

Goldsmiths, University of London

Code of Practice for REF 2021

1. Introduction

Goldsmiths values the work of all staff. Our academic staff – on whatever contract – contribute in different ways to the vitality and innovation of our research and teaching environment. We recognise the commitment of those staff and the diversity of their contributions. But we also recognise that REF is a particular exercise with particular demands and conditions and our Code of Practice is addressed to the requirements of that exercise whilst also respecting Goldsmiths' distinctive culture and values.

1.1 Background

The Research Excellence Framework (REF) 2021 is the process of assessing research in UK Higher Education Institutions (HEIs). The REF is a process of expert peer review and will be undertaken by the four UK higher education funding bodies, to:

- Inform the selective allocation of research funding to HEIs;
- Provide benchmarking information and establish reputational yardsticks;
- Provide accountability for public investment in research and demonstrate its benefits.

Expert sub-panels for each of the 34 units of assessment (UOAs) will carry out the assessment, working under the guidance of four broad main panels. Institutions will be invited to make submissions to each UOA and each submission will be assessed in terms of the quality of research outputs, the wider impact of research and the vitality of the submitting unit's research environment.

Every institution submitting to the REF is required to develop and disseminate internally a Code of Practice that ensures fairness, transparency, consistency, accountability, and inclusivity in identifying independent researchers and selecting which outputs will be included in each submission.

1.2 Purpose of the Code of Practice

As a research-intensive institution, where academic staff have a contractual requirement to undertake research, Goldsmiths is required to submit 100% of Category A eligible staff (that is, all staff on teaching and research contracts, and all independent researchers on research-only contracts). This Code of Practice therefore will address the means by which the College will:

- determine research independence of staff on research-only contracts; and
- select outputs for submission

The processes described will accord with Goldsmiths Equality and Diversity Strategy and

with all relevant legislation.

1.3 Actions taken since 2014

Since Goldsmiths submission to the REF 2014, it has gone through a significant period of review, reflection and consultation around equality and diversity. In 2016 a new strategy was **published** together with an action plan which is appended at Annex G.

The progress and tracking of delivering the aims of the equality, diversity, and inclusion strategy, and institutional objectives are reported to the Human Resources and Equalities Committee each term. In addition, equality, diversity, and inclusion is discussed at every committee that reports to Council.

Additionally, with particular reference to the research environment Goldsmiths has undertaken the following initiatives:

HR Excellence Award, review of support for Early Career Researchers and the implementation of the Concordat: The HR Excellence in Research Award was attained in September 2012. Since early 2012, there has been a group reporting to Research and Enterprise Committee to oversee the implementation plan for the Concordat to support the career development of researchers and renewal of the HR Excellence in Research Award.

In 2018 a major review of the provision for research staff and early career researchers, and reporting thereof, was initiated. Pertinent outcomes of the review included significant bridging support to the PhD community post-studies and the development of an inclusive definition of an ECR. The Research and Enterprise Committee has agreed the revised framework for reporting and consideration for the categories of staff considered as an ECR. This framework was approved by the Human Resources and Equality Committee in February 2019. A published action plan underpins the six-year renewal of the HR Excellence in Research Award due for review in 2019.

In parallel to this work, support is continuing with:

Athena Swan Working Group: Goldsmiths submitted its first application for a Bronze Athena Swan award in April 2017. While unsuccessful, the feedback primarily reflected the need for more complete data to be available for evaluation and reflection. The quality of our legacy staff data was a known problem at that time and has been the subject of an institutional project overseen by the Data Management Leadership Group from May 2017 onwards. Staff data integrity has seen a significant improvement since that point and the institution is in the process of submitting an institutional award. Two departments also plan to submit their own applications during 2019.

Tackling sexual harassment and violence: The creation of a new, sector-leading policy and procedures in tandem with the procurement of a specialised online reporting platform has enabled the college community to report experiences of sexual violence, harassment, misconduct, stalking and/or domestic violence more effectively. This platform also provides

a huge array of support information available to staff, students and visitors. Additionally, more than 1000 members of Goldsmiths Staff/associated partners have attended face to face training and the Students' Union are rolling out active bystander training to students.

Discrimination, Bullying and Harassment Policy: Goldsmiths is proactively working to ensure that we foster a working environment and culture in which discrimination, bullying and harassment is not accepted. In 2016 Goldsmiths published a new policy on discrimination, bullying and harassment, outlining our zero-tolerance approach and arrangements for responding to reports made by staff.

Equal Pay Audit: Goldsmiths completed its first institutional equal pay review in 2017. The review encompassed the salaries of academic, professional services and senior management staff separately, comparing gender and ethnicity at each pay grade. Full- and part-time staff were considered separately (including Associate Lecturers).

The agreed scope of the first institutional equal pay review was considered a "starting point" from which we could incrementally progress work in this important area to ensure we do everything possible to ascertain whether we have any areas of inequality in our pay framework.

Within each pay grade, the review did not identify any significant equal-pay-for-like-work issues. This suggests that one of the intended aims of the implementation of the national framework agreement and single pay spine was achieved, since this work was intended to support the principle of equal pay for work of equal value.

In March 2018 Goldsmiths published data on its gender pay gap for the previous year, and this data will be updated annually together with a statement of initiatives to address the pay disparity for women. Further work in this important area is on-going.

Celebrating diversity in our research community: We utilise our staff communication channels to promote awareness of equality and diversity within the research environment, raising the profile of research relating to equality and social justice, and publishing regular 'spotlights' on academic and professional services staff from diverse backgrounds through our staff newsletter.

Staff Wellbeing: Goldsmiths has a comprehensive portfolio of staff wellbeing support and initiatives including an on-campus staff counsellor, independent and confidential 24/7/365 staff-assistance programme, Occupational Health partner and an on-campus gym. Our staff wellbeing programme, includes weekly activities such as staff choir, walking, running, and book-clubs, pilates, yoga, tai chi, fitness workshops, Chinese paper cutting, mindfulness sessions.

Mental Health: includes support, awareness, guidance, and training (mental health first aid). Goldsmiths strives to make working for staff with, or starting a family, as easy as possible. To this end we have a number of established policies to support staff in this area.

These include, flexible working, adoption, and maternity and paternity pay policies and guidance. We have an on-site nursery and quiet space facilities for pregnant and nursing mothers.

Additionally, we have now have effective BAME and LGBTQ network groups, with a disability group to launch shortly.

1.4 General Principles

In view of Goldsmiths' position as a research-led institution, the strategy for REF 2021 is to maximise the quality of submissions. Final decisions made about whether an individual is submitted as an independent researcher or not, or decisions about how many outputs above the minimum of one that are submitted for staff members, or decisions regarding how outputs are scored, will not be taken into account in relation to any promotion, progression, extension of contract or performance management procedures.

In order to ensure that this is managed appropriately, the following four principles all premised on ensuring fairness, will govern Goldsmiths' approach to creating submissions to REF 2021:

- 1. Transparency:** Decision-making will be based on published REF criteria; internal processes will be well documented and effectively communicated. Decisions made about whether an individual is an independent researcher or not, or how many of their outputs are selected for submission, will follow objective criteria fairly applied, and will not be judged according to seniority, pay-grade or length of contract.
- 2. Consistency:** Processes detailed in this Code will be applied across the College to all Category A staff.
- 3. Accountability:** Decisions will be taken on the basis of relevant, justifiable criteria which are applied fairly and consistently by those with relevant knowledge and expertise. This Code will ensure that responsibilities are clearly-defined and individuals and groups involved in decision-making are accountable, through clearly defined mechanisms and governance structures, including appeal procedures.
- 4. Inclusivity:** The aim is to create an inclusive submission – submitting all staff with a significant responsibility for research, all staff who are independent researchers and the best research produced by Goldsmiths' staff. We will run an Equality Impact Assessment (EIA) at key stages to enable reflection on the relationship between the quality assessments of outputs and the protected characteristics of staff. Whilst the primary consideration will be to submit the best outputs, the EIA data will inform decisions regarding the submissions and, where relevant, a broader consideration of our research environment.

Details given in the sections below expand on how these principles will be applied in the context of determining research independence and selecting outputs for submission.

1.5 Communication & Consultation

Good communication is understood to be essential to the effective implementation of the

Code of Practice. This Code of Practice was initially developed through discussion at the REF Strategy Group, and finalised through discussion with Heads of Department, Directors of Research, the UCU and the College Committees covering Human Resources and Equality as well as Research and Enterprise. A full consultation across the College, gave all staff the opportunity to comment and contribute, prior to submitting the final version for approval at Academic Board in March 2019. Council also received and endorsed the Code of Practice at their meeting in April 2019. The clarifications required by EDAP have been considered by the September 2019 meetings of the REF Strategy Group, the Research and Enterprise Committee and Academic Board prior to being resubmitted on 20th September 2019.

A communication plan covering the development of the Code of Practice and the whole REF Project is detailed at Annex A.

1.6 Governance Framework

1.6.1 Overarching Governance Framework

Overall executive responsibility for the REF 2021 submission sits with the Pro-Warden for Research and Enterprise, reporting to the Warden and the Senior Management Team (SMT).

The preparation and implementation of the REF 2021 strategy is delegated to the REF Strategy Group. The REF Strategy Group has the responsibility to draft the Code of Practice and ensure consistency of application of the Code across departments.

The REF Strategy Group is a sub-group of the Research and Enterprise Committee (REC) reporting to Academic Board. Therefore, the governance arrangements around REF, specifically the Code of Practice, will be subject to approval from both REC and Academic Board. That said, REC and Academic Board will have no detailed oversight of the composition of the submissions, final approval of which will sit with the Pro-Warden for Research and Enterprise.

The duty of the REF Strategy Group will be to consider and approve the best return for the College as a whole.

Annex B sets out the membership and terms of Reference of the REF Strategy Group and the REF Project Team, and presents the Governance Framework as a diagram.

1.6.2 Allocation of 'Departments' to 'Units of Assessment'

The default position will be that departments will map as a whole to UOAs and that Category A eligible individual members of staff will be submitted to the relevant UOA with their departmental colleagues. Consequently, the Head of Department (or nominee e.g. Director of Research), will have management responsibility for the submission, accountable to the REF Strategy Group. Heads of Department (or their nominees) will have the responsibility to propose the choice of outputs and impact case studies to be submitted, having taken account of peer review advice, in order to ensure the best possible presentation of their department's research strengths. The departmental proposals on the composition of each Unit of Assessment (UOA) submission, once agreed and approved by

the Pro Warden for Research and Enterprise and the REF Strategy Group, will be recommended to the Warden and SMT for signing off and submission.

Exceptions:

Exceptions to the principle set out above are:

- a) If departments do not correspond to a Unit of Assessment, then the *home* Head of Department, in discussion with the individuals concerned, will nominate possible UOAs for each Category A member of staff. The Heads of Department (and/or nominees) from the *receiving* departments will be responsible for ensuring that staff outputs and impact case studies (where relevant) are assessed appropriately according to the relevant criteria for the receiving sub-panel. They will be responsible for ensuring that the best outputs are recommended to the REF Strategy group for submission. The default assumption will be that any PhD completions and research income attributable to an individual staff member will be attributed to the UOA to which the individual is attached. We do not currently think that we have any departments which fit into this category.
- b) Exceptionally, there are a small number of individuals whose work will be better returned to a different UOA from their departmental colleagues. As with point a) above, and in discussion with the individuals concerned, their HoD will nominate possible UOAs. The host Heads of Department (and/or nominees) from the *receiving* departments will be responsible for ensuring that staff outputs and impact case studies (where relevant) are assessed appropriately according to the relevant criteria for the receiving sub-panel and that the best outputs are recommended to the REF Strategy Group for submission. The default assumption will be that any PhD completions and research income attributable to an individual staff member will be attributed to the UOA to which the individual is attached.
- c) A decision has now been taken to make single submissions to UOA 32 (incorporating Art, Design and Visual Cultures) and to UOA 33 (incorporating Music and Theatre and Performance). A small steering group is being established for each of those UOAs to oversee each submission. The steering group/s will be chaired by the Pro-Warden for Research and Enterprise (or his nominee) with membership including the relevant Heads of Department and Directors of Research and the REF Manager. Additional members may be co-opted where necessary.

Heads of Department will be expected to confirm and show evidence that their departments have followed the processes outlined in this Code of Practice. This will ensure fairness, consistency and transparency in all decision-making processes at a department-level. The processes in place for submission decisions in individual departments will be communicated to all staff by the Head of Department (or nominee).

1.6.3 Critical Friends

Members of the REF Strategy Group are assigned to Units of Assessment to act as 'critical friends' to departments on the formulation and execution of REF submission strategies.

The principles informing the allocation include (as far as possible):

- a) assigning individuals on the basis of broad subject knowledge (Main Panel level);
- b) avoiding attaching individuals to their own departments;
- c) taking account of diversity issues.

The role of a critical friend will be to support the Heads of Department and Directors of Research in managing their emerging REF submissions and to ensure that they are doing so in a way that is compliant with this Code of Practice. Their engagement with departments will enable the REF Strategy Group to identify common themes, to share good practice and to identify particular issues or problems between the key review points.

Critical friends will meet with the Head of Department (and/or their nominee) from their allocated departments every two months, in time to provide a brief oral report to the following REF Strategy group according to an agreed schedule. Reports will be received at alternate meetings relating to departments submitting to Main Panels A and C, and Main Panels B and D.

The allocation of critical friends to departments, and departments to Units of Assessment, are set out at Annex D.

Exception:

For the merged submissions to UOAs 32 and/or 33 (see para 1.6.2c above), then instead of the allocation of critical friends to the relevant departments, the UOA steering group will provide the forum for an exchange of 'critical' advice.

Part 2: Identifying staff with significant responsibility for research

As Goldsmiths is submitting 100% of Category A staff, this section is not required.

Part 3: Determining Research Independence

3.1 Introduction

At the time of writing (March 2019) Goldsmiths has 64 staff on research-only contracts which is ca6% of the total academic population.

3.2 Criteria

We recognise that research independence is defined on a spectrum, but for the purposes of REF we have to make a binary decision about whether colleagues on Research-Only contracts meet the REF criteria as an independent researcher or not. To do this we will take account of the extent to which individuals' job descriptions, and actual roles include those possible indicators of research independence agreed by all the Main Panels and listed in the Guidance on Submissions (paragraph 132), i.e.:

- Leading or acting as a principal investigator or equivalent on an externally funded research project

- Holding an independently won, competitively-awarded fellowship where research independence is a requirement (with reference to the published list).
- Leading a research group or a substantial work package

The published Panel Criteria and Working Methods document, adds further indicators where the Main Panels differ (paras 187-189) and we will take due account of those, depending on the relevant UOA.

Decisions made about whether or not an individual is submitted as an independent researcher, will not be taken into account in relation to promotion, progression or length of contract.

3.3 Process

Following a training session/briefing (led by Pro-Warden Research & Enterprise, REF Manager and HR) held on 13th May 2019 for Heads of Department and Directors of Research; they have been provided with a list of research-only staff in their department. This includes staff on fixed term contracts who have an end date prior to the census date of 31 July 2020. At the time of writing, Heads of Department (and/or their nominees e.g. Directors of Research) are using the job descriptions and their knowledge of the individuals' actual roles to make an initial assessment of whether they are independent researchers, using the criteria listed above. The Guidelines circulated to departments are attached at Annex C.

They will then meet with each individual staff member on a research-only contract to assure themselves that the information they have taken into account is accurate and to confirm or revise their initial assessment. The outcome of this meeting will be confirmed in writing. A copy of the template to be used is attached to the Guidelines at Annex C.

Once a staff member has been confirmed as an independent researcher, this will be recorded in the HR system (Agresso) and the individual's record in Agresso will be attached to a Unit of Assessment.

3.4 Timescale / Project Plan

This process will be undertaken at the following points in the preparation period:

May - Sept 2019: to cover all research-only staff, including colleagues whose fixed term contracts are due to end before the census date. This will then ensure that staff who are deemed to be independent researchers at that stage are included in the mock REF scheduled for November 2019. Research-Only staff will get a provisional confirmation of the outcome of this process at this stage.

Spring 2020: to cover research-only staff appointed after Spring 2019. At this point Heads of Department and Directors of Research will also re-visit the decisions where colleagues were deemed not to be independent researchers in 2019, to check whether the judgement still stands. All Research-Only staff will get a final confirmation of the outcome of this process at this stage.

Any research-only staff appointed after Spring 2020, and before the census date, will be assessed against the independence criteria at appointment.

3.5 Appeals

Should a staff member not be satisfied that the criteria have been accurately applied they have the right to appeal this assessment of their research independence.

The staff member should submit an appeal in writing to Human Resources no later than 1st June 2020 (in order to ensure that the appeal process can be completed prior to the submission deadline). An appeals panel will be convened (with individuals who are independent of Goldsmiths' REF preparations), chaired by a member of Council, with the panel comprised of a senior member of HR and at least one senior academic staff member. The appeals panel will review the case and confirm by 1st July 2020 whether or not the process specified in this Code has been followed. Consistent with Goldsmiths' practice in relation to other procedures, the appellant has the right to representation.

3.6 Equality Impact Assessment

Aggregated data profiling the protected characteristics of the cohort of research-only staff will be reviewed in Autumn 2019, Spring 2020 and at the census date of 31 July 2020. This will be the benchmark data against which the profile of the protected characteristics of the cohort who are deemed to be independent researchers will be compared. We anticipate that the data on gender, age and possibly ethnicity will be more robust than the data on the other protected characteristics and this may affect the extent to which we can draw meaningful conclusions.

If the data indicates that staff with particular protected characteristics are under-represented in the independent researcher group as compared to the benchmark group, we will firstly review our process to ensure that the process is not, in itself, discriminatory. If, however, the evidence indicates that the *process* is robust, and that there is therefore a more fundamental problem of restricted opportunity or support for research development, then the issue is beyond the remit of this Code of Practice. In that instance, the evidence will be referred to the Research and Enterprise Committee and the Human Resources and Equality Committee for action. It may be the case that issues identified contribute to the narrative of the institutional and/or UOA environment statements.

Part 4: Selection of Outputs

4.1 Eligibility

4.1.1 Staff eligibility

Category A eligible staff at Goldsmiths include:

- All staff on teaching and research contracts;
- All staff on research only contracts who have been identified as independent researchers according to the process outlined in Part 3.
- Submitted staff have to be in post on the census date of 31 July 2020, and have a

contract of at least 0.2FTE.

4.1.2 Output eligibility

The definition of eligible outputs for REF is inclusive and Goldsmiths expects to submit a very broad range of outputs representing the breadth of research undertaken here. Alongside journal articles and monographs we expect to submit a significant amount of practice research from many of our departments. Guidance on the presentation of practice research will be informed by the work of Goldsmiths Practice Research Group.

The eligibility criteria for outputs are set out at [paragraphs 205 – 222, Guidance on Submissions]. Eligible outputs need to be represented in the Goldsmiths institutional repository, Goldsmiths Research Online (GRO) and be compliant with the Open Access requirements (where necessary). Online FAQs as well as advice and one to one training in Open Access is available from the GRO team.

The individual author to whom an output is attributed (between the minimum of one and the maximum of 5) needs to have made a significant contribution to the output. Goldsmiths recognises that people's names may change for a range of reasons and to reassure colleagues that this will not affect attribution of outputs to individuals, we will add a further step into the final stages of the output selection process. We will identify those outputs where the author's name on the output is different from the name of the member of staff and keep a note of why that is, to be used in the case of an audit query.

The eligible output pool also includes outputs first made publicly available by colleagues who have left within the REF period, but published whilst they were on a REF-eligible contract in Goldsmiths. Consistent with the principle that REF2021 is a presentation of the best research undertaken during the REF period, we anticipate including outputs from former staff where they represent the highest quality of research undertaken in the Unit and where it is deemed fair to do so. However, the College will not submit outputs from any former staff member made compulsorily redundant (including the ending or expiry of a fixed term contract) during the period without their explicit consent.

4.2 Timescale / Project Plan

The project plan for the development of the REF 2021 submissions includes a number of key points at which REF-eligible outputs will be reviewed, as a precursor to the final selection of outputs for submission. The output pool for consideration will be identified through discussion with individual Category A staff. Outputs from staff who have left will be identified at departmental level for review and possible inclusion. At each point, current staff whose outputs have been reviewed will be offered the opportunity to discuss the outcome with their Head of Department (and/or nominee e.g. Director of Research).

Review point 1 (January 2019): the objective is largely developmental, including HR and output data quality validation, and identifying those areas where there may be a shortfall in eligible, high quality outputs for REF 2021. This is intended to enable strategic planning and prioritisation of support and development over the remainder of the period. This exercise is limited to outputs from staff on teaching and research contracts only. Detailed guidelines were circulated to Heads of Department and Directors of Research. The reports

from this exercise were considered at an all-day meeting of the REF Strategy Group on 15th February 2019, and were followed by one to one meetings between the Pro Warden for Research and Enterprise, the REF Manager and each Head of Department and Director of Research.

Review point 2 (November 2019): the objective is to run a 'mock REF'; starting to build the submissions, including impact case studies and draft environment statements, discussed and developed by staff in departments. This will enable us to plan strategically and review the priorities established in January plus consider any further outputs in the public domain since January 2019. This exercise will include all eligible staff (irrespective of whether they have an expected end date prior to 31 July 2020). Detailed guidelines have been circulated to Heads of Departments and Directors of Research and are available on Goldsmiths intranet. UOA submissions will be reviewed over 5 sessions in December 2019 and January 2020. The narrative elements of submissions will be peer-reviewed by REF Strategy Group members, Directors of Research, and at least one external with a view to agreeing:

- a) a tentative profile for each submission with sub-profiles for outputs, impact and environment; and
- b) providing guidance and feedback to Directors of Research.

Draft submission (July 2020): the objective is for this to be the penultimate version of each submission, enabling us to refine the detail of the emerging submissions and be clear about the more fine-grained decisions that remain, including any further outputs that have come into the public domain since November 2019. By this stage the eligible staff list will be finalised and so will only include outputs from those staff who are Category A (REF-eligible) in post on the census date of 31 July 2020. Detailed guidelines will be circulated to Heads of Departments and Directors of Research and will be up-loaded on the Goldsmiths intranet in early 2020.

Final submission (early November 2020): Departments are expected to finalise their submissions by early November, to ensure that the remaining period can be focused on proofing the final documentation, and checking the details. Each department's final submission will be shared with their staff. Detailed guidelines will be circulated to Heads of Departments and Directors of Research and will be up-loaded on the Goldsmiths intranet in early 2020.

4.3 REF Criteria and Scoring Outputs

The assessment of the quality of research outputs will be judged using a combination of internal peer review (by at least 2 reviewers) and external advice, referenced to the published REF criteria. Reviewers and advisors will be selected on the basis of:

- a) relevant research expertise and seniority in the field, and
- b) being representative of the cohort of eligible staff (as far as possible).

Outputs will be scored to 0.2. This is not intended to communicate degrees of precision, but rather to identify more clearly those outputs that are on the boundaries between REF

scores, representing degrees of confidence. Where scores differ substantially between internal reviewers (i.e. by one or more whole grading point) the HoD (or nominee) will provide a third assessment and the output will normally be considered by the external adviser to reach a final indicative score.

Feedback to researchers (from Heads of Department or their nominees) regarding the assessment of individual outputs should be:

- brief and constructive in tone;
- referenced to the REF criteria for the relevant panel, and
- summarised in writing. Where the feedback is uncontentious then it can be provided by email, but in the majority of cases it should be provided at a one to one meeting.

Only two departments at Goldsmiths (Psychology and Computing) will be making a REF submission to UOAs that will be using citation data to inform their judgements. Goldsmiths is a signatory to the San Francisco Declaration on Research Assessment (DORA - <https://sfdora.org/>) and will only use citation data in Psychology and Computing to inform the selection of outputs and will do so in a way that is consistent with DORA principles. In reporting on their output reviews these two departments will be asked to explain how they have used citation data in the reviews and to confirm that their approach is consistent with Goldsmiths' commitment to the San Francisco Declaration.

4.4 Selecting Outputs

The data generated from the scoring process, will allow us to build quality submissions by:

- a) attributing a single output to each individual in such a way to maximise the overall quality profile;
- b) selecting the 'best of the rest' of the outputs up to the quota required for the submission (ie FTE x 2.5), ensuring that no individual has more than 5 outputs; and in such a way as to maximise the overall quality profile.

The initial selection will be analysed in terms of how representative it is of the contributing cohort. Selection decisions may change if it is possible to make the submission more inclusive without a diminution of quality. Similarly, where decisions need to be made between outputs scoring the same, then the secondary criterion that will apply is representativeness in terms of (1) the profile of staff included in the submission and (2) research areas in the Unit of Assessment/department.

Individual staff members will receive written confirmation of which of their outputs are included in the final submission in November 2020.

Decisions made about how many outputs above the minimum of one that are attributed to any staff members, and/or how outputs are scored, will not be taken into account in relation to promotion, progression or extension of contract.

4.5 Training

Everyone involved in the selection of outputs for the REF will be expected to be fully

conversant with equality and diversity issues, the legislative environment and its implications for the REF. A summary of the relevant legislation is attached at Annex E.

Training (both online and workshops) will be mandatory for everyone undertaking selection decisions and recommended for reviewers.

Training delivered and planned, includes:

Unconscious Bias training: Two sessions were delivered by Lesley Aitcheson, of Cerulean Training in October/November 2018. The sessions were attended by Heads of Department, Directors of Research and members of the REF Strategy Group. Lesley presented on the principles and theory of Unconscious Bias. The second half of each session was discursive with colleagues considering how the issues presented might occur in the internal assessment of outputs and discussing how to mitigate the risk of unconscious bias.

Royal Society Unconscious Bias training video: All reviewers are required to watch the Royal Society video – see: <https://royalsociety.org/topics-policy/publications/2015/unconscious-bias/>

Directors of Research Network: Termly meetings of the network of Directors of Research are used to develop policy and process for REF, and share good practice.

Equality and Diversity Training: Further formal sessions will be arranged between each of the review points, tailored to take account of the outcomes of the Equality Impact Assessments.

4.6 Disclosure of Circumstances

Goldsmiths recognises that there may be many reasons why individuals publish at different rates, and does not expect every eligible staff member to contribute equally to the volume of outputs submitted. Having satisfied the minimum requirement that everyone should be submitted with one output, the remaining outputs will be selected on the basis of quality as the primary criterion. In practice, Heads of Department (or nominees) have been working with individuals to identify which outputs (between 1 and 5) they wish to include for review for possible inclusion in the REF submission.

However, in order to make appropriate provision for the extent to which equalities-related circumstances may have constrained an individual's capacity to contribute to the pool of outputs, we will invite staff to disclose relevant circumstances, in confidence and according to their own assessments of the impact of equalities-related circumstances on their research. At a Unit level, the size of the eligible output pool from which a REF submission will be derived is based on the REF assumption that each Category A member of staff will publish between 1 and 5 research outputs in the REF period. This gives us a notional baseline from which to adjust expectations of individual staff, and potentially make a case to EDAP for a Unit reduction (using REF tariffs reproduced in Annex E to this document) to take account of individual circumstances where they are declared.

Perhaps more importantly, the staff declarations will allow us to reflect on the issues raised and to ensure that we have appropriate arrangements in place not just to support individual

colleagues' research development, but also to consider what it means at a Unit level and as a matter of institutional policy.

There may be other circumstances, not covered by those defined or declared for REF purposes (for example an individual having a relatively high teaching or administrative workload allocation), whereby the relevant Head of Department (or their nominee) exercises their discretion to agree with an individual that a reduced number of outputs should be submitted for review (although these will not be applicable circumstances on which to make a case to EDAP).

Applicable circumstances include:

- a) Qualifying as an Early Career Researcher (started career as an independent researcher on or after 1 August 2016)
- b) Absence from work due to secondments or career breaks outside the HE sector
- c) Qualifying periods of family-related leave
- d) Disability (including chronic conditions)
- e) Ill health, injury or mental health conditions
- f) Constraints relating to family leave that fall outside of the standard allowances
- g) Caring responsibilities
- h) Gender reassignment

For staff declaring circumstances where the information includes 'special category personal data', (points c – h above), the REF team will only require evidence of the self-declaration. We will not require any other evidence but we may need to follow up a declaration with the individual staff member for clarification, if there is any ambiguity in the information declared.

For staff declaring circumstances which are not classified as special category personal data (points a and b above), it will be necessary to verify the declaration by consulting HR records and in discussion with the individual making the declaration.

The College understands that the lived experiences of staff are often complex and messy, and colleagues' experiences may not appear to fit the criteria but still have had significant impact. **Any member of staff who believes they may have a case is encouraged to submit an application for review, noting that the process is both voluntary and confidential.**

The outcome of the disclosure process may mean (for the purposes of REF):

- a) that an individual has had such exceptional circumstances that they can be submitted without the minimum of one output, without penalty; and/or
- b) that there is a case for submitting a request for a Unit level reduction, because the volume of circumstances disclosed indicates that the size of the available output pool has been significantly constrained.

The process is as follows:

1. Colleagues will be invited to declare (via a confidential email address monitored by a senior member of staff in HR) any circumstances that have constrained their ability to research productively during the REF period. The process will be launched

before the end of September 2019 and will be supported by a communications plan, to ensure all staff are aware of the purpose and the process. The deadline for submission will be 18th November (the declaration form is attached at Annex H).

2. A small panel comprising the Director of HR, the Equality and Diversity Manager, the REF Manager and the Pro Warden for Research and Enterprise (or his nominee) will be convened. The panel will review the material submitted and consider whether there is sufficient evidence to identify:
 - a. Exceptional circumstances that have resulted in an individual not having the minimum of one output; and/or
 - b. Circumstances that have constrained the overall size of the output pool for a given UOA.
3. If the panel considers that there is insufficient information on which to make a judgement they will engage with the individual concerned to develop the case further.
4. In relation to 2.a above, ultimately, the panel will make a judgement that:
 - a. There is a case to be made, within the REF guidance, that an individual can be submitted without the minimum of one output, without penalty. In this instance, the case will be submitted to EDAP in line with the published timescale, and will be reported back to the individual and the relevant Head of Department as a potential reduction, pending EDAP's confirmation prior to submission; or
 - b. There is not a case to be made, within the REF guidance, that an individual does not have to submit the minimum of one output. In this instance, this judgement will be reported back to the individual. The expectation on the department will be that the individual will be included in the submission with a 'missing output'.
5. In relation to 2.b above, ultimately, the panel will look at the volume and range of declarations within a given Unit of Assessment and make a judgement that:
 - a. There is a case to be made that the overall productivity of the Unit has been constrained by a series of staff circumstances (within the terms of the REF guidance), which have had the effect of limiting the available output pool. When considering whether to make this case, it will normally be expected that a combination of the following characteristics will apply:
 - The summed reduction for the UoA calculated through the tariff amounts to at least 10% of the total outputs required to be submitted for the unit.
 - There is no significant pool of research from former staff to be drawn on.

We recognise that patterns of publishing (in terms of both volume and nature of outputs) – may mean that different units may be differently affected by the same combination of circumstances, and this will be taken into account when assessing cases; or

- b. There is not a case to be made (within the terms of the REF guidance) that the overall productivity of the Unit has been constrained by a series of staff circumstances. In this instance the department will be expected to develop the full submission, from the available output pool.
6. After the REF submission at the end of November 2020, as required, the College will prepare a report reflecting on the process for submission to EDAP and for consideration by the College Human Resources and Equality Committee.

4.7 Ensuring Confidentiality – who will see the declarations?

1. The submitted declarations will be viewed initially by:
 - Head of HR Data and Transactions (responsible for monitoring the email inbox);
 - A small panel comprising the Director of HR, the Organisational Development and Equality Manager, the REF Manager, the Pro Warden for Research and Enterprise (or a named nominee), and HR Co-ordinator – who review declarations; and
 - Where appropriate will be shared with the relevant Head of Department.
2. Staff will be asked as part of the disclosure process to indicate whether they give permission to their circumstances potentially being raised with the relevant Head of Department so that the adjustment to expectations can be made and, if appropriate and necessary, support provided. Should the member of staff not feel comfortable with this, it will not be possible to take the disclosure any further. In these cases, where appropriate (eg where a duty of care issue is identified), an HR colleague will contact the member of staff concerned directly for a confidential discussion of potential support needs.
3. 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), this will be at a generic and unit level. However, in response to audit we may need to provide UKRI with information that has been disclosed about individual circumstances, to show that the criteria have been met for reducing the number of outputs. Submitted data will be kept confidential to the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs. The information will not be seen by the sub-panel members. All these bodies are subject to confidentiality arrangements. The REF team will destroy the submitted data about individuals' circumstances on completion of the assessment phase.

4.8 Appeals

If, after feedback, a member of staff has concerns that the process by which their outputs have been assessed, or their experience of the process set out above, are not consistent with the Code of Practice, they may submit an appeal. An appeal against academic judgement will not be accepted.

The appeal process is only open to members of staff employed on the census date of 31

July 2020.

The staff member should submit an appeal in writing to Human Resources no later than 1st August 2020 (in order to ensure that the appeal process can be completed prior to the submission deadline). An appeals panel will be convened (with individuals who are independent of Goldsmiths REF preparations), chaired by a member of Council, with the panel comprised of a senior member of Human Resources and at least one senior academic staff member. The appeals panel will review the case and confirm (by 7th September) whether or not the process specified in this Code has been followed. Consistent with Goldsmiths' practice in relation to other procedures, the appellant has the right to representation.

4.9 Equality Impact Assessment

Aggregated data profiling the protected characteristics of the cohort of all eligible staff will be reviewed in Spring 2019, Spring 2020 and at the census date of 31 July 2020.

At Review points 1 and 2, we will analyse this in relation to the range of output quality scores. The scope and the benchmark data for the first review of outputs undertaken in February is attached at Annex F.

At the draft submission and final submission stages, we will analyse the profiles of the outputs selected, against the protected characteristics of the benchmark cohort.

If the data indicates that staff with particular protected characteristics are under-represented in the group contributing more than one output in a submission, as compared to the benchmark group, we will firstly review our process to ensure that the review and selection process is not, in itself, discriminatory. If, however, the evidence indicates that the *process* is robust, and that there is therefore a more fundamental problem of restricted opportunity or support for research development, then the issue is beyond the remit of this Code of Practice. In that instance, the evidence will be referred to the Research and Enterprise Committee and the Human Resources and Equality Committee for action. It may be the case that issues identified contribute to the narrative of the institutional and/or UOA environment statements.

Annex A

Outline Communication Plan

When	Key Messages	How?
Jan - Spring 2019	Code of Practice: Consultation & Approval	<p>Publish the draft Code of Practice on Goldmine (Goldsmiths' Intranet and publicise via the online Staff News circular (mid Jan – early Feb)</p> <p>Send to staff on long term absence.</p> <p>Engage directly with Directors of Research and Heads of Department via specific meetings and encourage them to promote it within their departments</p> <p>Submit to HREC for discussion (Feb)</p> <p>Submit final version to Academic Board (Mar)</p> <p>Submit final version to Council (April)</p> <p>Submit to REF by 7th June and publish on Goldmine and via Staff News</p>
Feb/March 2019	Outcomes from REF Strategy Group discussions of initial Outputs Review (inc decisions on single/multiple submissions)	<p>Pro Warden Research and Enterprise and REF Manager to visit individual departments</p> <p>Heads of Department (or their nominees) to feedback headlines at Departmental Research Committees and/or Staff meetings (on request).</p>
March/May 2019	Research Independence: Publicise and implement process for identifying independent researchers from R-Only cohort.	<p>Publish on Goldmine and via Staff News</p> <p>Communicate directly with everyone on an R-Only contract (via email or mail to those on long-term absence)</p> <p>Briefing for Heads of Department and Directors of Research</p>

		Open Meeting for all staff, hosted by the Pro Warden for Research and Enterprise (15 May 2019)
June/July 2019	Brief report on outcomes of Impact / Environment reviews	Publish on Goldmine Engage directly with Heads of Department and Directors of Research via specific meetings.
June / July 2019	Consult on the outcomes of the EIA of the Outputs Review	Report to REF Strategy Group Publish the EIA on Goldmine
June 2019	Guidance for Full Mock REF (November)	Send to HoDs and DoRs and Publish on Goldmine Engage directly with Heads of Department and Directors of Research
June/Sept 2019	Special Circumstances: Establish and communicate process for consideration of Special Circs (requests to be submitted to REF team Autumn 2019 – Mar 2020)	Publish the process on Goldmine and publicise via Staff News Send to staff on long term absence. Engage directly with Heads of Department and Directors of Research via specific meetings and encourage them to promote it within their departments
Sept/Oct 2019	Town Hall Meeting	Present outcomes of the Equality Impact Assessment, plans for the Mock REF & special circs arrangements
January 2020	Outcomes from REF Strategy Group discussions of Mock REF	PWRE and REF Manager to visit individual departments Brief report to be published on Goldmine

End Jan 2020	Town Hall Meeting	Present outcomes from the Mock REF and plans for the submission year - what do our researchers need to know/do?
Feb/May 2020	Guidance for draft submission (July)	Publish on Goldmine Engage directly with Heads of Department and Directors of Research
End May 2020	Town Hall Meeting	Present the outcomes of the EIA on the mock REF, and follow up actions, and the plans for the Draft REF submission
July 2020	Final decisions on Staff Eligibility, mapping to UOAs, draft decisions on outputs for submission	Heads of Department and Directors of Research to communicate directly with individual staff
Sept / Oct 2020	Guidance for final submission	Publish on Goldmine Engage directly with Heads of Department and Directors of Research
Oct 2020	Town Hall Meeting	Present the outcomes of the EIA on the draft submission and the plans for the final submission
November 2020	Final Selection decisions and final submissions	Heads of Department to communicate directly with individual staff, confirming which of their outputs were selected Heads of Department to share the final submission with staff
Early 2021	Post-submission review	After the submission run a process of project review and reflection, consulting widely, to inform the development of future processes.
General & On-going	REF Up-dates, project plans, information	REF Web pages on Goldmine: https://goldmine.gold.ac.uk/AdviceInformation/Pages/REF-2021.aspx

		<p>PWRE Hosted Open Meetings (2 per annum) for all staff</p> <p>Ad hoc attendance by PWRE/REF Manager at departmental Research Committee and/or Staff meetings</p>
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Annex B - Governance

REF Strategy Group – Terms of Reference

The REF Strategy Group will be a sub-group of and report to the Research and Enterprise Committee, with the following Terms of Reference:

- Acting on behalf of the Warden, Academic Board and the Research and Enterprise Committee in carrying forward preparations ahead of the REF submission deadline.
- To lead on the development of a Goldsmiths Code of Practice which will inform the College's approach to REF 2021, to ensure a fair and transparent process for the identification of eligible staff for inclusion in the submission and the selection of outputs.
- Collating and interpreting intelligence gathered on the format and operation of REF ahead of submission deadlines.
- Providing recommendations to the Warden and SMT on the composition of returns to REF.
- Liaising with Heads of Departments and Directors of Research in preparation for REF.
- Receiving, commenting, and approving all returns through to their final submission.

Membership:

Pro-Warden for Research and Enterprise (Chair) – Professor David Oswell

Academic representatives selected on the basis of balancing the following criteria:

- Gender, race, ethnicity
- Being representative of Goldsmith's 3 Schools
- Impact Leads
- Experience in practice and non-practice research
- Research leadership and experience
- Dr Jorella Andrews
- Professor Natalie Fenton
- Professor Jonny Freeman
- Professor Fiona Gabbert
- Professor Bill Gaver
- Professor Osita Okagbue
- Professor Simon McVeigh
- Professor Dan Neyland

Professional Services – representing the key professional service departments relevant to the REF submission (listed alphabetically):

- Director of Communications

- Director of HR
- Director of IT Services
- Director of Library & Student Services
- Head of Planning
- REF Manager
- Registrar
- Director of Research, Innovation and Knowledge Exchange

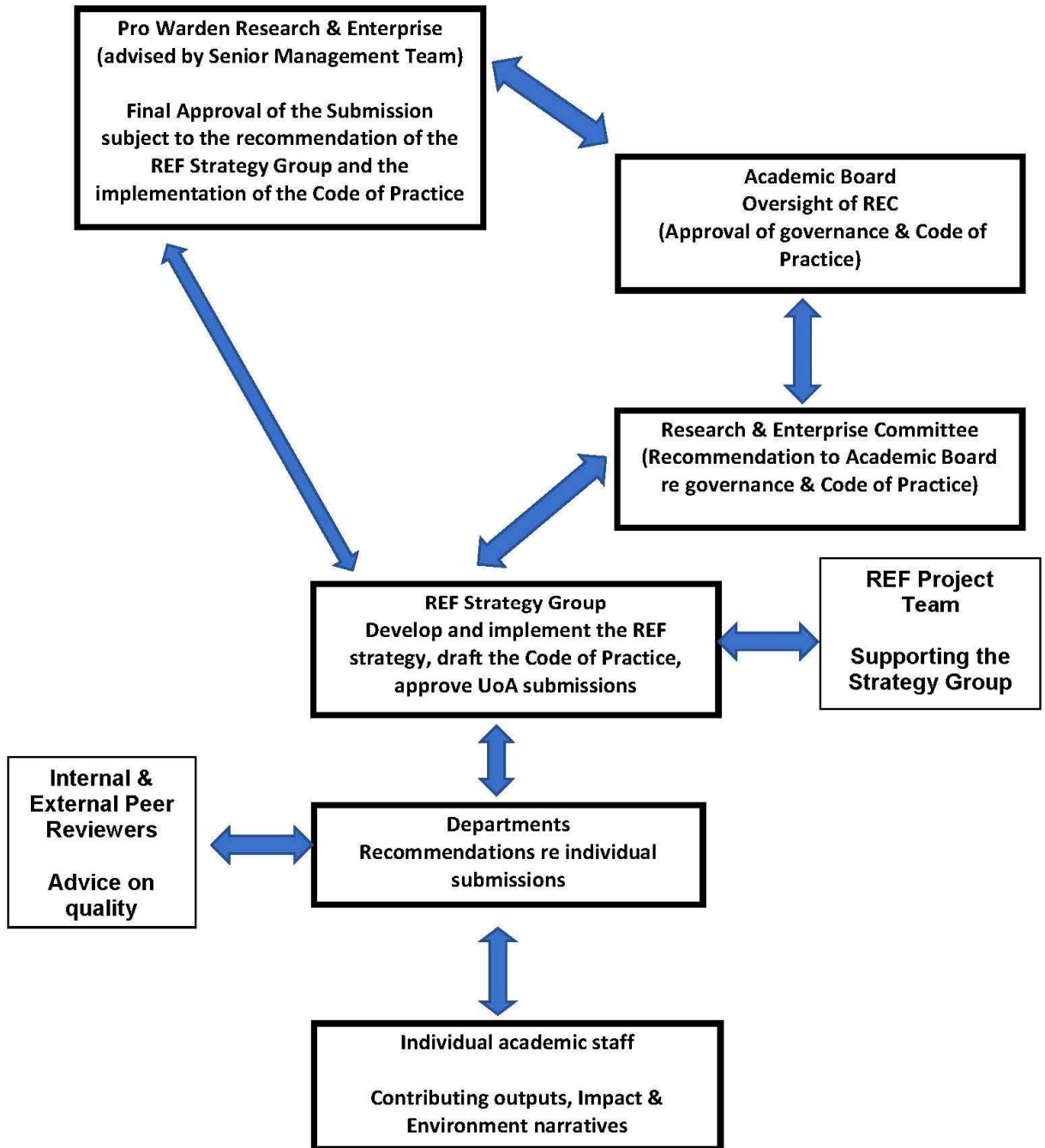
REF Project Team - Terms of Reference:

- To manage the operational aspects of the College's preparations for, and submission of, its REF return;
- Overseeing and working closely with Departments in the collection, maintenance and updating of data through to final submissions;
- Overseeing and supporting the use of REF software (from pilot version to final version) and its use across the Professional Services and Departments;
- Bringing to the attention of the REF Strategy Group, and where necessary to Research and Enterprise Committee, any issues of concern/anomalies elicited from interactions with Departments which relate to strategic planning for the REF;
- Identifying good practice in relation to data collection and interpretation and relaying these to Departments;
- Interpreting and disseminating instructions from the Funding Councils' REF Team relating to data collection and REF software.

Membership (nominated by the relevant Professional Services departments):

- REF Project Manager - Jane Boggan
- HR Representative – Dafydd Mydleton-Williams
- Library Representatives – Andrew Gray & Ozden Sahin
- IT Representatives – Alma Shala & Frances Renton
- Planning Representative – Philippa Swindell
- Departmental Representative – Jane Offerman

REF- Institutional Governance Framework



Annex C

Plans for handling the initial review of Research-Only staff to determine Research Independence – Spring/Summer 2019

1. **Objective:** For the purposes of the REF, an independent researcher is defined as an individual who undertakes self-directed research, rather than carrying out another individual's research programme. Consistent with the commitment outlined in the Code of Practice, the process set out below will identify which of the current Research-Only staff meet the REF criteria for research independence and will be included in the November 2019 Mock REF. This will be a provisional judgement, subject to review in Spring 2020, to confirm eligibility for submission to REF 2021.
2. **The process:**
 1. HR will prepare a spreadsheet of current Research-Only staff and deposit this in the Departmental SharePoint folder. The spreadsheet will include all Research-Only staff who are on 0.2FTE or above, irrespective of Grade or contract end date. **It is important that the process includes, and treats equitably, those people whose contract is due to end before the REF census date of 31 July 2020.**
 2. For each Research-Only staff member, the spreadsheet will identify, the Name, FTE, Grade, Start and End dates of current contract, Start date of first contract. A further four columns will be added for departments to complete – Is eligible? (Y/N), If Yes then UOA, Comment, Date of comment.
 3. Heads of Department and/or their nominee (eg: Directors of Research) to consider the list of Research-Only staff in their department to:
 - a. Confirm that the list is consistent with their local knowledge and that all of the staff they believe to be on Research-Only contracts are included. The process for reporting errors or omissions is firstly to email REF@gold.ac.uk where this will be picked up by Oz Sahin who will liaise with the HR team who will review the contract and make an amendment if the record is incorrect. If the data and the contract are consistent then HR will contact the department to review the issue.
 - b. Review each individual's job description and their knowledge of the actual role they undertake to make an initial assessment of whether they are independent researchers (in REF terms).
 - c. Meet with each individual Research-Only staff member to assure themselves that the information they have taken into account is accurate and to confirm or revise their initial assessment. The outcome of this meeting the staff member should receive a provisional confirmation in writing, using the template attached at Annex A; and the HR spreadsheet in SharePoint should be completed as a record of the decision.
 - d. Once this stage of the process is complete in the department and the spreadsheet is completed, the outcome will be recorded in the HR system (Agresso) and the individual's record in Agresso will be attached to a UOA.

- e. This data will then feed through to the REF Plug-in to GRO to enable the selection of outputs for those individuals who are now deemed eligible for REF for the mock REF in November.

3. Indicators of Research Independence for REF:

For the purposes of the REF, an independent researcher is defined as an individual who undertakes self-directed research, rather than carrying out another individual's research programme. As specified in the Code of Practice, Goldsmiths recognises that broadly research independence is defined on a spectrum, but for the purposes of REF we have to make a binary decision about whether colleagues on Research-Only contracts meet the REF criteria as an independent researcher or not. To do this we will take account of the extent to which individuals' job descriptions, and actual roles include those possible indicators of research independence agreed by all the Main Panels and listed in the Guidance on Submissions (paragraph 132) i.e.:

- Leading or acting as a principle investigator or equivalent on an externally-funded research project
- Holding an independently won, competitively awarded fellowship where research independence is a requirement (with reference to the published list – see Annex B)
- Leading a research group or a substantial work package.

Additionally, for all departments submitting to Main Panels C and D (i.e. all except Computing and Psychology) the following supplementary indicators should be considered:

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

Decisions made about whether or not an individual is deemed to be an independent researcher for REF will not be taken in account in relation to promotion, progression or length of contract.

4. Further information

Key references for further information on the REF include:

- Guidance on Submissions – paragraphs 128-134:
<https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>
- Panel Criteria and Working Methods – paragraphs 187-189:
<https://www.ref.ac.uk/publications/panel-criteria-and-working-methods-201902/>
- Goldsmiths' Code of Practice – Part 3 paragraphs 3.1 – 3.6 (version will be available on Goldmine)
- Contact – j.boggan@gold.ac.uk or REF@gold.ac.uk

5. Timeline:

Deadline	Action	Responsibility
End April	Circulate guidance notes to HoDs & DoRs	Jane Boggan (JB)
w/b 7 May	HR lists prepared and deposited in SharePoint	DO/JB
w/b 7 May	Briefing sessions for HoDs & DoRs	DO/JB / HoDs & DoRs
W/b 7 May	Up-date Goldmine, Message to all Staff inc staff on long-term absence	JB / HR / Comms
15 th May	Town Hall Meeting for all staff covering the Code of Practice, as well as the Research Independence Criteria and process	DO/JB
By 13 th Sept	HoDs & DoRs consider R-Only staff and determine Research Independence. Provide initial confirmation to staff and up-date spreadsheet.	HoDs / DoRs
By end Sept	Up-date staff record on Agresso and REF Plug-in	HR and GRO team
By early Nov	Undertake an Equality Impact Assessment on the outcomes and report.	REF Project Team

Proforma to record the decision regarding Research Independence / REF eligibility of Research-Only Staff

Department:	
Staff member:	
Head of Department (or Nominee eg DoR):	
<p>Please identify if the staff member meets any of the possible indicators listed below <u>with a view to determining whether they undertake self-directed research, rather than carrying out another individual's research programme:</u></p>	
Criteria	Comment
a) Leading or acting as a principal investigator or equivalent on an externally-funded research project	
b) Holding an independently won competitively awarded fellowship where research independence is a requirement. The list at Annex B provides some examples of such fellowships but is not exhaustive	
c) Leading a research group or substantial work package	
<p>For all departments submitting to UOAs in Main Panels C and D, (ie all except Psychology and Computing) these supplementary indicators should be considered:</p>	
d) Being named as a Co-I on an externally funded research grant/award	
e) Having significant input into the design, conduct and interpretation of the research	
<p>If there is evidence that the individual is employed to undertake 'self-directed research', not covered by these indicators, then please use the space below for a brief description.</p>	

On the basis of the job description and the actual role undertaken does the staff member currently meet the REF criteria as an independent researcher?	Yes / No
If 'Yes' which UOA would they be submitted to (and included in the Mock REF in November 2019)?	

The outcome of this process is provisional in terms of the final submission in November 2020, and will be subject to a review in Spring 2020.

Signed (HoD or nominee):

Staff member:

Date:

Annex D

The mapping of departments to Units of Assessment and the allocation of REF Strategy Group critical friends to departments

Main Panel	Department	REF Unit of Assessment	REF Strategy Group Member – Critical Friend
A	Psychology	4 – Psychology, Psychiatry and Neuroscience	David Oswell
B	Computing	11 - Computer Science and Informatics	Jonny Freeman
C	Institute of Management Studies	Potentially 17 – Business and Management Studies	Fiona Gabbert
C	Politics & International Studies	19 – Politics and International Studies	Natalie Fenton
C	Social, Therapeutic and Community Studies	20 – Social Work and Social Policy	David Oswell
C	Sociology	21 – Sociology	Natalie Fenton
C	Anthropology	22 – Anthropology	Dan Neyland
C	Educational Studies	23 – Education	David Oswell
D	English and Comparative Literature	27 English Language and Literature	Jorella Andrews
D	History	28 – History	Jorella Andrews
D	Art	32 – Art and Design	Bill Gaver
D	Design	32 – Art and Design	Fiona Gabbert
D	Visual Cultures	32 – Art and Design	Simon McVeigh
D	Music	33 – Music, Drama, Dance, Performing Arts, Film and Screen Studies	Osita Okagbue
D	Theatre and Performance	33 – Music, Drama, Dance, Performing Arts, Film and Screen Studies	Simon McVeigh
D	Media, Communications and Cultural Studies	34 – Communication, Cultural and Media Studies, Library and Information Management	Dan Neyland
TBD	Institute of Creative and Cultural Entrepreneurship	TBD	David Oswell

Annex E – Individual Staff Circumstances – extracts from the REF Guidance

Reproduced below are paragraphs 160 to 163 of the Guidance on submissions, which outline the range of applicable circumstances. Annex L, referred to in the text below, follows. Also provided is Table 1 from the Guidance on the Code of Practice, which outlines and defines all protected characteristics and indicates the associated legislation.

Summary of applicable circumstances

120. The funding bodies, advised by EDAP, have identified the following equality-related circumstances that, in isolation or together, may significantly constrain the ability of submitted staff to produce outputs or to work productively throughout the assessment period. Details of the permitted reductions are set out in Annex L:

- a. Qualifying as an ECR (on the basis set out in 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, as defined in paragraphs 162 to 163.
- e. Circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in outputs, which are:
 - i. Disability: this is defined in the ‘Guidance on codes of practice’, Table 1¹ 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.

121. As part-time working is taken account of within the calculation for the overall number of outputs required for the unit (which is determined by multiplying the unit’s FTE by 2.5) reduction requests on the basis of part-time working hours should only be made exceptionally. For example, where the FTE of a staff member late in the assessment period does not reflect their average FTE over the period as a whole.

¹ Table 1 follows at the end of the extracts from the Guidance on Submissions

Summary of relevant reductions for staff circumstances

Reproduced below is Annex L from the Guidance on Submissions, which outlines reductions for staff circumstances.

Annex L: Reductions for staff circumstances

1. Given the reduced output requirement for 2021, the tariffs for the defined reductions differ from those set in REF 2014. This is to ensure that a broadly equivalent reduction is given in the context of the submitted output pool, and to ensure that panels receive a sufficient selection of research outputs from each submitted unit upon which to base judgements about the quality of that unit's outputs.

Early career researchers

2. ECRs are defined in the 'Guidance on submissions' (paragraph 148). Table L1 sets out the permitted reduction in outputs without penalty in the assessment that HEIs may request for ECRs who meet this definition.

Table L1: Early career researchers: Permitted reduction in outputs

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

Absence from work due to secondments or career breaks

3. Table L2 sets out the permitted reduction in outputs without penalty in the assessment that HEIs may request for absence from work due to secondments or career breaks outside of the HE sector, and in which the individual did not undertake academic research.

Table L2: Secondments or career breaks: Permitted reduction in outputs

Total months absent between 1 January 2014 and 31 July 2020 due to a staff member's secondment or career break:	Output pool may be reduced by up to:
Fewer than 12 calendar months	0
At least 12 calendar months but less than 28	0.5
At least 28 calendar months but less than 46	1
46 calendar months or more	1.5

4. The allowances in Table L2 are based on the length of the individual's absence or time away from working in HE. They are defined in terms of total months absent from work.

5. As part-time working is taken account of within the calculation for the overall number of outputs required for the unit (which is determined by multiplying the unit's FTE by 2.5), reduction requests on the basis of part-time working hours should only be made exceptionally. For example, where the FTE of a staff member late in the assessment period does not reflect their average FTE over the period as a whole.

Qualifying periods of family-related leave

6. The total output pool may be reduced by 0.5 for each discrete period of:
 - a. Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2014 to 31 July 2020, regardless of the length of the leave.
 - b. Additional paternity or adoption leave², or shared parental leave³ lasting for four months or more, taken substantially during the period 1 January 2014 to 31 July 2020.

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

8. While the above reduction of outputs due to additional paternity or adoption leave is subject to a minimum period of four months, shorter periods of such leave could be taken into account as follows:

- a. By applying a reduction in outputs where there are additional circumstances, for example where the period of leave had an impact in combination with other factors such as ongoing childcare responsibilities.
- b. By combining the number of months for shorter periods of such leave in combination with other circumstances, according to Table L2.

9. Any period of maternity, adoption, paternity or shared parental leave that qualifies for the reduction of an output under the provisions in paragraph 6 above may in individual cases be associated with prolonged constraints on work that justify more than the defined reduction set out. In such cases, the circumstances should be explained in the request.

Combining circumstances

10. Where individuals have had a combination of circumstances that have a defined reduction in outputs, these may be accumulated up to a maximum reduction of 1.5 outputs. For each circumstance, the relevant reduction should be applied and added together to calculate the total maximum reduction.

11. Where Table L1 is combined with Table L2, the period of time since 1 January 2014 up until the individual met the definition of an ECR should be calculated in months, and Table L2 should be applied.

² 'Additional paternity or adoption leave' refers to leave of up to 26 weeks which is taken to care for a child where the person's spouse, partner or civil partner was entitled to statutory maternity leave or statutory adoption leave, and has since returned to work. The term 'additional paternity leave' is often used to describe this type of leave although it may be taken by parents of either gender. For the purposes of the REF, we refer to this leave as 'additional paternity or adoption leave'.

³ 'Shared parental leave' refers to leave of up to 50 weeks which can be shared by parents having a baby or adopting a child. This can be taken in blocks, or all in one go.

12. When combining circumstances, only one circumstance should be taken into account for any period of time during which they took place simultaneously.

13. Where an individual has a combination of circumstances with a defined reduction in outputs **and** additional circumstances that require a judgement, the institution should explain this in the reduction request so that a single judgement can be made about the appropriate reduction in outputs, taking into account all the circumstances. The circumstances with a defined reduction in outputs to be requested should be calculated according to the guidance above (paragraphs 2 - 10).

Circumstances requiring a judgement about reductions

14. Where staff have had other circumstances during the period (see paragraph 160e in this ‘Guidance on submissions’ document) – including in combination with any circumstances with a defined reduction in outputs – the institution will need to make a judgement about the effect of the circumstances in terms of the equivalent period of time absent, apply the reductions as set out in Table L2 by analogy, and provide a brief rationale for this judgement.

Table 1 Equalities Legislation

Everyone involved in the selection of outputs for the REF will be expected to be fully conversant with equal opportunities issues, the legislative environment and its implications for the REF. A summary of the relevant equality legislation is set out in table 1 below (extract from the REF Guidance on Codes of Practice).

Table 1: Summary of equality legislation

<p>Age</p>	<p>All employees within the HE sector are protected from unlawful age discrimination, harassment and victimisation in employment under the Equality Act 2010 and the Employment Equality (Age) Regulations (Northern Ireland) 2006. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group.</p> <p>Age discrimination can occur when people of a particular age group are treated less favourably than people in other age groups. An age group could be, for example, people of the same age, the under 30s or people aged 45-50. A person can belong to a number of different age groups.</p> <p>Age discrimination will not be unlawful if it is a proportionate means of achieving a legitimate aim. However, in the context of the REF, the view of the funding bodies is that if a researcher produces excellent research an HEI will not be able to justify not selecting their outputs because of their age group.</p> <p>It is important to note that early career researchers (ECRs) are likely to come from a range of age groups. The definition of ECR used in the REF (see</p>
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	<p>'Guidance on submissions', paragraphs 148 to 149) is not limited to young people.</p> <p>HEIs should also note that, given developments in equalities law in the UK and Europe, the default retirement age has been abolished from 1 October 2011 in England, Scotland, Wales and Northern Ireland.</p>
<p>Disability</p>	<p>The Equality Act 2010, the Disability Discrimination Act (1995) (Northern Ireland only) and the Disability Discrimination (Northern Ireland) Order 2006 prevent unlawful discrimination, victimisation and harassment relating to disability. Individuals are also protected if they are perceived to have a disability or if they are associated with a person who has a disability (for example, if they are responsible for caring for a family member with a disability).</p> <p>A person is considered to have a disability if they have or have had a physical and/or mental impairment which has 'a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities'. Long-term impairments include those that last or are likely to last for at least 12 months.</p> <p>Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities. An impairment which is managed by medication or medical treatment, but which would have had a substantial and long-term adverse effect if not so managed, is also a disability.</p> <p>The definition of disability is different in Northern Ireland in that a list of day-to-day activities is referred to.</p> <p>There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people generally, not a specific individual, carry out on a daily or frequent basis.</p> <p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p> <ul style="list-style-type: none"> • sensory impairments • impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy • progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer • organ specific impairments, including respiratory conditions and cardiovascular diseases • developmental impairments, such as autistic spectrum disorders and dyslexia • mental health conditions such as depression and eating disorders • impairments caused by injury to the body or brain.

	<p>It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.</p> <p>Equality law requires HEIs to anticipate the needs of people with disabilities and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a researcher's impairment has affected the quantity of their research outputs, the submitting unit may return a reduced number of outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances').</p>
<p>Gender reassignment</p>	<p>The Equality Act 2010 and the Sex Discrimination (Gender Reassignment) Regulations (Northern Ireland) 1999 protect from discrimination, harassment and victimisation of trans people who have proposed, started or completed a process to change their sex. Staff in HE do not have to be under medical supervision to be afforded protection because they are trans and staff are protected if they are perceived to be undergoing or have undergone related procedures. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.</p> <p>Trans people who undergo gender reassignment will need to take time off for appointments and, in some cases, for medical assistance. The transition process is lengthy, often taking several years, and it is likely to be a difficult period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole.</p> <p>The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a transsexual may commit a criminal offence if they pass the information to a third party without consent.</p> <p>Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care.</p> <p>If a staff member's ability to work productively throughout the REF assessment period has been constrained due to gender reassignment, the unit may return a reduced number of research outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'). Information about the member of staff will be kept confidential as described in 'Guidance on submissions', paragraph 195.</p> <p>HEIs should note that the Scottish government recently consulted on, and the UK government is currently consulting on, reform of the Gender Recognition Act 2004, which may include streamlining the procedure to legally change gender.</p>

<p>Marriage and civil partnership</p>	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 as amended, individuals are protected from unlawful discrimination, harassment and victimisation on the grounds of marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and treatment in employment. The protection from discrimination does not apply to single people.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff who are married or in civil partnerships.</p>
<p>Political opinion</p>	<p>The Fair Employment and Treatment (Northern Ireland) Order 1998 protects staff from unlawful discrimination on the grounds of political opinion.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff based on their political opinion.</p>
<p>Pregnancy and maternity</p>	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 women are protected from unlawful discrimination, harassment and victimisation related to pregnancy and maternity.</p> <p>Consequently, where researchers have taken time out of work, or their ability to work productively throughout the assessment period has been affected, because of pregnancy and/or maternity, the submitting unit may return a reduced number of research outputs, as set out in ‘Guidance on submissions’, paragraphs 169 to 172.</p> <p>In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process.</p> <p>For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.</p>
<p>Race</p>	<p>The Equality Act 2010 and the Race Relations (Northern Ireland) Order 1997 protect HEI staff from unlawful discrimination, harassment and victimisation connected to race. The definition of race includes colour, ethnic or national origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their race or assumed race (for example, based on their name).</p>
<p>Religion and belief including non-belief</p>	<p>The Equality Act 2010 and the Fair Employment and Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination, harassment and victimisation related to religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief.</p>

	<p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived religion or belief, including non-belief. 'Belief' includes any structured philosophical belief with clear values that has an effect on how its adherents conduct their lives.</p>
<p>Sex (including breastfeeding and additional paternity and adoption leave)</p>	<p>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect HEI staff from unlawful discrimination, harassment and victimisation related to sex. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex.</p> <p>The sex discrimination provisions of the Equality Act explicitly protect women from less favourable treatment because they are breastfeeding. Consequently, the impact of breastfeeding on a woman's ability to work productively will be taken into account, as set out in 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'.</p> <p>If a mother who meets the continuity of employment test wishes to return to work early or shorten her maternity leave/pay, she will be entitled to shared parental leave with the father or her partner within the first year of the baby's birth. Partners may also be eligible for shared parental leave or pay. Fathers/partners who take additional paternity or adoption leave will have similar entitlements to women on maternity leave and barriers that exist to taking the leave, or as a result of having taken it, could constitute unlawful sex discrimination. Consequently, where researchers have taken additional paternity and adoption leave, the submitting unit may return a reduced number of outputs, as set out in 'Guidance on submissions', Annex L.</p> <p>HEIs need to be wary of implementing procedures and decision-making processes in relation to REF 2021 that would be easier for men to comply with than women, or vice versa. There are many cases where a requirement to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women.</p> <p>HEIs should note that there are now requirements under UK and Scottish legislation for public authorities (including HEIs) to report information on the percentage difference amongst employees between men and women's average hourly pay (excluding overtime).</p>
<p>Sexual orientation</p>	<p>The Equality Act 2010 and the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003 protect HEI staff from unlawful discrimination, harassment and victimisation related to sexual orientation. Individuals are also protected if they are perceived to be or are associated with a person who is of a particular sexual orientation.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived sexual orientation.</p>

Welsh language	The Welsh Language Act 1993 places a duty on public bodies in Wales to treat Welsh and English on an equal basis. This is reinforced by the provisions of the Welsh Language (Wales) Measure 2011 and the Welsh Language Standards (No 6) Regulations 2017.
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ANNEX H

The table below sets out the questions in the online form, with some guidance notes for clarification.

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 December 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). If you are unsure whether the criteria apply, then please contact (*to be confirmed*) for advice.

Circumstance	Time period affected	Guidance notes
<p>Early Career Researcher (started career as an independent researcher on or after 1 August 2016).</p> <p><i>Date you became an early career researcher, job title and the name of the employing institution.</i></p>	<p>Click here to enter a date.</p>	<p>An Early Career Researcher (in REF terms) is someone who started their career as an independent researcher since August 2016. It is assumed that someone on a Teaching and Research contract in Goldsmiths is undertaking independent research. For staff on Research-Only contracts, an independent researcher (in REF terms) is defined as an individual who undertakes self-directed research, rather than carrying out another individual's research programme. Please provide the start date of your first employment contract where these criteria apply, if it is on or after 01 August 2016, the name of the institution and your job title.</p>
<p>Career break or secondment outside of the HE sector.</p>	<p>Click here to enter dates and durations.</p>	<p>Please provide the details of any career breaks or secondments during the REF period (01:01:14 – 31:07:20) when you were not contractually required to be research-active.</p>

<p><i>Dates and durations in months, the job title and name of employing organisation. Please also indicate whether the secondment was full-time or part-time, confirming the part-time FTE.</i></p>		
<p>Family-related leave;</p> <ul style="list-style-type: none"> • statutory maternity leave • statutory adoption leave • Additional paternity or adoption leave or shared parental leave lasting for four months or more. <p><i>For each period of leave, state the nature of the leave taken and the dates and durations in months.</i></p>	<p>Click here to enter dates and durations.</p>	
<p>Disability (including chronic conditions)</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>	
<p>Mental health condition</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods 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>Any other exceptional reasons e.g. bereavement.</p>	<p>Click here to enter text.</p>	

<i>To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i>		
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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 Goldsmiths Special Circumstances Panel.
- I realise it may be necessary to share the information with the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs.

I agree

I give my permission for the details of this form to be passed on to my Head of Department. (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 an HR partner to contact me to discuss my circumstances, and my requirements in relation this these.

Name: Print name here
Signed: Sign or initial here
Date: Insert date here

I would like to be contacted by:

Email Insert email address
Phone Insert contact telephone number

Annex F

Scope of Equality Impact Assessment on First Output Review (Spring 2019)

EIA Group (responsible for collating the data and drafting the EIA report):

Jane Boggan (Research Excellence Manager) (EIA Lead) ; Philippa Swindell (Planning and Strategy Manager); Dafydd Myddleton-Williams (Head of HR Data and Transactions); Bethan Williams (Organisational Development & Equalities Manager). The draft EIA report, including the data and initial analysis will go to the REF Strategy Group in the first instance. The final report, following consultation (see below), will be published.

Data analysis by protected characteristic

Aggregated data profiling the protected characteristics of the cohort of staff on Teaching and Research contracts (minimum 0.2FTE) was reviewed in Spring 2019. The data forms the benchmark against which the profile of the protected characteristics of the cohort whose outputs were reviewed and scored will be considered.

The benchmark data is attached showing the population in scope in terms of:

- gender (M/F/unknown), for the whole population and also by MPA&B, MPC and MPD
- ethnicity (white/BAME/unknown), for the whole population and also by MPA&B, MPC and MPD;
- age (up to 34, 35 - 49, 50 – 64, 65 and over) for the whole population and also by MPA&B, MPC and MPD;
- disability (no known disability, declared disability) for the whole population and also by MPA&B, MPC and MPD;
- gender and ethnicity for the whole population and also by MPA&B, MPC and MPD
- gender and age for the whole population and also by MPA&B, MPC and MPD
- sexual orientation (heterosexual/LGBTQ*/unknown including 'information refused') for the whole population
- gender identify (gender the same as assigned at birth – Yes/No/unknown including information refused) by the whole population.
- religion (declared religion/actively no declared religion/unknown inc 'information refused') for the whole population.

Departments were asked to review and score between one and five outputs from the members of this benchmark cohort. The scoring data will be reviewed in terms of the protected characteristics of staff listed above, except for sexual orientation, gender identity and religion as the numbers are too small to draw meaningful conclusions about possible discrimination.

The EIA will include an analysis of the different demographic groups in terms of the volume and percentage of outputs scored at:

- 3* and 4*;
- 2*;
- 1*.

We are not looking at the scores for outputs that were unclassified as it will not be possible to draw meaningful conclusions given the range of reasons for outputs to be unclassified at this stage.

Consultation and engagement

The findings of the data analysis will be shared with REF Strategy Group, Heads of Department, and Directors of Research. We will consult with staff from protected groups and equality networks, including the Goldsmiths Race Equality Group, LGBT+ Network, Women's leadership network and Disabled staff.

As part of the consultation we will explore possible reasons for under-representation, identify steps to mitigate against potential discrimination and explore alternative procedures.

EIA Report and Action Plan

The REF Strategy Group will receive a report containing analysis of the potential impact of the proposals based on staff data and engagement with staff in relation to the protected characteristics. The EIA report will detail:

The steps that will be taken to change potentially discriminatory proposals or mitigate their impact.

Where there is evidence of a positive impact, consideration as to whether the positive impact could be extended to other groups and units of assessment.

If no evidence of adverse impact is identified within process itself, but the EIA reveals that protected groups may face barriers to opportunities (e.g. support for research development) recommendations will be shared with the Research and Enterprise Committee and the Human Resources and Equality Committee for action.

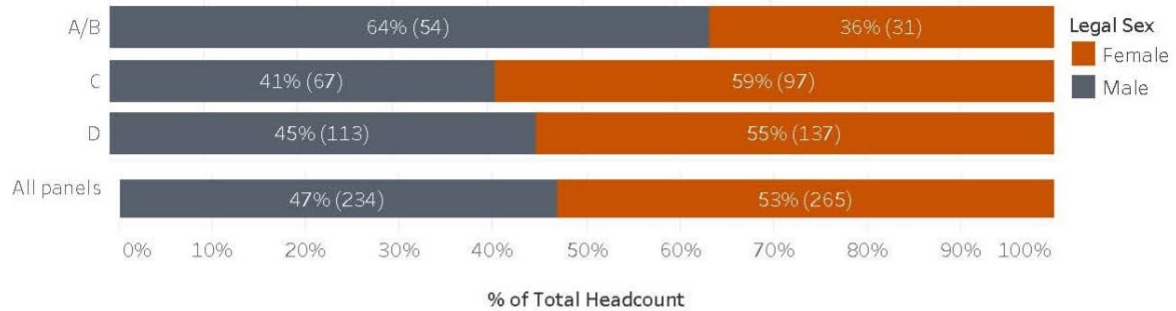
An action plan will be published, setting out the actions that will be taken to minimise the risk of negative impacts on particular protected groups, including clear lead responsibilities for implementation, agreed timescales and arrangements for ongoing monitoring and review of the action plan.

Further Equality Impact Assessments on output selection

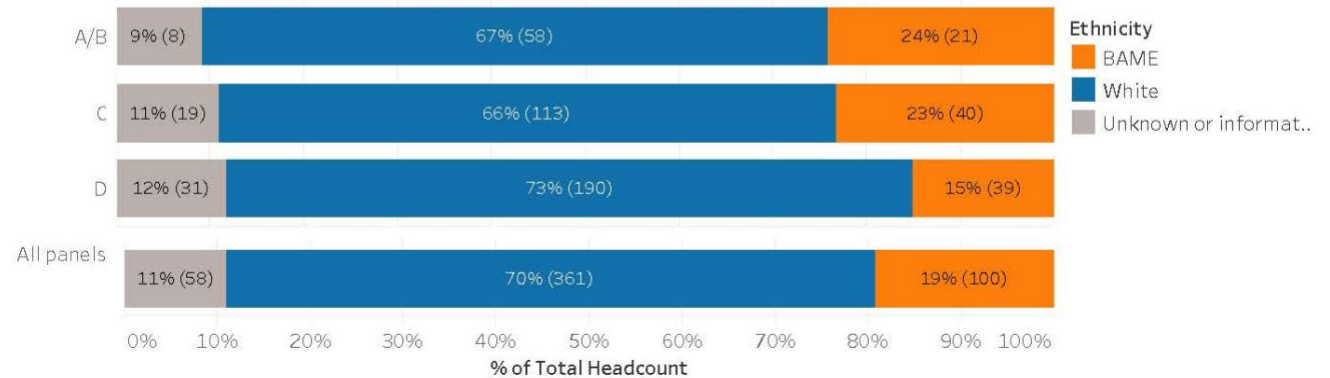
Further EIAs will be conducted in Spring 2020 (following the mock REF reporting in December 2019), at the census date of 31 July 2020 (following the draft submissions), and in December 2020 (following the final submission).

1. Population benchmarks

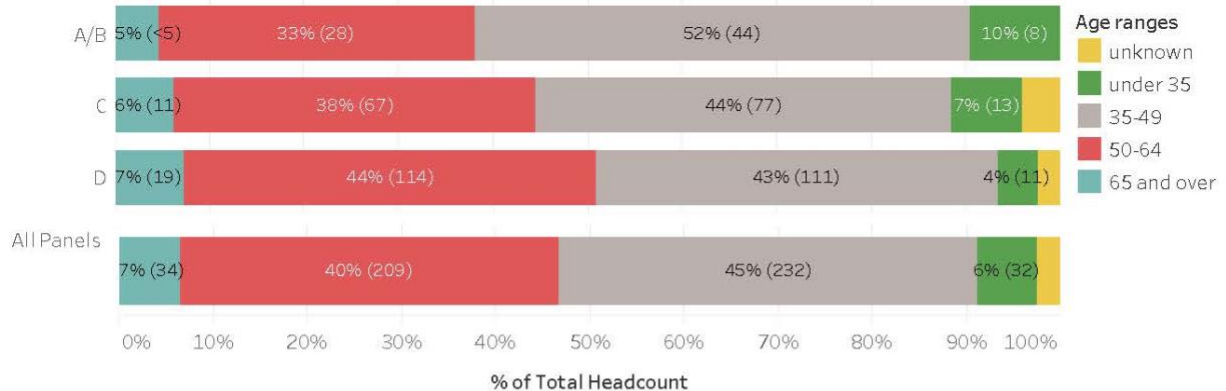
Population by gender



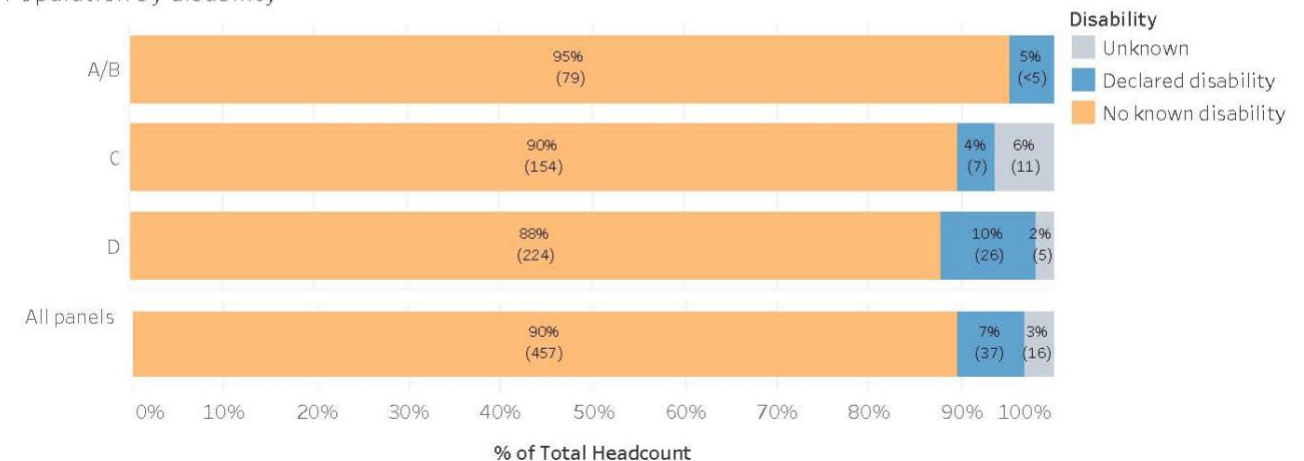
Population by Ethnicity



Population by age



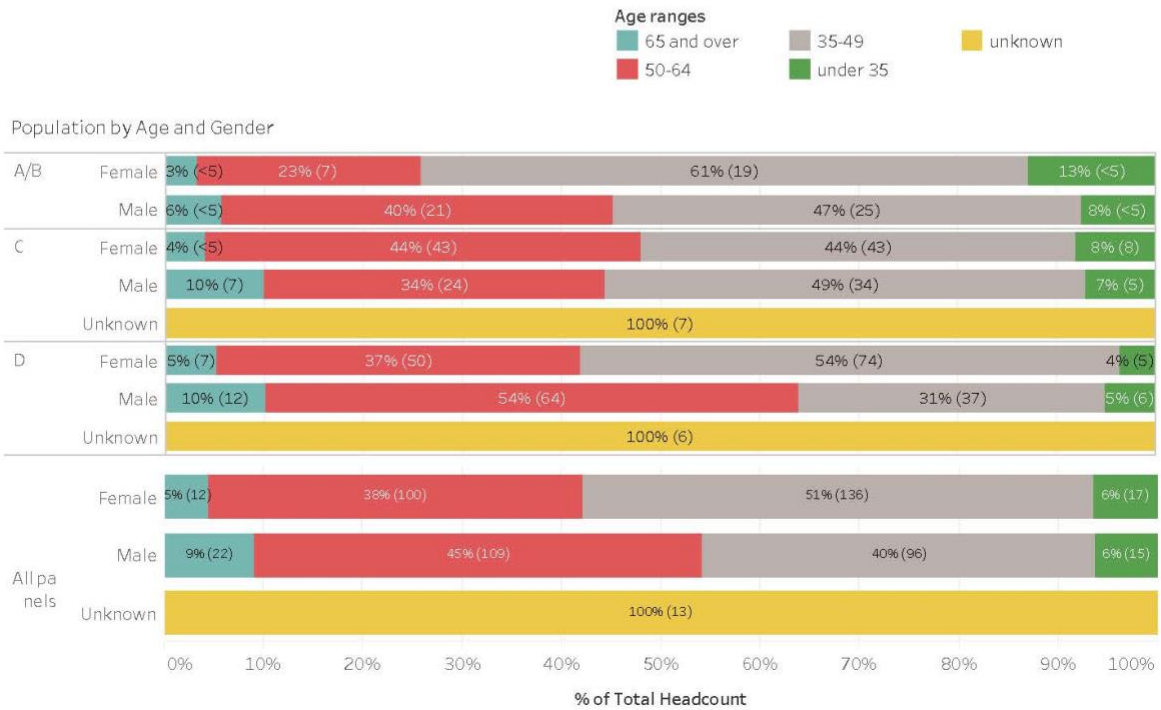
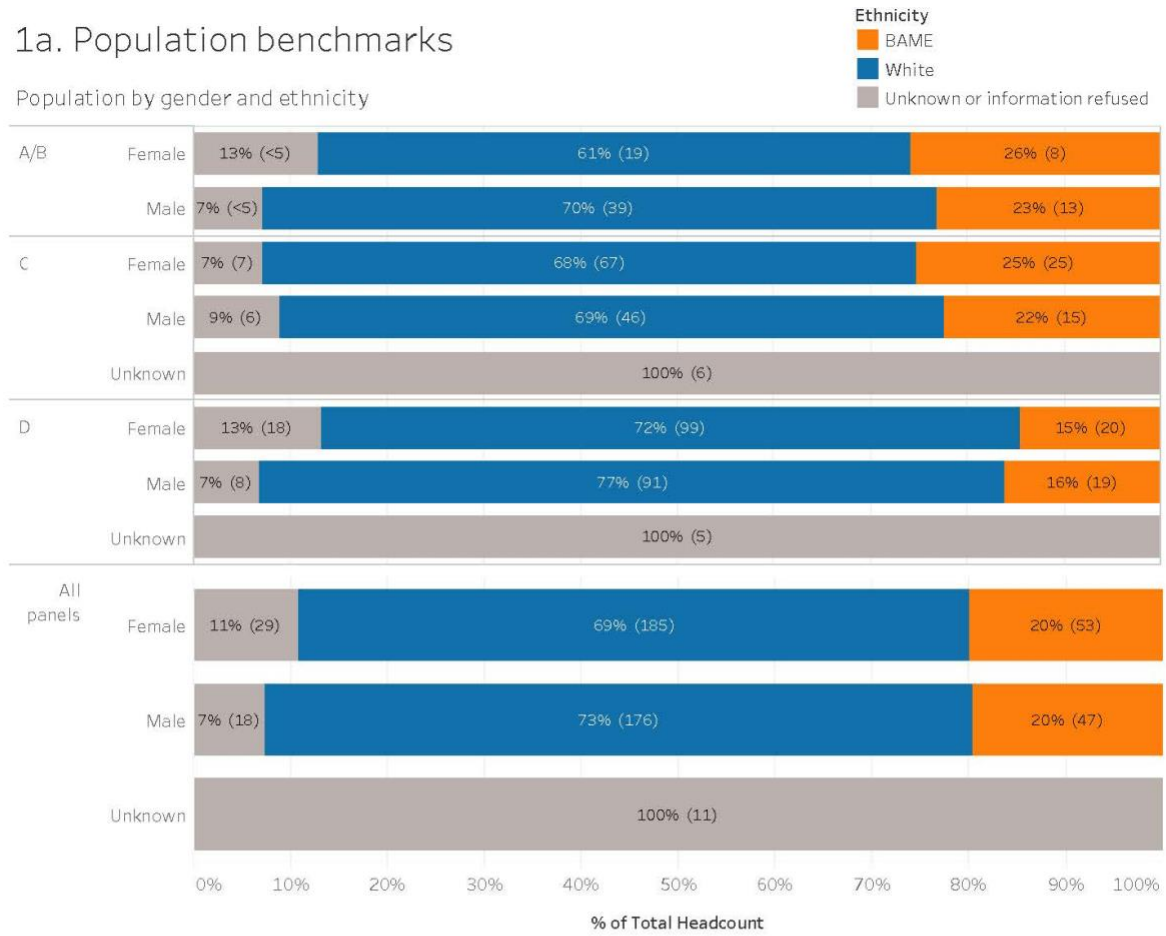
Population by disability



Please note that slight variations in the cohort totals are a result of some underlying data errors which will be corrected in future iterations.

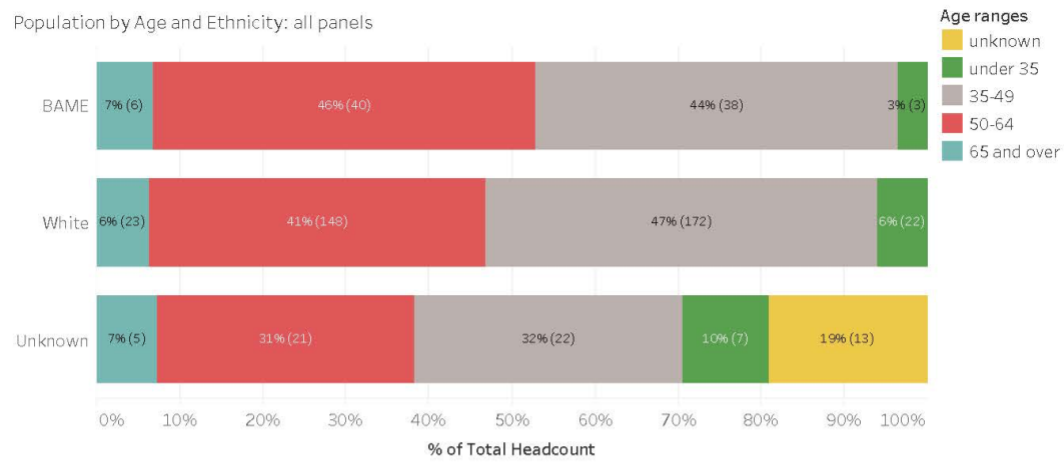
1a. Population benchmarks

Population by gender and ethnicity

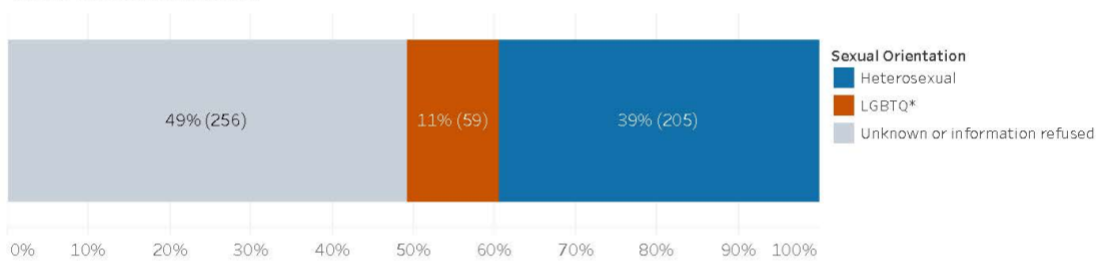


1b. Population benchmarks

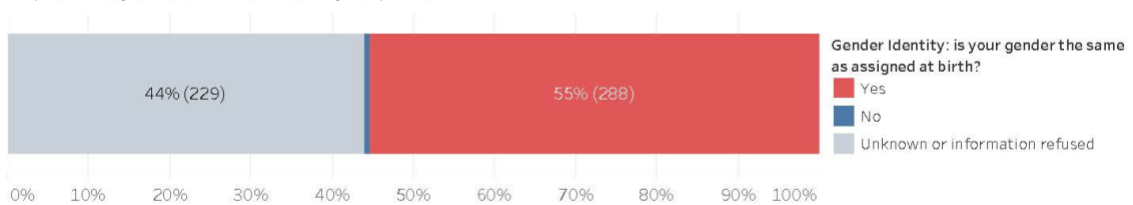
Population by Age and Ethnicity: all panels



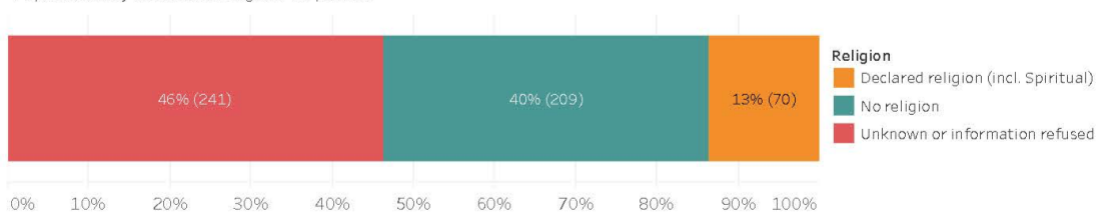
Sexual orientation: all panels



Population by declared Gender identity: all panels



Population by declared Religion: all panels





Together
we are different

Goldsmiths' Equality Objectives
2017-2021

Introduction

people from different
groups

Background

Equality, inclusion and social justice are core values of Goldsmiths. These values are enshrined throughout the University's rich history, entrenched in the subject matter of its research and teaching, and embraced by members of its community.

Our intention is to embed equality, diversity and inclusion (EDI) and make it a part of everything that we do. We have an opportunity for Goldsmiths to lead the sector in EDI practice by championing innovation and valuing individuality to truly reflect our values.

Legal context

EDI work in Higher Education (HE) is underpinned by a legal framework under the Equality Act 2010 and a further Public Sector Equality Duty that was introduced in 2011. The Duty is designed to help Higher Education Institutions (HEIs) to fulfil the requirements of the Equality Act by taking proactive steps to:

- combat discrimination, victimisation and harassment
- advance and promote equality of opportunity between different groups
- foster good relations between

In 2012, Goldsmiths published a [Statement of Commitment on Equality and Diversity](#) which sets out our commitment to our duties under the Equality Act 2010.

There are also three specific obligations we must meet as part of our Public Sector Equality Duty:

1. To publish information to demonstrate compliance with the equality duty by 31 January 2012 (and annually thereafter) – please see our annual reports: [Equality and Diversity Annual Report 2015-16](#) (published January 2016), and [Equality and Diversity Report 2014-15](#) (published January 2015).
2. To set and publish one or more specific and measurable equality objective, at least every four years – please see our previous [Equality Objectives and Action Plan 2012-16](#).
3. To publish information and equality objectives in a manner that is accessible to the public.

Goldsmiths' Equality and Diversity Strategy

In 2015, Goldsmiths launched a renewed [Equality and Diversity Strategy](#) which refocused its aim to embed EDI into everything that we do with a strategic yet practical approach.

The Strategy aims to work towards being a leader in the HE sector and go beyond our legal obligations. The strategy focuses around five work strands – Governance; Identity and Awareness; Celebrating Achievements; Learning, Development and Research; and Access and Inclusion.

Monitoring our progress

We continually review our work to progress EDI, to ensure our initiatives are effective and fit for purpose, and look for innovative ways to approach areas where needs and opportunities are identified.

We also review progress towards our Equality Objectives, and our Equality and Diversity Strategy on an annual basis as part of our annual Equality and Diversity Reports which are published on Goldsmiths' website.

Equality Objectives 2017-2021

Having completed our Equality Objective period 2012-16, Goldsmiths is now in the position to develop Equality Objectives for 2017-21. These will align with the aims and work strands of our Equality and Diversity Strategy and build upon the progress made as a result of its implementation.

Goldsmiths' Equality Objectives 2017-21 are as follows:

1. For *everyone* to take an active role in embedding equality, diversity and inclusion (EDI) good practice in everything that Goldsmiths does, and for staff in leadership and management positions to champion EDI – building it into strategic decision making and leading by example.
2. Through the aims of [Goldsmiths' Access Agreement 2017-18](#) (and Access Agreements thereafter), implement outreach and inclusion activities to attract, retain, and support students from lower socio-economic and 'non-traditional' backgrounds and underrepresented groups.
3. Through the aims of our [Learning and Teaching Assessment Strategy 2017-21](#), make steps to develop more inclusive curriculum and pedagogy, considering the needs and strengths of a diverse and multi-cultural student body.
4. Ensure that EDI is considered in estates and IT planning and development to enable physical and virtual environments (including teaching and learning spaces, core and circulation spaces, and IT systems) to be accessible for everyone.
5. To capture and store comprehensive and robust EDI data to support the delivery of an inclusive and supportive environment for staff, students and stakeholders – with demonstrable improvement in declaration rates when reviewed annually.
6. Engage staff, students, and stakeholders with EDI at Goldsmiths by celebrating diversity, progress, and achievements, linking up with our internal academic experts in EDI, and fostering a culture of collaboration and open communication.
7. Develop tools and offer learning and development opportunities to equip and empower staff to manage and work effectively with diverse groups of people.
8. As a research-intensive learning organisation, proactively develop an inclusive culture that promotes equality and values diversity.
9. Ensure that policies and procedures are robust, inclusive, and fit for purpose (both in terms of design and application) across Goldsmiths.
10. Be proactive in combating discrimination, bullying, harassment, and victimisation at Goldsmiths.

The Equality Action Plan to support these objectives follows on pages 4-13.

Objective 1

For everyone to take an active role in embedding equality, diversity and inclusion (EDI) good practice in everything that Goldsmiths does, and for staff in leadership and management positions to champion EDI – building it into strategic decision making and leading by example.

Key Equality and Diversity Strategy Strands: Governance; Learning, Development and Research

Context: Our aim is to embed EDI in everything we do at Goldsmiths, regardless of department or function. Since the launch of our renewed Equality and Diversity Strategy in 2015, we have worked together to realise this in practice through leadership, governance, and engagement.

Aims	Actions	Lead responsibility	Timeline
<p>a For EDI to be embedded into strategic decision making, and 'business-as-usual' activities.</p>	<ul style="list-style-type: none"> – Support the embedding of EDI into every strategic decision-making committee across Goldsmiths. – Embed Equality Analysis (EA) into the process for all new projects and proposals at Goldsmiths. – Ensure staff engagement with EDI is sustained. – Consider ongoing learning and development opportunities to develop inclusive leadership skills (eg for Chairs of Committees, Council Members etc). 	<p>Head of Legal and Governance</p> <p>Chairs of Committees;</p> <p>Strategic Projects and Planning</p>	<p>Ongoing – reviewed annually as part of Committee Review</p>
<p>b For senior leaders (eg Senior Management Team and Council) to demonstrate inclusive leadership skills, champion Goldsmiths' EDI agenda, and take accountability when areas of improvement are identified.</p>	<ul style="list-style-type: none"> – Encourage regular discussions about EDI at formal committees and fora (eg Warden's Advisory Group/Academic Board), chaired by senior leaders. – Work towards a culture where everyone has a responsibility for EDI good practice, rather than a select few. – Continue to support senior leaders to build a level of confidence in relation to EDI practice and inclusive leadership skills. – Continue Goldsmiths' engagement and communication approach to EDI, to support the development of a shared narrative. 	<p>Heads of Department</p> <p>HR Learning and Development Lead</p>	<p>Ongoing</p>
<p>c To develop informal mechanisms to gather ideas, solutions, and first-hand experiences to inform professional practice in relation to EDI</p>	<ul style="list-style-type: none"> – Develop self-sustaining staff diversity networks that add value both to members, and to Goldsmiths as a whole. – Seek other informal mechanisms to receive feedback from and communicate with students and staff across Goldsmiths (eg through a Departmental Equality and Diversity Ambassador scheme, Departmental Disabled Student Co-ordinators (DDSC) scheme, informal fora). – Work with students and staff to encourage engagement and involvement with strategic initiatives related to EDI. 	<p>EDI Lead</p> <p>Chairs of Staff Networks</p> <p>Student Ambassador Manager</p>	<p>Ongoing</p>

Objective 2

Through the aims of [Goldsmiths' Access Agreement 2017-18](#) (and Access Agreements thereafter), implement outreach and inclusion activities to attract, retain, and support students from lower socio-economic and 'non-traditional' backgrounds and underrepresented groups.

Key Equality and Diversity Strategy Strand: Access and Inclusion.

Context: We are proud of our Access Agreements, which set out the proposed access measures on an annual basis. In the 2014-15 HESA performance indicators, Goldsmiths continued to be one of the best performing University of London colleges (ranked 4th of 15) in terms of access, student success, and progression measures. Our aim by 2021 is to rise to 2nd when benchmarked against the same group of HEIs.

Aims	Actions	Lead responsibility	Timeline
<p>a Continue to develop and implement activities to attract, retain, and support students from lower socio-economic backgrounds and underrepresented groups.</p>	<ul style="list-style-type: none"> - Work with schools and colleges in 'low participation neighbourhoods' to raise awareness, aspiration and attainment. - Continue GoldStars programme and Goldsmiths' Progression Scheme (GPS). - Deliver Summer Schools – including fair access to more selective programmes. - Continue to seek ways in which Goldsmiths can build on Peer Assisted Learning and support networks such as Goldsmiths peer mentoring scheme – PALS, and Dedicated Listeners Scheme led by Goldsmiths' Students Union. - To provide dedicated support for care-leavers and estranged students through Goldsmiths' Student Advice and Wellbeing Service. - As part of student counselling provision, use data to help inform practice and engagement with specific groups (eg in relation to gender, international students, and care-leavers). 	<p>Lead for Student Experience</p> <p>Lead for Student Advice and Wellbeing</p>	<p>Ongoing – renewed annually with each new Access Agreement</p>
<p>b Continue the focus to recruit, retain and provide support for disabled students at Goldsmiths.</p>	<ul style="list-style-type: none"> - Continue delivering support for reasonable adjustments, individual learning plans, and enhanced support with assistive technology where necessary. - Continue building on the successful recruitment of high numbers of students in receipt of Disabled Students' Allowance (DSA) and expand benchmark criteria to cover any disabled student (regardless of DSA). - Implement Disabled Departmental Student Co-ordinators (DDSCs) Scheme with students as partners in reviewing and improving access and inclusion at a local level. - Build on the work of Goldsmiths' 'Inclusion Working Group' (formed 2016) to ensure that inclusion is embedded into learning and teaching, in light of changes to the DSA. 	<p>Head of Inclusion and Learning Support</p> <p>Pro-Warden – Learning and Teaching</p>	<p>Ongoing – renewed annually with each new Access Agreement and by Inclusion Working Group</p>

<p>Objective 2</p> <p>c Supported by Goldsmiths' Student Experience and Engagement Strategy, ensure that students, regardless of background, succeed at Goldsmiths.</p>	<ul style="list-style-type: none"> – Continue developing transition programmes to engage students with their learning. – Invest in the development of activities to engage Goldsmiths' 'non-traditional' student population in opportunities for post-graduate study and careers. – Continue to recruit high numbers of mature students returning to study. – Enhance our outreach support provision for particular underrepresented groups (eg 'looked after children', care-leavers, refugees and asylum seekers). – Seek further activities to increase enrolments from young male learners. 	<p>Lead for Student Experience</p>	<p>Ongoing – renewed annually with each new Access Agreement</p>
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Objective 3

Through the aims of our [Learning and Teaching Assessment Strategy \(LTAS\) 2017-21](#), make steps to develop more inclusive curriculum and pedagogy, considering the needs and strengths of a diverse and multi-cultural student body.

Key Equality and Diversity Strategy Strands: Learning, Development and Research; Access and Inclusion.

Context: Goldsmiths' aim is to embed equality, diversity and inclusion in everything that we do, including in our learning and teaching practices and assessment. We aspire to have practices that are accessible and inclusive for all students regardless of any part of their identity, background, or personal circumstances. This includes, but is not limited to, disability, gender, race, sexual orientation, gender identity, religion or belief, age, or mode of study (part-time/ full-time). This area of focus is embedded throughout Goldsmiths' Learning and Teaching Assessment Strategy 2017-21.

Aims	Actions	Lead responsibility	Timeline
<p>a Work towards fully accessible and inclusive learning and teaching practices, curriculum design and pedagogy in all disciplines.</p>	<ul style="list-style-type: none"> - Identify the barriers to learning faced by a range of students, including disabled students, and then identify structural changes we can make to address these barriers. - Work towards a proactive anticipatory approach to inclusion by identifying barriers to inclusion in learning and teaching practices and then removing them across the board. - Ensure equality, diversity and inclusion are considered in the design and development of all new academic programmes (approved by Academic Development Committee). - Learn from practice across the sector about tools/models related to inclusive curriculum. - Consider the broad array of learning practices including peer and group learning. - Work proactively to embed inclusive learning and teaching practices across Goldsmiths following changes to the Disabled Students' Allowance (DSA). - Work with students as partners in driving forward positive change (eg with DDSCs Scheme). - Library to continue working with departments to make reading lists accessible for students and compatible with assistive technology where possible. - To seek ways in which we can use digital platforms and technology to enhance learning and teaching. 	<p>Pro-Warden – Learning and Teaching</p> <p>Heads of Department</p> <p>TaLIC</p> <p>Lead for Library Services</p>	<p>Ongoing – reviewed annually as part of LTAS 2017-21</p>
<p>b For students to feel included and engaged with the content of their curriculum regardless of their background.</p>	<ul style="list-style-type: none"> - Consider the needs of a diverse and multi-cultural student body when developing course content. - Support Goldsmiths' Students' Union and relevant stakeholders to progress the 'Liberate my Degree' campaign and its strategic aims (as outlined in the LTAS 2017-21). - Develop further channels where students can feed back about curriculum content. - Seek ways in which reading lists can become more diverse in terms of content and background/perspectives of authors. 	<p>Pro-Warden – Learning and Teaching</p> <p>Heads of Department</p> <p>TaLIC</p> <p>Lead for Library Services</p>	<p>Ongoing – reviewed annually as part of LTAS 2017-21</p>

Objective 4

Ensure that EDI is considered in estates and

IT planning and development to enable physical and virtual environments (including teaching and learning spaces, core and circulation spaces, and IT systems) to be accessible for everyone.

Key Equality and Diversity Strategy Strands: Governance; Access and Inclusion.

Context: Since 2009, Goldsmiths has been working towards an [Estates Masterplan](#) to support the strategic aims of Goldsmiths and its plans for growth. This includes improving our current facilities to ensure they meet the expectations of our growing and diverse student cohort.

Aims	Actions	Lead responsibility	Timeline
<p>a Continue Goldsmiths' plan to improve the accessibility and inclusivity of the physical environment on campus.</p>	<ul style="list-style-type: none"> – Ensure that Equality Analysis and access considerations are made in the planning stages of new buildings, changes to existing buildings, and capital works projects. – Continue the 'Way Finding' pilot project (exploring the accessibility of Goldsmiths' Library (Rutherford Building)) and consider rolling out to other buildings across campus. – Continue work to ensure signage is clear and accessible. – Continue our standard practice to install hearing loops for every room of 60+ capacity (installing in smaller rooms/specific contexts, and mobile induction loops when required). – Continue to include a gender-neutral toilet option for all new buildings. – Raise awareness of our room for mothers to rest and express milk. – Develop additional inter-faith spaces/facilities on campus. 	<p>Director of Estates Chair of Estates and Infrastructure Committee Communications</p>	<p>Ongoing</p>
<p>b Work together to gather experience and knowledge to help prioritise actions in relation to campus accessibility.</p>	<ul style="list-style-type: none"> – Seek ways in which feedback from staff and students can inform practice in relation to campus accessibility (eg via DDSCs Scheme). – Estates to continue collaborating with stakeholders to improve access and inclusion. – Communicate progress and updates in relation to campus accessibility/inclusion. 	<p>Director of Estates Inclusion Working Group</p>	<p>Ongoing</p>
<p>c Make progress in developing accessible teaching and learning environments, including in virtual environments.</p>	<ul style="list-style-type: none"> – Encourage staff and students to use Google Maps' virtual campus map. – Work together to develop more inclusive teaching and assessment practices and environments following changes to the DSA. – Implement an Estates Management System and review the campus room numbering. – Continue providing space for students' use of assistive technology. 	<p>Director of Estates Inclusion Working Group Lead for Library Services</p>	<p>Ongoing</p>

<p>Objective 4</p> <p>d Ensure that any IT and Information management systems we use are accessible and inclusive.</p>	<ul style="list-style-type: none"> - Review current IT and Information Management systems for their accessibility. - Consider EDI/accessibility in the planning and tendering stages for new systems and tenders. - Work towards the W3C standard/Web Content Accessibility Guidelines (WCAG) (A, AA, AAA) to ensure that we have the most accessible systems and online platforms. 	<p>ITIS Business Relationship Manager/CIO</p>	<p>Ongoing</p>
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Objective 5

To capture and store comprehensive and robust EDI data to support the delivery of an inclusive and supportive environment for staff, students and stakeholders – with demonstrable improvement

in declaration rates when reviewed annually.

Key Equality and Diversity Strategy Strand: Governance.

Context: in 2016, Goldsmiths refocused its efforts to incrementally improve all aspects of staff and student data, including EDI data. This includes increasing completion rates and ensuring that robust and sustainable data management processes are adopted going forward.

Aims	Actions	Lead responsibility	Timeline
<p>a Capture and store accurate and meaningful EDI data to support better understanding of our staff and student demographic profiles</p>	<ul style="list-style-type: none"> – Recruit new ‘Data and Management Information Managers’ to focus on improving staff and student data. – Build a ‘data network’ across Goldsmiths. – Work with staff to address any gaps in data. – Encourage staff to use the self-service Agresso HR/Payroll system. – Raise awareness of the importance of collecting data to help advance equality. – Consider campaigns to support our progress to improve EDI data. – Continue progress (since September 2015) to collect staff data for the expanded fields of ‘sexual orientation’, ‘gender identity’, and ‘religion and belief’. – Continue to publish EDI data as part of Goldsmiths’ Annual Equality and Diversity report. – Undertake an institution-wide staff engagement survey. – Continue using qualitative feedback from the National Student Survey (NSS), Departmental Student Coordinators (DSCs), and end of term/year student feedback channels to inform practice which will improve and enhance the student experience. 	<p>Deputy Director of HR</p> <p>Data & Management Information Leads (staff & student)</p> <p>Strategic Projects and Planning</p> <p>Heads of Department</p> <p>Communications</p>	<p>Ongoing – annual review in Equality and Diversity Report</p>
<p>b Develop efficient systems and processes to streamline existing data collection methods.</p>	<ul style="list-style-type: none"> – Develop a clear data pipeline for EDI data. – Streamline processes to reduce duplication when capturing or requesting information. – Develop a sustainable process for ongoing robust data capture and good practice data management. 	<p>Deputy Director of HR</p> <p>Data & Management Information Leads (staff & student)</p> <p>Strategic Projects and Planning</p>	<p>Ongoing – annual review in Equality and Diversity Report</p>

Objective 6

Engage staff, students, and stakeholders with EDI at Goldsmiths by celebrating diversity, progress, and achievements, linking up with our internal academic experts in EDI, and fostering a culture of collaboration and open communication.

Key Equality and Diversity Strategy Strands: Celebrating Achievements; Identity and Awareness; Learning, Development and Research.

Context: Goldsmiths leads the way in EDI through the teaching, research, and activism of our staff and students. Our renewed approach to EDI actively celebrates the achievements of our community. By working together and developing a culture of open communication and collaboration we believe we can make even more of a difference in advancing equality and celebrating diversity.

Aims	Actions	Lead responsibility	Timeline
<p>a Seek opportunities to collaborate, and promote events with similar themes or shared aims.</p>	<ul style="list-style-type: none"> – Continue to develop a joined-up, collegial approach to EDI events across Goldsmiths and Goldsmiths' Students' Union. – Share good practice and knowledge across departments and disciplines. – Continue developing a community for EDI work and practice. – Continue to seek ways in which we can foster an environment where academic collaboration in this area thrives. 	<p>EDI Lead Heads of Department Communications Senior Management Team</p>	<p>Ongoing</p>
<p>b Encourage and support a culture of open communication.</p>	<ul style="list-style-type: none"> – Encourage a culture of open communication (eg discussion about support needs and adjustments as necessary, encouragement to raise concerns when issues arise, and by seeking informal resolutions to grievances by communication, where appropriate). – Encourage student and staff representatives to work together to utilise opportunities and address equality issues with an open and joined-up approach. – Continue to communicate about institution-wide initiatives and progress in relation to EDI using centralised communication channels. 	<p>HR Line Managers EDI Lead Communications</p>	<p>Ongoing</p>
<p>c Seek opportunities to engage with and celebrate the achievements of staff with an expertise in EDI.</p>	<ul style="list-style-type: none"> – Continue work to engage academic staff with institution-wide strategic initiatives related to EDI. – Seek opportunities to encourage internal experts to share knowledge and research at events at Goldsmiths. – Celebrate success in relation to EDI practice and research. 	<p>All stakeholders EDI Lead Communications</p>	<p>Ongoing</p>

<p>Objective 6</p> <p>d Seek out opportunities to collaborate with Goldsmiths' SU, organisations in the local community, and other Higher Education Institutions (HEIs).</p>	<ul style="list-style-type: none"> - Work towards a joined-up strategic approach to addressing priorities in relation to EDI issues and opportunities. - Seek opportunities to engage and work with the diverse local community of Lewisham. - Work with other external organisations and HEIs, to share and learn from good practice in the sector and other sectors. - Seek opportunities to showcase success at Goldsmiths (eg presentations at conferences). 	<p>All stakeholders</p>	<p>Ongoing</p>
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Objective 7

Develop tools and offer learning and development opportunities to equip and empower staff to manage and work effectively with diverse groups of people.

Key Equality and Diversity Strategy Strands: Learning, Development and Research; Identity and Awareness.

Context: Staff Learning and Development at Goldsmiths has begun a period of transformation adopting a 'learning and development hub' model in 2016. We currently provide tools and guidance on Goldmine and the Virtual Learning Environment (VLE), learning and development opportunities through an open 'Valuing Diversity Programme', and also support departments to deliver workshops for specific staff groups.

Aims	Actions	Lead responsibility	Timeline
<p>a Provide guidance and information related to specific key topics, outlining the legislative framework where necessary.</p>	<ul style="list-style-type: none"> – Develop a suite of user-friendly guidance documents and tools to support staff. – Develop specific toolkits following key legislative changes (eg changes to DSA). – Ensure there is clear signposting to relevant additional information, where necessary. – Publish easily locatable and accessible information on relevant digital platforms (Goldmine, gold.ac.uk, VLE etc). 	EDI Lead HR Policy Lead TaLIC Lead for Student Services	Ongoing
<p>b Provide a variety of learning and development opportunities for staff in relation to equality, diversity and inclusion.</p>	<ul style="list-style-type: none"> – Continue providing a centralised programme of learning and development opportunities that are open to all staff, in different formats and at a variety of times. – Encourage departments to facilitate staff learning and development opportunities relevant to their specific contexts and disciplines, providing advice when required. – Explore further developing bespoke learning and development opportunities for specific staff groups where necessary (eg personal tutors). – Ensure that the PG Cert (delivered by TaLIC) offers a learning and development opportunity in relation to equality, diversity and inclusion in teaching (eg via a podcast). 	HR Learning and Development Lead EDI Lead TaLIC	Ongoing
<p>c Embrace alternative options and/or delivery methods that help develop confidence and knowledge in relation to EDI.</p>	<ul style="list-style-type: none"> – Research and evaluate various options and/or delivery methods that could be adopted (eg e-learning platforms, facilitated conversations, mentoring, innovative solutions). – Take an organisational development approach to learning and development to address organisational needs in a planned, forward-thinking, and strategic way. – Encourage greater collaboration between stakeholder groups who provide learning and development opportunities at Goldsmiths (eg TaLIC, HR Learning and Development, IT, Graduate School, Research Office, Student Services). 	TaLIC HR Learning and Development Lead ITIS; Lead for Student Services	Ongoing
<p>d For every Chair on interview panels to be trained in recruitment good practice and unconscious bias.</p>	<ul style="list-style-type: none"> – Develop renewed learning and development opportunities in relation to good practice recruitment, that includes content on how to mitigate the effects of unconscious bias (eg via an e-learning workshop). – Work towards our aim of having every interview panel Chair sufficiently trained in this area, with incremental progress when reviewed annually. 	HR Learning and Development Lead EDI Lead	Ongoing – annual review

Objective 8

As a research-intensive learning organisation, proactively develop an inclusive culture that promotes equality and values diversity.

Equality and Diversity Strategy Strands: Access and Inclusion; Celebrating Achievements.

Context: The political and economic landscape of the UK has seen unprecedented levels of change that will impact on the HE sector, particularly in terms of its research and teaching. At Goldsmiths, we have taken a proactive, strategic approach to EDI in all areas of our practice. We hope this will have a positive impact on Goldsmiths, particularly as it continues through the period of change and uncertainty ahead.

Aims	Actions	Lead responsibility	Timeline
<p>a Develop proactive initiatives to advance equality and develop an inclusive environment for everyone.</p>	<ul style="list-style-type: none"> – Keep abreast of good practice and innovation, both in the HE sector and other sectors. – Use knowledge of HE sector equality issues to inform localised practice and priorities. – Seek opportunities to build on existing initiatives or expand successful pilot initiatives. – Use Equality Analysis as a tool with which to focus initiatives and priorities. – Undertake an Equal Pay Review and develop a plan to address any equality issues. 	<p>EDI Lead Deputy Director of HR</p>	<p>Ongoing</p>
<p>b Actively participate in sector and/or national Schemes and Charters that help support positive cultural change.</p>	<ul style="list-style-type: none"> – Continue to make positive progress in relation to advancing gender equality as part of the Athena SWAN Charter, with an initial aim to receive an institutional bronze award (first submission target – April 2017). – Consider making an annual submission to Stonewall’s Workplace Equality Index (for LGBT equality) – with demonstrable progress made annually in terms of score awarded. – Continue to make progress as part of the ‘Disability Confident Scheme’, upholding Goldsmiths’ ‘Disability Confident Employer’ status. – Explore joining other equality Charters (eg the Race Equality Charter). 	<p>EDI Lead Athena SWAN Lead HR Senior Management Team/Pro-Wardens</p>	<p>Annual review of all Charter Marks and Schemes</p>
<p>c Seek opportunities to use data to inform EDI strategy and monitor progress.</p>	<p>As Goldsmiths makes incremental progress with data:</p> <ul style="list-style-type: none"> – Consider the introduction of more ‘positive action’ initiatives to address areas of underrepresentation. – Encourage Departments to use data to inform localised strategic aims. – Develop mechanisms to enable Goldsmiths to better monitor progress and benchmark. 	<p>Heads of Department Data & Management Information Leads Strategic Planning</p>	<p>Ongoing (annual incremental progress)</p>

<p>Objective 8</p> <p>d In Goldsmiths' research activities, ensure that EDI is embedded and practices are inclusive.</p>	<ul style="list-style-type: none"> - Consider EDI in Goldsmiths' submission to REF 2021. - Communicate and embed our 'REF 2021 Guiding Principles' on inclusivity. - Actively promote EDI in all aspects of the recruitment and career development of researchers, in line with our Concordat commitments to create an inclusive working environment (eg flexible working, providing mentoring, awards for internal funding where available). - Ensure that EDI is embedded in planning and implementation of research support in a 'post-Brexit' environment, and in light of changes to RCUK research funding. - Maintain our 'HR Excellence in Research award' (renewed in 2016). - Explore any equality implications of the proposed Teaching Excellence Framework (TEF). 	<p>Director of Research Pro-Wardens (Research; and Teaching)</p>	<p>Ongoing</p>
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Objective 9

Ensure that policies and procedures are robust, inclusive, and fit for purpose (both in terms of design and application) across Goldsmiths.

Key Equality and Diversity Strategy Strands: Governance; Access and Inclusion; Identity and Awareness; Learning, Development and Research.

Context: Since 2014, Goldsmiths has reviewed HR policy, aligning it with our renewed Equality and Diversity Strategy, and ensuring it is up to date and fit for purpose. Student policy and institutional regulations are also reviewed and developed on a regular basis. Goldsmiths aims to improve how we communicate about institutional policy and processes, to make them clearer and more accessible.

Aims	Actions	Lead responsibility	Timeline
<p>a To ensure that HR staff policies are inclusive, fit for purpose, and aligned with current good practice and any changes in legislation.</p>	<ul style="list-style-type: none"> – Continue progress to develop new HR policies/guidance (where required). – Systematically review existing policies. – Consider developing peer review and feedback mechanisms that could be adopted to help inform policy review (eg engagement with staff networks). – Consider using themes from employee relations cases and queries to inform policy development and review. – Explore ways to reinforce the positive message of Goldsmiths' Equality and Diversity Strategy that promotes the benefits and opportunities of EDI. 	<p>HR Policy Lead EDI Lead</p>	<p>Ongoing</p>
<p>b Ensure that equality considerations are taken when developing, amending, or removing any policies, practices, or procedures.</p>	<ul style="list-style-type: none"> – Undertake Equality Analysis for any new or existing policy, practice, or procedure. – Explore any relevant opportunities or areas of concern when identified. – Continue gaining feedback about new policies from our Trade Union partners, UCU and Unison. – Engage with any affected stakeholder groups, gathering different perspectives where possible. 	<p>The developer or reviewer of the policy or procedure HR</p>	<p>Ongoing</p>
<p>c For staff to engage with and understand institutional policy and for principles to be 'lived' on the ground.</p>	<ul style="list-style-type: none"> – Departments to be rigorous in the application of institutional policies and procedures. – Work with staff to help them understand and engage with institutional policy, aims, and expectations. – Provide learning and development opportunities to support engagement with institutional policy where required. – To continue to raise awareness about any new policies, guidance, and expectations with departments (eg on staff intranet, Schools Meetings, HR updates). 	<p>Heads of Department Head of Legal and Governance HR Senior Management Team/Pro-Wardens</p>	<p>Ongoing</p>

<p>Objective 9</p> <p>d Ensure that student policies, procedures, and guidance are clearly articulated, fit for purpose, and accessible.</p>	<ul style="list-style-type: none"> - Systematically review institutional policies, procedures and regulations ensuring that Equality Analysis is undertaken and EDI good practice is embedded. - Conduct a review of the accessibility of institutional policy and guidance. - Develop new student policies and guidance where needs are identified (such as Goldsmiths' new Fitness to Study policy). 	<p>Head of Legal and Governance</p> <p>Lead for Student Services</p>	
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Objective 10

Be proactive in combating discrimination, bullying, harassment, and victimisation at Goldsmiths.

Equality and Diversity Strategy Strand(s): Governance, Access and Inclusion.

Aims	Actions	Lead responsibility	Timeline
<p>a Ensure that cases of discrimination, bullying, harassment, and victimisation raised by students are taken seriously and dealt with appropriately and sensitively.</p>	<ul style="list-style-type: none"> – Ensure that the student complaints procedure is fit for purpose, clear and robust. – Ensure that information about the steps for making complaints is accessible and easily available. – Monitor complaints to explore themes related to harassment and discrimination. – Ensure that students and staff at all levels are aware of Goldsmiths’ ‘zero-tolerance’ approach to these behaviours. – Goldsmiths’ Senior Management Team and Heads of Departments commit to promoting a culture that ensures we have a ‘zero-tolerance’ approach to discrimination, bullying, and harassment on campus. – Commit to undertaking Equality Analysis for any complaints process reviews. – Review Goldsmiths’ strategy in relation to dealing with allegations of sexual harassment. – Ensure informal support channels are clearly signposted. – Train a number of front line student support staff to equip them to deal with and respond to reports of sexual violence on campus. 	<p>Senior Management Team</p> <p>Heads of Department</p> <p>Head of Legal and Governance</p> <p>Lead for Student Services</p> <p>Lead for Student Complaints</p> <p>Lead for Student Advice and Wellbeing</p>	<p>Ongoing</p>
<p>b Ensure that cases of discrimination, bullying, harassment, and victimisation raised by staff are taken seriously and dealt with appropriately and sensitively.</p>	<ul style="list-style-type: none"> – Engage staff with Goldsmiths’ Discrimination, Bullying and Harassment Policy for Staff (launched 2016) which is underpinned by Goldsmiths’ ‘zero-tolerance’ approach. – Monitor the number of employment relations cases raised since the Policy’s launch. – Offer briefings/learning and development opportunities to engage staff with the Policy and its contents. – Continue providing broader learning and development opportunities which educate, raise awareness and build confidence in areas related to EDI (and discrimination). – Continue providing unconscious bias training, and bespoke sessions for specific groups when required. – Encourage staff to engage in open discussion and inclusive behaviours, to learn from differences and valuing different strengths. 	<p>HR</p> <p>HR Learning and Development Lead</p> <p>EDI Lead</p> <p>TaLIC</p> <p>Heads of Department</p>	<p>Ongoing</p>

