

University of East Anglia

Code of Practice:
Preparing Research Excellence Framework Submissions

REF2021

REF2021 Research
Excellence
Framework

UEA
University of East Anglia



This Code of Practice details the approach, processes and procedures for use in the preparation of the University's submission to the 2021 Research Excellence Framework (REF2021). The REF2021 submission is an important exercise for the University, it determines significant funding and reputational outcomes for the institution as a whole as well as the Schools, research groups and individuals who make up our outstanding research community at UEA.

In preparing this Code of Practice, I am mindful of the principles of both the revised approach to REF2021, as set out by the REF Equality and Diversity Panel; but also those overarching principles which myself and the UEA REF Strategy Group have embedded throughout the planning and preparation of the submission:

Collaborative – working together to prepare the highest quality submissions

Ambitious – ensuring that we showcase our most excellent research

Responsible – not forgetting the individual researcher throughout the process

Entrepreneurial – highlighting the original ways that our research makes a difference

The Code has been written to include sufficient detailed procedural information to ensure consistency and transparency for all involved in the exercise. REF decision makers have all undergone training on unconscious bias, in addition to the mandatory equality and diversity training required of all UEA staff. We will be ensuring that everyone involved in REF at UEA has the opportunity to receive briefing information and ask questions about the Code, and I thank all of you for your engagement in this important process.

Professor Fiona Lettice

*Pro-Vice-Chancellor for Research & Innovation
University of East Anglia
March 2019*

<p><i>Note: This Code of Practice was been prepared for consideration by the REF Equality and Diversity Panel (EDAP). Research England confirmed that this Code of Practice was approved by EDAP on 08 November 2019.</i></p>

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This document is available in alternative formats.

**If you require this document in an alternative format, please
contact Research and Innovation Services on:**

Tel: 01603 591574 Email: REF21.Support@uea.ac.uk

Part 1: Introduction

1.1 This Code of Practice details the University of East Anglia's decision-making processes relating to the Research Excellence Framework 2021 (REF2021) in the context of equality and diversity and all relevant legislation. It sets out the processes for:

- the identification of staff with a significant responsibility for research
- determining who are independent researchers, and
- the process of selection of outputs for submission to REF2021

The Code covers all staff on the UEA payroll, including those staff based in the research institutes on the Norwich Research Park. The Code was developed in 2018/19 in consultation with the University's Research Executive, REF Strategy Group, staff and trades union consultations, and the University's Equality and Diversity Committee. It was approved by the University Research Executive [28 March 2019] and Executive Team [08 April 2019] for consideration by University Council [13 May 2019] for submission to the REF Equality and Diversity Advisory Panel [by 07 June 2019]. This version was revised in September 2020 following the revisions to the Research Excellence Framework following the COVID-19 pandemic and detailed on the REF21 website at <https://www.ref.ac.uk/news/ref-2021-resumes-with-additional-guidance-on-covid-revisions/>

1.2 The Research Excellence Framework is the UK's system for assessing the quality of research in UK higher education institutions. It first took place in 2014. The next exercise will be conducted in 2021 with submissions due to be made by 27 November 2020 [now 31 March 2021]. The latest guidance on the REF can be found at <https://www.ref.ac.uk/>

1.3 At the University of East Anglia (UEA) the lead responsibility for REF submissions rests with the Pro Vice Chancellor for Research and Innovation (PVC R&I). They are supported in this activity by a number of other post holders, committees and steering groups, and central administrative divisions, as set out in Appendices E and F.

1.4 There are statutory requirements that, as an employer, the University recognises and responds to in addressing equality and diversity issues. A list of the University's statutory responsibilities are found in Appendix A. This Code of Practice complements the University's policies, procedures and guidance notes, which support our delivery of these requirements. Our Human Resources Division (HRD) (including our Equality and Diversity Office) and campus Trade Unions (UCU, Unison, and Unite) have worked in partnership to develop a comprehensive range of materials to provide guidance and support for staff and managers in respect of equality, diversity, inclusivity, dignity and respect in the workplace. A list of these can be found in Appendix B.

1.5 It is a requirement of all submitting institutions to REF2021 to produce and publish a Code of Practice. Codes of Practice are required to be submitted to the REF Equality and Diversity Panel (EDAP) for review and approval. This Code of Practice builds on that previously submitted to and approved by EDAP ahead of the previous Research Excellence Framework exercise (REF2014) and published online at <http://www.ref.ac.uk/2014/equality/codesofpractice/>. It also draws on UEA's Equality Impact Assessments and the EDAP overview report detailing examples of good practice from REF2014 (<http://www.ref.ac.uk/2014/pubs/refcodesofpracticegoodpracticereport/#d.en.75885>).

1.6 In preparing this Code of Practice, the University is keen to embed the four overarching principles of fairness as detailed in the Guidance on Codes of Practice (REF 2019/03, published January 2019). The principles of transparency, consistency, accountability and inclusivity complement our own

overarching principle of a responsible approach to REF preparation and for ease of identification, are highlighted throughout this document with the following badges:



1.7 Since REF2014, the University has built on a range of standard practices to support the management of research with due regard for equality and diversity issues. These include: annual research activity planning (RAP) reports and meetings with all academic staff who have responsibility for undertaking research; annual reviews of research impact activities and development in all Schools; and School-based research output reading exercises. The purpose of these activities has been to bring research development at the School and individual level into the research culture of the University, and to target support for excellent research and impact. In addition to these research management activities, the University has introduced mandatory equality and diversity training for all staff, and currently holds one institutional and 12 departmental Athena SWAN awards (four Silver and eight Bronze, as at November 2018). The University also participates in the annual Stonewall Workplace Equality Index and has recently signed up to the Race Equality Charter. All key decision makers in the REF 2021 have attended training sessions on Understanding Unconscious Bias. These activities, along with the reviews mentioned above, give managers and those making judgements and decisions about research activity, the best grounding for ensuring these are undertaken in the most transparent and appropriate manner.

1.8 As an institution, UEA has also demonstrated commitment to transparent, consistent and accountable research assessment through publishing a public statement on our use of metrics in research assessment (<https://www.uea.ac.uk/research/about-uea-research/research-with-us> and Appendix G). The principles in this statement are incorporated into this Code of Practice, research management activities, and more broadly in the University's recruitment, selection, confirmation of employment and promotion processes. The University further demonstrated commitment to these principles by becoming a signatory to the San Francisco Declaration on Research Assessment (DORA).

1.9 This Code of Practice and any subsequent versions will be widely circulated to all staff and made available on the University's web Portal, along with all supporting documents and resources. A detailed consultation and communications plan is available at Appendix D. This has been developed based on experience from REF2014 and noting the good practice examples from the EDAP Report from REF2014.

Part 2: Identifying Staff with Significant Responsibility for Research

2.1 It is the intention of the University to submit all staff meeting core eligibility criteria (i.e. Category A eligible staff) to REF2021. In determining this position, UEA identifies all staff on Academic, Teaching and Research (ATR) contracts to hold significant responsibility for research in line with the indicators provided in the REF Guidance on Submissions (REF2018/03, para 137, <https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>) for Category A eligible staff:

Staff with significant responsibility for research are those for whom explicit time and resources are made available to engage actively in independent research, and that is an expectation of their job role.

Note that the standard terms and conditions for staff holding ATR contracts with the University state: “A member of the Academic Teaching and Research staff is required: i) to promote the study of his or her subject by teaching and research”. This approach is consistent across the institution as employment practice does not vary in this regard by academic discipline.



2.2 The University does not identify staff on Academic, Teaching and Scholarship (ATS) contracts as having significant responsibility for research, and are therefore not eligible for submission to REF2021 as Category A staff. The standard terms and conditions for staff holding ATS contracts does not include any requirement for research activity.

2.3 In preparing the University’s REF2021 submission and this Code of Practice it is recognised that there may be additional staff within the University who are Category A eligible, but who are not employed on an ATR contract (such as those on ‘research only’ contracts or those holding externally funded research fellowships). The University’s processes for determining the eligibility of research active staff not on ATR contracts, but who meet other eligibility requirements of minimum full time equivalence (0.2 FTE) and having a substantive connection to the submitting unit, for inclusion in REF2021 are set out in Part 3 below.

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Part 3: Determining Research Independence

3.1 Policies and Procedures

3.1.1 For those staff not on Academic Teaching and Research (ATR) contracts but who are research active (such as those on 'research only' contracts or holding externally funded research fellowships), the process outlined in Diagram 1 below will be undertaken to ensure that individuals can be determined to show the level of research independence to consider them as Category A eligible staff, and therefore to be included as Category A staff in the University's submission to REF2021. For the purposes of REF, an independent researcher is defined as *"an individual who undertakes self-directed research, rather than carrying out another individual's research programme"* (REF Guidance on Submissions, para 131, <https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>).

3.1.2 Where an individual who does not expect to hold an ATR contract with the University on the REF census date (31/07/2020) considers that they are an independent researcher, and otherwise meet the eligibility criteria for REF submission (minimum 0.2FTE contract with the University, and in post on the REF census date with a substantive connection to the submitting unit), a case may be put forward for them to be categorised as Category A staff. To ensure all potential Category A staff have this opportunity, all staff will be made aware of this process through the staff newsletter and by personal email from the Human Resources Division.

3.1.3 A form has been developed to collate appropriate information to inform the decision concerning confirmation of research independence. This is included at Appendix H. The form is also available on the University Portal and can be provided in alternative formats.

3.1.3 Applications for consideration of research independence will be accepted throughout 2019 and 2020 until the published REF census date of 31 July 2020. After this date no further applications will be considered.

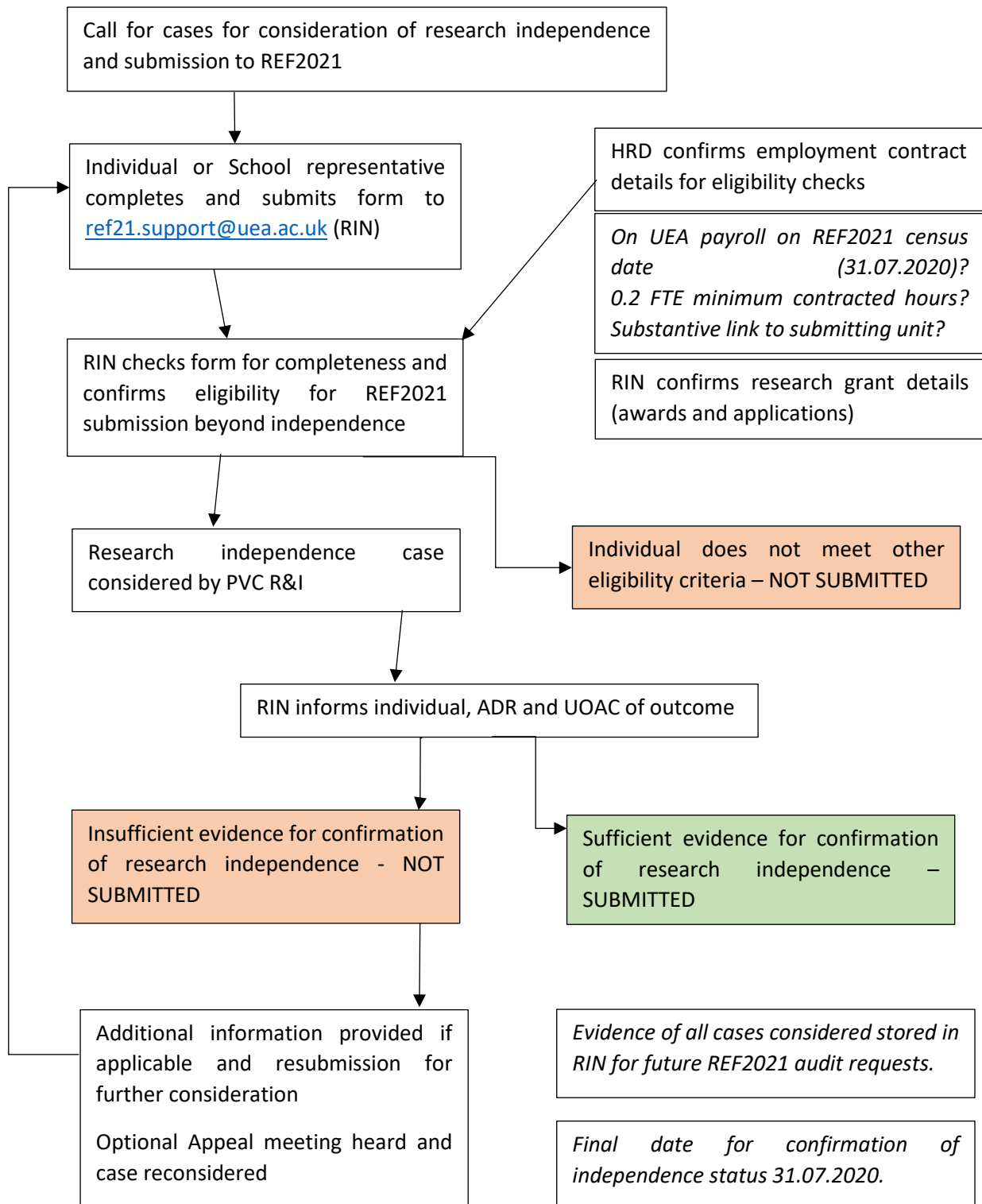
3.1.4 Decisions on applications will be communicated to the individual and the relevant Associate Dean (Research) (ADR) and Unit of Assessment Coordinator(s) (UOAC) by the Research Manager within 15 working days of receipt of the application.

3.1.5 Should the individual not agree with the outcome of the application, an appeals process is set out in section 3.3 below.

3.1.6 The form (Appendix H) is to be completed by the individual (or a representative of the School/Unit of Assessment) and submitted to Research & Innovation Services (RIN). Any further evidence such as grant data is obtained by RIN, and other REF2021 eligibility checks are made with the Human Resources Division (HRD) before the case for research independence is considered by the Pro Vice Chancellor for Research & Innovation (PVC R&I), or in case of prolonged absence, their delegate.



Diagram 1: Determining Research Independence



3.1.7 In coming to a conclusion regarding research independence, the PVC R&I will take into account multiple factors and indicators of independence which will include, but are not limited to:

- leading or acting as principal investigator or equivalent on an externally funded research grant

- holding an independently won, competitively awarded fellowship where research independence is a requirement (the decision-makers may make reference to the list of fellowships on the REF website (<https://www.ref.ac.uk/guidance/>) to inform their decision)
- leading a research group or significant work package

Note that in line with the REF Guidance on Submissions, a member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs (REF Guidance on Submissions, para 133, <https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>).

3.1.8 The outcome of the submission for consideration of status as an independent researcher will be communicated to the individual, the relevant REF Unit of Assessment Coordinator and the Associate Dean (Research) by the Research Manager (RIN) within 15 working days of the application being received in RIN. This enables the individual to be incorporated into the submission and their research outputs added to the pool for consideration.

3.1.9 The outcome of a submission for consideration of status as an independent researcher does in no way imply any changes to the individual's current contract of employment with the University.

3.1.10 In the event that the submission is not upheld, the individual (or a representative of the School/Unit of Assessment) can add any further new evidence to support the case for reconsideration up to 31 July 2020, after which point no further appeal can be considered. See section 3.3 below for more information on the appeals process.

3.2 Staff, Committees and Training

3.2.1 The key staff roles connected with the preparation of the REF submission are shown in the diagram in Appendix E. They are further described in Appendix F – Roles and Responsibilities of Decision Makers part 2 – Individual Academic Roles with REF2021 Responsibilities.

3.2.2 The Committees involved in decision making concerning the University's REF submission are detailed in Appendix F part 1 – Committees and Groups with REF2021 Responsibilities.

3.2.3 The University's Professional Services Divisions with REF2021 responsibilities are described in part 3 of Appendix F.

3.2.4 All staff involved in decision making in connection with REF2021 will undertake mandatory equality and diversity training and training on understanding unconscious bias (see section 4.2). The University has an on-going programme of delivered training on Understanding Unconscious Bias, which has been run since 2014. All decision makers in REF 2021, including the University's Vice-Chancellor and Executive Team, attended these sessions between November 2018 and January 2019. Individuals who join the University or change roles after this time, and who will be required to make decisions concerning REF 2021 submissions, will be added to future training sessions.



3.3 Appeals

3.3.1 In the event that the submission is not upheld, the individual can add any further new evidence to support the case for reconsideration up to 31 July 2020, after which point no further appeal can be considered.

3.3.2 The feedback from an unsuccessful application may include details of further evidence which would support the case for research independence.

3.3.3 If felt necessary by the PVC R&I, the appeal will mirror the University's formal Stage Two Appeal from the Academic Grievance Procedure. In any such cases the appeal will be considered in a meeting comprising a senior academic staff member, a Head of School (other than that of the appellant's School), the Chief Operating Officer or their delegate, and a Pro Vice Chancellor. The appellant may be accompanied at the meeting by supporter/representative.

3.3.4 Appeal cases will be reviewed and decisions made within 20 working days of a resubmitted application. This extended timeframe for consideration allows time for an appeal meeting to be called if necessary.

3.3.5 The outcome of the appeal for consideration of status of independent researcher will be communicated to the individual, the relevant UOACs and AD(R) by the Research Manager (RIN).



3.4 Equality Impact Assessment

3.4.1 An Equality Impact Assessment (EIA) was carried out on the Code of Practice in December 2018. This is included at Appendix J. The EIA identified several possible points at which risk of bias was moderate to high and as a result, the processes outlined have been modified to reduce such risk. The Code of Practice will continue to be assessed in this way and any identified risks mitigated as far as possible.

3.4.2 Equality Impact Assessments will also be carried out on the results of the Mock REF exercise and results will be circulated to the REF Strategy Group with appropriate actions identified where feasible/needed.

3.4.3 Results of the EIA for REF 2014 have been used in training on Understanding Unconscious Bias for decision-makers in the REF process. Training also covers strategies for mitigating or eliminating unconscious bias from decision-making.

Part 4: Selection of Outputs

4.1 Policies and Procedures

4.1.1 The decision-making process for the selection of outputs for submission to REF2021 will be undertaken by Unit of Assessment Coordinators (UOACs) for approval by the Pro Vice Chancellor for Research & Innovation (PVC R&I), supported by Associate Deans (Research) (AD(R)s). The University's standing committees and roles of relevant members of staff also apply (see Appendix F).

4.1.2 The decision-making process has a number of key stages which are also described in the flowchart at Diagram 2.

4.1.4 The first stage (A) determines the staff list for each Unit of Assessment (UOA), this will include all staff, past and present, whose research outputs are eligible for submission in that UOA. This stage enables a list of all potential outputs available for selection to be created (C) and checked for confirmation of eligibility (author status, open access compliance, date of first publication). Stage A also enables the calculation of number of outputs required for the submission to that UOA (B).

4.1.5 The list of all eligible outputs is then ranked by quality rating (C). This rating is based on a combination of internal and (if applicable) external review (see para 4.1.6 below). The ranking will also take into account any subject/sub-panel specific requirements and if appropriate qualitative assessments. This ranking will be undertaken by the relevant UOAC in accordance with the University's statement on the use of metrics in research assessment.

4.1.6 A period of external review (Mock REF) will be undertaken in Spring/Summer 2019 to inform output quality assessments and rankings. Not all outputs or elements of the REF submission will be subject to external review. The purpose of external review is to build on and calibrate internal assessments of research quality. It will be possible to seek further external assessment with the approval of the ADR and PVC R&I throughout the submission preparation period.

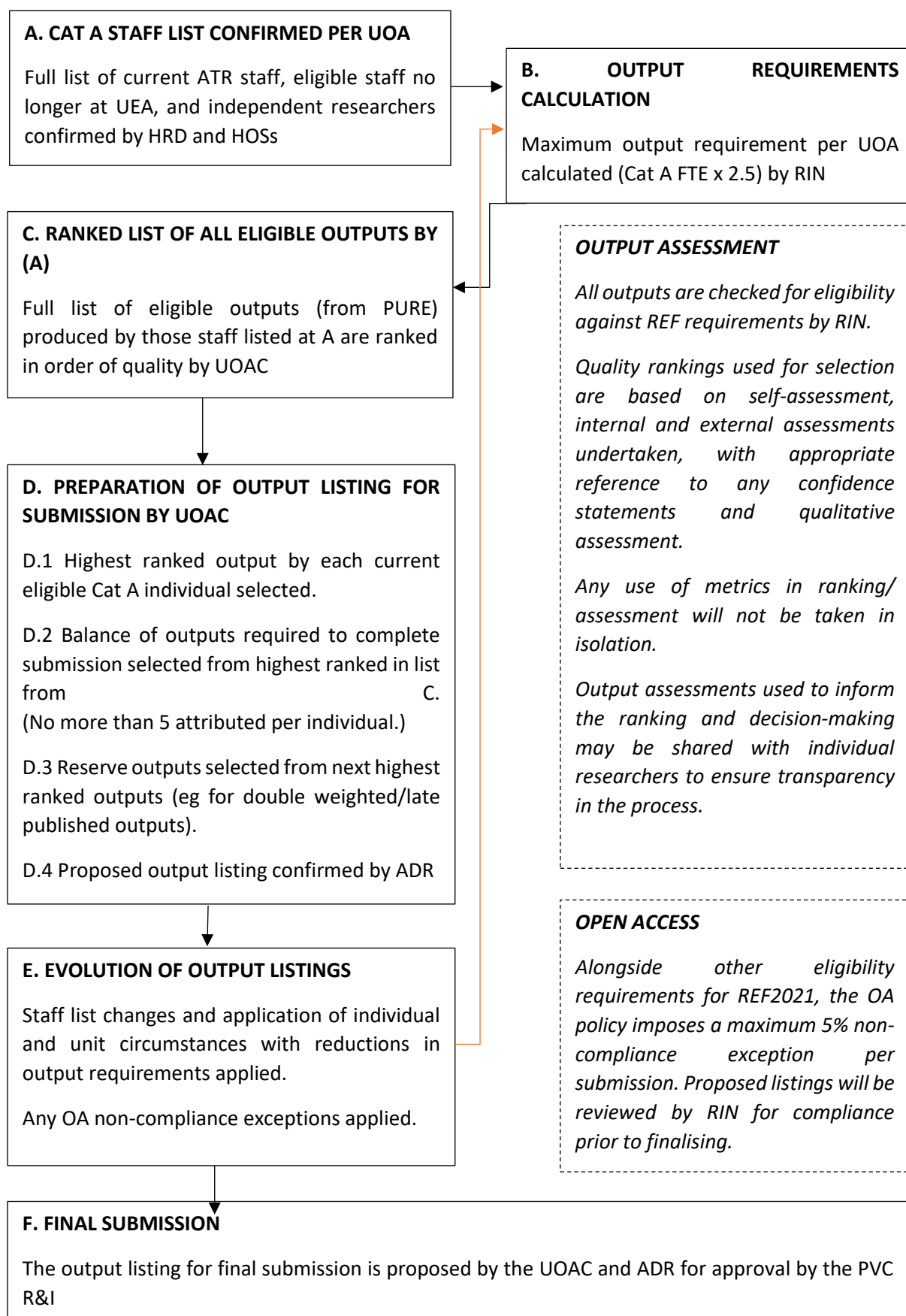
4.1.7 The list of outputs proposed for submission will then be created by the UOAC. Firstly taking the highest quality output for each Cat A staff member in the submission, thereby satisfying the minimum of one output per person requirement. The remaining outputs required for the submission are selected from the highest quality remaining outputs in the list at C. The proposed list of outputs for submission is then considered by the ADRs in the context of other related Units of Assessment.

4.1.8 The University does not consider it appropriate to submit the outputs of eligible former staff that were made redundant while holding permanent contracts, nor of those made redundant part way through a fixed term contract. The outputs of this category of former staff will therefore not be considered for submission to REF2021. The University does however consider it appropriate to include the research of former staff whose contracts ended during the assessment period on a scheduled date.

4.1.9 Members of eligible staff whose outputs are selected for submission to a Unit of Assessment other than that most closely aligned to their School will not be disadvantaged in any way, for example in terms of career progression, and will not be required to transfer Schools.

4.1.10 The list of proposed outputs for submission created as described in para 4.1.7 is expected to evolve with the development of the submission. For example, as new outputs are published, staff recruitment or departures, application of individual circumstances and changes to the required number of outputs. The final list for submission will be proposed by the UOAC and ADR to the PVC R&I for approval.

Diagram 2: Selection of Outputs



4.1.11 In applying this methodology for the selection of outputs the University ensures the highest quality submission for each UOA. In determining this, it is recognised that the breadth of the submissions may not be wholly representative of the broadest range of research undertaken in the unit. This does not diminish the value that the University places on research groups underrepresented in outputs submitted to REF2021.



4.2 Staff, Committees and Training

4.2.1 The University's relevant standing committees and reporting systems will be applied to make decisions about the REF2021 submission, with leadership and support from relevant members of staff and central service divisions. Full details of the roles and responsibilities of groups and individuals with regards to REF2021 are given in Appendix F.

4.2.2 Every member of staff who is involved in REF2021 decision making will be fully briefed on the University's equality policies. Equality and diversity training is mandatory for all University staff via an online platform which is overseen and monitored by the University's Equality and Diversity Team. In addition to this training, all staff involved in REF2021 decision making (see Appendix F) will undergo face-to-face group training on unconscious bias, delivered by the Equality and Diversity Team. All training materials will remain available on the University's Portal site and any changes in decision-making personnel during the submission preparation period will be monitored to ensure that all those involved in preparing for REF2021 have the same level of training.

4.2.3 The University will also provide a copy of this Code of Practice and relevant equality and diversity training materials to any individual from outside of the University who is involved in external review or advice to inform submission decisions.

4.2.4 All users of this Code of Practice and associated training materials will have the option to obtain copies in accessible formats as required.



4.3 Disclosure of Circumstances

4.3.1 Measures to support staff with individual circumstances

The University is fully committed to supporting and promoting equality and diversity in research careers. As part of this commitment the University will adhere to the procedures set out in the detailed guidance produced by Research England (latest versions available on the REF website at <https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>).

The University recognises the need to create supportive structures for enabling all staff to declare voluntarily and in confidence any relevant circumstances that have had an impact on their ability to research productively throughout the assessment period; and to take these circumstances into account by making adjustments to the expectations for that individual's contribution to the output pool.

The following sections describe the University's research output requirements; the structures in place to support the voluntary declaration of circumstances and the support available to those staff members; the applicable circumstances, how they will be assessed, and the adjustments that will apply both to the expectations for individual contributions to the overall output pool and for individuals who have not been able to produce an eligible output during the REF period due to the impact of their circumstances.

4.3.2 University Research Performance Expectations

The decoupling of staff and outputs for REF2021 is intended to provide increased flexibility in building the portfolio of outputs for submission. There are many reasons why a researcher may have fewer or more outputs attributable to them in an assessment period and it is not expected that all staff members will be returned with the same number of outputs.

Notwithstanding, the University has in place a requirement for annual monitoring and management of research activity to meet the following research activity standards:

- 4* research activity is an expectation of Chairs and Readers, and all other ATR staff are expected to produce 3* research;
- the threshold for an individual's research outputs in a REF submission period is a grade point aggregate of 12 i.e. 3*, 3*, 3*, 3* or (preferably) 4*, 3*, 3*, 2*.

These research expectations have been established by the University's Executive Team and the annual monitoring and management of research activity takes place through the normal process of annual appraisal and research activity planning meetings.

Despite the changes to the methodology and UoA output requirements for REF2021, this expectation of research performance for ATR staff remains unchanged for this REF cycle, so that the University has a sufficiently broad and diverse output pool from which to select the best portfolio of outputs for submission.

However, in order to recognise the effect that an individual's circumstances may have had on their research productivity and to minimise any potential negative impact on their career development, where individual circumstances of staff are identified as meriting either a reduction in the University's expected contribution to the output pool or the removal of the one output minimum, an equivalent

volume reduction will apply to the University's research activity standards for the individuals affected (quality expectations will remain unchanged).

The equivalent volume reductions will be calculated in accordance with the permitted reductions set out in the Guidance on Submissions document (<https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>). See 4.3.6 for further details.

Impact of COVID-19

This year has seen a changing situation as the country, the Higher Education Sector and UEA respond to the advice from the Government and Public Health England on limiting the spread of COVID-19. The University is conscious of the various impacts the pandemic will have on academic careers and productivity due to the need to adapt to new ways of working online and on campus, balancing working from home with caring responsibilities and home schooling, and the shift towards digital and blended learning.

Where individual circumstances apply, including those associated with COVID-19, the volume reductions will be taken into account in the University's promotions and salary review processes. This may apply in cases submitted for confirmation of appointment, promotion, special increments, advancement into the discretionary range of the salary scale, and ex-gratia payments. The volume reductions will also feed into the annual monitoring and management of research activity so that appropriate adjustments can be made, in consultation with individuals, to their research plans and workload allocations.



4.3.3 Voluntary Staff Declaration Process

The University is committed to a process of voluntary and optional declaration by staff so that individuals do not feel under pressure to declare their circumstances if they do not wish to do so.

Where an individual wishes to declare circumstances that have affected their ability to research productively throughout the period, in relation to their contribution to the output pool and/or where exceptional circumstances (including the impact of COVID-19) have meant that an individual has not been able to produce an eligible output, those circumstances can be declared by following the confidential process set out below.

The University will write to all eligible staff with an invitation to complete the Declaration Form (Annex I) if they wish to have individual circumstances taken into account. The invitation will make it clear that this is a voluntary process with no obligation to complete and return the Form if an individual does not wish their circumstances to be taken into account. Staff who are not currently present at the institution (for example, those on maternity leave or secondment) will be included in this correspondence.

The Form (Appendix I) will be made available on the University Portal and can be provided in alternative formats.

Confidential advice and guidance will be available from Human Resources on the criteria for output reduction and/or removal of the minimum output, and the support available for individuals with circumstances (see 4.3.4)

The information returned on the Form must be based on verifiable evidence. Where this is not already available to Human Resources, staff members may be asked by Human Resources to submit further information, in confidence.

At each stage in the UEA REF process where selection decisions are made, all eligible staff will be reminded of the process for voluntarily declaring circumstances and will be invited to submit them for consideration. It is recognised that staff circumstances can change and that submissions may occur throughout the REF preparation period and this reminder process will highlight the need to update original submissions, where appropriate.

The deadline for submitting individual circumstances for consideration will be 31st January 2020. Where the combination of individual staff circumstances earlier in the assessment period and the effects of COVID-19 has had an exceptional effect so that a staff member has not been able to produce an eligible output, the deadline for submitting requests for the removal of the minimum one requirement will remain open until 30 November 2020. The University will take account of where an individual's circumstances are on-going in applying defined reductions, making a judgement on circumstances equivalent to absence or removing the minimum requirement.

Declaration Forms will be submitted, in confidence, to Human Resources. The Forms will be securely stored, will be treated as confidential in accordance with the requirements of the GDPR 2018.



4.3.4 Supporting Staff with Individual Circumstances

The University supports the view of the funding bodies that individuals are best placed to consider whether equality-related circumstances have affected their productivity over the REF assessment period. This means that the University will not take account in the REF submission process any individual circumstances, including those that might already be known (such as maternity leave or sickness absence), other than those that individuals have consented to declare voluntarily through the process, outlined in 4.3.3.

Confidential advice and guidance is available to all eligible staff on the criteria for output reduction and/or removal of the minimum one output from Human Resources.

HR contacts:

Alison Clements HR Manager FMH	E: alison.clements@uea.ac.uk T: (0)1603 592193 / 2314
Linda Cole HR Manager HUM	E: linda.cole@uea.ac.uk T: (0)1603 593582 / 3809
Santha Forder HR Manager SSF	E: s.forder@uea.ac.uk T: (0)1603 592936 / 3494
Jenny Evans HR Manager SCI	E: j.evans1@uea.ac.uk T: (0)1603 592124 / 2734

Where circumstances have had an impact on research productivity, as well as the volume reductions set out in Section 4.3.2, the University will develop, in consultation with the individual, measures to provide help and support to ensure the individual can continue to work productively and without any potential negative impact on their career development.

The University provides a safe and healthy workplace for staff by minimising the risks of people suffering ill-health as a result of work, finding ways to allow people to work despite health problems or disability, and promoting a healthy and productive workforce.

A full range of professional Occupational Health services are available to members of staff who are experiencing health-related difficulties at work. An appointment with Occupational Health is an opportunity to discuss, in confidence, with an experienced health professional any concerns staff might have about their health in relation to work. Colleagues in HR can provide confidential guidance on how to access the Occupational Health service.

The University has a Health & Wellbeing policy which encourages and facilitates working practices and services that support employee health and wellbeing. A range of resources to support and promote the wellbeing of staff are also available including a Wellness Action Plan which has been designed to support staff to manage their mental health and promote wellbeing at work, along with guidance aimed at promoting positive mental health at work and dealing with stress. These resources are accessible through the University's Portal or through Human Resources, who will also be able to signpost a range of external wellbeing services available in the local area.

The University also has a campus-based Counselling Service which offers a confidential service to staff from all areas of the University who might be looking for assistance with personal or work-related problems.



4.3.5 Assessing Individual Circumstances

Where an individual has declared circumstances that have affected their ability to research productively throughout the period, those circumstances will be assessed following the process set out below and described further in the flowchart (Diagram 3).

Following receipt of a Declaration Form, an initial assessment of the impact of the circumstances and a recommendation will be made by the Faculty Human Resources Manager to the REF Individual Circumstances Group.

The Group will be limited to a small number of key individuals in order to minimise the number of people with access to sensitive information and to promote consistency across the University. Group members will receive anonymised information only.

- PVC Research & Innovation, Professor Fiona Lettice, who has lead responsibility for managing the University's REF submission;
- Director of People and Culture, Helen Wiseman, who has lead responsibility for HR activities across the University;
- Human Resources Manager, Jenny Evans, who has specific responsibility for providing advice and guidance for REF-related HR procedures;
- Academic representative, Professor Matthew Gage, who has no role in the University's REF submission.

Group members will receive the following REF-Specific training:

- Diversity at Work - Knowledge of the complex field of equality and how it relates to the University as a workplace.
- Managing Unconscious Bias at UEA – reducing the potential impact of unconscious bias by developing an awareness of the potential for, and becoming equipped with strategies to reduce, bias.

The Terms of Reference of the REF Individual Circumstances Group are:

- To consider, in a consistent manner, declared circumstances submitted by eligible staff in accordance with the criteria and details outlined in Research England's Guidance on Submissions (<https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>)
- To determine whether further information is required to make an informed decision including, where necessary, referral to Occupational Health, and to make necessary arrangements, via Human Resources.
- To determine, in accordance with **Annex L Reductions for Staff Circumstances** in the Guidance on Submissions document (link above), where the expected contribution by the individual to the output pool should be reduced.
- To determine, in accordance with Paragraphs 179 and 180 in the Guidance on Submissions document (link above), where circumstances are such that the University may request the removal of the minimum one output requirement for the individual.
- To take account of where an individual's circumstances are on-going in applying defined reductions, making a judgement on circumstances equivalent to absence or removing the minimum requirement.

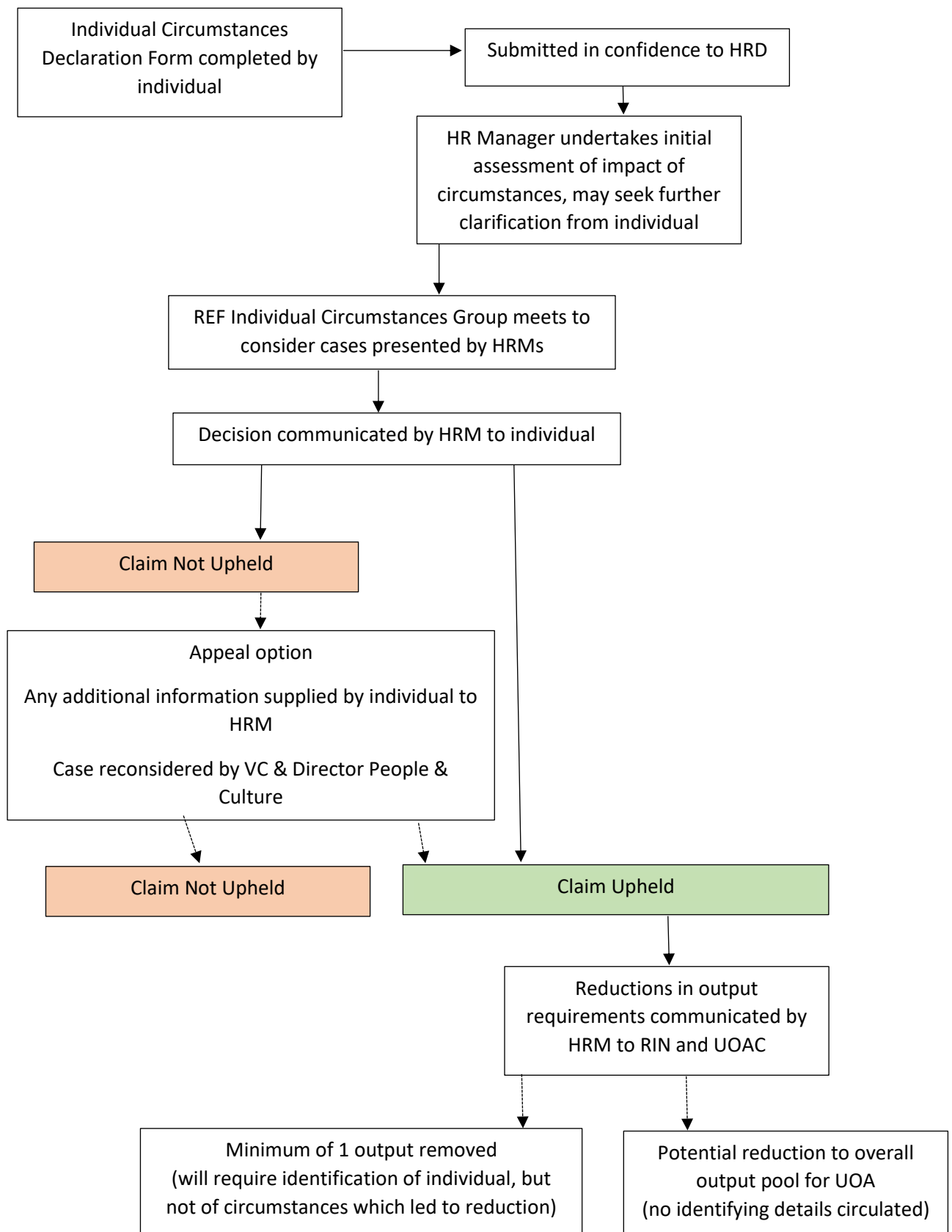
- To communicate the decision on recommendations to the individuals concerned, and to UoA Co-ordinators (via RIN). In each case the justification of the recommendation will remain confidential.
- In consultation with the individual, to communicate the decision on recommended reductions to the Head of School so that supportive measures can be agreed and the recommended reductions fed back into the annual monitoring and research management activity processes.

The Individual Circumstances Group will meet as required to discuss submissions, between May 2019 and February 2020. For further submissions for consideration of the removal of the minimum one requirement, where the combination of individual staff circumstances earlier in the assessment period and the effects of COVID-19 has had an exceptional effect so that a staff member has not been able to produce an eligible output, the Group will meet to consider any submissions in December 2020.

An appeals process will be available where the Individual Circumstance Group does not support a reduction to the expected contribution to the output pool and/or removal of the minimum one output. The process and timeframe for submitting appeals will be clearly articulated in the communication confirming the decision. Appeals will be heard by the Vice Chancellor, supported by the Director of People and Culture, and will take place on a rolling basis between March 2019 and February 2020 (and in December 2020 for further submissions for consideration of the removal of the minimum one requirement related to the effects of COVID-19).



Diagram 3: Assessing Individual Circumstances



4.3.6. Applicable Staff Circumstances and the adjustments that will apply

(a) Reduction in the expected contribution to the output pool

Where individual circumstances of staff are identified as meriting a reduction in the University's expected contribution to the output pool an equivalent volume reduction will apply to the University's research activity standards for the individuals affected.

4.3.3. sets out the process for declaring individual circumstances to be taken into account. Section 4.3.5. and Diagram 3 sets out the process for assessing individual circumstances.

The funding bodies, advised by EDAP, have identified the following equality-related circumstances that, in isolation or together, may significantly constrain the ability of submitted staff to produce outputs or work productively throughout the assessment period. The equivalent volume reduction will be calculated in accordance with the circumstances and permitted reductions set out in **Annex L Reductions for Staff Circumstances** in the Guidance on Submissions document (<https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>) .

A summary of applicable circumstances is set out below.

- a. Qualifying as an Early Career Researcher (paragraphs 148 and 149 and Annex L).
- b. Absence from work due to secondments or career breaks outside the HE sector.
- c. Qualifying periods of family-related leave.
- d. Other circumstances that apply in UOAs 1-6 (paragraphs 161 to 163).
- e. Circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in outputs, which are:
 - i. Disability (defined in the Guidance on Codes of Practice Table 1 under Disability).
 - ii. Ill health, injury, or mental health conditions.
 - iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances set out in Annex L
 - iv. Other caring responsibilities (such as caring for an elderly or disabled family member).
 - v. Gender reassignment.
 - vi. Other circumstances relating to the protected characteristics listed in the Guidance on Codes of Practice, Table 1, or relating to activities protected by employment legislation.

Where the REF Individual Circumstances Group recommends an output reduction, an equivalent volume reduction will apply to the University's research activity standards for the individuals affected.

(b) Removing the minimum one output

All eligible Category A submitted staff must be returned with a minimum of one output attributed to them in the in the submission, including those with individual circumstances. To minimise any potential negative impact on the careers of researchers who have not been able to produce an eligible output in the assessment period due to their individual circumstances, a request may be made for the minimum of one requirement to be removed.

The process for declaring circumstances is set out in Section 4.3.3.

4.3.3. sets out the process for declaring individual circumstances to be taken into account. Section 4.3.5. sets out the process for assessing individual circumstances.

Declarations can be may be made for consideration where any of the following circumstances apply within the period 1 January 2014 to 31 July 2020:

- a. an overall period of 46 months or more absence from research, due to one of more of the circumstances set out in Paragraphs 160 to 163 in the Guidance on Submissions document (<https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>), (such as an ECR who has only been employed as an eligible staff member for part of the assessment period);
- b. circumstances equivalent to 46 months or more absence from research, where circumstances set out in Paragraph 160 apply (such as mental health issues, caring responsibility, long-term health conditions) or;
- c. two or more qualifying periods of family-related leave, as defined in Annex L.

Where the period of absence (or circumstances equivalent to this) does not equal 46 months or more, but the individual's circumstances are deemed to have resulted in a similar impact, a request may still be made. Where an individual has a combination of circumstances, all the applicable circumstances should be cited, including a description of how the circumstances have affected the staff member's ability to produce an eligible output in the period.

In addition, the minimum of one output requirement may be removed for a staff member that has not been able to produce an eligible output where the following circumstances apply:

a. Output(s) in the process of being produced have been affected by COVID-19 during the assessment period (1 January 2014 to 31 July 2020). This includes effects due to applicable circumstances (such as ill health, caring responsibilities); other personal circumstances related to COVID-19 (such as furloughed staff, health-related or clinical staff diverted to frontline services, staff resource diverted to other priority areas within the HEI in response to COVID-19); and/or external factors related to COVID-19 (for example, restricted access to research facilities); **and**

b. The overall impact of the COVID-19 effects, combined with other applicable circumstances affecting the staff member's ability to research productively during the assessment period, is deemed similar to the impact of the circumstances cases set out above. For example, where a staff member is an early career researcher, or has held a fractional contract for a significant proportion of the assessment period, and has experienced COVID-19 related disruption to the production of an eligible output.

In all cases, the information provided must be based on verifiable evidence, which may be audited during the request process.

Where supported by the REF Individual Circumstances Group, the University will make a formal request for removal of the minimum one output for that individual, without penalty. Approved requests will be submitted via the REF secure submission system. Information in submitted requests will be kept confidential to the REF team, EDAP and the main panel chairs, who are all subject to confidentiality undertakings. REF sub panels will not have access to information about the circumstances underpinning output reductions.



4.3.7. The process for determining requests for Unit of Assessment Output Reductions

Where the cumulative effect of the individual circumstances has disproportionately affected a Unit of Assessment's output pool, the University may, **exceptionally**, request a reduction in the total number of outputs required for submission for that UoA.

In line with the REF Main Panels, the University anticipates that very few UoAs will require a request for output reductions (paragraph 174 of the Guidance on Submissions document (<https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>), and these are the broad circumstances that will apply:

- Where there are very high proportions of staff in the unit whose individual circumstances have affected their productivity over the REF period
- A small UoA (ie less than 10 FTE) with a high proportion of staff with individual circumstances
- For disciplines where the normal pattern is to publish fewer outputs, such as a small number of large monographs

The PVC R&I, in association with UOACs, will determine whether a request should be made for a reduction to the total number of requested outputs required by a UOA. Decisions from the REF Individual Circumstances Group concerning non-defined reductions in expected contributions and removal of minimum outputs will be used to inform the process of consideration.

The calculation of the total potential reduction will be made in accordance with the REF Guidance on Submissions (<https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>), paragraphs 184-191. It is anticipated that approved requests for reductions in overall output requirements for any UOAs will be submitted by the University (REF Institutional Contact) via the REF secure submission system. Information in submitted requests will be kept confidential to the REF team, EDAP and the main panel chairs, who are all subject to confidentiality undertakings. REF sub panels will not have access to information about the circumstances underpinning output reductions.

When further details of the mechanisms for submitting requests are published, the above process will be reviewed and any amendments to the Code of Practice communicated.

Outcomes for requests for output reductions submitted from Autumn 2019 until March 2020, will be provided by the REF Team to the University in September 2020. Unit of Assessment Coordinators and the University REF Strategy Group will consider any cases of UOA output reductions for submission with the approval of the PVC R&I.



4.3.8. Fixed term and part-time staff

The University is committed to treating all staff fairly, irrespective of whether they are employed on an indefinite, fixed term, full time or part-time basis. The University has in place mandatory training

in Diversity in the Workplace which provides all staff with a firm foundation on equality and diversity matters. Refresher training is required every two years.

The University has developed a Code of Practice on Fixed Term Employees to ensure that fixed term staff are supported in the workplace and treated no less favourably than comparable employees on indefinite contracts. The Code establishes a process for appointment to fixed term contracts, ensuring that fixed term appointments are made only where a clear business case, evidencing objective reasons, is present. The Code sets out rights and obligations during employment, ensuring staff on fixed term contracts are included in the appraisal cycle and have access to the same training, development and promotion opportunities. The Code sets out a process to ensure that staff on fixed term contracts are consulted with in good time and alternatives, including redeployment and consideration for a move to indefinite status, are considered before a decision is taken about non-renewal.

The University has a Code of Practice for the Management of Research Staff which provides guidance to research staff, Heads of Schools, Principal Investigators and other research managers on how they can create an appropriately managed and supportive environment in which research staff can work effectively in pursuit of their project goals and to develop their careers.

The Code draws on the Concordat to Support the Career Development of Researchers and has been developed from our Action Plan to support the implementation of the Concordat. UEA is a holder of the European Commission's award which acknowledges our alignment with the principles of the European Charter for Researchers and Code of Conduct for their recruitment. UEA also holds the Bronze Athena Swan Award, which recognises our commitment to advancing women's careers in academia.



4.4 Equality Impact Assessments

Equality Impact Assessments (EIAs) have been carried out to consider the implementation of the proposed Code from the perspective of a number of protected characteristics and to consider the impact of proposed practice on staff within those groups. The principle of fairness is considered throughout.

EIAs on the Code of Practice began in December 2018 and actions to mitigate risk, and further EIAs of the Code will be on-going to the point at which the Code is submitted. The most recent CoP EIA is included at Appendix J.

Additionally, EIAs will be carried out at mock-REF stage (July 2019) and after the final REF exercise has concluded (April 2021).

Part 5: Appendices

A. List of Statutory Responsibilities

- B. List of University policies, procedures, and guidance notes
- C. Glossary of Terms
- D. REF Code of Practice Consultation and Communications Plan
- E. Key REF Roles at UEA
- F. Roles and Responsibilities of Decision-Makers
- G. UEA Statement on the Responsible Use of Metrics in Research Assessment
- H. Independent Researcher Status Evidence Submission Form
- I. Disclosure of Individual Circumstances Template
- J. Equality Impact Assessment (December 2018)
- K. Code of Practice Change Log



TRANSPARENCY



CONSISTENCY



ACCOUNTABILITY



INCLUSIVITY

Appendix A: List of Statutory Responsibilities

The University's statutory responsibilities include, but are not limited to:

- Civil Partnership Act 2004
- Employment Act 2002
- Employment Relations Act 1999
- Employment Rights Act 1996
- Equality Act 2010
- Equality Act 2010 (Gender Pay Gap Information) Regulations 2017
- Equality Act 2010 (Specific Duties and Public Authorities) Regulations 2017
- General Data Protection Regulations 2016
- Health and Safety at Work Act (1974)
- Human Rights Act 1998
- Maternity and Parental Leave (Amendment) Regulations 2001
- Part-time Workers (Prevention of less favourable treatment) Regulations 2002
- Paternity and Adoption Leave Regulations 2002
- Public Interest Disclosure Act 1998
- Working Time Regulations 1998

Appendix B: University of East Anglia: Policies, Procedures and Guidance Notes

The latest versions of these documents are online at <https://www.uea.ac.uk/hr/employee-information/>

Briefing Note 1 - Disclosing a Disability

Briefing Note 2 - Adjustments under the Equality Act 2010

Briefing Note 3 - Different types of disability discrimination

Briefing Note 4 - Access to Work

Briefing Note 5 - Guidance on Transgender and Non-binary

Briefing Note 6 - Glossary of Transgender Terms

Briefing Note 7 - Disclosing your Nationality and Ethnic Origin

Briefing Note 8 - Different types of Race Discrimination

Briefing Note 9 - How to deal with race hate incidents and crime

Briefing Note 10 - Different types of Age Discrimination

Briefing Note 11- How to deal with age related hate incidents and crime

Briefing Note 13 - Disclosing your Sexual Orientation

Briefing Note 15 - Different types of Sexual Orientation Discrimination

Briefing Note 16 - How to deal with sexual orientation hate incidents and crime

Briefing Note 17 - Disclosing your Religion or Belief

Briefing Note 18 - Different types of Discrimination related to religion or belief

Briefing Note 19 - How to deal with religious or perceived religious hate incidents and crime

Briefing Note 21 - Disclosing your gender

Briefing Note 22 - Different types of Sex Discrimination

Briefing Note 23 - How to deal with transgender hate incidents and crime

Briefing Note 24 - Disclosing your marital or civil partnership status

Briefing Note 25 - Different types of marriage and civil partnership Discrimination

Briefing Note 26: Guidance for staff who believe they are being subjected to inappropriate behaviour

Briefing Note 27: Guidance for staff who believe they have witnessed inappropriate behaviour

Briefing Note 28: Guidance for staff who have had a complaint of inappropriate behaviour made against them

Briefing Note 29: Guidance for managers on how to deal with a complaint of inappropriate behaviour

Code of Practice for Staff - Dignity and Respect in the Workplace

Code of Practice for Staff - Disability in Employment

Code of Practice for Staff - Equality and Diversity

Code of Practice for Staff - Equal Pay and Gender Pay Gap

Code of Practice for Staff – Fixed Term Employees

Code of Practice for Staff – Management of Research Staff

Code of Practice for Staff - Marriage and Civil Partnership

Code of Practice for Staff - Pregnancy and Maternity

Code of Practice for Staff - Promotion of Age Equality in Employment

Code of Practice for Staff - Promotion of Race Equality

Code of Practice for Staff - Religion or Belief

Code of Practice for Staff - Sex Equality

Code of Practice for Staff - Sexual Orientation

Equality Strategy

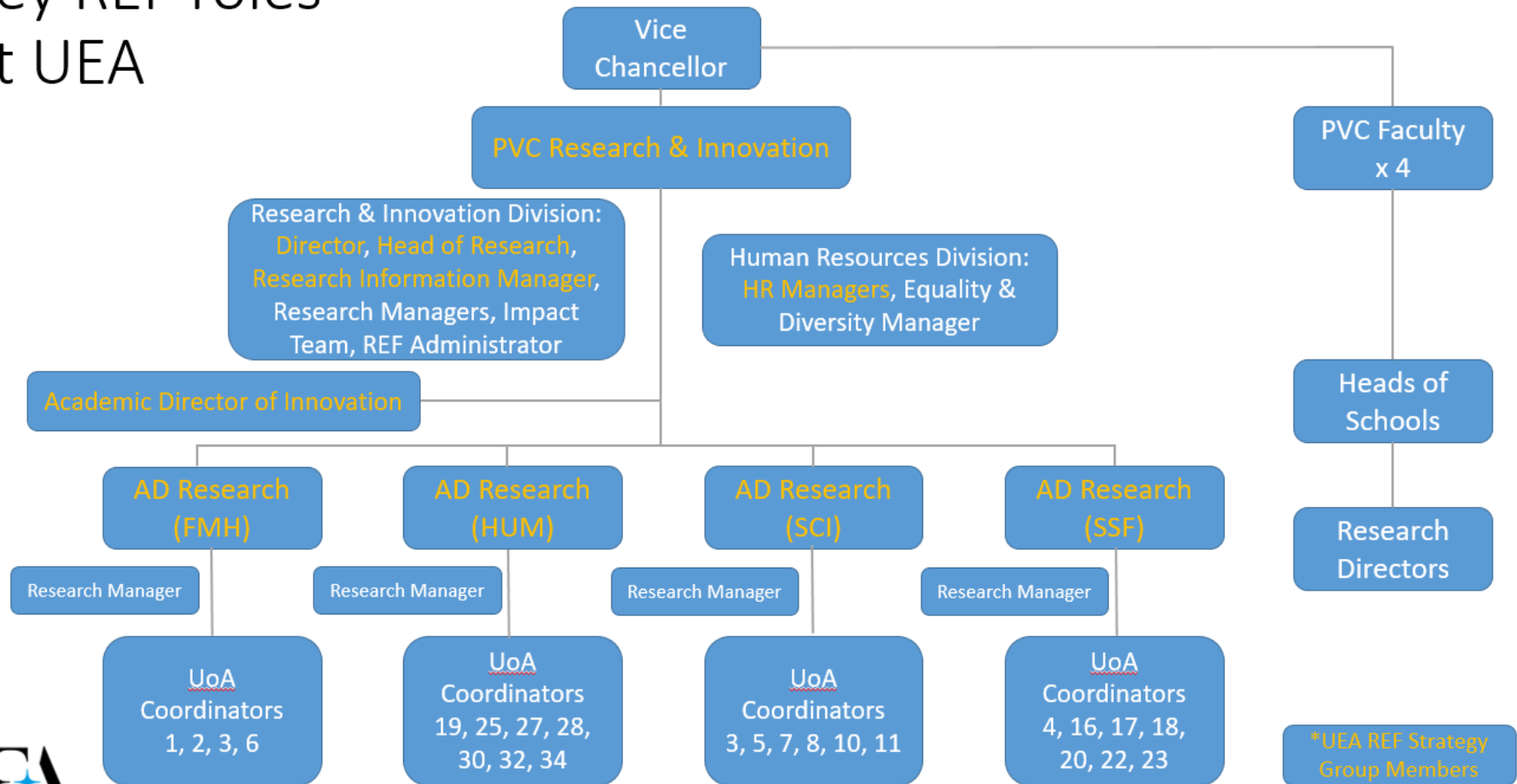
Appendix C: Glossary of terms

AD(R) – Associate Dean for Research
ATR – Academic Teaching and Research
ATS – Academic Teaching and Scholarship
CCT – Certificate of Completion of Training
Co-I – Co-Investigator
DORA – San Francisco Declaration on Research Assessment
ECR – Early Career Researcher
EDAP – Equality and Diversity Panel (<https://www.ref.ac.uk/about/edap/>)
EIA – Equality Impact Assessment
FTE – Full Time Equivalence
HEI – Higher Education Institution
HOS – Head of School
HRD – Human Resources Division
HRM – Human Resources Manager
NRP – Norwich Research Park
OA – Open Access
PI – Principal Investigator
PVC R&I – Pro Vice Chancellor for Research and Innovation
RAP – Research Activity Planning
RD – Research Director (School)
REF2021 – Research Excellence Framework 2021 (www.ref.ac.uk)
RIN – Research and Innovation Service
UEA – University of East Anglia
UOA – REF Unit of Assessment
UOAC – Unit of Assessment Coordinator
VC – Vice Chancellor

Appendix D: REF Code of Practice Consultation and Communications Plan

Date	Action	Methods
Sept 2018	Introduction to Code of Practice for REF UOA Coordinators	Face to face meeting to include equality and diversity training; first draft document for consultation and comment
Sept 2018	Introduction to Code of Practice for REF Strategy Steering Group and Research Executive	Face to face meeting; first draft document for consultation and comment
October 2018	Introduction to Code of Practice for Union Executive representatives	Face to face meeting; first draft document for consultation and comment
Nov/Dec/Jan 2018/19	General consultation on Code of Practice for all staff	Availability of draft Code of Practice for all staff. Publicised via Research Bulletin (sent to PVCs, ADRs, HOS, RDs); UOACs email; NRP contacts list.
Nov/Dec 2018	Consultation on Code of Practice for Heads of Schools	Face to face meeting; first draft document for consultation and comment
Jan 2019	Introduction and consultation on Code of Practice for research only staff	Face to face meeting (Research Staff Summit) for consultation and comment
Jan/Feb 2019	Revised Code of Practice and comments from consultation considered by REF Strategy Steering Group and Research Executive	Face to face meeting; second draft document for consultation and comment
Jan/Feb 2019	Update on Code of Practice for Union Executive representatives	Face to face meeting
Feb 2019	Development version of Code of Practice highlighted to all mock REF external advisors	Personal letter from PVC R&I by email
Feb 2019	Open meeting for all staff on RE, including details of preparation of Code of Practice	All staff invited to open forum hosted by PVC R&I. Invitation via Lasdun staff newsletter, NRP contacts list and email to staff on leave of absence.
March 2019	Update on Code of Practice for Union Executive representatives	Face to face meeting (if requested); final draft document for consultation and comment
March 2019	Final version of Draft Code of Practice considered by Research Executive	Face to face meeting
April 2019	Draft Code of Practice recommended to University Executive Team for approval	Face to face meeting
April 2019	Feedback to all staff on development of Code of Practice	Statement on Portal publicised via staff newsletter; Research Bulletin; UOACs email; NRP contacts list; email to staff on leave of absence.
April 2019	Draft Code of Practice published for staff	Statement on Portal publicised via staff newsletter; Research Bulletin; UOACs email; NRP contacts list; email to staff on leave of absence.
May 2019	Draft Code of Practice recommended to Council for approval	Face to face meeting
May 2019	Submit Code of Practice to EDAP for Review (deadline 07 June 2019)	Email
Summer 2019	Open meeting for all staff on REF preparations	All staff invited to open forum hosted by PVC R&I. Invitation via Lasdun staff newsletter, NRP contacts list and email to staff on leave of absence.
Thereafter any updates or edits to the Code of Practice will be communicated to staff via routes detailed above, and changes highlighted in a "change log" appendix.		

Key REF roles at UEA



Appendix F: Roles and Responsibilities of Decision-Makers

1. Committees and Groups with REF2021 Responsibilities

Committee	Formation and mode of operation	Membership	Role in REF2021
Executive Team	<ul style="list-style-type: none"> Group of senior staff required by Council to advise the Vice Chancellor on the development and implementation of the strategies and policies of the University Meets fortnightly 	<ul style="list-style-type: none"> Vice Chancellor (Chair) Chief Operating Officer Chief Resource Officer Pro Vice Chancellor (Academic) Pro Vice Chancellor (Research & Innovation) Pro Vice Chancellors (Faculties) 	<ul style="list-style-type: none"> Responsibility for strategic direction of all University activities for REF2021 Ratifies decisions made by the Research Executive on REF2021 and reports these to Council Ensures equality and diversity standards are adhered to throughout the decision-making process
Research Executive	<ul style="list-style-type: none"> Standing University Committee with responsibility for the strategic direction of all research activities Reports to the Executive Team Meets at least four times per year 	<ul style="list-style-type: none"> Pro Vice Chancellor (Research & Innovation) (Chair) Associate Deans for Research (Faculty) Director, Research & Innovation Division Head of Research, Research & Innovation Services 	<ul style="list-style-type: none"> Receives and appraises reports from Faculty Research Executives on REF2021 submissions Finalises REF2021 submission for approval by the Executive Team Responsible for the development and approvals of this code of practice and the monitoring of its effectiveness throughout the institution Undertakes equality impact assessments Ensures equality and diversity standards are adhered to throughout the decision-making process
REF Strategy Group	<ul style="list-style-type: none"> Informal grouping of senior staff with institution-wide REF responsibilities Reports to the Research Executive 	<ul style="list-style-type: none"> Pro Vice Chancellor (Research & Innovation) (Chair) Associate Deans for Research (Faculty) Director, Research & Innovation Division Head of Research, Research & Innovation Services Equality & Diversity Manager REF Human Resources Manager Head of Planning Post Graduate Research Manager Research Information Manager 	<ul style="list-style-type: none"> Considers and makes recommendations for the operationalising of submission planning in line with the code of practice Ensures equality and diversity standards are adhered to throughout the decision-making process

		<ul style="list-style-type: none"> • Research Impact Manager 	
Faculty Executives (4)	<ul style="list-style-type: none"> • Standing University committees with responsibility for the strategic direction of all School activities in the Faculty • Report to the Executive Team • Meet fortnightly (except August) 	<ul style="list-style-type: none"> • Pro Vice Chancellor (Faculty) (Chair) • Heads of Schools • Associate Deans • Senior Faculty Manager • Faculty Finance Manager • Faculty HR Manager 	<ul style="list-style-type: none"> • Receives reports from Heads of Schools and Associate Dean for Research on REF2021 submissions • Ensures equality and diversity standards are adhered to throughout the decision-making process
Faculty Research Executives (4)	<ul style="list-style-type: none"> • Standing University committees with responsibility for the strategic direction of all School research activities in the Faculty • Reporting to the Research Executive • Meet at least four times per year 	<ul style="list-style-type: none"> • Associate Dean for Research (Chair) • School Directors of Research • Research Manager, Research & Innovation Services • Faculty local support representatives (optional) 	<ul style="list-style-type: none"> • Receives reports from the Associate Dean for Research on REF2021 submissions • Ensures equality and diversity standards are adhered to throughout the decision-making process • <i>In some but not all Faculties the Research Executives also function as a REF Planning Group to support the preparation of REF2021 submissions</i>
School Research Committees (where applicable)	<ul style="list-style-type: none"> • Informal School based groups reporting to the School Executive Team/School Board 	<ul style="list-style-type: none"> • School Director of Research (Chair) • Representatives from the professoriate/research groups of the School • Project Officer, Research & Innovation Services 	<ul style="list-style-type: none"> • Supports the preparation of REF2021 submissions • Ensures equality and diversity standards are adhered to throughout the decision-making process

2. Individual Academic Roles with REF2021 Responsibilities

Position	Role in REF2021	Rationale and Selection
Vice Chancellor (VC)	<ul style="list-style-type: none"> • The principal academic and administrative officer of the University • Overall responsibility for leadership and management of the University, including REF2021 • Provides resolution of final appeals for submission decisions 	<ul style="list-style-type: none"> • Ex-Officio • Appointed by and reports to Council • Chair of the Executive Team and Senate (University Ordinances: 4 The role of the Vice Chancellor)
Pro Vice Chancellor for Research & Innovation (PVC R&I)	<ul style="list-style-type: none"> • Lead responsibility for establishing REF2021 strategy and managing the University's submission, reporting regularly to the VC and Executive Team 	<ul style="list-style-type: none"> • Ex-Officio • Appointed by the VC on behalf of Council • Reports to the VC

	<ul style="list-style-type: none"> • Determines the University's REF2021 strategy and ensures its effective communication throughout the institution • Assures the quality and robustness of the University's submission to REF2021 across all Units of Assessment, including final decisions on submissions • Appoints REF2021 Unit of Assessment Coordinators • Appoints external advisors • Provides resolution of disputes concerning the allocation of staff to UOAs • Oversees and confirms the status of independent researchers for the purpose of Category A eligibility • Ensures equality and diversity standards are adhered to throughout the decision-making process 	<ul style="list-style-type: none"> • Chair of the Research Executive and REF Strategy Group • Member of the Executive Team and Senate • Chairs the REF Special Circumstances Group
Pro Vice Chancellors for Faculties	<ul style="list-style-type: none"> • Overall responsibility for leadership and management of the Faculties, including REF2021 submission • Informing HR of eligible staff who are absent from the University for the purposes of communicating this Code of Practice • Ensures equality and diversity standards are adhered to throughout the decision-making process 	<ul style="list-style-type: none"> • Ex Officio • Appointed by the VC on behalf of Council • Report to the VC • Members of Executive Team and Senate • Chair Faculty Executives
Academic Director for Innovation	<ul style="list-style-type: none"> • Liaises with, and provides advice to PVCs for Faculties, Faculty Executives, Faculty Research Executives, Associate Deans for Research, Associate Deans for Innovation, and/or PVC Research & Innovation on the preparation of REF2021 submissions • Leads on the development and preparation of impact case studies for submission to REF2021 	<ul style="list-style-type: none"> • Ex Officio • Appointed by the PVC R&I • Reports to the PVC R&I • Member of REF Strategy Group • Member and Deputy Chair of the University Innovation Executive
Associate Deans for Research	<ul style="list-style-type: none"> • Liaise with, and provide advice to PVCs for Faculties, Faculty Executives, Faculty Research Executives, other Associate Deans for Research and/or PVC Research & Innovation on the preparation of REF2021 submissions • Consider recommendations for the optimisation of REF2021 submissions within Faculties, making recommendations to the PVC Research & Innovation on the final submission 	<ul style="list-style-type: none"> • Ex-officio • Appointed by the VC on behalf of Council • Report to the Executive Dean • Chairs Faculty Research Executive • Members of Research Executive and Faculty Executives • Members of REF Strategy Group

	<ul style="list-style-type: none"> • Recommend the appointment of Unit of Assessment Coordinators for those led by their Faculty to the PVC R&I • Coordinate the preparation of REF2021 submissions, provide advice to Unit of Assessment Coordinators, summarise good practice and identify common issues/themes within and between Faculties and REF Main Panels/Sub-Panels • Ensure equality and diversity standards are adhered to throughout the decision-making process 	
Heads of Schools	<ul style="list-style-type: none"> • Liaise with and provide advice to PVC (Faculty), Associate Dean (Research) and/or PVC R&I on the preparation of REF2021 submissions and where there is potential for submission of an individual to a UOA led by another School/Faculty • Communicate the Code of Practice and other REF processes to staff • Ensuring that feedback is provided to as soon as possible to staff on the composition of the submission to REF2021 • Ensuring equality and diversity standards are adhered to throughout the decision making process 	<ul style="list-style-type: none"> • Ex officio • Appointed by Senate and Council • Report to the PVC Faculty • Members of Senate and Faculty Executives
School Research Directors	<ul style="list-style-type: none"> • Liaise with and provide advice to PVC (Faculty), Associate Dean (Research) and/or PVC R&I on the preparation of REF2021 submissions and where there is potential for submission of an individual to a UOA led by another School/Faculty • Communicate the Code of Practice and other REF processes to staff (with Head of School) • Ensure equality and diversity standards are adhered to throughout the decision making process <p><i>Note: in some but not all cases the School Research Director also undertakes the role of Unit of Assessment Coordinator</i></p>	<ul style="list-style-type: none"> • Appointed by the School Board • Report to Head of School • Members of Faculty Research Executive
REF Unit of Assessment Coordinators	<ul style="list-style-type: none"> • Prepare REF2021 submissions in collaboration with the wider staff group, liaising with other UOACs and other academic roles listed above 	<ul style="list-style-type: none"> • Appointed by the PVC R&I on recommendation of Associate Dean (Research) • Report to PVC R&I

	<ul style="list-style-type: none"> • Coordinate the preparation of draft submissions liaising with colleagues, including impact case study leads where necessary • Liaise with Research & Innovation Services on the preparation of the REF2021 submission in a timely manner • Ensuring equality and diversity standards are adhered to throughout the decision making process 	
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3. University Professional Services Divisions with REF2021 Responsibilities

Department	Role in REF2021	Operation
Research & Innovation Services	<ul style="list-style-type: none"> • Lead administrative responsibility for submission to REF2021 • Make recommendations on, support, co-ordinate and oversee the details of REF2021 planning and preparations across the University to maximise the potential submission • Institutional contact with the REF Team at Research England • Liaison with academic roles and other professional services on data and system requirements for REF2021 submissions • Ensuring equality and diversity standards are adhered to throughout the decision making process 	<ul style="list-style-type: none"> • Part of the Research & Innovation Division • Divisional Director appointed by Senate and Council; reports to Chief Operating Officer; is member of University Research Executive and REF Strategy Group • All Service roles appointed by Divisional Director or their delegate • Head of Research is member of University Research Executive and REF Strategy Steering Group; Research Managers are members of Faculty Research Executives • Research Finance, Management Information, Systems, and Impact Teams report to Head of Research
Human Resources Division	<ul style="list-style-type: none"> • Lead responsibility for HR activities in preparation for REF2021 and providing advice to academic managers • Advises on the content and delivery of the Code of Practice • Provides advice and guidance to PVCs Faculty and Heads of School on HR-related planning and preparations for REF submission • Develops and delivers training on the Code of Practice, equality and diversity, and unconscious bias 	<ul style="list-style-type: none"> • Director appointed by Senate and Council • Human Resource Managers and Equality & Diversity Manager appointed by and report to Director of People and Culture, and are members of Faculty Research Executives • Lead REF HR Manager and Equality & Diversity Manager are members of the REF Strategy Group • Director and lead REF HR Manager are members of REF Individual Circumstances Group

	<ul style="list-style-type: none">• Assists Head of Research and Director of Research & Innovation Services with REF2021 planning and preparations across the University• Ensuring equality and diversity standards are adhered to throughout the decision making process	
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Appendix G: Statement on the Responsible Use of Metrics in Research Assessment

The University of East Anglia is committed to the principles of fair, responsible and open use of metrics in the assessment of research activity and performance.

The University will put this commitment into practice by using metrics:

- To support, and not replace, peer review and expert knowledge
- Which take account of discipline variations
- In a transparent manner and with a clear objective
- Which are appropriate and robust, with the limitations clearly explained

As part of this commitment, UEA is a signatory to the San Francisco Declaration on Research Assessment (DORA) - <https://sfdora.org/>



This statement is publicly available on the University's website at:
<https://www.uea.ac.uk/research/research-performance>

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Appendix H: Independent Researcher Status submission form

University of East Anglia

Independent Researcher Status

All UEA staff who are not on ATR contracts are currently ineligible for submission to REF2021 unless they satisfy the eligibility test as an independent researcher (see paras 128-133 of the REF Guidance on Submissions <https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>). Staff holding ATR contracts DO NOT need to complete this process.

To be eligible, any staff passing the assessment of research independence must also meet the other eligibility criteria for submission: minimum contract of 0.2 FTE, on the census date (31 July 2020) and with a substantive research connection to the submitting unit (see paras 119 – 127 of the REF Guidance on Submissions).

If you consider that you are an independent researcher but do not hold an ATR contract please complete the following details with as much detail as possible. This information will be used by the University to assess if you meet the criteria to be deemed eligible for Cat A REF submission. Completion and submission of this form and your involvement in this process DOES NOT imply any change to your current contract of employment.

Name:		
School:		
FTE:		
Current post title:		
Current contract status:	<i>Contract type & end date (if applicable)</i>	
Current salary source:	<i>grant information or School budget</i>	
Description of independent research activity (within this REF period 2014-2020): eg		
<ul style="list-style-type: none"> - Leading or acting as principal investigator on an externally funded research project (please give grant reference numbers, dates and a description of your role for each) - Holding an independently won, competitively awarded fellowship where research independence is a requirement (a list of examples can be found at www.ref.ac.uk under Guidance) - Leading a research group or a substantial, specialised work package 		

Date received in RIN:	Decision and date:
-----------------------	--------------------

Please submit completed forms to REF21.Support@uea.ac.uk (RIN) by (08 November 2019).
 Template copies of this form can be downloaded from The Portal at [<https://portal.uea.ac.uk/rin/ref-2021>]



Declaration of Individual Staff Circumstances template

This document is being sent to all Category A staff whose outputs are eligible for submission to REF2021 (see 'Guidance on submissions', paragraphs 117-122, <https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>).

As part of the University's commitment to supporting equality and diversity in REF, we have put in place safe and supportive structures for staff to declare information about any equality-related circumstances that may have affected their ability to research productively during the assessment period (1 January 2014 – 31 July 2020), and particularly their ability to produce research outputs at the same rate as staff not affected by circumstances. The purpose of collecting this information is threefold:

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

Applicable circumstances

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

- COVID-19 related circumstances¹

If your ability to research productively during the assessment period has been constrained due to one or more of the applicable circumstances, you are invited to complete the attached form. Further information can be found paragraph 160 of the Guidance on Submissions (REF 2019/01 <https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>). Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so.

This form is the only means by which the University will be gathering this information; we will not be consulting HR records, contract start dates, etc. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

Ensuring Confidentiality

Where an individual has declared circumstances have affected their ability to research productively throughout the period, those circumstances will be assessed following the process set out in Section 4.3.5 of the Code of Practice. Submitted forms will be securely stored, will be treated as confidential in accordance with the requirements of the GDPR 2018.

Information submitted remains confidential to HR and the REF Individual Circumstances Group. The Group will be limited to a small number of key individuals in order to minimise the number of people with access to sensitive information and to promote consistency across the University. Group members will receive anonymised information only.

Confidential advice and guidance is available from your Human Resources Manager:

Alison Clements HR Manager FMH	E: alison.clements@uea.ac.uk T: (0)1603 592193 / 2314
Linda Cole HR Manager HUM	E: linda.cole@uea.ac.uk T: (0)1603 593582 / 3809
Santha Forder HR Manager SSF	E: s.forder@uea.ac.uk T: (0)1603 592936 / 3494
Jenny Evans HR Manager SCI	E: j.evans1@uea.ac.uk T: (0)1603 592124 / 2734

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

Submitted data will be kept confidential to the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs. All these bodies are subject to confidentiality arrangements. The

¹ As well as effects due to applicable circumstances (such as ill health, caring responsibilities), this includes other personal circumstances related to COVID-19 (such as furloughed staff, health-related or clinical staff diverted to frontline services, staff resource diverted to other priority areas within the HEI in response to COVID-19); and / or external factors related to COVID-19 (e.g. restricted access to research facilities).

REF team will destroy the submitted data about individuals' circumstances on completion of the assessment phase.

Changes in circumstances

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

To submit this form you should complete all relevant details below and send to your HR Manager (see contact list on previous page). Each case will be considered following the process set out in the Code of Practice Section 4.3.5 Diagram 3: Assessing Individual Circumstances.

The information returned on the Form must be based on verifiable evidence. Where this is not already available to Human Resources, staff members may be asked by Human Resources to submit further information, in confidence.

The deadline for submitting individual circumstances for consideration is 31st January 2020.

Name: [Click here to insert text.](#)

Department: [Click here to insert text.](#)

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

Yes

No

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

Circumstance	Time period affected
Early Career Researcher (started career as an independent researcher on or after 1 August 2016). <i>Date you became an early career researcher.</i>	Click here to enter a date.
Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2020.	Tick here <input type="checkbox"/>
Career break or secondment outside of the HE sector. <i>Dates and durations in months.</i>	Click here to enter dates and durations.
Family-related leave; <ul style="list-style-type: none">• statutory maternity leave• statutory adoption leave	Click here to enter dates and durations.

<ul style="list-style-type: none"> • Additional paternity or adoption leave or shared parental leave lasting for four months or more. <p><i>For each period of leave, state the nature of the leave taken and the dates and durations in months.</i></p>	
<p>Disability (including chronic conditions)</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Mental health condition</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Ill health or injury</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Constraints relating to family leave that fall outside of standard allowance</p> <p><i>To include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Caring responsibilities</p> <p><i>To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Gender reassignment</p> <p><i>To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>COVID-19 (Applicable only where requests are being made for the removal of the minimum of one requirement)</p> <p><i>To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months. The overall impact of the COVID-19 effects should be</i></p>	<p>Click here to enter text.</p>

considered in combination with other applicable circumstances affecting the staff member's ability to research productively throughout the period.

Any other exceptional reasons e.g. bereavement.

To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.

Click here to enter text.

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below
- I realise that the above information will be used for REF purposes only and will be seen by UEA Human Resources Managers and the REF Individual Circumstances Group
- I realise it may be necessary to share the information with the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs.

I agree

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

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

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

I would like to be contacted by:

Email Insert email address

Phone Insert contact telephone number

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Screening, Prioritisation and Equality Impact Assessment

Section 1

1. Which policy, function or practice is being assessed?

The Code of Practice for the Research Excellence Framework 2021

2. What are the main aims and objectives of the policy/function/practice?

The CoP sets out the processes by which academic staff on ATR contracts and other independent researchers may be selected to be returned under the REF.

3. Who created the policy/function/practice and who (if different) is responsible for its ongoing maintenance?

The policy was created by J Evans (HRD)/J Sheldrake (RIN) drawing on national guidance issued by Research England and previous experience gained during REF 2014.

4. Who implements the policy or carries out the function/practice?

The Code of Practice is implemented by a range of staff involved in the University's Research agenda. All staff with responsibilities under the CoP are listed in Appendix F of the document. The process is overseen by the Pro-Vice Chancellor (Research and Innovation) who reports on progress to the University's Executive Team and Senate.

5. Who is affected by the policy/function/practice?

Academic members of staff who are employed on ATR contracts (minimum 0.2fte) and, potentially, other independent research staff.

6. Who are the other stakeholders (in addition to those affected) in relation to this policy/function/practice (for example, the Funding Councils, UCAS, local communities, other strategic partners)?

Research England (formerly HEFCE).

7. Is the policy/function/practice applicable to the whole University or a part? Please elaborate.

The policy applies only to staff on ATR contracts or independent researchers.

8. Is the policy/function/practice implemented uniformly across the University?

Yes- it is applied in the same way to all ATR/independent research staff at UEA.

Section 2

1. Are the different groups affected by the policy/function/practice likely to have different needs, experiences, issues and priorities in relation to it?

To some extent, bias is mitigated by the national guidance from Research England which instructs Universities to submit all their research-active staff to REF 2021. However, there are still elements of decision which rest with individuals at the University. It is possible that groups with different characteristics may be perceived as having more or less competence, if they have arrived in their careers from different backgrounds, non-Western-centric cultures, or with a differing range of qualifications. Additionally, career breaks, particularly in the case of independent researchers, can have the potential to affect overall output so that a careful balance must be maintained in decision making to ensure quality work is not overlooked in the exercise.

2. Are there any indications of higher or lower participation or success rates in this policy/function area or through this practice for members of these groups?

In the EIA previously conducted as part of the REF 2014 exercise there was some evidence that older women and staff from Chinese backgrounds (UK and International) were less likely to be selected and those from 'other White' backgrounds were more likely to be selected.

3. Are there any differences in the uptake of a service or benefit by these different groups?

Group Characteristic:	Yes, No or Not Known	Please elaborate (and give examples of any evidence or data used)
Age	Possibly	The EIA conducted for REF 2014 revealed older women to be less likely to be selected.
Disability	No evidence of bias in last EIA	
Gender	Possibly	See Age above. In REF 2014 Women, overall were less likely to be selected, and older women more so.

Racial group	Possibly	In REF 2014 there was some evidence that those from Chinese backgrounds were less likely to be selected and those from 'other White' backgrounds were more likely to be selected.
Religious belief	Not known	
Sexual orientation	Not known	
Transgender	Not known	

4. To what extent does this policy or function have the potential to meet or hinder the policies, values or objectives of the University with regard to equality of opportunity?

High potential

Moderate potential

Low potential

None

Yes

No

Please outline your reasons below:

The Code of Practice outlines the routes for decision making in the selection of academics for the REF exercise. The new Code of Practice draws largely upon the previous Code for REF 2014, which was reflected on. We have taken account of the issues identified and the new Code aims to address these. Additionally, training on Understanding Unconscious Bias for REF decision-makers specifically outlines the findings of the final EIA for REF 2014 and explains how EIAs will be carried out in the 2021 exercise. However, until choices are made and compared with the base population from which choices can be made, and the number of appeals logged and analysed, it will not be fully evident whether the Code has specific flaws.

What priority do you assign to this impact assessment?

High

Medium

Low

Completed by:

Date:

Full Impact Assessment

1. Has the absence of any data been noted or hindered this impact assessment? If so, please give details:

The effectiveness of the Code of Practice will be evident only in its application during the REF 2021 process. Therefore data cannot yet be used to check its efficacy. However, from understanding of other processes (e.g. recruitment, promotion) we know of particular methods which are more or less likely to yield fair results.

2. This initial/draft EIA on the Code of Practice has been undertaken initially by the Head of Equality and Diversity in December 2018.

A. Assessing Impact

Using the grid below please indicate which equality groups are relevant to this impact assessment:

Group Characteristic:	
Age	Yes
Disability	Yes
Gender	Yes
Racial group	Yes
Religious belief	Possibly, but incomplete data
Sexual orientation	Possibly, but incomplete data
Transgender	Possibly but no data held

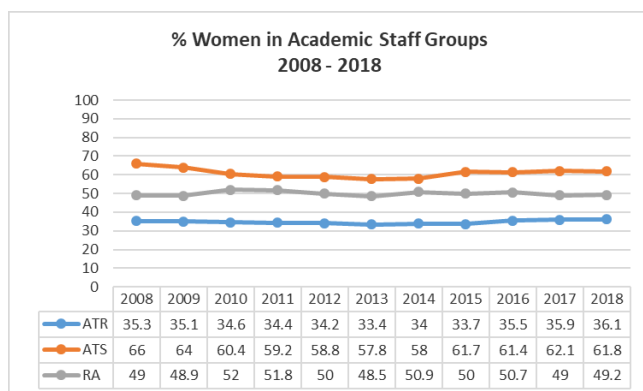
Using as much space as needed (and stating clearly to which groups your findings are relevant) please use the space below to outline:

- Has adverse impact been detected?
- If so, for which groups and in what ways?
- Are there additional factors which might help explain the adverse impact?
- Could the policy be amended to better promote equality of opportunity or to meet the positive duties?

The main measurement against the groups indicated above will take place at the end of the Mock REF exercise (July 2019) and the full REF exercise (July 2020). This EIA considers the

processes outlined in the draft Code of Practice and whether there is risk of bias in those processes.

1. **Eligibility:** Eligibility for REF submission is clearly set out in Part 2 of the CoP. To a large extent eligibility is externally defined and translates to those on ATR contracts at the University. Those on ATS contracts are by their contract definition excluded. This raises the issue of occupational segregation which impacts gender:



This is a sector-wide issue and therefore outwith the potential for the Code of Practice to rectify but is something for the University to take into account when considering independent researchers who may make independent applications for REF-inclusion.

2. **Individual Applications:** Section 3.1.2 outlines communication of the opportunity to make individual applications. Everyone employed at UEA who is eligible will be identified via HR systems/employment codes and so risk of bias at this point is nil. Everybody who is employed in the relevant status will receive an individual email, as well as this being advertised in campus wide communications. Research shows that under-represented groups may be more cautious/less 'bullish' about their abilities and therefore less inclined to self-select for consideration.

Recommendation:

To improve the likelihood of applications from minority groups it is recommended that positive action statements encouraging applications from women, disabled staff and ethnic minority groups in particular are included in both the personal emails and wider staff communication routes.

Section 3.1.5 of our first draft of the CoP determined that decisions about eligibility for inclusion rested solely with the PVC-R&I. **This was identified as a potential point of higher risk;** the PVC-R&I has undertaken training on Understanding Unconscious Bias (mitigating factor), however, regardless of who occupies this role the use of sole decision making may imply a higher risk, per se, than using a wider group to consider applications.

As a result we have changed our process to ensure that decisions are made by the REF Strategy Group from recommendations made by the UoA teams from Schools and Faculties.

Recommendation:

It is recommended that either a small group consider the applications for individual inclusion and/or reports are generated every three months which analyse the patterns of included/excluded staff so that any trend which is particularly divergent from the base population patterns can be identified and, if needed (e.g. in the case of +/-5% divergence) can be revisited.

- 3. Appeals:** Section 3.3 of the CoP outlines the process for appeals, but the decision on appeals appears to rest with the same individual.

Recommendation:

That appeals are considered by different or additional personnel than the original decision maker.

- 4. Output Selection:** Part 4 of the CoP outlines the process for the selection of outputs for submission to REF.

This process will be undertaken by Unit of Assessment Co-Ordinators with approval by Associate Deans and the PVC – R&I. All staff involved in the process are undertaking a 2.5 hour face to face learning session on Understanding Unconscious Bias in the REF process. This group decision-making approach, supported by learning intervention, is considered low risk.

The University is following Research England guidance on enabling staff to declare individual circumstances which may have impacted their ability to produce outputs or work productively during key REF-related periods. Confidentiality and consistency are central to this process.

- 5. Individual Circumstances:** Section 4.3.8 of the CoP describes the decision making group in respect of individual circumstances. The group is low-risk in terms of multiple decision makers, although the lack of diversity within the group is noted and **it is recommended that** if possible this group be extended to include a wider diversity (beyond that of gender considerations).

All members of this group will have attended Understanding Unconscious Bias training sessions along with mandatory online training on 'Diversity in the Workplace'. The process includes an appeal process with decisions resting with the Vice Chancellor who has also completed training on Understanding Unconscious Bias and has completed the Diversity in the Workplace training.

B. Revision or Amendment

Please outline what definite steps (i.e. changes to the policy/function/practice) have been agreed in the light of this impact assessment:

This draft EIA is based on the current draft CoP. Recommendations are included for discussion and consideration by the REF Team and are suggested in the light of current understanding of where key points in the decision making process ***could*** potentially result in biased decisions. Recommendations are suggested to mitigate potential negative impact.

It is possible other solutions can be considered by the wider REF team which would result in similar mitigation.

C. Monitoring Arrangements

How will the policy/function/practice be monitored?

Who will undertake the monitoring, how frequently, what data will be used?

What new data will be required, if any, to ensure effective monitoring? When and how will these be produced?

Quarterly data reports to the E&D Office from RIN/HR (as appropriate), showing decisions for inclusion/exclusion to date, are suggested so that early discussion/intervention can take place in the light of any divergent trends.

Date of Next Review: An EIA will be undertaken following the mock REF in July 2019 so that trends can be considered and the process adjusted if further mitigation is required. A final EIA will be undertaken following the full exercise in July 2020.

Helen Murdoch

Head of Equality & Diversity, University of East Anglia

December 2018

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Appendix K: Change Log

This Code of Practice is an evolving document. The processes and procedures described herein are subject to change both in response to changes to the external and internal research environments and in learning best practice.

The following table describes the changes implemented in the plan following the submission of the first draft to the Equality and Diversity Panel in May 2019.

Date	Description of Change	Purpose of Change
August 2019	Amendment to paragraph 3.3.3 regarding appeals process to more clearly identify those involved in the appeals process and their independence from those making REF submission decisions	Amendment required by Research England
August 2019	Addition of paragraph 4.1.8 detailing the institution's approach to outputs of former staff including staff who have been made redundant	Amendment required by Research England
August 2019	Throughout document alteration of title of Director of Human Resources to Director of People and Culture	Change of role title
August 2019	Appendix H: Independent Researcher Status Submission Form. Addition of dates and URL, and correction of spelling error	Updates required to match published version.
August 2019	Amendment of Jenny Summers to Jenny Evans	Change of name
November 2019	Change from "draft" to "approved"	Code of Practice approved by REF Equality and Diversity Panel and confirmed by Research England.
September 2020	Addition of mitigations related to the COVID-19 pandemic and changes to REF submission timeline	Response to requirement for updating of Codes of Practice for resubmission to EDAP