Staff within the Professoriate will also be encouraged to mentor and support independent Research Only contract staff to complete the proforma and evidence their independence.

### B.3. The selection of outputs for the final submission

21. UCLan must nominally attribute a minimum of 1 output and a maximum of 5 against each individual submitted to REF2021, unless exceptional circumstances apply. Wherever possible all outputs submitted will have undergone a process of internal and external peer review to assign a REF quality rating, with robust internal review being sufficient from Autumn 2020 onwards. In line with the current funding model, it is anticipated that the University will only receive QR income for work rated 3\* and above, and as such will maximise this within the submission.
22. The primary consideration, therefore, for outputs included in each UOA submission will be their quality. Where a UOA has sufficient outputs to allow for selection from amongst a set of outputs of equivalent quality, the Output Selection EIA will be referred to in order to identify where and how representation within the outputs profile could be achieved.
23. The REF Steering Group will approve output lists based on Panel Advisory Board recommendations and evidence from external peer-review.
24. UCLan understands the limitations of research metrics in assessing the quality of individual outputs and recognises the E&D issues associated with citation metrics. As such, all reviewers (internal or external) will assess outputs based only on their content.
25. Following submission, the REF Team will inform all submitted individuals of the submitted outputs on which they are a co-author. No indication will be given of which outputs were nominally attributed to each individual.
26. No REF2021 staff lists will be published by Research England.
27. UCLan will complete an EIA focused on the output selection process prior to submission in March 2021. This will compare the overall pool of peer-reviewed outputs with and the set of selected outputs and highlight any disparity across groups of staff within the proposed submission.

#### B.4. Willingness to disclose circumstances affecting productivity

28. The circumstances process is designed to recognise and capture where there have been constraints on an individual's productivity during the REF Census Period. All staff are encouraged to complete the relevant pro forma and declare any applicable circumstances.
29. This process is voluntary and all declarations will be treated as confidential. All decisions relating to the outcome of declarations will be shared with the individual.
30. The University must create and maintain an environment where individuals feel safe and comfortable to disclose personal or sensitive information and have confidence in the integrity of the circumstance process. Individuals must be made aware that there is no detrimental effect of either declaring or not declaring their circumstances and must not feel pressured to do so, therefore communications should remain proportionate to the need.
31. Individuals may wish to declare their circumstances in order to support their discipline area (via a reduction in the number of outputs submitted), to receive acknowledgement of their situation or, if requested, to be provided with an opportunity to discuss the circumstances with HR in order to receive support and/or appropriate adjustments. HR will follow up with all individuals who wish to discuss their disclosure further.

#### B.5. Committee membership and recruitment

32. From June 2019, all REF related roles and committees/working groups will follow a process designed to encourage fair and balanced representation.
33. Positions will be filled using expressions of interest, with under representation addressed via specific calls or targeted approaches.

#### C. Analysis of the evidence gathered regarding the protected characteristics of the staff affected directly/indirectly by this work.

34. During the iterative development of UCLan's SRfR definition, HR and the REF Managers assessed the impact of potential SRfR scenarios on groups with protected characteristics using data declared on UCLan's HR system (iTrent). No individual-level data was provided to the REF Managers. Data was compared to equivalent measures from the REF2014 submission, the Category A eligible<sup>30</sup> academic staff body the cumulative Annual Research Assessment staff population which represents the provisional Category A submitted population (Table 4).

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<sup>30</sup> The Category A eligible staff population was considered to be staff on  $\geq 0.2$ FTE greater Teaching and Research, and Research Only contracts. This was 1437 at the time of data collection.

35. The following characteristics were considered: age, gender, orientation, religion, disability and race. Disclosure rates vary across the characteristics, from <3% non-disclosure for race to approximately 30% for sexual orientation or religion. These characteristics are covered by the Equality Act 2010 and UCLan's public sector duty within this legislation.
36. All proposed SRfR definitions were analysed and followed broadly the same trends that are observed in the Category A eligible staff population. No scenario saw the total loss of any particular group of staff based on a particular characteristic, although there were some clear trends within the data:
- a) A higher proportion of Category A submitted male staff were found in all scenarios, compared to a female dominated eligible pool of staff. In all scenarios there was a disparity between females (45-50%) and males (50-55%), similar though improving slightly on the trend observed in REF2014 (44% female, 56% male) The Category A eligible population overall remains more balanced (51% female, 49% male).
  - b) All scenarios included a lower proportion of staff below the age of 30 than are present within the Category A eligible staff population, noting that this population currently includes many Research Only staff who are unlikely to be eligible when research independence is assessed. Conversely, the proportion of those aged 61 and above is higher than average for the Category A eligible population.
  - c) Most scenarios had some effect on the representation of religious backgrounds when compared to the eligible population, most notably for those identifying as Christian (36% within the academic body compared to 17-22% in the proposed SRfR definition. The categories of "not known" (18-22%) and "prefer not to say" (25-27%) were elevated within the scenario populations in comparison to the academic population (13% and 20%, respectively).
37. Analysis showed no statistically significant differences between the submitted and eligible population datasets, except where gender or religion are considered. Further work will be carried out to assess any barriers to inclusion for female or Christian staff in the REF submission and to identify how they can be supported to be included within the REF2021 submission.
38. Data on part-time staff will be compared to the overall submitted pool and academic staff body to understand and reflect upon their representation within the submission.

### C.1. Further analysis of the under-representation of women within the SRfR population

39. Given the gender disparity between the eligible population and the Annual Research Assessment (ARA)<sup>31</sup> population further analysis was conducted, including consideration for discipline differences, and the minimum population identified as meeting the University's SRfR definition<sup>32</sup>.
40. Summary figures presented in Table 5 indicate that there is a significant difference between the number of men (61%) who meet the SRfR definition compared to women (39%) in Arts, Humanities, Social Sciences, Business and Law (AHSSBL) Faculties, while the balance is equal in STEMM Faculties.
41. There is an inherent bias towards STEMM disciplines present within the data used to model SRfR which is currently limited to criteria on external research funding applications and doctoral student supervision, both of which are more typically part of the STEMM research process. Data supporting criteria that will typically be used AHSSBL staff are not held currently with UCLan systems and cannot be modelled at this time. This includes information on external support for research (exhibitions, commissions etc.), the production of a substantial peer reviewed body of work or whether research leave/sabbatical has been taken since 2014. Enhanced data will be gathered as part of a process for confirming with staff whether they meet the SRfR criteria and will be incorporated in future EIAs.
42. Early indication that the predicted submission contains disparity within specific Faculties is welcomed and will be used to direct support and training as deemed appropriate.

### C.2. Analysis of Part-time (Fractional) Staff

43. UCLan's SRfR definition is connected closely to the appraisal process due to requirements on workloads and appraisal objectives. The Code of Practice staff consultation raised concerns that part-time staff, who represent ~30% of the eligible population, may be disproportionately affected by this definition.
44. The eligible fractional staff population (Table 4) was also assessed for intersectionality between part-time employment and other characteristics. No disparity was found between the overall eligible population and the fractional population i.e. part-time staff were not from a specific background. A higher

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<sup>31</sup> The Annual Research Assessment has been undertaken by UCLan since 2015/16 to assess the quality of research outputs produced by staff. ARA 2015/16 and 2016/17 were selective exercises, while ARA 2017 onwards took into consideration release of guidance from Research England indicating that REF2021 would be an inclusive exercise.

<sup>32</sup> For the purposes of analysis, the minimum SRfR population was staff employed on  $\geq 0.2$ FTE greater Teaching and Research contracts with evidence of supervising doctoral students, external funding applications or awards. This dataset will be enhanced to gather information on the other relevant SRfR criteria outlined in Section C.1, Code of Practice.



proportion were found to be female (61% compared to 51% eligible population). There was also increase in the proportion of individuals aged 61 or older, which may correspond with a move towards part-time working nearer retirement. No other significant disparities were found when compared to other populations.

### C.3. Analysis of the Research Only population

45. The whole Research Only population was analysed as a proxy comparator pool for Research Only staff within the Category A Eligible pool, recognising that only a small number of Research Only staff are likely to be classed as Category A Eligible following a review of research independence. The Research Only population contained 130 individuals on  $\geq 0.2$ FTE Research Only contracts.
46. Staff on Research Only contracts are typically those at the beginning of their career pathway and this group has a relatively younger age distribution than those on Teaching and Research contracts. For example, the proportion of staff  $\leq 40$  within the overall eligible academic population is 28.3%, while it is 46.9% within the Research Only population, with the proportion of Research Only staff above  $\geq 51$  considerably lower.
47. Good engagement with the Early Career Forum will support the communication of REF information and targeting of staff needing to declare their independence.
48. There is also a significant difference in the proportion of women within the Research Only pool (61%) compared to either the eligible (51%) or submitted population (45%), indicating that actions may be needed to monitor the balance of self-declarations received to ensure the opportunity to both male and female Research Only staff is present.
49. Due to low levels of disclosure, data is not available for religion or sexual orientation. Improvements to disclosure levels across UCLan is part of a wider HR and Equality and Diversity Strategy.
50. No other characteristics considered under the Equality Act 2010 showed significant disparity when compared to the overall eligible academic population.
51. This data was intended to serve as a proxy for the proportion of independent researchers within the University's REF submission. In REF2014 UCLan submitted 67 Research Only staff and 13 ECRs. Data will be collected on staff who are independent researchers following approval of the Code of Practice. Until this data has been gathered, the proxy comparator pool will be all Research Only staff on  $\geq 0.2$  FTE contracts. Data on distribution of ECRs within the REF2021 submission will also be collected using the staff circumstance pro forma.



## Appendix 5

Table 4 Analysis of declared characteristics of staff from the REF2014 submission, Category A eligible staff and Category A submitted staff (cumulative ARA data) (% of staff pool). The Research Only population represents 130 staff for whom data was available to HR. Analysis was also performed for staff on Category A eligible part-time contracts (0.2 – 0.9 FTE).

Age	REF2014	Eligible staff	Cumulative ARA	Research Only	Eligible Part-time
≤ 30	6.4	5.1	2.8	17.7	8.2
31-40	27.2	23.2	25.2	29.2	21
41-50	35.3	30.7	28.8	30	29
51-60	24.7	32.9	32.4	15.4	26.4
61 and over	6.4	8.1	10.8	7.7	15.4
<b>Grand total</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>

Gender	REF2014	Eligible staff	Cumulative ARA	Research Only	Eligible Part-time
Female	43.8	51.2	45.5	60.8	60.5
Male	56.2	48.8	54.5	39.2	39.5
Other	0.0	0.0	0	0	0
<b>Grand total</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>

Orientation	REF 2014	Eligible staff	Cumulative ARA	Research Only	Eligible Part-time
Bisexual	Not collected	1.0	1.4	Data not available	Data not available
Gay/lesbian		2.4	2.1		
Heterosexual		62.6	51.7		
Not known		11.3	15.8		
Other		0.4	0.3		
Prefer not to say		22.3	28.7		
<b>Grand total</b>		<b>100</b>	<b>100</b>		

Disability	REF2014	Eligible staff	Cumulative ARA	Research Only	Eligible Part-time
No	94.3	86.8	87.8	87.7	85.7
Yes	2.5	6.6	6.1	5.4	5.6
Not known	3.2	6.6	6.1	6.9	8.6
<b>Grand total</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>

Appendix 5

Religion	REF2014	Eligible staff	Cumulative ARA	Research Only	Eligible Part-time
Buddhist	Not collected	0.8	0.5	Data not available	Data not available
Christian		35.8	22.6		
Hindu		1.0	0.9		
Jewish		0.1	0.3		
Muslim		2.9	2.6		
None		24.6	26.7		
Not known		13.3	17.9		
Other		1.5	1.6		
Prefer not to say		20	26.9		
<b>Grand total</b>			<b>100</b>		

Race	REF2014	Eligible staff	Cumulative ARA	Research Only	Eligible Part-time
Asian	6	4.8	4.7	8.5	4.9
Black	2.5	2	2.6	3.1	1.6
Mixed	2.8	2	2.1	1.5	1.6
Other	0.4	3.8	3.6	4.6	1.2
<b>BME total</b>	<b>11.7</b>	<b>12.6</b>	<b>13</b>	<b>9.2</b>	<b>9.3</b>
White	79.9	84	84.2	80.0	86
Not stated	8.5	3.4	2.8	2.3	4.7
<b>Grand total</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>

Table 5 Further analysis of the gender disparity noted within the cumulative ARA population compared to the eligible staff population. Faculties have been assigned to the most appropriate grouping; STEMM or AHSSBL

	REF2014		Eligible staff		Cumulative ARA		SRfR	
	Male	Female	Male	Female	Male	Female	Male	Female
<b>STEMM</b>	54	46	48	52	55	45	51	49
<b>AHSSBL</b>	61	39	50	50	58	42	61	39
<b>Total</b>	<b>57</b>	<b>43</b>	<b>49</b>	<b>51</b>	<b>55</b>	<b>43</b>	<b>55</b>	<b>45</b>

**D. How has consultation with those who share a protected characteristic informed your work?**

52. Staff were able to respond to the consultation via a variety of methods to suit their availability and working patterns:
  - a) Staff open sessions, both institutional and Faculty level
  - b) An electronic survey, which could be completed anonymously
  - c) A series of informal drop in events with individual REF Managers
  - d) Contacting the REF Managers by email, phone or face to face.
53. In addition, discussions were held with the College of Professors and Readers, the Early Career Forum and the University and College Union.
54. The draft Code of Practice was produced as both a pdf and an accessible MS Word version to support staff who utilise screen readers. These documents were delivered to all staff electronically on the 1<sup>st</sup> April 2019.
55. Heads of School liaised with HR to arrange the delivery of a hard copy of the draft Code of Practice to any staff members who were absent from UCLan during the consultation, as deemed appropriate based on individual circumstances.
56. During the consultation on the draft Code of Practice, the REF Team noted concerns over the effectiveness of the cascading of REF communications to all staff, in particular those who are not research active or have only recently become research active. It was believed that communications related to the REF may not always be cascaded to this group. The REF Team will work with Heads of Schools to ensure that communications are sent to all staff within a School where appropriate.
57. Consultation feedback highlighted that confidentiality of the declaration of staff circumstances process is vital in order for staff to be comfortable and confident in declaring. The REF Team will aim to signpost to advice on where support can be provided as part of this process.
58. Concerns were raised on the level of awareness and understanding by line managers of hidden disabilities, with some individuals having felt unsupported in the past.
59. Staff were also concerned that part-time individuals or those with caring responsibilities might find it challenging to meet the full SRfR requirements.

**E. In light of the evidence listed in section C and outcome from the consultation in Section D, what potentially negative impacts could this work have on people with protected characteristics?**

60. Those with hidden disabilities may not feel adequately supported and may feel unable to declare their circumstances or to gain further access to support.

61. The proportion of women within the final REF2021 submission may be lower than that within the Category A eligible staff body, particularly in AHSSBL subjects.
62. Consideration should be given to communication with part-time staff, who may not as readily or routinely access electronic messaging etc as full-time equivalent staff members

**F. What could you do to ensure your work has a positive impact on equality and diversity?**

63. UCLan will support the delivery of training and awareness raising for all protected characteristics, particularly hidden disabilities. These activities should also include pro-active signposting of where staff can access support and resources in a confidential, no obligation manner.
64. The REF Team will work with UoA leads, Heads of School and others to increase the visibility of REF, including targeted sessions for staff in groups identified as being ECR, Research Only (independent) or otherwise needing support.
65. The REF Steering Group will ensure that the proportion of time allocated for research and appraisal objectives should be considered on a pro-rata basis for part-time staff.

**G. In light of the assessment above what is the decision, and what specific actions are proposed to deliver positive impacts and address any potentially negative impacts?**

66. UCLan is committed to adapting its REF2021 preparations to mitigate against potential negative impacts that may arise. Suggested actions can be found in Table 6.

## Appendix 5

Table 6 Actions proposed to deliver positive impacts and address any potentially negative impacts of the processes outlined in the Code of Practice

Action	Outcome	Responsible Officer	Timescales	Monitoring
<b>Communication of the Code of Practice</b>				
Ensure that all communications regarding REF are available in alternative formats	Staff with a disability that affects communication will have equal access to the policies, procedures and information regarding UCLan's approach to REF2021	REF Team Internal Comms	Ongoing - as new material is published	Ongoing - as new material is published
All communications will be made available digitally/in hard copy for staff who are currently absent from the university	Staff on maternity, paternity, adoption leave, sickness absence have equal access to the policies, procedures and information regarding UCLan's approach to the REF2021	REF Team HR Heads of School	Ongoing - as new material is published	Ongoing - as new material is published
<b>Committee membership and recruitment</b>				
The membership of groups and committees should be reviewed in relation to available E&D data.	Memberships should be representative of the staff profile	REF Team	At the inception of new groups and committees	Membership should be reviewed when existing members leave.
<b>Training</b>				
Training on hidden disabilities to be made available to relevant staff	Awareness of hidden disabilities and their impacts on staff will be raised.	HR	Ongoing	Training should be routinely reviewed
Members of the staff networks (Disability, LGBT, Women's and BME) to be invited to talk to	Awareness of the potential impact of the REF process on specific	REF Team EDIC	Throughout the REF process and beyond.	Routine communications to staff networks

Appendix 5

Action	Outcome	Responsible Officer	Timescales	Monitoring
relevant staff regarding the impact of the REF process.	groups and establishment of communication with the REF Team			
REF specific Unconscious Bias training to be made available to all staff under-taking appraisals as Line Managers	Staff leading on appraisals understand and are aware of where unconscious bias may occur within the appraisal and workload setting process	REF Team EDIC	Before the end of 2019, ahead of appraisals in 2020	Ongoing as staff are promoted or join UCLan.
<b>Identification of staff with SRfR, including appeals</b>				
Part-time staff will not face additional barriers in meeting SRfR, in relation to workload or appraisal objectives	Part-time staff will be made aware of the need to discuss workload or appraisal objectives with their line manager	REF Team Heads of School	Until summer 2020	Analysis of the provisional submission to identify if part-time staff are under-represented.
The processes and criteria used to identify the SRfR population will not directly or indirectly affect any religious belief.	Where possible the submission will reflect the balance of religious beliefs seen in the Category A eligible population	REF Team Heads of School	Until summer 2020	Analysis of provisional submission to identify disparity.
Staff wishing to appeal the decision on their SRfR status are taken through the process outlined in Section B.3.	Staff will be notified of the decision following their appeal and may escalate this to the final appeals stage if necessary	REF Team HR	Staff will be notified of the outcome within 10 working days of a decision being made.	Confirmation from staff they have received the outcome and any further appeal outlined.
The Processes and criteria used to identify the SRfR population will not lead to the under-	Work with the Women's Network to raise awareness of REF and identify support activities	REF Team EDIC	Ongoing	Analysis of predicted submission population following

Appendix 5

Action	Outcome	Responsible Officer	Timescales	Monitoring
representation of female staff within the Category A submitted population				provisional identification of staff
Staff with disabilities or caring responsibilities will not face additional barriers to be included within the submission	Staff are encouraged to discuss their situation, and methods of support, with HR/Heads of School	HR Heads of School	Ongoing	Increase in disclosure rates disability in HR data
<b>Identification of staff with research independence, including appeals</b>				
Staff wishing to appeal will be taken through the process outlined in Section B.3.	Staff will be notified of the decision following their appeal, and may escalate this to the final appeals stage if necessary	REF Team HR	Staff will be notified of the outcome within 10 working days of a decision being made.	Confirmation from staff they have received the outcome and any further appeal outlined.
Staff undertaking doctoral study will be identified as needing to declare their independence in order to be eligible, should they wish too.	Staff are aware of the process and proforma, and where to access support	REF Team Heads of School Academic Registry	Until summer 2020	No staff member undertaking doctoral study is included in the final submission without evidencing research independence.
Dissemination of the process for self-declaring research independence to the Early Career Forum and on Research Only Contracts	Staff are aware of the process and proforma, and where to access support	REF Team	Until summer 2020	Staff are completing the proforma and declarations are being received.
<b>Disclosure of personal circumstances</b>				
Staff wishing to declare individual circumstances will be taken through the	Staff who declare individual circumstances will have been	REF Team HR	Until summer 2020	Staff are completing the proforma and

Appendix 5

Action	Outcome	Responsible Officer	Timescales	Monitoring
procedure, outlined at Appendix 7 of the Code of Practice.	notified of the outcome of the Circumstances Panel			declarations are being received.
The design and implementation of activities to create a safe and supportive environment for the disclosure of circumstances across the university, including increasing completion of HR sensitive characteristics data	Increased completion of sensitive characteristics information. Staff are comfortable declaring circumstances	HR	Ongoing	Increased data collection
Staff requesting additional support should be contacted by HR	Staff will understand what support mechanisms can be put in place for them	HR	From summer 2019 until July 2020	Confirmation from HR that follow up is occurring.
The disclosure process will be promoted to staff, including the impact to the University	Staff will be encouraged to disclose individual circumstances that may impact upon REF	REF Team HR	From summer 2019 until July 2020	Confirmation communications to staff have been sent
<b>Selecting outputs for the final submission</b>				
Consideration to E&D will be made when selecting internal reviewers	The internal review panels are representative of the staffing profile.	REF Team UoA Leads	Summer 2019	Communication to UoA Leads to consider the representation of their reviewers
Workshop to be provided for staff involved in internal peer review	All staff involved in internally peer reviewing outputs are able to do so without consideration for bias	REF Team	Summer 2020	Delivery of session and attendance monitoring
Guidance on unconscious bias to be given to external peer reviewers	External reviewers are aware of their unconscious bias and the	REF Team	Summer 2019	Communication with external reviewers.



Appendix 5

Action	Outcome	Responsible Officer	Timescales	Monitoring
	requirement to undertake reviews only on output content			
The outputs submission is representative of the staff body in respect to protected characteristics and fractional staff	Under-representation should be addressed where it does not impact on the predicted quality of the submission.	REF Team	Prior to submission deadline, March 2021	Review of full submission as it is developed and identification of under-representation

## Appendix 6

### Eligibility to supervise a research degree

1. All research degree students shall be supervised by a supervisory team that includes a Director of Studies, supervisor(s) and, where appropriate, specialist advisor(s).
2. All supervisors, including those supervising the research component of a Professional Doctorate, will be demonstrably active researchers with relevant knowledge and skills.
3. At least one of the supervisory team shall have experience of supervising at least one student to the successful completion of a research degree at or above the level of the target award. Supervisors who have completed an approved supervisor training programme may count this as one successful supervision, but a team will not be deemed qualified where the only successful completion within the team has been obtained through an approved supervisor training programme.
4. All supervisory teams will be approved before admission by the Research Degree Tutor and the Head of School.
5. Full guidance on supervision of research degrees can be found in the University's Academic Regulations for Postgraduate Research Degrees, available here
6. [https://www.uclan.ac.uk/study\\_here/assets/academic\\_regulations\\_for\\_postgraduate\\_research\\_degrees\\_1920.pdf](https://www.uclan.ac.uk/study_here/assets/academic_regulations_for_postgraduate_research_degrees_1920.pdf)

### Process for Allocating Postgraduate Research Students to UoA

1. Students whose supervisors are expected to be submitted to REF2021 and to be returned in a single UoA will be given a 100% allocation to that UoA.
2. Students whose supervisors are expected to be returned to REF2021 but in different UoAs:
  - a. Where there are 2 supervisors:
    - Director of Studies: 75% allocation to their expected UoA
    - Second Supervisor: 25% allocation to their expected UoA
  - b. Where there are 3 supervisors:
    - Director of Studies: 50% allocation to their expected UoA
    - First Supervisor: 25% allocation to their expected UoA
    - Second Supervisor: 25% allocation to their expected UoA
3. Students where one or more supervisors are not expected to be returned to the REF
  - a. Allocate on the basis of only those supervisors who are expected to be returned.

## Appendix 6

4. If only one supervisor is to be returned 100% allocation to that supervisors allocated UoA.

- a. If only 2 out of 3 supervisors are expected to be returned allocate as per 2a.

5. Students with no supervisors expected to be returned to REF2021

- a. Consider the Director of Studies likely UoA and allocate 100%.

Note: we will need to maintain a list of these allocations.

6. Professional Doctorates

- a. These will be allocated 100% to the discipline's UoA.

**Approved** by REF Steering Group, April 2018

## Appendix 7

### Staff circumstances

1. This process provides details on completion of the form, "Staff circumstance disclosure for REF2021". The final staff circumstances form is under development. The sections described in this process are expected to cover:
  - a. **Section One:** confirmation that information may be shared with Research England and that all information provided is true and accurate.
  - b. **Section Two:** confirmation of disclosure, ECR flag and confidentiality level to be observed.
  - c. **Section Three:** details of declared circumstances (impact on ability to work productively and the duration in months).
2. Staff may complete this form in one of two ways;
  - a. Submit a hard copy to the REF Manager assigned to Staff Circumstances, marked "Confidential" to GR331 Greenbank Building, UCLan, Preston, PR1 2HE.
  - b. Email an electronic copy to [researchassessment@uclan.ac.uk](mailto:researchassessment@uclan.ac.uk)
3. All information on staff circumstances collected for REF2021 will be destroyed following the post-submission audit period. UCLan expects this to take place no later than April 2022.
4. All staff considered eligible for REF2021 will be invited to complete section 1 and 2 of the form.
5. Staff wishing to disclose a circumstance they feel may have affected their productivity during the REF2021 Census Period are required to complete all sections. Applicable circumstances can be found in the Annex L, 'Guidance on Submissions' (2019/01).
6. Information disclosed will only be viewed by the parties selected on the form and confidentiality will be respected throughout the process.
7. A Circumstances Panel, comprising the HR Manager assigned to staff circumstances, a REF Manager and the Equality, Diversity, Inclusion and Communities Manager will agree and calculate the output reduction for all disclosed circumstances using the tariffs provided by Research England. Where necessary, guidance will be requested from Occupational Health.
  - a. Clearly defined circumstances: The Panel will inform the REF Team of any reduction in outputs with sufficient detail to submit a reduction request to Research England.
  - b. For more complex circumstances, or those requiring a judgement, the HR Manager will present a recommendation to the Equality and Diversity Sub-

group for REF2021. This data will be anonymised. The Equality and Diversity Sub-group will then decide on an appropriate reduction. The REF Managers will be informed of the agreed reduction request, with sufficient detail to allow a reduction request to Research England.

8. The outcome of any internal reduction assessment will be shared with the individual within 14 days of the decision being made. Where a decision is made to apply to Research England for a reduction, the individual will be informed of the outcome in advance of the submission date (31<sup>st</sup> March 2021<sup>33</sup>).
9. Internally agreed reduction requests will be shared with UOA Leads but details of the circumstances will not be shared. The agreed reduction will be reflected in the size of the UOA output pool.
10. Should any individual not agree with an agreed reduction, they may appeal to the HR Manager in writing, following the process outlined in the Section B.3.
11. Any member of staff who declares circumstances will be provided with opportunity to discuss how the University can support them further. The HR Manager will be responsible for arranging the appropriate meeting.

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<sup>33</sup> Revised from 27<sup>th</sup> November 2020 due to Covid-19

**Appendix 8**

UCLan REF governance structure at UCLan

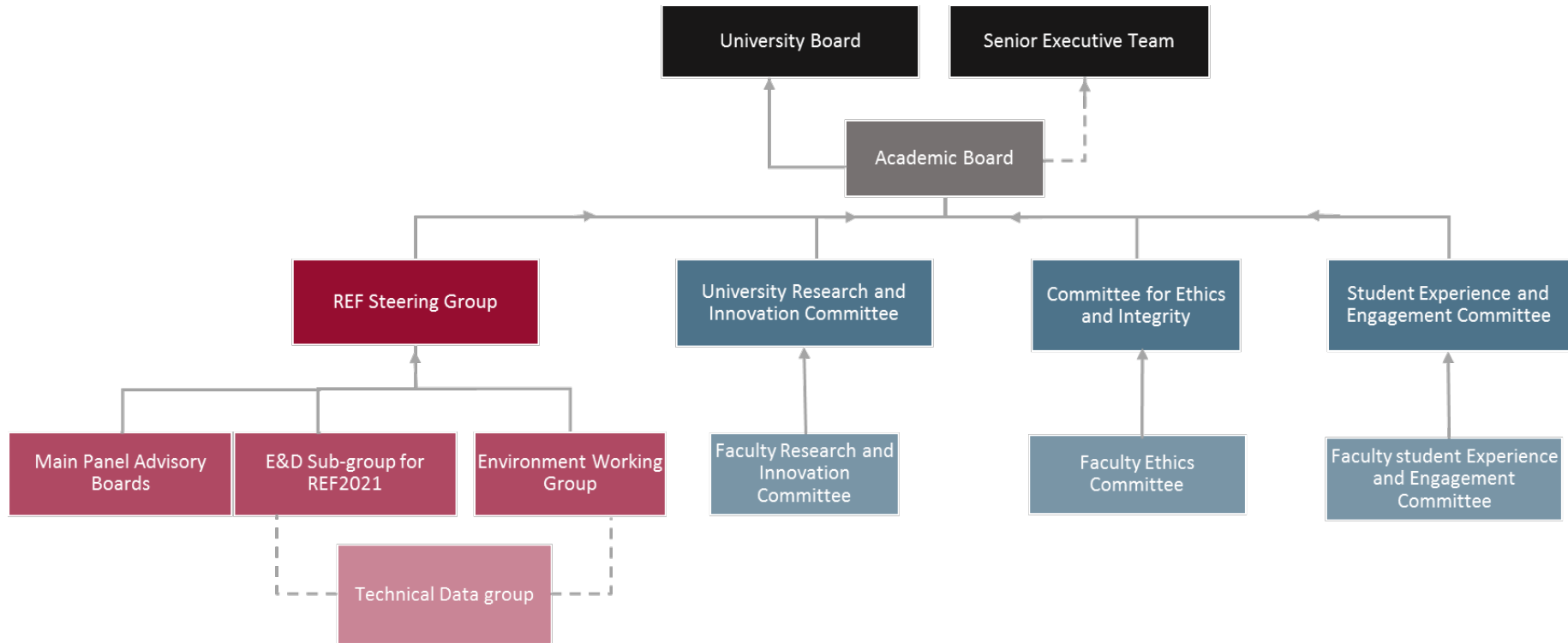
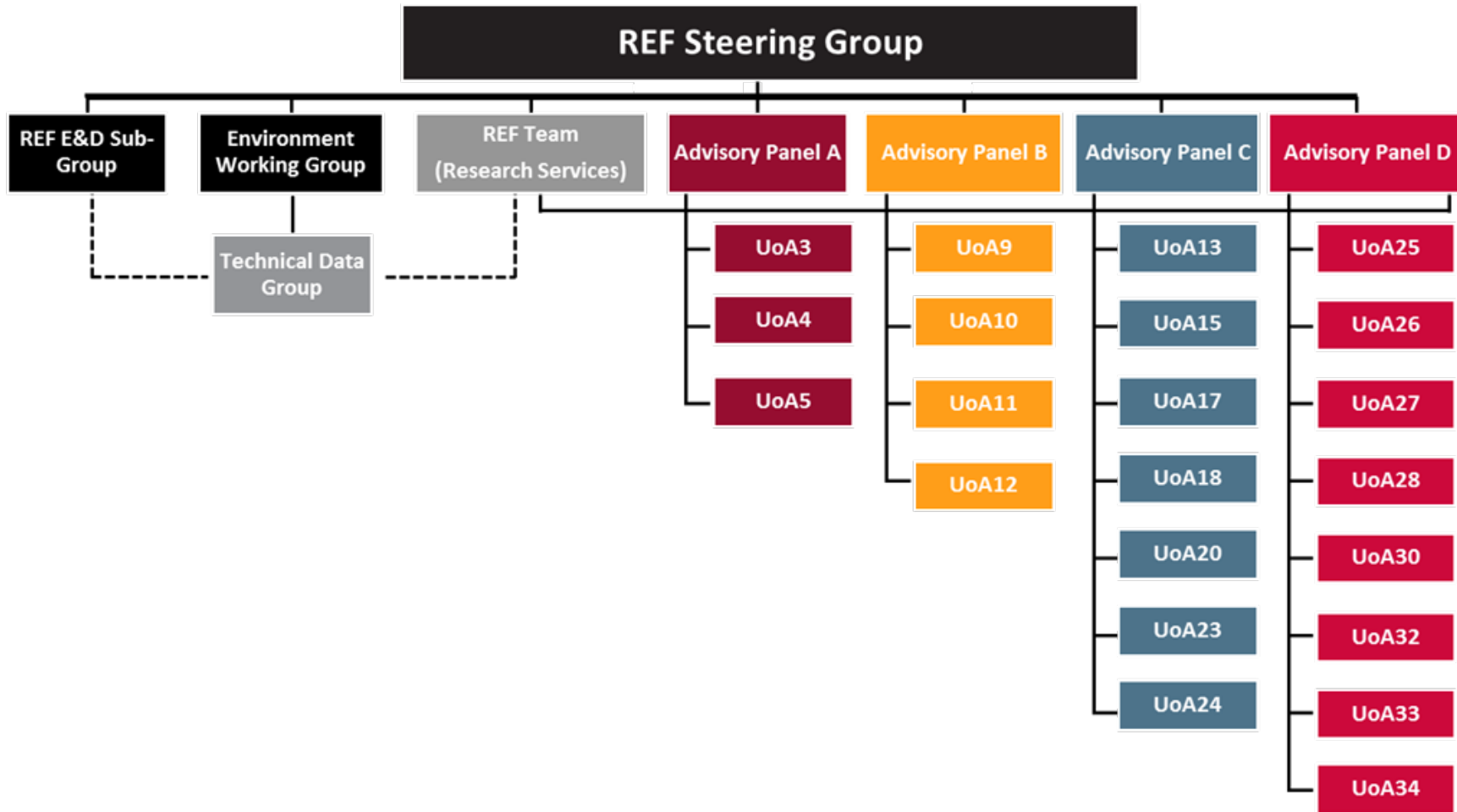


Figure 4. UCLan committee and reporting structure, circa February 2019. Reporting relationships can be found in Table 7

Figure 5. UCLan REF2021 governance structure, circa February 2019. Reporting relationships can be found in Table 7



## Appendix 8

Table 7. This table shows the relationships between REF-related committees at UCLan.

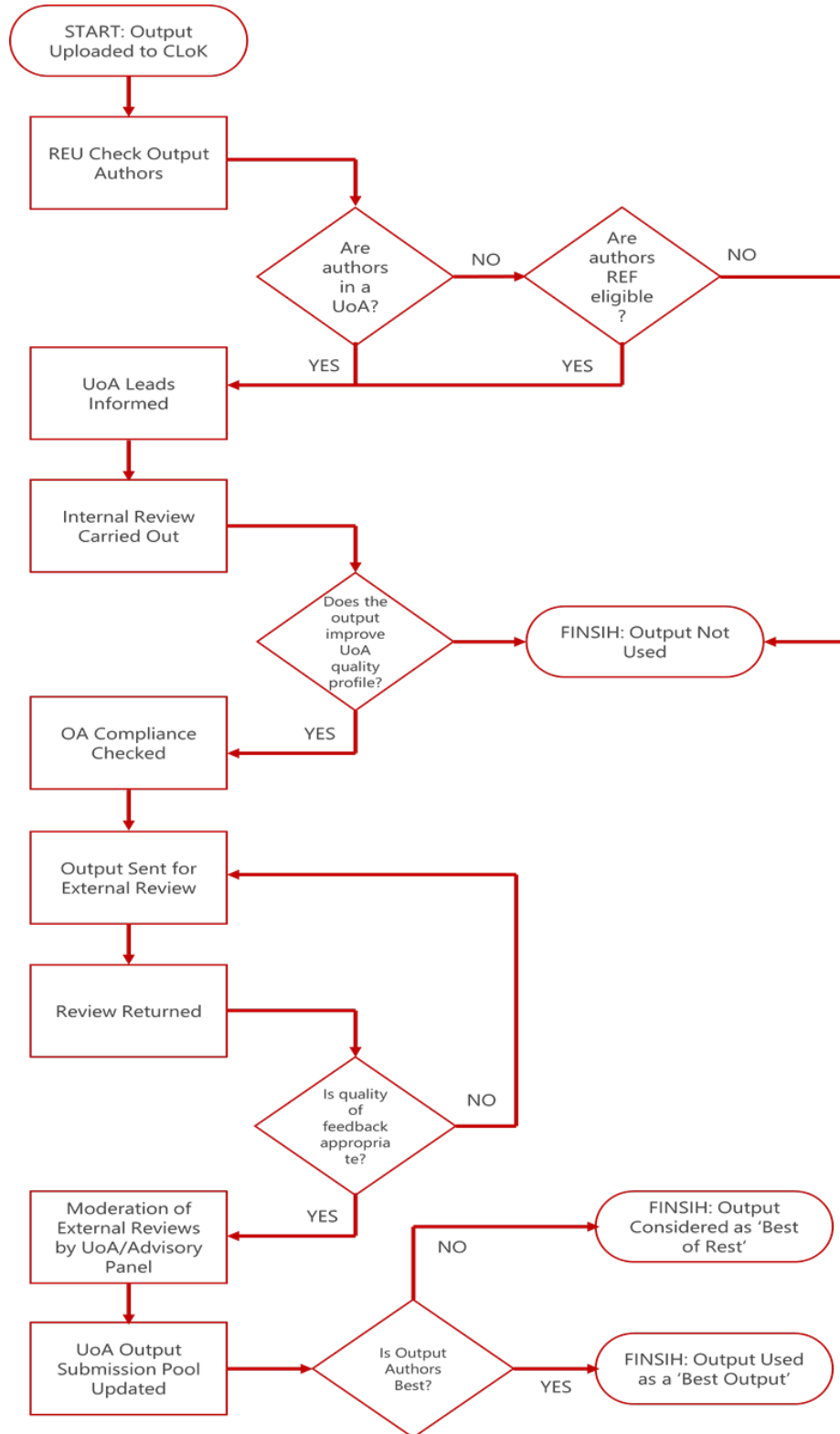
<b>Committee</b>	<b>Reports to</b>	<b>Advises</b>	<b>Makes decisions on</b>
REF Steering Group	Academic Board	URIC	All matters related to REF
Equality and Diversity Sub-group for REF2021	REF Steering Group	Equality and Diversity Executive Group REF Steering Group	Matters related to E&D within REF processes
Environment Working Group	REF Steering Group	Equality and Diversity Sub-group for REF2021 Panel Advisory Boards A-D	Workstreams related to the Environment template
Technical Data Group	Environment Working Group Equality and Diversity Sub-group for REF2021	Environment Working Group Equality and Diversity Sub-group for REF2021	How internal data connected to institutional REF processes will be collated and used
Panel Advisory Board A	REF Steering Group	REF Steering Group Other related committees as necessary	Matters arising within Panel A, cross-referring as needed.
Panel Advisory Board B	REF Steering Group	REF Steering Group Other related committees as necessary	Matters arising within Panel B, cross-referring as needed.
Panel Advisory Board C	REF Steering Group	REF Steering Group Other related committees as necessary	Matters arising within Panel C, cross-referring as needed.
Panel Advisory Board D	REF Steering Group	REF Steering Group Other related committees as necessary	Matters arising within Panel D, cross-referring as needed.



## Appendix 9

### Output review workflow <sup>NO</sup>

Figure 6 This Figure shows the output review workflow described in Section D.2.



## Appendix 10

### Allocation of co-authored outputs

1. The University recognises the collegiate nature of research and the co-production of research outputs across all subject areas. As such, UCLan has adopted the following method to allocate research outputs produced by more than one UCLan author within a UOA. The following examples are simplified but are indicative of the decisions that will be made for the final submission. The process described has been adopted to ensure that the University submits the highest quality submission based on independent assessment.
2. Figure 7 shows the first example of the approach to allocation of co-authored outputs. A UOA comprises only two authors (A and B) who have co-produced an output that has been reviewed as their highest rated output. In addition to the shared output, the authors have produced a further three and two outputs respectively, making a total of 6 outputs in the output pool. Only 5 outputs are required for the submission. On this basis, to maximise the output profile Author B will be assigned the 4\* output as their 'best' output and Author A one of their 3\* outputs. The remaining three outputs will be composed of the highest rated outputs in the pool, in this instance, both author A's 3\* outputs and author B's 2\* output. Author B's other paper is not used in the submission.
3. The second example is an extension of the first, but where authors A and B have only produced a further one output each but are part of a much wider UOA submission. In this case, the best (shared) output is nominally assigned to one of the authors and the next best output to the other author. See Figure 8.
4. In the third example, authors A and B again share their best output. However, in this instance neither author has any further outputs. Assuming both meet the University's definition for SRfR, the output is nominally assigned to one of the authors with the second author nominally being assigned a default unclassified rating, see Figure 8. The University will make every effort to ensure that authors in this position are supported to develop additional outputs so that unclassified ratings are avoided. The University expects there to be very few instances where this example occurs. There will be no detriment to any member of staff based on attribution of outputs.
5. The impact on E&D profiles will be considered when allocating co-authored outputs

Figure 7. Protocol of assigning co-authored output between two authors with other outputs.

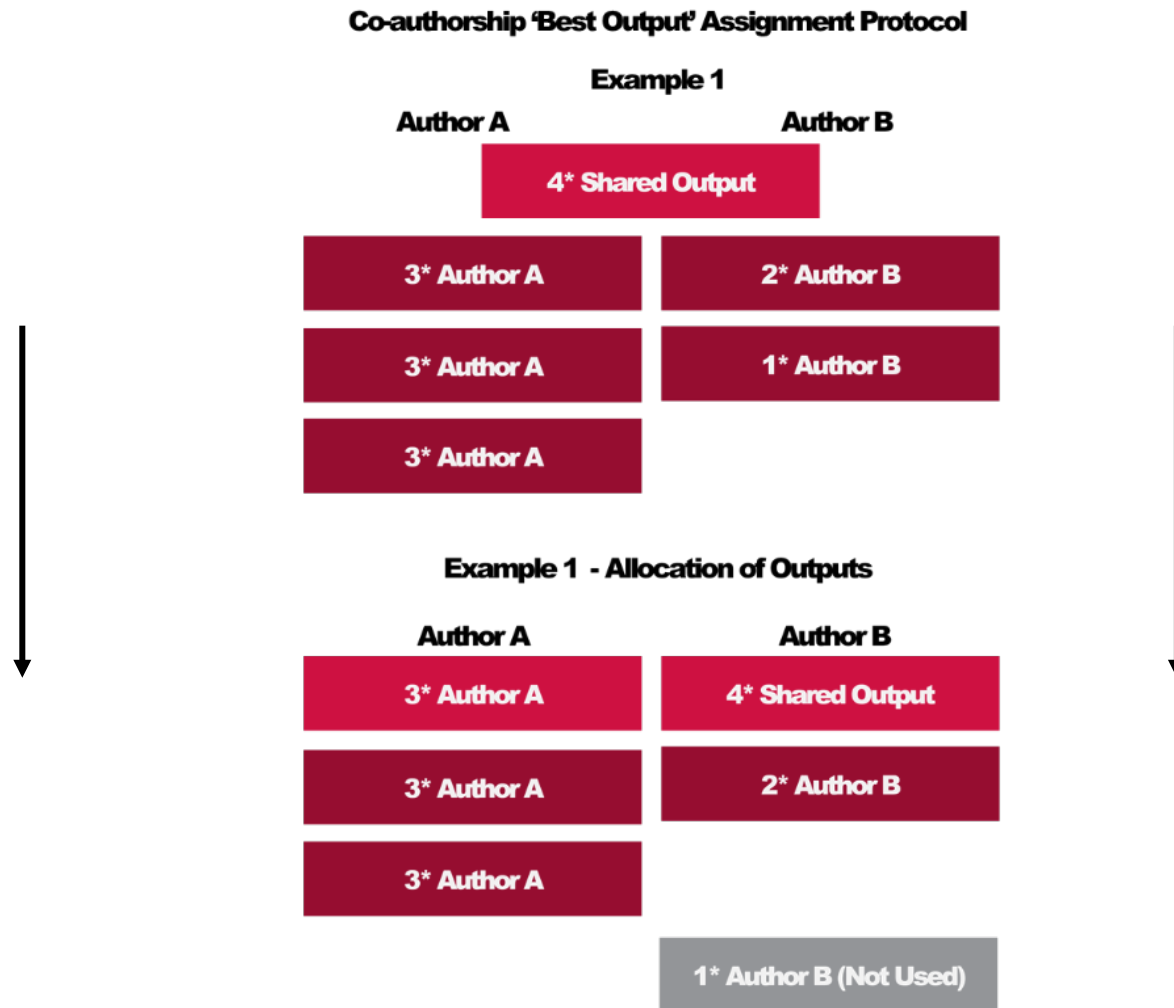
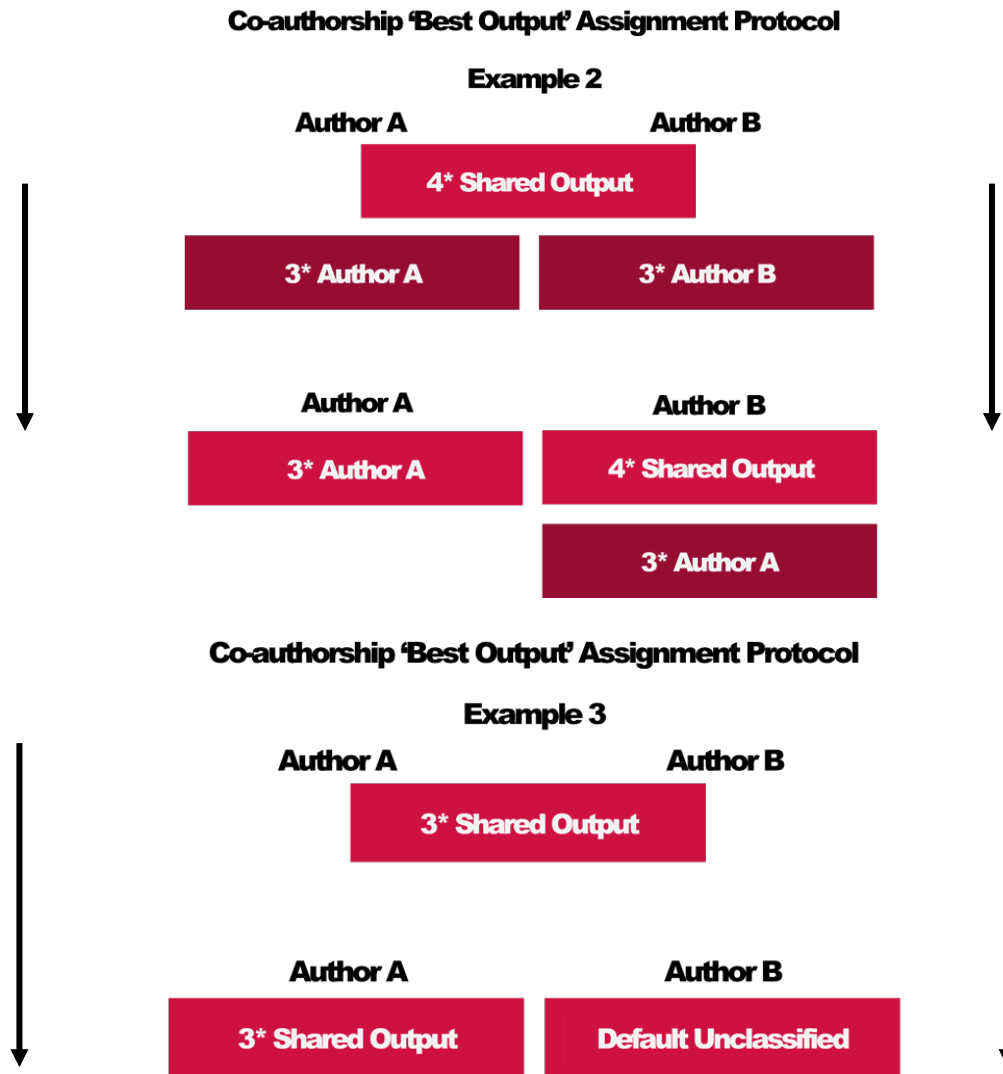


Figure 8. Co-authorship protocol for assigning outputs where authors have the same quantity of available outputs.



## Appendix 11

### Confirmation of staff agreement with Significant Responsibility for Research

The letter below was sent to Research England 11/09/2019 to confirm that UCLan had reached agreement with its staff on the criteria and processes for SRfR

Dear Dr Steven Hill

**RE: Research Excellence Framework 2021: Code of Practice Outcome**  
**16/08/2019**

Thank you very much for your letter confirming that the University of Central Lancashire (UCLan) REF2021 Code of Practice was accepted subject to further clarification of one point. We are delighted that our Code of Practice was considered by the Equality and Diversity Advisory Panel to broadly meet the published requirements, subject to confirmation that staff agreement was reached on the process to identify staff with Significant Responsibility for Research (SRfR).

I can **confirm that UCLan reached agreement with staff** on the mechanism for identifying staff with SRfR, as outlined in paragraph 41, Guidance on Code of Practice (2019/03), prior to submission of the Code of Practice.

Following the release of the draft Guidance on Submissions (GoS) in November 2017, UCLan began early conversations with stakeholders from all Faculties, the University and College Union and Human Resources to develop an **inclusive** and **transparent** definition of SRfR. The existing REF governance was also formalised to ensure **accountability** for preparations going forwards. The REF governance at UCLan can be found in Appendix 8 of our Code of Practice and consists of the following:

#### **REF Steering Group**

This decision-making committee is made of representatives from all Faculties and the appropriate Services that contribute to the REF2021 process, with a focus on experience of previous submissions. The REF Steering Group reports to both the University Research and Innovation Committee (URIC) and Academic Board, which are required to approve the Code of Practice.

#### **Panel Advisory Boards**

Chaired by a senior academic manager nominated by the REF Steering Group, these boards are composed of the Unit of Assessment (UOA) Leads, and Co-ordinators who provide leadership and discipline specific knowledge on their areas of the submission.

UOA Leads communicate information from the Panel Advisory Boards to their UOA colleagues and meet with their UOAs routinely.

### **Equality and Diversity Sub-group**

Formed from the relevant members of the REF Steering Group alongside openly recruited academic representation (the process for recruitment can be found in Appendix 3 of our Code of Practice), this sub-group focuses on the E&D aspects of the REF submission, included overseeing the development of Equality Impact Assessments.

### **Environment Working Group**

This is an advisory group established to oversee the REF4/5 components of the REF submission, with membership drawn from the Panel Advisory Boards and via an open call to staff.

### **Technical Data Group**

Representatives from the relevant Professional Services connected to the REF submission form this Group.

In addition, the University has specifically consulted with the following staff groups:

- Early Career Researcher (ECR) Forum
- College of Professors and Readers
- University and College Union

Discussions and consultation were also held with representatives from all UOAs that UCLan has considered making submissions to in REF2021, in order to ensure that discipline specific context was considered in arriving at the definition of SRfR. Consultations were held on the working definitions of SRfR, and staff invited to feedback and contribute to its development through a series of open sessions held by the REF Managers from July 2018 onwards (details can be found in Appendix 2, Code of Practice).

A full timetable of the activities undertaken in the development of SRfR to reach agreement with the staff body is detailed below:

Date 2019	Activity
November 2017- March 2018	REF Managers met with Heads of School/UOA Leads to discuss discipline specific concerns from initial guidance
17 March 2018	REF Steering Group agreed 2017/18 Annual Research Assessment requirements in line with initial guidance
23 July 2018	Draft documentation released by Research England
Autumn/Winter 2018	Faculty Executive Teams, PVC Research Strategy Group, and the College of Professors and Readers provided feedback on initial SRfR definition
19 December 2018	REF Steering Group reviewed the initial principles of SRfR and feedback
31 January 2019	Final documentation released by Research England
8 February	REF Steering Group agreed initial SRfR definition.
8 March	Draft Code of Practice circulated to all UOA Leads and REF Steering Group for consultation. Feedback was provided and the definition of SRfR was revised in light of this feedback.
13 March	URIC and UCU reviews draft Code of Practice. Feedback and revision to the Code of Practice and SRfR.
15 March	REF Steering Group agreed final SRfR definition and reviewed draft Code of Practice.
27 March	Academic Board reviews Code of Practice.
28 March	Equality and Diversity Sub-group reviews Code of Practice.
April 2019	Internal consultation on the draft Code of Practice opens and staff feedback is welcomed throughout April. Full details of events can be found in Appendix 1 of UCLan's Code of Practice.
1 May	Code of Practice redrafted based on feedback and Equality Impact Assessment.
29 May	REF Steering Group approves Code of Practice.
5 June	URIC and Academic Board approve Code of Practice
5 June	Code of Practice signed off by Joint Institutional Leads.
6 June	Code of Practice submitted to Research England.

During April 2019, the draft Code of Practice was sent to all staff as part of a month-long period of open consultation. Staff who were absent from UCLan, and where their line manager deemed it appropriate, also received a hard copy to their contact address. During this period the REF Team ran open sessions to communicate SRfR to staff, alongside an anonymous electronic survey and individual 1:1 sessions. All UOA Leads were expected to meet with their UOA members to discuss SRfR with staff during this period. A response to the collated feedback was communicated to staff following the consultation, along with the final agreed definition of SRfR.

Once this process was completed, the Code of Practice was formally signed off by Academic Board, which recognised that staff and the relevant staff bodies had extensive opportunity to respond to the consultation, that feedback had been duly considered, and that the processes and criteria outlined in the Code of Practice were approved by them.

As requested, a signed copy of this letter has been appended to UCLan's Code of Practice, which is attached to this communication. The University has also taken the opportunity to amend the staff circumstance process detailed in the submitted Code of Practice, following communication with the Equality and Diversity Advisory Panel (30/07/2019)<sup>34</sup>.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'Lynne Livesey', with a large, sweeping flourish at the end.

Lynne Livesey

Interim Vice-Chancellor and Deputy Vice-Chancellor Academic

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<sup>34</sup> Paragraph 4, page 81 now makes it clear that there is no expectation for an individual to declare a circumstance to the University.



