

THE UNIVERSITY OF LEEDS

REF2021

CODE OF PRACTICE

If you require a copy of this Code in an alternative format (e.g. Braille, large print or audio), or have any questions about the Code, please e-mail leedsref@leeds.ac.uk or telephone 0113 343 4076.

REF2021

The Research Excellence Framework (REF) is an assessment of the research in UK higher education institutions carried out by the national higher education funding bodies. The outcome of the REF informs the allocation of quality research related funding ('QR'). It contributes to the accountability for public funding and demonstrates the benefits of public investment in research and impact.

Submissions are organised into discipline-based 'Units of Assessment' (UOA) and assessed by UOA sub-panels comprising academic and research user members. The REF is not an assessment of individual members of staff. A list of submitted staff will not be published. Further information about REF2021 is in Appendix A.

All institutions submitting to REF2021 must have a Code of Practice. This document is the University of Leeds' Code of Practice.

The University of Leeds Code of Practice for REF2021

Part 1: Introduction

1. The University is conducting preparations for the 2021 Research Excellence Framework (REF2021) in a transparent, consistent, accountable and inclusive manner in accordance with its values (professionalism, inclusiveness, integrity, community and academic excellence) and existing policies and codes of practice, including the Equality and Inclusion (E&I) Framework and the policy and procedures on Dignity and Mutual Respect (Appendix B).
2. This Code of Practice ('the Code') is intended to help us ensure that these values are upheld in our REF preparations and to support the University in meeting its legal obligations in relation to equality and diversity, in line with the Equality Act 2010. The Code does not replace any existing University policy. The Code has been drawn up in accordance with the guidance provided by the funding bodies in the following documents: *REF2021 Decisions on Staff and Outputs* (REF2017/04, November 2017, updated April 2018); *REF2021 Guidance on Submissions* (REF2019/01); *REF2021 Panel Criteria and Working Methods* (REF2019/02); and the *Guidance on Codes of Practice* (REF2019/03), all of which are available from the funding bodies' REF2021 website. In addition, the open letter to the sector from the Chair of the funding bodies' Equality and Diversity Advisory Panel (EDAP) has been considered.
3. The Code addresses the following aspects of REF2021 preparations:
 - a. identifying staff with significant responsibility for research (Part 2);
 - b. determining research independence (Part 3);
 - c. the selection of outputs for inclusion in the submission (including the voluntary, confidential disclosure of staff circumstances) (Part 4);
 - d. an appeals process (Part 2, paragraphs 53 – 58); and

- e. equality impact assessment (Part 2, paragraphs 59 – 63).
4. The Code applies to all members of the University involved in REF2021, both those involved in the preparation of submissions and those who will be included within a submission. The processes and policies described in the Code are common to all, with no Faculty- or School-specific variations. Likewise, there is a single, common appeals process.
5. All University of Leeds staff involved in making decisions concerning the content of the University's REF2021 submissions will receive role-specific, mandatory equality and inclusion training, which will cover the content and enactment of the Equality Act, the Code, ways in which bias may be mitigated, and reference to University policies and frameworks, as appropriate (Appendix D).
6. Where external advisers are engaged, the Code will be drawn to their attention (via their engagement letters), and the need to undertake assessments in a transparent, consistent, accountable and inclusive manner reinforced. External advice may inform decisions on the selection of material for inclusion in the submission. External advisers will be involved in neither the processes to identify those with significant responsibility for research nor the processes for determining independence.

REF2021 at the University of Leeds

7. As indicated above, the REF is an assessment of research activity and output in the assessment period. The assessment is based on discipline-based UOAs and the sub-set of academic and research staff whose roles fulfil the submission criteria. REF is an assessment of the work submitted in a UOA; it is not an assessment of individual members of staff. The outcome of the REF is published at UOA level only. A list of submitted staff will not be published.
8. The inclusion or otherwise of an individual's work in the REF return does not of itself influence career progression. It will not directly influence their workload portfolio, promotion or career progression. While REF2021 preparation draws on data sets that inform other processes (for example, Annual Academic Meeting (AAM) and Staff Review and Development Scheme (SRDS) discussions), REF decisions will not feed back into these processes unless the member of staff chooses to introduce them.
9. The University's preparations for REF2021 are led by the REF2021 Steering Group (REFSG), supported by four REF Review Groups. The Steering Group is responsible for the final decisions on all matters relating to REF2021. In making their decisions, the Steering Group will aim to maximise the overall outcome for the University. The Steering and Review Groups combine senior academic leadership and research assessment expertise (including interdisciplinary research and impact) with appropriate professional services support (Appendix C).
10. UOA leaders and deputies are responsible for drawing up the submissions and making recommendations, via the Review Groups, to the REF Steering Group, about the content and configuration of these submissions.
11. These governance arrangements were approved via the University's committee structure (Research and Innovation Board, University Executive Group, and Senate) in January 2018. The University committee structure is in Appendix B.
12. The terms of reference for the University's REF2021 Steering Groups, Review Groups and UOA leaders include a responsibility to 'promote and monitor ethical practice and ensure all equality and diversity standards are adequately met'. Equality and inclusion training will be undertaken early in the process to assist these groups in fulfilling this responsibility, which will include guidance on the interpretation of the equality analyses that will be undertaken (Appendix E).

13. The University recognises the University and College Union (UCU) for the purposes of collective bargaining on behalf of academic and academic-related (professional and managerial) staff. However, we note that in the generation, consultation and communication of this Code of Practice other staff representative bodies, including UNISON and Unite, were fully engaged.
14. The University is committed to the spirit (as well as the letter) of both the Fixed Term Employee and Part Time Worker Regulations. The requirements for equally favourable treatment have been University policy for many years. All members of fixed-term and part-time staff are treated as favourably as those on continuing or full-time contracts for example in relation to pay, staff benefits, training, promotion and career development opportunities.
15. Wherever possible, REF preparations and processes build on existing processes. For example: annual academic meetings (AAM) and discussions under the staff review and development scheme (SRDS) are used to set academic plans for the forthcoming year, confirm roles, responsibilities and expectations and identify support required to achieve agreed objectives; compilation of the annual Higher Education Statistics Agency (HESA) staff return provides an opportunity to ensure that roles are coded correctly in our Human Resources (HR) systems; and, information about external research grants and research outputs will be taken from the University's core systems. In the interests of transparency this information is visible to members of staff via our in-house research and impact information system (IRIS), where research and academic staff can also view REF-relevant HR information, such as the current classification of their role for REF purposes (i.e. whether or not the role is REF-eligible).
16. While REF preparations draw on existing processes as indicated above, decisions about REF eligibility (and in particular decisions about independence for REF purposes and the selection of material for inclusion) will not feed back into these processes unless the member of staff chooses to introduce this information.
17. Appendix B includes information about how data is collected and used for REF2021.
18. Since REF2014, a number of measures have been introduced at the University to support equality and inclusion, informed by benchmarking exercises such as REF and the Teaching Excellence Framework (TEF), and engagement with the Athena SWAN Charter. For example, we have worked to support the attraction, retention and promotion of female academic staff and introduced measures to support staff returning from significant periods of leave, for example through a reduction in teaching loads. Pilot interventions are being evaluated and recommendations for University-wide adoption will be made where interventions have proved valuable. Other measures include:
 - The enhancement of the annual academic meeting process, to ensure consistent, fair and equitable treatment of staff across the University.
 - The implementation of an annual outputs review process to help staff understand and apply the characteristics of a high-quality research output (The University Annual outputs Review, (UAR) (Appendix B).
19. In addition to the generic enhancement of our procedures outlined in paragraph 18 above, a number of REF-specific actions have occurred since REF2014:
 - Our REF2014 equality impact assessment action plan identified some opportunities to improve the process for disclosure and assessment of requests for submission with fewer than four outputs. Based on this feedback, our REF2021 processes give greater emphasis to opportunities for confidential, informal discussion of circumstances with the Head of Equality and Inclusion (E&I) and/or another E&I professional in advance of the submission of a case. Submitted cases will be considered in batches at a small number of regular assessment meetings, rather than on a rolling basis. This will enable us to

provide greater clarity about the timing of outcomes and will also enable us to achieve consistency by considering cases in larger batches. The process will be led by E&I, with input on REF-specific matters from the central REF team.

- We also fed back to the REF2014 team that the effects of bereavement should be included in information on staff circumstances and this has now been incorporated into the funding bodies standard declaration form, which we shall use in our processes (Appendix F).
- Consideration was also given to more systematic, on-going collection of information about some staff circumstances. However, it was decided that, on balance, it would be more appropriate to await specific REF2021 guidance. This would avoid the risk of requesting sensitive information unnecessarily or having to ask for additional information at a later stage.
- For members of staff who were not included in the REF2014 submission the AAM/SRDS system was used, as appropriate, to discuss relevant support. This might include: personal development plans, mentoring, study leave, reduction in teaching load, or support for conference attendance.

How the Code is being communicated

20. The approved Code will be published on the University intranet. It will also be sent by direct email to all academic and research staff. Faculty Heads of HR are responsible for disseminating the Code to staff who are absent, such as staff on long-term absence or staff working away from the main campus. They will use 'keeping in touch' days for staff absent on maternity/paternity leave, for example, to share the Code. Accessible formats are available on request to the central REF team via leedsref@leeds.ac.uk or telephone 0113 343 4076. Staff are encouraged to raise any queries with either their local HR manager, Faculty E&I contact, central E&I staff or the central REF team.

Part 2: Identifying staff with significant responsibility for research

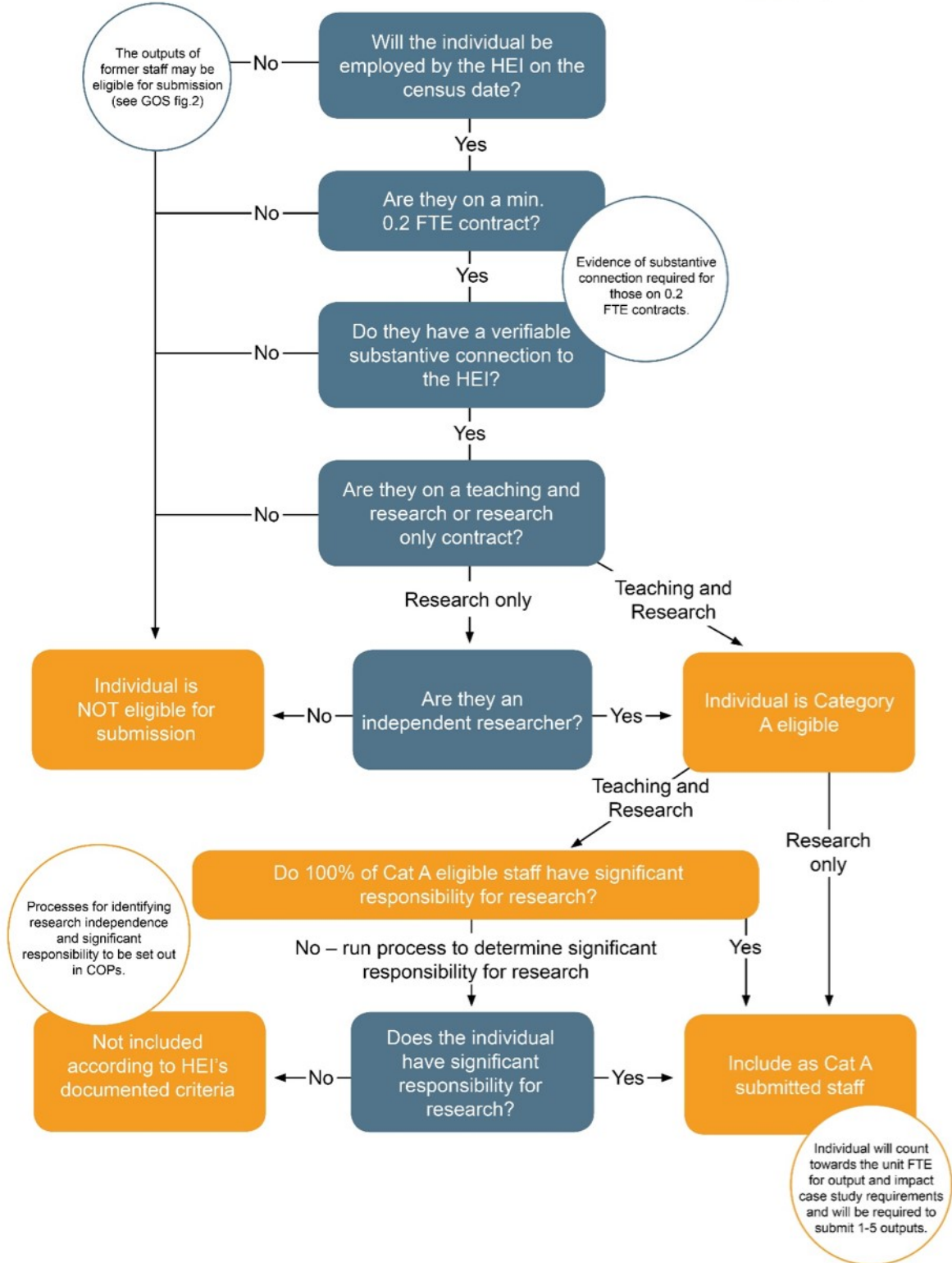
Policies and procedures

21. This section describes the process that we will use to determine which eligible staff have significant responsibility for research and will be submitted. This process will apply to all relevant staff, regardless of which Faculty they are in. This process is required purely for REF purposes and, as indicated above (paragraph 8), is separate from normal University arrangements, for example AAM and SRDS discussions.
22. For the purpose of REF, the following definitions are used
 - a. Category A eligible staff: *'academic staff with a contract of employment of 0.2 FTE or greater, on the payroll of the submitting institution on the census date [31 July 2020], whose primary employment function is to undertake either 'research only' or 'teaching and research'¹. Staff should have a substantive research connection with the submitting unit (see paragraphs 123 to 127). Staff on 'research only' contracts should meet the definition of an independent researcher (paragraphs 128 to 134).' [Guidance on Submissions paragraph 117]*
 - b. Staff with significant responsibility for research: *'... those for whom explicit time and resources are made available to engage actively in independent research, and that is an expectation of their job role.' [Guidance on Submissions paragraph 138]*
 - c. Independent researcher: *'... an individual who undertakes self-directed research, rather than carrying out another individual's research programme.' [Guidance on Submissions paragraph 131]*
23. REF guidelines refer to two sets of staff – 'Category A eligible' and 'Category A submitted'. 'Eligible' staff are 'submitted' if, and only if, they have significant responsibility for research. Figure 1 (overleaf), from the *Guidance on Submissions* summarises REF eligibility.

¹ Individuals whose primary employment function is to undertake either 'research only' or 'teaching and research' are staff returned to the Higher Education Statistics Agency Staff Collection with an academic employment function of either 'Academic contract that is research only' or 'Academic contract that is both teaching and research' (identified as codes '2' or '3' in the ACEMPFUN field).

Figure 1

Staff eligibility in REF 2021



24. Some Category A *eligible* staff may not yet have achieved independence as researchers. i.e. they are not undertaking 'self-directed research'. Thus they do not fulfil the REF definition of having *significant responsibility for research* and must not be included in the University's submission to REF2021. A process is therefore required to ensure that only staff with significant responsibility for research are included in the University's submission.
25. **Academic 'teaching and research' staff on Grade 8 or above, whose role fulfils the definition of Category A eligible stated above, are deemed to fulfil all aspects of the definition of significant responsibility for research and hence are Category A submitted.** No further process is required to determine eligibility for inclusion in the REF submission for these members of staff. In accordance with REF2021 rules, all such staff will be included in the submission.
26. However, **some academic 'teaching and research' staff on Grade 7 or lower may not currently fulfil the criterion in relation to independence.** Faculty Heads of HR will be responsible for identifying all staff in these roles in the first instance. Their roles will then be considered on a case-by-case basis to determine whether or not they fulfil the REF2021 independence criterion.
27. We recognise that attaining independence is a continuous process, reflecting an individual's development in their role. Our procedure allows for cases to be revisited if circumstances change. We also recognise that staff may have attained research independence but may not be in a role where 'self-directed' research is an expectation on the REF census date (31 July 2020).
28. The **criteria** that will be used to determine independence for the purposes of REF2021, will be as set out in the funding bodies' *Guidance on Submissions* paragraph 132:
- leading or acting as principal investigator or equivalent on an externally funded research project;
 - holding an independently won, competitively awarded fellowship where research independence is a requirement (an illustrative, but not exhaustive, list of independent fellowships can be found in Appendix A and at www.ref.ac.uk;
 - leading a research group or a substantial or specialised work package.
29. As stated in the *Panel Criteria and Working Methods*, paragraph 189, for members of staff who would be returned in UOAs within Main Panels C or D (see list in Appendix A) the following additional indicators apply and will be considered:
- being named as a co-investigator on an externally funded research grant/award;
 - having significant input into the design, conduct and interpretation of the research.
30. As stated in the *Guidance on Submissions* (paragraph 132), each indicator may not individually demonstrate independence and multiple factors may need to be considered.
31. In accordance with the *Guidance on Submissions*, a member of staff will not be deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs.
32. The **criteria will be applied** by reference to relevant information including job description, nature and scope of research grants held and externally-funded research fellowships. As indicated in the *Guidance on Submissions* (paragraph 139), the assessment will be based 'upon the expectations of staff as a function of employment, and not upon the quality or volume of what has been delivered as a result of that employment function'.

Decision making

33. For each Faculty, an *ad hoc* panel will be formed comprising the Faculty Head of HR, a member of the central REF team, plus all the Head(s) of School (or Institute or Division in large Schools) that employ staff whose roles are being assessed for independence. The composition of these panels will reflect local academic leadership and line management responsibilities, supported by equality and inclusion and REF professional support. In addition, a trades union observer may be present at these meetings.
34. Each Faculty panel will assess the evidence of independence against the relevant REF criteria (including, where appropriate, Main Panels' C and D additional criteria designed to recognise disciplinary differences). Decisions will be made by the Heads of School (Division or Institute) advised by the Faculty Head of HR and REF team member.
35. As far as practicable, all cases for a Faculty will be considered at the same meeting to enhance consistency. Where the volume of cases precludes a thorough consideration of all cases at one sitting, the Faculty Head of HR will be responsible for ensuring consistency of approach with the Faculty.
36. The outcome of the assessment will be:
 - a. the member of staff is deemed to be independent and eligible and must be submitted to REF2021; *or*
 - b. the member of staff is not yet independent as defined by REF2021 and is currently not eligible for submission, but is expected to be so by the REF staff census date, 31 July 2020, in which case a further review date will be set in accordance with the anticipated achievement of independence; *or*
 - c. the member of staff is not yet independent and it is not an expectation of their job role that they will achieve independence as defined by REF2021 by the REF census date, in which case the member of staff is not expected to be eligible for submission; *or*
 - d. there is insufficient evidence to arrive at an assessment, in which case the panel will identify what additional information is required and how it will be obtained, and will set a further review date.
37. Once all Faculty panels have undertaken their assessments, the Faculty Heads of HR will meet to share the outcomes and examine any apparent variations to ensure that they are justified. In keeping with University practice regarding the sharing or analysis of aggregated data and the consistent application of policies, a trades union officer will also be involved in this process. Where differences are not justified, cases will be revisited, with additional evidence sought if necessary, to arrive at a fair judgement. To inform this discussion an equality impact analysis (EIA) will be carried out on the cases and outcomes, and any differential impact on groups with protected characteristics examined to mitigate the risk of any inadvertent bias and discrimination in our processes, and to understand how greater equality and inclusion can be achieved in the future.
38. A written record will be kept by the Faculty Head of HR to confirm what evidence was considered and the extent to which this demonstrated that the criteria had been met. This information will be retained by HR and may be submitted to the funding bodies in the event of an audit of the University's REF2021 submission. It will form the basis of feedback to the member of staff on the evidence informing the final decision.
39. The anonymised outcome of the assessment of independence will be reported to the REF Steering Group, alongside the relevant equality analysis to assist the Group in fulfilling its responsibilities in relation to equality and inclusion.

Communication

40. When we communicate about the Code, we will draw attention to the processes for identifying staff with significant responsibility for research and determining independence.
41. Tailored follow-up emails will be sent to staff to either confirm their REF eligibility or to confirm that their role will be reviewed through the processes described in paragraphs 33-39 above.
42. The outcome will be communicated to the member of staff by email by their Head of School (or Institute or Division as appropriate), and will outline the evidence considered and how the criteria were applied. The feedback will include a reminder about the appeals process and the arrangements for declaring staff circumstances (for those staff deemed eligible).
43. In the interests of transparency, the current REF status of an individual (i.e. whether their role is classified as not REF eligible, Category A eligible, or Category A submitted) will be visible to the individual member of staff via the University's REF system, IRIS. This information is visible to the member of staff and other authorised users (for example, Heads of School, Unit of Assessment Leaders) only.

Timing

44. We aim to complete the identification of our pool of academic Category A submitted staff as soon as possible. To that end we will proceed with reviews as soon as possible after the Code has been accepted by the Senate and the Council, and panel members have taken part in the REF-specific Equality and Inclusion briefings scheduled for June 2019. We will communicate the initial outcome to members of staff no later than 10 working days from the panel meeting.
45. It is recognised that eligibility is determined by an individual's role on the staff census date, 31 July 2020. Changes to the relevant role information in our HR systems will be flagged to the central REF team and changes in relation to REF eligibility considered as indicated above.

Approval of processes

46. The principles underpinning the Code (including those for identifying staff with significant responsibility for research, determining research independence and selecting outputs for submission) have been developed since March 2018 by the REF Steering Group, informed by input from HR staff, the University's Research and Innovation Board, University Executive Committee, Equality and Inclusion Committee, Unit of Assessment leaders, Equality and Inclusion co-ordinators, Staff Equality Networks and via staff open meetings (see Appendix D for a schedule of open meetings).
47. The draft Code was published for consultation in the University via the intranet in March 2019. The consultation was promoted via email to academic and research staff and via all staff electronic bulletins. In addition, three 'drop-in' sessions were held to allow staff to give feedback or raise questions face-to-face. During the four-week consultation period the draft was considered formally via the Joint Committee of the University and the UCU and the arrangements set out in the Code approved. As a result of consultation feedback some amendments were incorporated in the Code. UNISON and UNITE were also provided with the opportunity to input and proposed no further amendments.
48. The Code was approved by the University Council on 30 May 2019 and will be communicated as indicated in paragraph 20 above.

Staff, committees and training

49. As indicated above, for each Faculty an *ad hoc* panel will be formed comprising the Faculty Head of HR, a member of the central REF team, and all the Head(s) of School (or Institute or Division in large Schools) that employ staff whose roles are being considered. Panel members

are *ex officio*. The composition of the panel reflects local line management and leadership responsibility, and provides appropriate professional support for consistent decision-making.

50. All staff (including staff involved in the REF decision making roles including the Review and Steering Group members) are required to complete the mandatory on-line, interactive module '*An Introduction to Equality & Inclusion*,' which provides all University staff the same introductory grounding in key principles of equality, diversity and inclusion.
51. The module covers the type of behaviours that are expected of all members of our university community, information about equality law, and ways in which we support and promote equality and inclusion at Leeds. It also explains the potential impact of unconscious bias and ways through which we can mitigate against it. REF-specific briefings will complement this generic provision.
52. UOA leaders take part in monthly briefings on all aspects of REF. These briefings are delivered by the University's central REF team, supported by other professional staff with relevant expertise, and cover all aspects of REF requirements and the University's process for developing the submission. We will use this infrastructure to deliver REF2021 specific Equality and Inclusion training to colleagues: sessions will be delivered by the Head of Research Quality and Policy and the Head of Equality and Inclusion in June 2019. This will include workshops specifically for Heads of School or Institute, to support their role in the decision-making processes described in this Code. Individual arrangements will be made for staff taking up REF roles after the scheduled training has been delivered. Resources from the national sessions which Advance-HE have delivered will be drawn into the training, ensuring the training is informed by advice and good practice.

Complaints and Appeals

53. The University's general approach to complaints will be followed, meaning that attempts will be made to resolve any complaints as quickly and as informally as possible. Any member of staff who wishes to complain of discrimination should raise this through the procedures described in the University's policy and procedures on Dignity and Mutual Respect (Appendix B).
54. Where a member of staff feels that they have not been dealt with in accordance with this Code of Practice, they should raise the matter informally in the first instance with their Executive Dean of Faculty who will investigate and attempt to resolve the matter. Appeals may also be raised informally with the Head of Equality and Inclusion. Where the matter remains unresolved, the appeal will be considered by a named, senior member of academic staff not directly involved in REF2021 decision-making processes described in this Code. The Faculty Executive Dean, Head of Equality and Inclusion, and the person hearing appeals may take advice from appropriate other staff in investigating the complaint. The member of staff raising the appeal may invite a trades union officer to accompany them to any meeting concerning their appeal.
55. Appeals may be raised on whether due process outlined within this Code has been followed. Colleagues may not raise an appeal on the grounds of academic judgement regarding, for example, staff allocation to a UOA assessment, or decisions regarding selection of outputs.
56. Details of our appeals process forms part of this Code of Practice and will be included in the communication of this Code. Information on appeals will also be included when the outcome of the processes to determine eligibility and independence is communicated. The funding bodies have indicated that they will '...put in place measures to enable individuals to make a formal complaint, where it is believed that the agreed processes are not being followed' (REF2019/3). Information on this process will also be provided via e-mail to staff when this is available.
57. While appeals may be raised at any time, members of staff are strongly encouraged to raise matters informally as soon as they arise. No appeals will be considered after the final, full draft

submission is completed for internal review, which is expected to be in late summer 2020. This is to allow appeals to be considered properly and their outcomes to be considered as necessary in the submission itself.

58. Anonymised outcomes of appeals will be reported to the next meeting of the REF Steering Group.

Equality impact assessment

59. We will carry out equality impact assessments at periodic stages leading up to our submission and post-submission to ensure that we pay due regard to equality issues throughout the REF submission process. We will carry these out to:

- understand the representation of the eligible and submitted staff against our academic staff profile;
- understand how the selection of outputs for submission represent the diversity of the eligible and submitted staff community;
- identify where further progress on diversity issues is needed so that this can be strengthened in the delivery of the University's research and innovation strategy.

60. The equality impact assessments will draw on the data that has already been provided to the institution (as part of the employment relationship of an individual to the University). Intersectional data analyses will also be carried out where possible (for example age and gender, or gender and ethnicity) to enable us to look at the information at a greater granular level. We will fully respect all General Data Protection Regulation (GDPR) and will only publish the information at aggregated levels. No individuals will be identified and we will be careful to address any issues relating to low numbers. We will publish final equality impact assessments as required by the funding bodies.

61. The equality impact assessment will be carried out at an institutional level and at UOA level by the relevant UOA lead, supported by the Head of Research Quality and Policy, the Head of Equality and Inclusion and the Faculty Head of HR.

62. We will aim to use qualitative sources of information and consultation, proportionate to the overall aim and emphasis of the REF2021 exercise.

63. Also see paragraph 37 above and Appendix E.

Part 3: Determining research independence

64. Only those eligible staff in 'research only' roles who are independent on the census date are eligible for inclusion in REF.
65. Staff whose roles are 'research only' and who are employed to carry out another individual's work programme are not normally regarded as independent for the purposes of the REF, and must not be submitted
66. While grade and/or job title may provide a helpful starting point, these indicators are not sufficient in themselves to fully, fairly and accurately identify independent research roles. A process that draws on a wider set of evidence to make a judgement is required. This section describes that process. The process has been developed and approved through the procedure set out in paragraphs 46 – 48 above.

Criteria

67. The criteria, and their application will be as set out in Part 2 (paragraphs 28-32) above.

Decision Making

68. The process for decision making will be as outlined in Part 2 (paragraphs 33 – 39) above.

Communication

69. See Parts 1(paragraph 20) and 2 (paragraphs 40-43) above.

Timing

70. See paragraphs 44 – 45 above.

Staff, committees and training

71. See paragraphs 49-52 above.

Appeals

72. See paragraphs 53 – 58 above.

Equality Impact Assessment

73. See paragraphs 59 – 63 above and Appendix E.

Part 4: Selection of outputs

Policies and Procedures

74. Final decisions on which work is included in the REF submission, how it is distributed across UOAs, and to which individual staff members outputs are attributed, is the responsibility of the REF Steering Group, informed by the advice of Review Groups and UOA leaders. Decisions will be taken to deliver the best outcome from REF2021 for the University.
75. The total available pool of eligible research outputs will comprise REF eligible outputs registered by staff in the University's publications database ('Symplectic Elements').
76. The selection of outputs for inclusion and their attribution to submitted Category A staff in the submission will be guided by the REF2021 outputs eligibility criteria and rules about the maximum and minimum number of outputs that may be attributed to an individual in the submission.
77. Within the parameters defined by the rules of REF2021, the primary criterion in the selection of outputs will be quality. As the REF is an institutional assessment, this primary criterion will be applied to achieve the best outcome for the University.
78. The assessment of quality will take account of local independent reviews and those commissioned via the UAR (Appendix B). As such the assessment will necessarily rely on academic judgement. Items for review may be nominated by members of staff, their Heads of School or UOA leaders.
79. Following an initial selection of outputs based on quality, the following secondary indicators will be considered to differentiate between outputs deemed to be of equivalent quality for the purposes of the submission. The indicators are listed alphabetically, and no hierarchy exists.
 - Avoidance of the submission of outputs with significant material in common (to limit the risk of panels' disregarding a second output if the overlap is felt to be too great);
 - citations, where and to the extent that, these are employed by the sub-panel to which the work is to be submitted (and taking account of the limitations of such data);
 - open access status of outputs within the scope of the REF2021 Open Access policy (to limit the risk of violating the threshold for submission of non-compliant items, leading to an 'unclassified' rating);
 - relationship of the set of selected outputs to the strategy and achievements described in the unit environment statement (for example, to facilitate the use of submitted outputs to evidence claims made in the environment statement).
80. Where an output has more than one author eligible for submission to the returning UOA, the allocation of the output to an individual for the purposes of the REF submission will be determined to achieve the best outcome for the University and will take account of:
 - the author contribution (to minimise the risk of submitting an item for which the panel may deem the author contribution to be insufficient, leading to an 'unclassified' rating);
 - the UOA to which the work may be submitted (to maximise the benefit of the available pool of outputs);
 - the other outputs available to an author for submission to the UOA, based upon the criteria set out in paragraphs 77-79 (to maximise the benefit of the available pool of outputs).
81. Where all relevant criteria have been considered and outputs associated with both former Category A eligible and current Category A submitted staff remain to be allocated, the preference will be to attribute remaining outputs to current staff. UOA leaders will have no

information as to the reason for someone's departure from the University and will be unable to differentiate between the outputs of staff made redundant and those who have left the institution for other reasons.

Staff, committees and training

82. As indicated above, final decisions on which work is included in the REF submission, how it is distributed across UOAs, and to which individual staff members' outputs are attributed, is the responsibility of the REF Steering Group, informed by the advice of Review Groups and UOA leaders. As indicated in Appendix D UOA leaders' Equality and Inclusion briefings will focus on the selection of outputs.

Disclosure of circumstances

83. The same process will be followed for all staff who wish to declare circumstances, and will cover all circumstances described in the *Guidance on Submissions* paragraphs 160 – 163, i.e.

Summary of applicable circumstances

160. 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 Early Career Researcher*
- 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 162-163*

Circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in outputs, which are:

- i. Disability: this is defined in the 'Guidance on codes of practice', Table 1 under 'Disability'.*
- ii. Ill health, injury, or mental health conditions.*
- iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances set out in Annex L.*
- iv. Other caring responsibilities (such as caring for an elderly or disabled family member).*
- v. Gender reassignment.*
- vi. Other circumstances relating to the protected characteristics listed in the 'Guidance on codes of practice', Table 1, or relating to activities protected by employment legislation.*

161. 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)

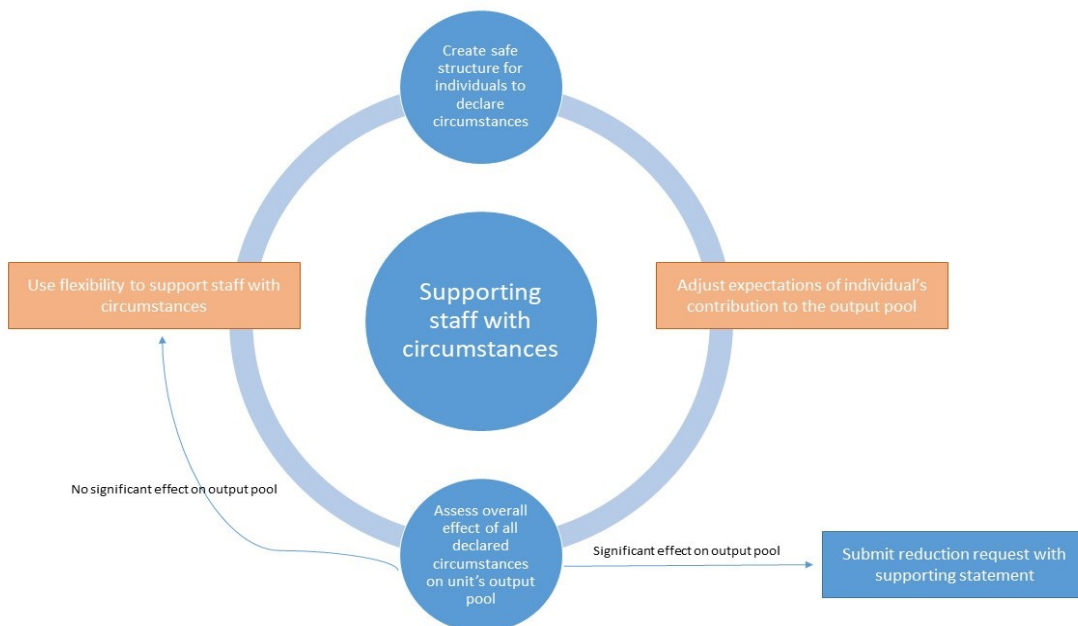
reduction requests on the basis of part-time working hours should only be made exceptionally. For example, where the FTE of a staff member late in the assessment period does not reflect their average FTE over the period as a whole.

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

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

84. Following formal approval of the Code by the Council, the Head of Equality and Inclusion will write to all academic and research staff via e-mail to invite them to voluntarily and confidentially declare any circumstances (as set out in the *Guidance on Submissions* paragraph 160) that have affected their ability to research productively throughout the REF period. The communication will make it clear that this option is voluntary and the individual member of staff may choose to declare circumstances or not. Each case will be dealt with sensitively.
85. Declarations will be made on a standard form via a dedicated, central, confidential email address: refequality@leeds.ac.uk, which will be managed by the central E&I team (Appendix F).
86. As part of the process, staff will be offered the opportunity of a face-to-face confidential discussion(s) with HR and/or E&I to assist them in deciding whether or not to formally declare circumstance(s), and to discuss what evidence would be helpful in cases requiring judgement.
87. Where circumstances are clearly defined, they will be validated by reference to relevant HR records and the appropriate reduction in outputs calculated using the tariffs set out in the *Guidance on Submissions* Annex L (see Appendix F). Where circumstances require judgement, E&I, HR and the central REF team will review cases in advance of formal consideration to ensure that the information provided is sufficient for the panel to make a fair assessment. Where necessary, further information may be requested before the case is considered, and this will be managed by the Head of E&I.
88. A senior member of academic staff who is not directly involved in the REF decision-making processes will chair the circumstances panel. In addition, the panel will comprise academic staff from a range of disciplines, a trades union officer (as observer), the Faculty Head of HR, and the Head of Equality and Inclusion (Appendix C).
89. Cases for consideration will be anonymised as far as practical.
90. For all cases requiring judgement, the panel will determine whether the circumstances would justify a reduction in outputs and calculate the reduction, which will be in accordance with the reductions described in Annex L of the *Guidance on Submissions*.
91. The panel will also receive reports on clearly defined cases, to ensure that criteria are being applied appropriately and consistently.

92. There will be up to four deadlines for the submission of requests for circumstances, with clearly stated deadlines for feeding back the outcome of the assessment. The schedule will reflect the funding bodies' deadline for the submission of cases for consideration (March 2020). Where a member of staff joining the University after this date declares circumstances and it is agreed to make a request for a unit reduction in outputs (or for permission to submit the member of staff with zero outputs), this request will be made alongside the submission.
93. The outcome of the assessment of circumstances will be reported to the member of staff and to their Head of School. The Head of School will be asked to confirm that the expectations of the member of staff's contribution to the overall pool of eligible outputs have been (or will be) moderated in light of their circumstances.
94. UOA Leaders will be informed of the reduction in outputs that may be available, subject to approval by the funding bodies. UOA leaders will not receive any information about individual's circumstances.
95. Where a case has been validated by the University's REF staff circumstances panel, a request may be made to the funding bodies to reduce the number of outputs required by the UOA. This is in the interests of ensuring that all circumstances are treated equally, and recognises that the affect of an individual's circumstances may be felt beyond the individual directly affected (for example, periods of absence of one colleague may lead to a diminution of research time for colleagues who are required to take on additional teaching duties). In addition, it may not be possible to determine by the deadline for the submission of applications for reductions, whether or not such reductions will be required in the final submission.
96. Where a case has been made for the submission of a Category A submitted member of staff with no output, applied for and accepted by the funding bodies, this will be applied to the submission.
97. Where other cases for a reduction have been accepted by the funding bodies, the actual number of outputs submitted will be determined by the REF Steering Group, on the advice of REF Review Groups and UOA leaders. The figure below illustrates how circumstances will be considered in REF2021.



98. All circumstances information will be treated as highly confidential and will only be seen by members of the circumstances panel. The information will be kept securely in the Equality Policy Unit in line with all GDPR requirements. The information will be securely held until the audit functions of the REF2021 have all passed and the results of REF2021 are published. The information will be confidentially destroyed following this point.

Equality Impact Assessment

99. An EIA will be carried out on all circumstance cases and outcomes, as described in paragraphs 59-63. The outcome of the EIA will be to:

- understand any differential impact on groups with protected characteristics.
- understand, and mitigate, any risk of bias and inadvertent discrimination in our processes.

100. Where necessary, processes will be amended to address any issues identified, and appropriate cases will be revisited.

Part 5: Appendices

A	Further information about REF2021
B	The University of Leeds policies, processes and committee structure referred to in the Code
C	University of Leeds REF2021 governance and decision-making panels
D	Training and communication plans
E	Equality Impact Assessments
F	Staff declaration form and Guidance on Submission Annex L (Reductions for staff circumstances)
G	University of Leeds REF2021 - key dates and timetable for submission development
H	Equality and Inclusion Framework (in full) Policy on Dignity and Mutual Respect (in full)

APPENDIX A

Information about REF2021

- (a) REF2021 documents available via the REF2021 website
 - (b) Overview of REF2021
 - (c) Main Panels and Units of Assessment (UOAs)
 - (d) Fellowships requiring independence
-

(a) REF2021 documents available via the REF2021 website

The following documents are available via the REF2021 website <http://www.ref.ac.uk> or on request from leedsref@leeds.ac.uk

- The *Guidance on Submissions* (REF2019/01)
- The *Panel Criteria and Working Methods* (REF2019/02)
- The *Guidance on Codes of Practice* (REF2019/03)

(b) REF2021 – Overview

1. The Research Excellence Framework (REF) is an assessment of the research in UK higher education institutions carried out by the national higher education funding bodies. The outcome of the REF informs the allocation of quality research related funding (“QR”). It contributes to the accountability for public funding and demonstrates the benefits of public investment in research and impact.
2. Submissions are organised into discipline-based “Units of Assessment” (UOA) and assessed by UOA sub-panels comprising academic and research user members. The REF is not an assessment of individual members of staff. A list of submitted staff will not be published.
3. The last REF was REF2014. The submission deadline for REF2021 is 27 November 2020 and the results will be announced in December 2021.
4. Submissions are organised into discipline-based “Units of Assessment” (UOA) and are assessed by UOA-specific sub-panels (comprising academics and the users of research). UOAs are grouped under four main panels (A – D), whose role is to foster consistency of assessment. The main panels and UOAs are listed overleaf for reference.
5. The outcome of the exercise is expressed as a profile across a five-point scale, from 0* (“unclassified”) up to 4* (“world-leading”). The ratings of individual outputs and impact case studies will not be published, nor will the names of submitted staff.
6. A brief summary of the submission requirements and the contribution of each section to the overall outcome is given overleaf.

Section	Description		Contribution to the overall outcome
Outputs	Outputs produced in the publication period 1.1.2014 – 31.12.2020.	The number of outputs required is determined by the total full time equivalent (fte) of staff submitted.	60%
Impact	Case studies describing impacts achieved during the period 1.8.2013 – 31.7.2020.	The number of cases required is determined by the total full time equivalent (fte) of staff submitted. The minimum number is two.	25%
Environment	An institutional and a unit-level statement describing the research and impact environment for the period 1.8. 2013 – 31.7.2020.	One (common) institutional statement. One UOA-level statement	15%

7. More information about REF2021 can be found on the funding bodies' REF2021 website, ref.ac.uk, or on request from leedsref@leeds.ac.uk.

(c) Main Panels and Units of Assessment (Annex D, Guidance on Submissions, REF2019/01)

Main panel	Unit of assessment	
A	1	Clinical Medicine
	2	Public Health, Health Services and Primary Care
	3	Allied Health Professions, Dentistry, Nursing and Pharmacy
	4	Psychology, Psychiatry and Neuroscience
	5	Biological Sciences
	6	Agriculture, Food and Veterinary Sciences
B	7	Earth Systems and Environmental Sciences
	8	Chemistry
	9	Physics
	10	Mathematical Sciences
	11	Computer Science and Informatics
	12	Engineering
C	13	Architecture, Built Environment and Planning
	14	Geography and Environmental Studies
	15	Archaeology
	16	Economics and Econometrics
	17	Business and Management Studies
	18	Law
	19	Politics and International Studies
	20	Social Work and Social Policy
	21	Sociology
	22	Anthropology and Development Studies
	23	Education
	24	Sport and Exercise Sciences, Leisure and Tourism
D	25	Area Studies
	26	Modern Languages and Linguistics
	27	English Language and Literature
	28	History
	29	Classics
	30	Philosophy
	31	Theology and Religious Studies
	32	Art and Design: History, Practice and Theory
	33	Music, Drama, Dance, Performing Arts, Film and Screen Studies
	34	Communication, Cultural and Media Studies, Library and Information

(d) Fellowships requiring independence (see ref.ac.uk under “Additional Guidance”)

Research Fellowships (list as at 15 March 2019)

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

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

Funder	Fellowship scheme
AHRC	AHRC Leadership Fellowships - Early Career Researchers
AHRC	AHRC Leadership Fellowships
BBSRC	BBSRC David Phillips Fellowships
BBSRC	BBSRC Future Leader Fellowships (from 2018 known as BBSRC Discovery Fellowships)
British Academy	BA/Leverhulme Senior Research Fellowships
British Academy	British Academy Postdoctoral Fellowships
British Academy	JSPS Postdoctoral Fellowships
British Academy	Mid-Career Fellowships
British Academy	Newton Advanced Fellowships
British Academy	Newton International Fellowships
British Academy	Wolfson Research Professorships
British Heart Foundation	Career Re-entry Research Fellowships
British Heart Foundation	Clinical Research Leave Fellowships
British Heart Foundation	BHF-Fulbright Commission Scholar Awards
British Heart Foundation	Intermediate Basic Science Research Fellowships
British Heart Foundation	Intermediate Clinical Research Fellowships
British Heart Foundation	Senior Basic Science Research Fellowships
British Heart Foundation	Senior Clinical Research Fellowships
British Heart Foundation	Springboard Award for Biomedical Researchers
British Heart Foundation	Starter Grants for Clinical Lecturers
Cancer Research UK	Advanced Clinician Scientist Fellowship
Cancer Research UK	Career Development Fellowship
Cancer Research UK	Career Establishment Award
Cancer Research UK	Senior Cancer Research Fellowship
EPSRC	EPSRC Early Career Fellowship
EPSRC	EPSRC Established Career Fellowship
EPSRC	EPSRC Postdoctoral Fellowship*1
ESRC	ESRC Future Cities Catapult Fellowship
ESRC	ESRC Future Leaders Grant
ESRC	ESRC/Turing Fellowships
ESRC/URKI	Early Career Researcher Innovation Fellowships
European Research Council	ERC Advanced Grants
European Research Council	ERC Consolidator Grants
European Research Council	ERC Starting Grants
Health Education England	ICA Clinical Lectureship
Health Education England	ICA Senior Clinical Lectureship
Leverhulme Trust	Early Career Fellowship
Leverhulme Trust	Research Fellowship
Leverhulme Trust	Emeritus Fellowship
Leverhulme Trust	Major Research Fellowship
Leverhulme Trust	International Academic Fellowship
MRC	MRC Career Development Awards*
MRC	MRC New Investigator Research Grants (Non-clinical)*
MRC	MRC New Investigator Research Grants (Clinical)*

Funder	Fellowship scheme
MRC	MRC Clinician Scientist Fellowships*
MRC	Senior Non-Clinical Fellowships
MRC	Senior Clinical Fellowships
NC3R	David Sainsbury Fellowship
NC3R	Training fellowship
NERC	Independent Research Fellowships
NERC/UKRI	Industrial Innovation Fellowships
NERC/UKRI	Industrial Mobility Fellowships
NIHR	Advanced Fellowship
NIHR	Career Development Fellowship
NIHR	Clinical Lectureships
NIHR	Clinical Trials Fellowship
NIHR	Clinician Scientist
NIHR	Development and Skills Enhancement Award
NIHR	Knowledge Mobilisation Research Fellowship
NIHR	Post-Doctoral Fellowship
NIHR	Research Professorship
NIHR	School for Primary Care Post-Doctoral Fellowships
NIHR	Senior Research Fellowship
Royal Academy of Engineering	RAEng Engineering for Development Research Fellowship
Royal Academy of Engineering	Industrial Fellowships
Royal Academy of Engineering	RAEng Research Fellowship
Royal Academy of Engineering	RAEng Senior Research Fellowship
Royal Academy of Engineering	UK Intelligence Community (IC) Postdoctoral Research Fellowship
Royal Society	Royal Society Wolfson Fellowship
Royal Society	Dorothy Hodgkin Fellowship*
Royal Society	JSPS Postdoctoral Fellowship
Royal Society	Newton Advanced Fellowship
Royal Society	Royal Society/Leverhulme Trust Senior Research Fellowship
Royal Society	University Research Fellowship*
Royal Society and Wellcome Trust	Sir Henry Dale Fellowship*
Royal Society of Edinburgh	RSE Arts & Humanities Awards (for permanent staff)
Royal Society of Edinburgh	RSE Personal Research Fellowship
Royal Society of Edinburgh	RSE Sabbatical Research Grants (for permanent staff)
Sêr Cymru	Research Chairs
Sêr Cymru	Rising Stars
Sêr Cymru	Recapturing Talent*
Sêr Cymru	Research fellowships for 3 -5 year postdocs
STFC	CERN Fellowships
STFC	Ernest Rutherford Fellowship
STFC	ESA Fellowships
STFC	Innovations Partnership Scheme Fellowships
STFC	Returner Fellowships
STFC	RSE/STFC Enterprise Fellowships

Funder	Fellowship scheme
STFC	Rutherford International Fellowship Programme
UKRI	UKRI Future Leaders Fellowships
UKRI	UKRI Innovation Fellowships
Wellcome Trust	Intermediate Fellowship in Public Health and Tropical Medicine
Wellcome Trust	Principal Research Fellowships
Wellcome Trust	Research Award for Health Professionals
Wellcome Trust	Research Career Development Fellowship
Wellcome Trust	Research Fellowship in Humanities and Social Science
Wellcome Trust	Senior Research Fellowship

APPENDIX B

The University of Leeds policies, processes and committee structure referred to in the Code

- (a) Equality and Inclusion Framework
- (b) Policy and Procedures on Dignity and Mutual Respect
- (c) Personal Data and REF2021
- (d) University Annual outputs Review (UAR)
- (e) University of Leeds Committees (Institutional Governance and Direction)

-
- (a) Equality and Inclusion Framework – a copy of the Equality and Inclusion Framework can be downloaded from https://equality.leeds.ac.uk/wp-content/uploads/sites/64/2019/03/9400_EI_Report_2020.pdf [A full copy is appended in Appendix H for reference by EDAP.]
 - (b) Policy and Procedures on Dignity and Mutual Respect - can be downloaded in PDF or Microsoft Word format at https://www.leeds.ac.uk/forstaff/news/article/1062/new_policy_and_procedures_on_dignity_and_mutual_respect [A full copy is appended in Annex H for reference by EDAP.]
 - (c) Personal Data and REF2021

The purpose of the REF2021 is to assess the quality of UK research and to inform the selective distribution of public funds for research by the four UK higher education funding bodies. The REF is managed by Research England, which is part of UK Research and Innovation (UKRI). Your inclusion in the institutional REF2021 submission forms part of your contract of employment, as iterated in the Staff Privacy Notice. The University's submission of personal data to UKRI is considered to be in the public interest.

The personal data shared with UKRI includes name, date of birth, membership of research groups and contract dates and, where you provide it, details about your personal circumstances. As the Data Controller, the UKRI will share your information with the:

- Department for the Economy, Northern Ireland;
- Higher Education Funding Council for Wales;
- Scottish Funding Council;
- Higher Education Statistics Agency; and

with other parties for research and analysis where required.

UKRI will anonymise your personal data wherever practicable and requires that anyone who has access to your personal data respects its confidentiality and only processes it in accordance with the specified purposes. Should you have any questions about the use of your personal data, or your individual rights, then please contact the UKRI Data Protection Officer (dataprotection@ukri.org).

(d) University Annual outputs Review (UAR) – the University Annual outputs Review process (endorsed by the University’s Research and Innovation Board and approved by the Executive Group in July 2017) complements existing outputs review processes. The Dean for Research Quality and Impact has overall responsibility for the process. Faculty Research and Innovation Pro-Deans lead on its implementation in their Faculty. It contributes to the achievement of a robust assessment of the University’s outputs portfolio and supports the development of a shared understanding of the characteristics of high-quality research publications. The scheme provides central funding for external review of two outputs per member of academic and independent research staff per year. Reviewers are subject to approval by the Dean for Research Quality and Impact and are expected to have experience as a reviewer in national research assessment exercises or similar expertise. Reviews comprise a rating and supporting comments. The outcome of external review is shared with authors via IRIS.

(e) University Committees (see below)

The University Institutional Governance

COUNCIL

- ◆ Audit and Risk Committee
- ◆ Equality and Inclusion
- ◆ Health and Safety Committee
- ◆ Nominating and Governance
- ◆ Remuneration Committee
- ◆ Strategy and Investment
- ◆ University Research
- ◆ Animal Welfare and Ethics

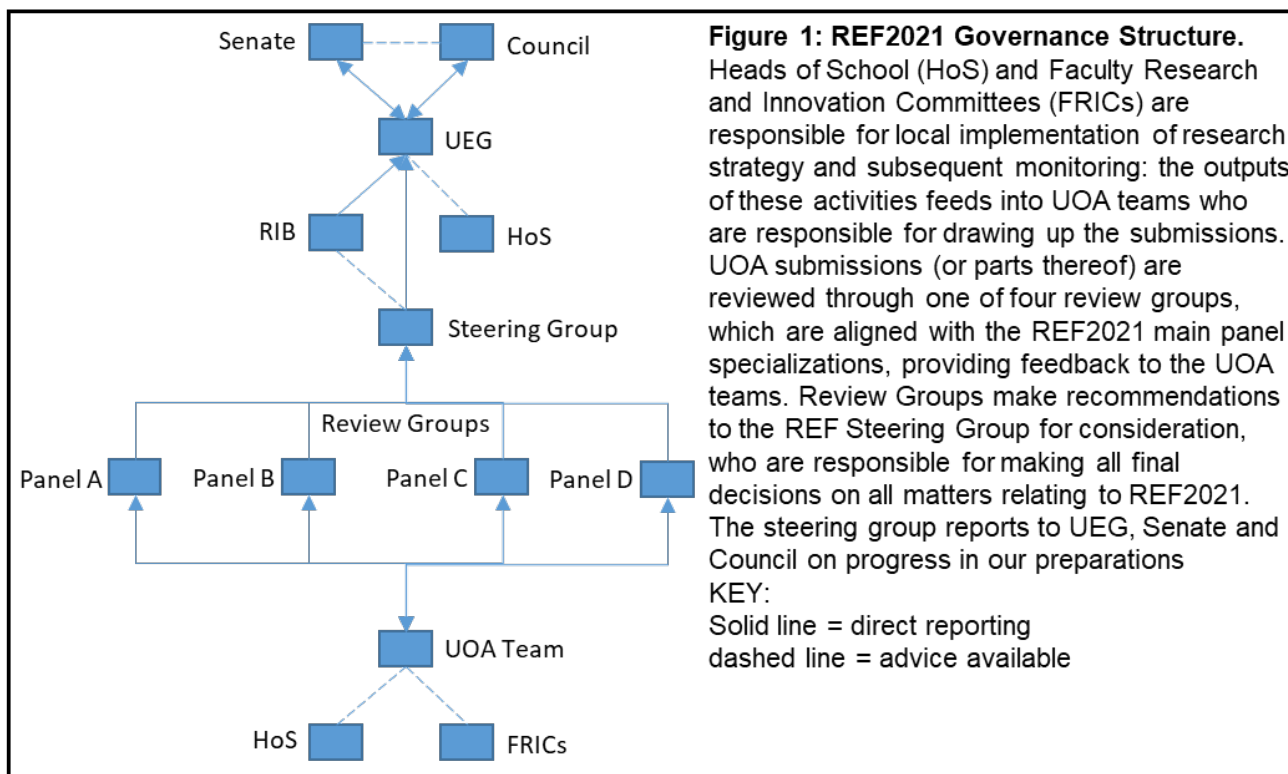
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APPENDIX C

University of Leeds REF2021 governance and decision-making committees Structures

The figure below indicates how the REF2021 governance structures relates to the University's committees.



Role descriptions of staff serving on University REF groups

All staff are appointed to their University roles via open (internal and/or external) advertisement and standard University HR procedures.

Brief role descriptors are provided here and reporting lines are shown in (e) above.

- Deputy Vice-Chancellor Research and Innovation - Lead on development of the University's research and innovation strategy.
- Faculty Executive Dean – Line management responsibility for their Faculty.
- Research and Innovation Pro-Dean - Responsible for developing and delivering a research and innovation strategy consistent with Faculty Academic Plan and University Strategy for the promotion, facilitation and monitoring of research of the highest quality throughout the Faculty. Research and Innovation Pro-Deans are *ex officio* member of the REF Review Groups.
- Head of School/Institute/Division – Line management of School/Institute/Division, reporting to the Faculty Executive Dean. Heads of School/Institute/Division are *ex officio* members of the panels to identify staff with significant responsibility for research and to determine independence of “research only” staff.

Method of appointment to University REF groups

Membership of the REF Steering Group was agreed via the University's Committee Structure, reflecting senior management responsibility for the conduct of REF2021.

Review Group membership combines “*ex officio*” membership by the Research and Innovation Pro-Deans with additional members with appropriate experience of assessment of research and its impact. Membership will be expanded to support the University's REF Review process from Winter 2019 onwards. Additional recruitment will be informed by an equality analysis of the current membership, which shows, for example that 32% of the members are female, 68% male.

Unit of Assessment Leaders (including deputy leaders and impact leads) were approved by the REF Steering Group, following recommendations from Heads of School and Research and Innovation Pro-Deans.

The group to consider individual staff circumstances will be recruited via open invitation, with at least some of those who served on the equivalent panel in REF2014 encouraged to serve again, in the interests of continuity and consistency.

Terms of reference and membership

REF STEERING GROUP

Terms of Reference

The Steering Group will be responsible for recommending the University's submission strategy and for approving the final submission to the Research Excellence Framework. Four Review Groups will be formed to advise the Steering Group.

The Steering Group's Terms of Reference are:

- to interpret the REF *Panel Criteria and Working Methods* and the *Guidance on Submissions* and any other guidance published by the funding councils in relation to the REF
- in light of its interpretation of the published guidance and criteria, prepare the University's submission strategy, including target Grade Point Average for each Unit of Assessment (UOA)
- to develop a guide (including an Equality Code of Practice incorporating equality impact assessment arrangements) for preparing, reviewing and developing submissions and selecting staff for inclusion in the submission
- to co-ordinate communication with staff and unions
- to approve the submission, the Units of Assessment to which submissions will be made, any joint or multiple submissions
- to approve the members of staff to be included in each Unit of Assessment's submission, and the number of outputs submitted per individual
- to determine selection criteria for Unit of Assessment leaders and approve their appointment
- to approve the commissioning and terms of reference of external reviews and benchmarking data
- to co-ordinate responses to HEFCE [now Research England] REF consultations
- to respond to other matters referred to the Steering Group by the Review Groups
- promote and monitor ethical practice and ensure all equality and diversity standards are adequately met

Membership of the Steering Group comprises:

- A chair (Deputy Vice-Chancellor, Research and Innovation)
- A deputy chair (Dean of Research Quality and Impact)
- Members drawn from the Executive Deans, Research and Innovation Pro-Deans, and others with experience of research assessment or with expertise in impact
- Additional members, who may be recruited during the later stages of submission preparation to provide advice on a particular submission or aspect of a submission
- The Deputy Head of Human Resources
- The Head of Research Quality and Policy

REF REVIEW GROUPS

There will be four Review Groups aligned with the REF Main Panels. Their role is to support the Steering Group in achieving the best possible outcome from the REF for the University as a whole.

Review Groups will:

- report via the Chair to the REF Steering Group
- co-ordinate the association of staff with UOAs and, where necessary, facilitate discussion between Unit of Assessment leaders on UOA transfers
- review Units of Assessment submissions in detail and make recommendations to the Steering Group on the submissions
- work closely with UOA leaders and Heads of School in developing all aspects of the submissions (outputs, environment and impact)
- ensure that submissions are in accordance with the University's code of practice on preparing, reviewing and developing submissions
- ensure that reviews are rigorous and independent
- promote and monitor ethical practice and ensure all equality and diversity standards are adequately met

Membership of each Review Group comprises:

- A Chair (Dean of Research Quality and Impact)
- Members drawn from the Deans, Pro-Deans, and others with experience of research assessment or with expertise in impact
- Additional members, who may be recruited during the later stages of submission preparation to provide advice on a particular submission or aspect of a submission

UNIT OF ASSESSMENT LEADERS

Unit of Assessment leaders will have a pivotal role in the formulation of submissions.

UOA Leaders will:

- report, via the Research and Innovation Pro-Dean, to the Review Group with responsibility for their UOA
- liaise with Executive Deans, Pro-Deans, Heads of School and Departments and Directors of Research to produce the REF submission for their UOA
- be responsible for communication with their UOA constituency concerning the development of the submission
- have final authority to make recommendations to the Review Group on behalf of their UOA
- work closely with Deputy UOA leaders/ impact leads and with other UOA leaders, as necessary, and make recommendations to the Review Group concerning the allocation of members of staff to UOAs
- work with data teams and Faculty Research Managers to ensure the accuracy of data in their submission
- be responsible for overseeing the drafting of textual parts of the submission and the impact statement and case studies, working closely with the impact leads
- promote and monitor ethical practice and ensure all equality and diversity standards are adequately met

- remain in the role of UOA leader for the duration of the Exercise, including any audit period

Deputy UOA lead will:

- support the UOA leader in developing the UOA's submission to REF, drawing on their knowledge of a particular discipline area or School

Impact lead will:

- support the UOA leader in developing the impact case studies for a UOA's submission to REF, drawing on their expertise in impact
- liaise with impact steering group to develop and implement best practice to support the development of impact within their area

PANELS TO IDENTIFY STAFF WITH SIGNIFICANT RESPONSIBILITY FOR RESEARCH AND INDEPENDENT RESEARCHERS

Terms of Reference

To consider relevant information to identify academic “teaching and research” staff with significant responsibility for research and independent “research only” staff in accordance with the Code of Practice sections 2 and 3.

Membership

- Dean of Research Quality and Impact (Chair)
- Heads of School (division or institute)
- Faculty Head of HR (In an advisory capacity)
- Head of Research Quality and Policy (In an advisory capacity)
- Trade Union Officer (Observer)

COMMITTEE TO CONSIDER INDIVIDUAL STAFF CIRCUMSTANCES

Terms of Reference

1. To ensure that the arrangements for the confidential and voluntary declaration of staff circumstances and their assessment are carried out in accordance with the University's Code of Practice for REF2021 and REF2021 *Guidance on Submissions* (REF2019/01, January 2019).
2. To receive and assess all declarations of circumstances requiring judgement and identify an appropriate reduction in outputs.
3. To receive a sample of clearly-defined circumstances to ensure that these have been dealt with in accordance with the Code of Practice and the reductions set out by the REF Guidance.
4. To approve the content of the outcome/feedback to members of staff and information to be passed on to the Unit of Assessment Leaders.
5. To consider responses from Heads of School as to the adjustments that have been made to the expectations of the member of staff's contribution to the REF pool of outputs.
6. To specify and consider equality analyses to inform the work of the panel.
7. To report to the University's REF Steering Group on cases considered and their outcome.
8. To provide an assurance report to the University's Equality and Inclusion Committee on the circumstances received and all due processes outlined in the Code have been followed.
9. To lead the production of an Equality Impact Assessment for submission to the funding bodies after the REF2021 submission deadline.

Membership

Chair: Senior academic with experience of Equality and Inclusion

Members:

- Two members of academic staff for each REF2021 Main Panel area. In the interests of independence, members will not be members of the University's REF2021 Steering or Review Groups, nor REF2021 Unit of Assessment Leaders.
- Head of Equality and Inclusion, Faculty Head(s) of HR, a member of the University's central REF2021 team.
- Trade Union Officer (Observer)

APPENDIX D

Training and Communication Plans

Training

The training described below is mandatory for the target audiences specified.

Target audience	Scope of training	Delivery	Timing
All UOA leaders, REF Steering and Review Group members, Heads of School (and Institute in Faculty of Medicine and Health), members of the staff circumstances panel	Introductory grounding in key principles of equality, inclusion and diversity, including the potential impact of unconscious bias and ways of mitigating against it. This is a prerequisite for role- and REF-specific training below.	University of Leeds on-line introductory module on Equality and Inclusion.	Pre-requisite for other training listed below.
UOA leaders	Introduction to the Code of Practice, with emphasis on the purpose and method for declaring and assessing individual staff circumstances and seeking reductions in outputs, and the fair and transparent selection of outputs for inclusion in the submission.	Face-to-face presentations delivered by Head of Equality and Inclusion and Head of Research Quality and Policy via regular UOA team meetings.	15 May and 12 June 2019
Review Group members	Introduction to the Code of Practice.	Face-to-face presentations delivered by Head of Equality and Inclusion and Head of Research	15 May and 12 June 2019

Target audience	Scope of training	Delivery	Timing
		Quality and Policy	
Steering Group members	Guidance to support the Steering Group in ensuring that the Code is implemented, including the interpretation of equality analyses.	Face-to-face presentation at Steering group meeting delivered by Head of Equality and Inclusion.	July 2019
Heads of School/Institute/Division	Introduction to the Code of Practice, with particular emphasis on the role of Heads of School/Institute in the processes to identify Category A submitted staff and in relation to staff circumstances.	Face-to-face presentations delivered by Head of Equality and Inclusion and Head of Research Quality and Policy.	13 June and 26 June 2019
Members of the staff circumstances panel	Introduction to the Code of Practice, with particular emphasis on the process and purpose of declaring and assessing staff circumstances	Face-to-face presentation/workshop delivered by Head of Equality and Inclusion and Head of Research Quality and Policy, including practical session on assessing (fictional) staff circumstances cases using examples from REF2014 training material as appropriate.	Summer 2019

Communication

Activity	Purpose	Target audience	Delivered by	Timing
Open meeting	To introduce REF2021 in general, referring to draft guidance and provide opportunity to contribute to consultation. Differences from REF2014 highlighted	Any staff, but targeted at research and academic staff	Deputy Vice-Chancellor (Research and Innovation) (DVC R&I) and central REF team, supported by HR and or E&I team	25 September and 2 October 2018
Open meeting	Introduction to topics to be covered by the Code of Practice. Opportunity to contribute to development of Code at an early stage		DVC R&I and central REF team, supported by HR and or E&I team	5 and 6 December 2018
Open meeting	To introduce key points from the final guidance and to discuss principles underlying approaches to issues in the Code.		DVC R&I and central REF team, supported by HR and or E&I team	12 and 19 Feb 2019
Electronic circulation of draft Code for comment	Consultation - to introduce the full draft code and elicit comments to contribute to the development of the Code	All research and academic staff, professional staff supporting implementation of the Code (E&I, HR)	Electronic circulation, supplemented by news item on staff intranet and electronic bulletin, circulation to E&I networks from central REF team	20 March - 17 April 2019
		Discussion via Joint		20 March 2019

Activity	Purpose	Target audience	Delivered by	Timing
		Committee of University and Unions		
Drop-ins	Face-to-face meetings to raise any questions about the draft code of practice, contribute to consultation on the draft Code	Any staff, but targeted at research and academic staff	Central REF team and E&I	Three meetings during the consultation period (20 March 2019 – 17 April 2019)
Open meetings	Communicate the content of the Code and provide an opportunity for staff to ask questions and raise any issues of concern.		DVC R&I, central REF team and E&I	Summer 2019 (following approval of the Code for submission to the funding bodies)
Electronic circulation of information about the processes to identify staff with significant responsibility for research/independent researchers	Inform staff of processes, timescales, feedback and appeals arrangements	Staff whose roles are to be considered under these processes	Central REF team	Summer 2019 (following approval of the Code for submission to the funding bodies)
Electronic circulation of invitation to declare staff circumstances	Invite colleagues to confidentially, voluntarily declare circumstances.	Research and academic staff	E&I team (via dedicated email address)	Summer 2019 (following approval of the Code for submission to the

Activity	Purpose	Target audience	Delivered by	Timing
				funding bodies)
Confidential meetings	Optional face-to-face meetings with HR or E&I to discuss personal circumstances	Staff considering declaring circumstances	HR/E&I	Ongoing from launch of invitation to declare circumstances (Summer 2019)
Open meetings	To up-date on progress with the submission and provide an opportunity to feedback	All staff	DVC R&I and central REF team, supported by HR and or E&I team	Autumn 2019, Early 2020 and Early 2020 (to coincide with rounds of full draft submission preparation) and as required
Electronic circulation	Email and intranet updates complementary to the open meetings described above	All staff	Central REF team	On-going throughout the REF preparation period as appropriate
Electronic circulation	Confirmation of the completion and thanks to staff for contribution	All staff	REF Steering Group	November 2020.

APPENDIX E

Equality Impact Assessments

We will carry out equality impact assessments:

- when identifying staff with a significant responsibility for research
- when determining research independence
- when selecting outputs for submission, including consideration of both co-authorship and attribution of outputs in the submission
- when considering appeals against identification of staff who do not have significant responsibility for research or who are not independent researchers
- when preparing draft submissions
- when preparing the final submission.

APPENDIX F

Staff declaration form and *Guidance on Submissions* Annex L

University of Leeds

Declaration of Individual Staff Circumstances

1. This document is being sent to all Category A staff whose outputs are eligible for submission to REF2021 (see [‘Guidance on submissions’](#), paragraphs 117-122). As part of the University’s commitment to supporting equality and diversity in REF, we have put in place safe and supportive structures for staff to declare information about any equality-related circumstances that may have affected their ability to research productively during the assessment period (1 January 2014 – 31 July 2020), and particularly their ability to produce research outputs at the same rate as staff not affected by circumstances. The purpose of collecting this information is threefold:
 - To enable staff who have not been able to produce a REF-eligible output during the assessment period to be entered into REF where they have:
 - circumstances that have resulted in an overall period of 46 months or more absence from research during the assessment period, due to equality-related circumstances (see below)
 - circumstances *equivalent* to 46 months or more absence from research due to equality-related circumstances
 - two or more qualifying periods of family-related leave.
 - To recognise the effect that equality-related circumstances can have on an individual’s ability to research productively, and to adjust expectations in terms of expected workload / production of research outputs.
 - To establish whether there are any Units of Assessment where the proportion of declared circumstances is sufficiently high to warrant a request to the higher education funding bodies for a reduced required number of outputs to be submitted.
2. **Applicable circumstances**
 - Qualifying as an ECR (started career as an independent researcher on or after 1 August 2016)
 - Absence from work due to secondments or career breaks outside the HE sector
 - Qualifying periods of family-related leave

- Junior clinical academics who have not gained a Certificate of Completion of training by 31 July 2021
- Disability (including chronic conditions)
- Ill health, injury or mental health conditions
- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment

If your ability to research productively during the assessment period has been constrained due to one or more of the following circumstances, you are requested to complete the attached form. Further information can be found paragraph 160 of the *Guidance on Submissions* (REF 2019/01). Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. This form is the only means by which the University will be gathering this information; we will not be consulting HR records, contract start dates, etc. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

3. Ensuring Confidentiality

Forms and supporting evidence are requested to be submitted to the Equality Policy Unit by post or email at: refequality@leeds.ac.uk, marked 'Confidential: Individual Staff Circumstances'. Returned forms and all supporting evidence forms will be held securely by the Head of Equality and Inclusion. The Head will review each application and determine if it is a straightforward application under applicable circumstances outlined above and/or if the circumstances are more complex and a panel discussion is required. The panel will comprise academic staff from each REF main panel area, the Head of Equality and Inclusion, the Head of Research Quality and Policy and a trade union observer. The panel will be chaired by a senior academic with experience of equality and inclusion. A member of the central REF team will work with the Head of Equality and Inclusion to review cases and evidence in advance for presentation to the panel. All members of staff involved with this process will demonstrate utmost confidentiality. A decision will be made on the evidence available and presented for the purposes of reduction of outputs from the overall Unit of Assessment. The panel will also review straightforward applications for applicable circumstances described above. All individuals will be informed about the outcome of their application within 3 months, by the Chair of the individual circumstances panel. The Unit of Assessment Lead will be informed about the outcome of the application, via the Head of Equality and Inclusion, but no information on the nature of the circumstances will be shared. We acknowledge that there may be declarations for the purposes of REF2021 which may not be disclosed within the context of the employment relationship of an individual within the University. This information will only be held for the purposes of the REF2021 exercise and will be confidentially destroyed once the exercise is completed, all audit periods have been completed and the results are published.

If the institution decides to apply to the funding bodies for either form of reduction of outputs (removal of 'minimum of one' requirement or unit circumstances), we will need to provide UKRI with

data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see the [‘Guidance on submissions’](#) document (paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted. Submitted data will be kept confidential to the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs. All these bodies are subject to confidentiality arrangements. The REF team will destroy the submitted data about individuals’ circumstances on completion of the assessment phase.

4. Changes in circumstances

The University recognises that staff circumstances may change between completion of the declaration form and the census date (31 July 2021). If this is the case, then staff should contact their Faculty Head of HR or the Head of Equality and Inclusion to provide the updated information.

Please complete this form to declare any individual staff circumstances and submit with all appropriate evidence to the Head of Equality and Inclusion at: refequality@leeds.ac.uk, marked: ‘Confidential: Individual Staff Circumstances’.

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

School/Institute: [Click here to insert text.](#)

Do you have a REF-eligible output published between 1 January 2014 and 31 July 2021?

Yes

No

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

Circumstance	Time period affected
<p>Early Career Researcher (started career as an independent researcher on or after 1 August 2016).</p> <p><i>Date you became an early career researcher.</i></p>	<p>Click here to enter a date.</p>
<p>Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2021.</p>	<p>Tick here <input type="checkbox"/></p>

<p>Career break or secondment outside of the HE sector.</p> <p><i>Dates and durations in months.</i></p>	<p>Click here to enter dates and durations.</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,</i></p>	<p>Click here to enter text.</p>

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

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below
- I realise that the above information will be used for REF purposes only and will be seen by the members of staff described in para 3. above.
- I realise it may be necessary to share the information with the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs.

I agree

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

I give my permission for the Head of E&I or Faculty HR Lead/HR Manager to contact me to discuss my circumstances, and my requirements in relation this these.

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

I would like to be contacted by:

Email Insert email address

Phone Insert contact telephone number

Guidance on Submissions 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.

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.

- 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.

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 to 10).

Other circumstances that apply in UOAs 1–6

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

15. This allowance is made on the basis that the staff concerned are normally significantly constrained in the time they have available to undertake research during the assessment period. Where the individual meets the criteria in paragraph 14, and has had significant additional circumstances – for any of the other reasons set out in the ‘Guidance on submissions’ in paragraph 160 – the institution can make a case for further reductions in the unit reduction request.

Circumstances requiring a judgement about reductions

16. 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.

APPENDIX G

UNIVERSITY OF LEEDS REF2021 – KEY DATES AND OUTLINE TIMETABLE FOR SUBMISSION DEVELOPMENT

Key dates (the funding bodies timetable is available in the *Guidance on Submissions*, see <http://www.ref.ac.uk>)

Submission data	Date range for the submitted data
Outputs	1 January 2014 – 31 December 2020
Impact	1 August 2013 – 31 July 2020
Outputs underpinning impact	1 January 2000 – 31 December 2020
Research income	1 August 2013 – 31 July 2020
PGR degrees awarded	1 August 2013 – 31 July 2020
Staff - census date	31 July 2020
Submissions to the funding bodies	Deadline
Institutions submit code of practice	Noon 7 June 2019
Institutions submit requests for unit level reductions in outputs and for staff to be submitted with zero outputs due to staff circumstances	March 2020
Deadline for submissions REF2021	Noon 27 November 2020

University of Leeds Submission Development Schedule

Activity	Comment	Deadline (s)
UOAs submit early drafts of Impact Case Studies	Three deadlines available.	Spring 2019
UOAs submit early drafts of UOA-level Environment templates		
Consult on draft code of practice		18 March 2019 – 17 April 2019
Invite voluntary declaration of staff circumstances. Initiate processes to identify Category A submitted staff		June 2019
UOAs submit first full draft	Two deadlines available	4 July 2019, OR 12 September 2019
UOAs submit second full draft		16 January 2020
Complete consideration of staff circumstances	Prepare requests for submission to funding bodies as appropriate	March 2020
UOAs submit third full draft	Two deadlines available	Late Spring 2020
Finalising the submission		Ongoing July – October 2020

APPENDIX H

Equality and Inclusion Framework

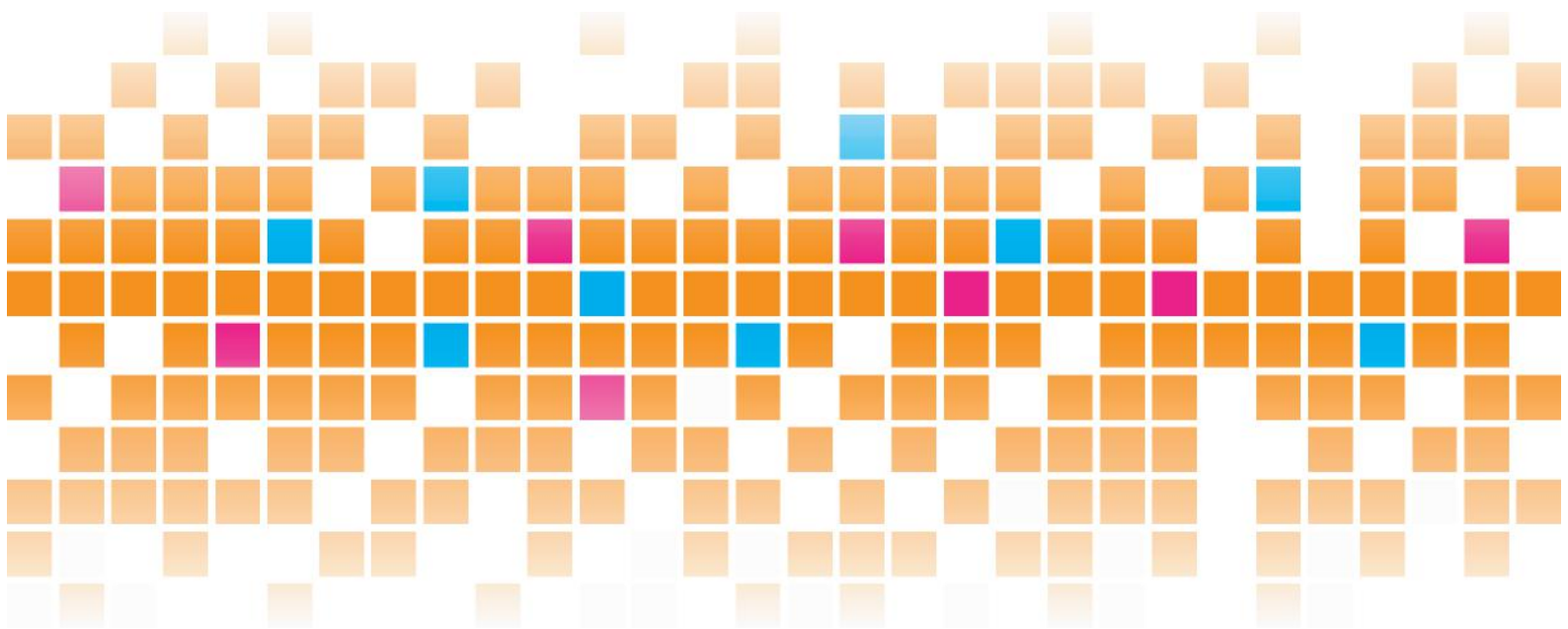
Policy on Dignity and Mutual Respect



UNIVERSITY OF LEEDS

EQUALITY & INCLUSION FRAMEWORK

2014-2020



everyone included, **everyone** involved



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1. Foreword: Is everyone on board?

The University of Leeds has a long history of engagement with the equality and inclusion agenda and has made strenuous efforts to promote equality in relation to the implementation of all its policies and practices.

Our equality and inclusion strap line '*Everyone Included, Everyone Involved*' reflects this commitment to ensure that effective engagement and consultation is at the heart of all aspects of University activity, and that we involve our diverse student and staff body.

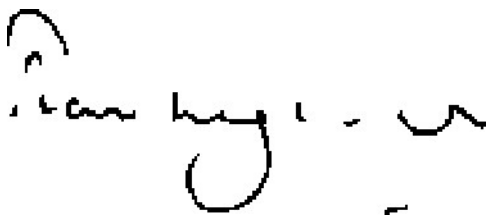
The components within this Framework have been developed with input from key stakeholders, including faculty and service representatives, staff and students, key University committees, campus trade unions as well as staff and student networks. This again reflects the University's commitment to

working in partnership to create an inclusive environment that is better for all.



In addition, during April 2013, staff and students were invited to take part in a series of workshops to feed back on what they thought the University's priorities for the next five years should be.

We will continue our commitment to engage and involve diverse staff and student groups along our journey towards implementing the Equality and Inclusion Strategy, as well as in our wider equality and inclusion activity.

A handwritten signature in black ink, appearing to read "Sir Alan Langlands". The signature is written in a cursive style with a large initial 'S' and 'A'.

Sir Alan Langlands
Vice-Chancellor

2. Introduction to the Framework and Strategy

Equality of opportunity, fairness and inclusion is the foundation of our global community at the University of Leeds, and a vital enabler that will help us realise our University Strategy. We believe that every individual in our University community should be treated with dignity and respect and be part of a working and learning environment that is free from barriers, regardless of age, caring responsibilities, disability, gender reassignment, marriage or civil partnership, pregnancy or maternity status, race (including caste, ethnic or national origin, nationality or colour), religion or belief, sex (gender) and sexual orientation. Our University values of professionalism, inclusiveness, integrity and community are at the heart of everything we do as we strive together for academic excellence.

- a summary of how we will embed equality and inclusion within the Strategy – actions to support the implementation of the priorities and objectives
- the Equality and Inclusion Policy – individual rights and responsibilities



The Framework

Our commitment to develop this Equality and Inclusion Framework demonstrates how we aspire to go beyond our legal duties and translate our value of inclusiveness throughout our culture, business and day-to-day organisational practice.

In this Framework document you will find:

- a timeline of the activities to develop the Equality and Inclusion Framework
- the Equality and Inclusion Strategy – the equality vision for Leeds

- information on the governance and management arrangements to deliver the Strategy
- information on individual roles and responsibilities for promoting the Equality and Inclusion Strategy and Policy (Appendix 1)
- a summary of the University's responsibilities under the Equality Act 2010 (Appendix 2)

Supporting the delivery of the Strategy

The Equality Policy Unit (EPU) is the centre for policy development and expert advice on equality and inclusion at the University of Leeds. It is responsible for:

- supporting the University, including faculties and services, to embed and implement the objectives identified within the Strategy
- ensuring the University meets its statutory obligations under the Equality Act 2010
- assisting the University to implement inclusive practice through the development of appropriate policies, guidance and support

Partnership working and engagement

The University supports the role of staff networks, the campus trade unions and Leeds University Union student forums and recognises the key role they play in promoting equality and inclusion-related activity across campus. We will continue to support the development and visibility of the staff networks, which currently include:

- the WiSET (Women in Science Engineering and Technology) network
- the Lesbian, Gay, Bisexual and Trans staff network
- the Leeds 11 network (for Black and Minority Ethnic staff)
- the Staff Disability network

We will also continue to work in partnership with the networks, campus trade unions and forums in order to implement the Equality and Inclusion Strategy, the priorities and objectives, and key principles within the Equality and Inclusion Policy.

Governance and management arrangements

- *Strategic development and monitoring:* The Equality and Inclusion Strategy and activities to meet the priorities and objectives will be presented to the Vice-Chancellor's Executive Group and the University Council as part of our governance arrangements.
- *Operational management:* Activity and actions to meet the priorities and objectives within the Strategy will be overseen by the Equality and Inclusion Committee.

- *Executive support:* The implementation of activity and actions to meet the priorities and objectives within the Strategy will be managed by faculties/services and local Equality and Inclusion Co-ordinators, with executive support from the Equality Policy Unit.

Further information on structures to support and manage the implementation of the Strategy and objectives can be found in Section 7.

Publishing and reporting

The University is required under the Public Sector Equality Duty (see Appendix 2) to publish information to demonstrate compliance with the Duty at least annually. The first data set was published in January 2012 and was cited by the Equality and Human Rights Commission as an example of good practice.

In addition, the University has published its Equality Objectives in response to the requirements of the Duty. These have now been incorporated into the development of priorities and objectives supporting the Equality and Inclusion Strategy, to ensure a consistent, co-ordinated approach to promoting and embedding good equality practice.

An annual report will be prepared for Council and the University Equality and Inclusion Committee, on the progress of equality and inclusion initiatives against priorities and objectives in the previous academic year.



3. The Journey

March 2012

University announces it will undertake a strategic review of equality

May 2012

Review Group established to oversee development of Equality and Inclusion Framework, consisting of a new vision, strategy and action plan

June–November 2012

In consultation with staff and students, a University Equality and Inclusion Strategy is developed

March 2013

Planning Group established to guide and shape the development of actions and priorities to support the Strategy

April 2013

'Everyone Included, Everyone Involved' staff and student consultation workshops – feedback on development of actions to support the equality priorities

June 2013

Equality Service disaggregates into two functions – Equality Policy Unit (EPU) and Disabled Students' Assessment & Support (DSAS)

September 2013

Equality and Inclusion Committee endorses the Equality and Inclusion Framework



November 2013

The University Council approves the Equality
and Inclusion Framework

4. Equality and Inclusion Strategy – The Vision for Leeds

THE EQUALITY VISION

As a research-intensive international University we will attract and retain excellent people from across the world to enable the University and the people within it to fulfil their potential.

THE EQUALITY MISSION

To be a beacon of excellence in the sector, promoting a culture of inclusion, respect and equality of opportunity for all.

In pursuit of this mission we will:

- n Demonstrate visible leadership and accountability at all levels
- n Embed equality into all aspects of University life
- n Provide a sustainable environment which enables all staff and students to thrive
- n Work in partnership with our staff, students, Unions and wider stakeholders

1. Develop a University-wide culture which promotes equality and inclusion 1.1

Develop and implement a sustainable One University¹ approach to equality.

1.2 Create an environment that is better for all through promoting personal responsibility for equality.

2. Integrate and embed equality into all aspects of University business 2.1

Identify and address equality gaps in our governance structures and management processes.

2.2 Incorporate equality into day-to-day business activity.

3. Attract, retain, support and develop an excellent workforce from across the world

3.1 Build a diverse and representative sustainable community which reflects our values.

3.2 Become a national and international sector leader in promoting good equality practice.

4. Ensure a world-class student experience through inclusion and academic excellence

4.1 Provide fair and equal access² to recruitment, progression and attainment opportunities.

4.2 Recognise the range of needs of our diverse student population and integrate them into the governance and practice of student education.

¹ 'One University' is the provision of universal, fit-for-purpose University-wide processes and systems that create a better and joined up experience for our staff and students.

² Fairness and equality of access is central to 'The Partnership' agreement that has been developed with students and staff and describes the mutual expectations of us all as members of the University community.



5. Embedding equality – delivery of the Strategy

In order to successfully deliver the priorities and objectives of the Equality and Inclusion Strategy, actions have been identified by benchmarking where we are now against where we want to be, through analysis of data trends and best practice across the sector and also by involving key networks and committees, students and staff through a series of 'Everyone Included, Everyone Involved' consultation workshops. These sessions helped identify where improvements could be made to further promote equality across the University's functions and services as well as throughout the staff and student experience.

The priorities and objectives identified are related to at least one of the protected characteristics covered by the Equality Act 2010³, and aim to be flexible and responsive to internal and external changes, challenges and needs of the University.

How we will ensure we embed equality

Below is a summary of core activity and proposed actions to support the priorities and objectives of the Strategy.

Priority 1: Develop a university-wide culture which promotes equality and inclusion

To support this we will:

- raise the profile of the equality and inclusion agenda, making clear the responsibilities at all levels of the University



- review and replicate Equality and Inclusion Committee structures throughout faculties, schools and services in line with the agreed governance arrangements within this Framework
- support faculties, schools and services to develop and implement local equality and inclusion action plans
- raise the awareness of the equality and inclusion agenda through effective engagement and communication strategies
- review and refresh the University's Dignity and Mutual Respect Policy to ensure robust and effective mechanisms are in place to address concerns and incidents raised by staff and students
- publish monitoring information on our staff and student population in line with our Public Sector Equality duties

Priority 2: Integrate and embed equality into all aspects of university business

To support this we will:

- enhance our leadership and management capability by increasing the diversity of staff at senior management levels with robust succession planning
- ensure due regard is given to equality and inclusion in all University activity including policy development, planning, procurement and decision-making processes through the implementation of robust and systematic processes
- review and invest further in the provision of dedicated facilities, services and accessibility to support the diverse needs of our staff and student population

³ These protected characteristics include: age, caring responsibilities, disability, gender identity, pregnancy or maternity, race, religion or belief, sex (gender) and sexual orientation.

Priority 3: Attract, retain, support and develop an excellent workforce from across the world

To support this we will:

- undertake initiatives in recruitment and progression, to investigate and address any barriers to staff from protected characteristics⁴ and ensure we increase the diversity of our staff population at all levels
- ensure we fully understand the composition and needs of our diverse staff population by encouraging disclosure in all equality monitoring activity
- identify gaps in our provision of equality-related policy and guidance and, where appropriate, develop clear and consistent guidance to support both staff and managers
- commit to undertaking activity to encourage applications for promotion or development for staff from identified under-represented groups
- increase the awareness of and consultation with diverse staff groups by committing to developing, empowering and supporting the University's staff networks
- ensure we achieve and sustain a sector-leading reputation for promoting good equality and inclusion practice through internal and external engagement and involvement activities

Priority 4: Ensure a world-class student experience through inclusion and academic excellence

To support this we will:

- review student recruitment and admissions data by the main protected characteristics⁵ to identify, understand and address causes of any inappropriate differential application and conversion rates
- develop flexible and accessible approaches to learning and teaching to embed good equality and inclusion practice
- review and undertake appropriate activity to address any potential inappropriate differential degree attainment between students by protected characteristic
- ensure initiatives that complement the academic curriculum are accessible for students from diverse backgrounds
- ensure appropriate and accessible facilities, support and guidance are available to deliver an exceptional experience for all students
- ensure all staff are aware of the needs of a diverse student population and understand how to access training and guidance to respond appropriately

4 As above
5 As above



6. Equality and Inclusion Policy

– Individual rights and responsibilities

Introduction

As a research-intensive international University we want to attract and retain excellent people from across the world to enable the University, and the people within it, to fulfil their potential, without prejudice, unfair treatment or discrimination.

The implementation of a robust Equality and Inclusion Policy (part of the Equality and Inclusion Framework) is fundamental to the achievement of this vision.

Having an institutional commitment to equality and inclusion brings many benefits to the University including: attracting, retaining and developing the best staff, leading to better performance and sense of commitment; attracting and supporting the best students, leading to improved student satisfaction and attainment.

This commitment is underpinned by the University's core values of inclusiveness, community, integrity, academic excellence and professionalism.

Equality and Inclusion Policy Statement

The university community is made up of a wide range of people with diverse backgrounds and circumstances, which we value and regard as a great asset. As part of our continued commitment to equality and inclusion, we strive to create an environment where everyone can reach their full potential and have a real opportunity to participate in and contribute to our activities. In order to achieve this we will continue to take active steps to:

- n ensure we treat all individuals fairly, with dignity and respect**
- n ensure we provide a positive working, learning and social environment which is open to all regardless of age, disability, gender reassignment, marriage or civil partnership, pregnancy or maternity status, race (including caste, ethnic or national origin, nationality or colour), religion or belief, sex (gender) and sexual orientation* and also caring responsibilities or other status, background and personal circumstances**
- n work towards the elimination of unlawful discrimination, harassment and victimisation based on a protected characteristic and other status including background or personal circumstances**
- n advance equality of opportunity between all people, but particularly those who share a protected characteristic and those who do not**

n foster good relations between all people, but particularly those who share a protected characteristic and those who do not



* Collectively known as protected characteristics as defined by the Equality Act 2010

1

Demonstrating commitment

In order to realise our commitment to the principles of Equality and Inclusion we will:

- ensure that everyone in the University community is aware of their personal responsibility to familiarise themselves with this policy and conducts themselves in an appropriate manner at all times to respect equality of opportunity for all staff, students, applicants and visitors
- ensure that Equality and Inclusion is embedded into every aspect of University business through a range of initiatives and activities
- ensure all relevant University policies and guidance make explicit reference to the aims of the Equality and Inclusion Statement
- develop a range of targeted policies setting out the University's support for staff and students with particular protected characteristics

The University will regard any breach of this policy by any employee(s), student(s) or contractor(s) as a serious matter to be dealt with through its agreed procedures and which may result in disciplinary action.

Responsibilities

This policy applies to:

- all applicants for employment and all employees. This policy also applies (but is not limited) to recruitment and selection, training and development, opportunities for promotion, conditions of service, benefits and pay, conduct at work and the staff grievance and disciplinary procedures
- all visitors to the University, together with those contracted to work at/for the University. This includes volunteers, those with honorary contracts or 'visitor' status, for example, Visiting Professors and Fellows or members of NHS staff who teach University students
- all students, applicants and potential applicants. This policy applies to all decisions in respect of admissions, teaching and learning, scholarships, grants and other awards, assessments, the provision of all student support, university accommodation and other facilities, personal conduct and to the student complaints and disciplinary procedure

Details of the University's corporate responsibilities under this policy, together with the responsibilities of individual members of the University, are set out in appendix 1 of the Equality and Inclusion Framework.

Further Information

Further detailed information on activity to promote equality and inclusion at the University can be found at its dedicated website www.equality.leeds.ac.uk/university-policies-2/

Links to other University policies:

- The Dignity and Mutual Respect Policy www.equality.leeds.ac.uk/DMR/Dignity-and-respect.doc
- The University complaints procedures:

Students: www.leeds.ac.uk/secretariat/student_complaints.html

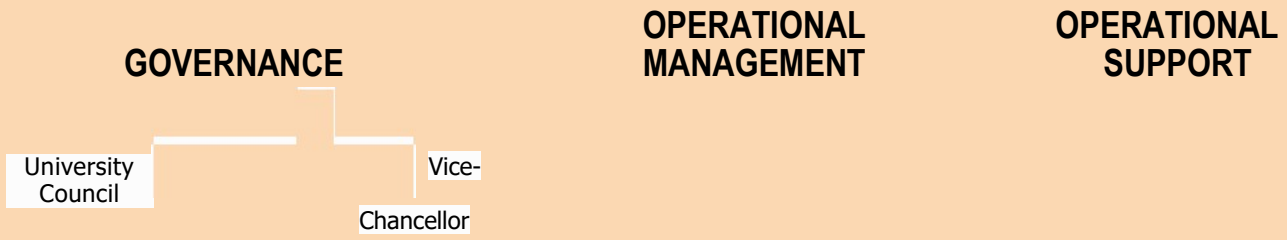
Support staff (see section F of the procedure agreement):

http://hr.leeds.ac.uk/info/26/conduct_capability_and_grievance/236/support_staff_procedure_agreement

Academic & academic related staff grievance procedure: www.leeds.ac.uk/secretariat/grievance_procedure.html

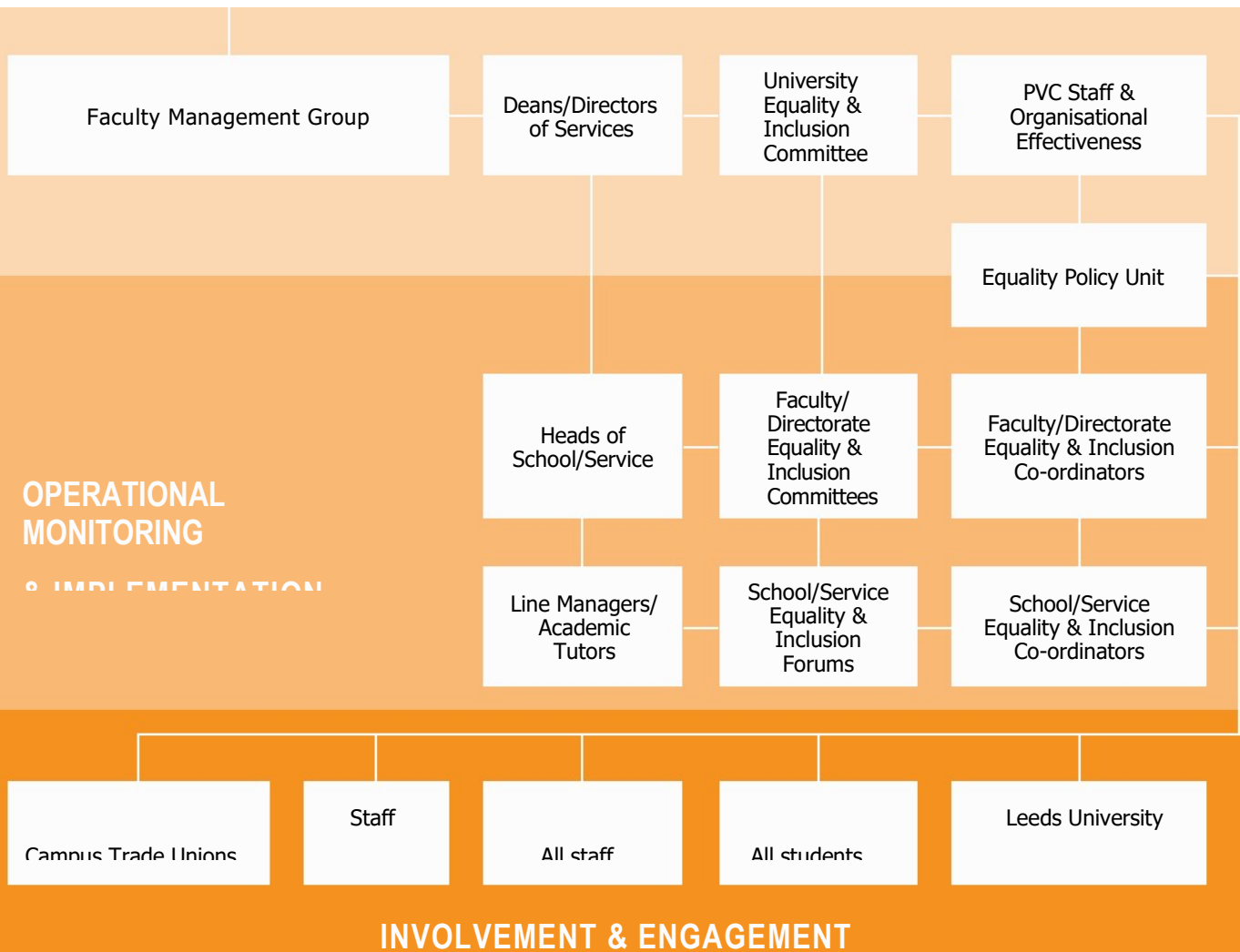


7. Governance and management framework (see Appendix 1)



Vice-Chancellor's Executive Group

STRATEGY & POLICY DEVELOPMENT/ STRATEGY & POLICY APPROVAL



Appendix 1 – Roles and responsibilities

The University's corporate responsibilities, together with the responsibilities of individual members, to promote and adhere to the Equality and Inclusion Strategy and Policy, are set out below.

The Council

The role of the Council is to:

- hold ultimate accountability for the Equality and Inclusion Policy
- assure itself that mechanisms are in place through which the University's Equality and Inclusion Strategy and Action Plan can be delivered
- receive regular reports from the University Equality and Inclusion Committee

The Vice-Chancellor

The Council delegates executive responsibility for ensuring that the University complies with relevant anti-discrimination legislation to the Vice-Chancellor, who will:

- ensure that the University has in place a robust Equality and Inclusion Policy that is communicated to all staff, students and visitors
- ensure that appropriate structures, systems and processes are in place to support the implementation of the Equality and Inclusion Strategy and associated Equality and Inclusion policies and procedures

Pro-Vice-Chancellor Staff & Organisational Effectiveness

The role of the Pro-Vice-Chancellor Staff & Organisational Effectiveness is to:

- provide leadership in strategic matters relating to equality and inclusion
- oversee the development and

University Equality and Inclusion Committee

The role of the University Equality and Inclusion Committee is to:

- raise awareness of the Equality and Inclusion Strategy and Policy across the University
- provide governance and management support to the implementation of the Equality and Inclusion Strategy and Action Plan
- advise and make recommendations to Council on the progress of the Equality and Inclusion Framework
- oversee institutional compliance with relevant anti-discrimination legislation
- consider, advise and act upon recommendations by faculties and services which require strategic direction
- encourage good practice, innovation and flexibility in the delivery of the equality and inclusion agenda through all University functions and activities



implementation of the Equality and Inclusion
Strategy and Policy across the University

Equality Policy unit

The Equality Policy Unit provides a central point of policy advice and guidance on equality and inclusion and has the responsibility to:

- lead the implementation of the Equality and Inclusion Strategy and Action Plan
 - provide a policy development and advisory service to the University and its faculties, schools and services
 - anticipate and respond appropriately to legislative requirements that will impact on the University environment
 - ensure that equality and inclusion are incorporated into both strategic thinking and day-to-day business activity
 - promote and support the University's aspirations to become a national and international sector leader in equality and inclusion
- ensure University equality policies are disseminated to staff and students and are effectively and consistently implemented
 - champion equality to establish an inclusive working and learning environment
 - embed (where relevant) equality activity and actions in faculty plans



Deans of Faculties/Directors of Services

As the most senior managers in their respective faculties/services, Deans and Directors will act as Faculty Equality Champions and have responsibility to:

- provide leadership and monitor the activity of the Faculty/Directorate Equality Committee

Faculty/Directorate Equality and Inclusion committee

The role of Faculty/Directorate Equality and Inclusion Committee is to:

- carry out any faculty/directorate level actions from the University's Equality and Inclusion Action Plan
- respond to local recommendations on equality issues requiring action and, where appropriate, seek direction from the University's Equality and Inclusion Committee
- act on recommendations from the University's Equality and Inclusion Committee as they relate to the implementation of policy and good practice
- assess and periodically report progress against local equality action plans to the University's Equality and Inclusion Committee

The Committee will meet three times a year, in line with the University Equality and Inclusion Committee, and will report activity to Faculty Executive Committees

Heads of Schools/Services

Heads of Schools/Services will act as local Equality Champions and have the responsibility to:

- provide leadership and monitor the activity of the School/Service Equality and Inclusion Forum
- ensure University equality policies are disseminated to staff and students and are effectively and consistently implemented
- champion equality to establish an inclusive working and learning environment
- embed (where relevant) equality activity and actions in school plans

School/Service Equality and Inclusion Forum

The role of the School/Service Equality and Inclusion Forum is to:

- promote equality of opportunity amongst staff and students
- develop school equality and inclusion activity in line with faculty priorities
- ensure University equality policies are disseminated widely to all staff and students
- share good equality practice across other schools/services

The nature of activity for the School/Service forums will also be determined in line with feedback from staff and students locally.

The forums will meet three times a year, in line with the Faculty/Directorate Equality Committee meetings, and will report their activity to Faculty Equality and Inclusion Committees.

Line managers and academic tutors

Line managers and academic tutors are expected to:

- disseminate information to ensure staff and students are aware of their equality and inclusion responsibilities
- work to promote equality and inclusion as an integral part of the service(s) they provide and the policies and procedures they develop and implement
- support the individual needs of staff and students so they can participate and perform effectively
- ensure staff and student recruitment and selection procedures are fair, transparent and consistently applied

Faculty/Directorate Equality and Inclusion co-ordinators

Faculty/Directorate Equality and Inclusion Co-ordinators will report to Faculty/Directorate Equality and Inclusion Committees and will receive 10% workload remission. They have an operational responsibility to:

- undertake projects and, where appropriate, lead on activity to promote equality and inclusion
- contribute to consultation on the development of new University policy and good practice guidelines
- proactively promote equality and inclusion across the faculty/directorate through cascading information/communication and contributing to University-wide events

- signpost managers, staff and students to appropriate sources of guidance and support



School/Service Equality and Inclusion co-ordinators

School/Service Equality and Inclusion Co-ordinators will contribute to the activity of the School/Service Equality and Inclusion Forums; where appropriate they will receive 10% workload remission. They have an operational responsibility to:

- support faculty projects and, where appropriate, lead on activity to promote equality and inclusion
- proactively promote equality and inclusion within the school/service through cascading information/communication and contributing to University-wide events
- signpost managers, staff and students to appropriate sources of guidance and support

All staff

All staff are expected to:

- take personal responsibility for familiarising themselves with and adhering to the principles of the Equality and Inclusion Policy
- treat other members of staff, students and visitors fairly, with dignity and respect
- respond positively to the different needs and circumstances of members of the University community
- actively encourage non-discriminatory practices and to report any incidents of behaviour that fail to comply with the Equality and Inclusion Policy

All students

All students are expected to:

- familiarise themselves with and adhere to the principles of the Equality and Inclusion Policy
- treat members of staff, other students and visitors fairly, with dignity and respect



- actively encourage non-discriminatory practices and to report any incidents of behaviour that fail to comply with the Equality and Inclusion Policy

Appendix 2 – Legislative context

The Equality Act 2010

The Equality Act 2010 (the Act) replaces previous anti-discrimination laws with a single Act. It simplifies the law to help tackle discrimination and inequality on the grounds of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation (known as protected characteristics). As a public sector employer and provider of education the University has a statutory obligation to fulfil the requirements of the Equality Duty.

What is the Equality Duty?

The Act introduced a new Equality Duty on all public bodies (including universities) to ensure that they consider the needs of all individuals in their day-to-day work – in shaping policy, delivering services and in relation to their own employees. The Equality Duty is designed to reduce bureaucracy while ensuring public bodies play their part in making society fairer by tackling discrimination and providing equality of opportunity for all.

The General Equality Duty

The Equality Duty has three aims and requires public bodies to have due regard to the need to:

- n eliminate unlawful discrimination, harassment and victimisation and any other conduct prohibited by the Act
- n advance equality of opportunity between people who share a protected characteristic and people who don't share it; and
- n promote good relations between people who share a protected characteristic and people who don't share it

Specific Duties

In addition, the Equality Duty is underpinned by specific duties. These are aimed to help public bodies perform better in meeting the general Equality Duty and require the University to publish:

- n monitoring information to demonstrate compliance with the Equality Duty, at least annually
- n equality objectives, at least every four years

The University publishes equality information on its staff and student population on an annual basis, and this is used in a variety of ways, for example, as a tool to understand the representation and diversity of staff and students across campus, or to provide evidence to support the identification of activity to improve the student and staff experience. The



information will be published by the end of January in each subsequent year.

Acknowledgements

We would like to thank members of the Strategic Review Steering Group, the Core Project Team, the Action Planning Group and all the staff and students who have contributed to the development of the vision for implementing and embedding equality, inclusion, dignity and respect for and amongst our staff and student population.

Accessibility

If you require information about our Equality and Inclusion Framework in alternative formats (for example, braille, large print or audio), please contact the University's Equality Policy Unit.

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Policy on dignity and mutual respect

The University's Policy against bullying, harassment and victimisation, together with complaints procedures for staff and students

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1. INTRODUCTION AND SCOPE OF THIS POLICY

The University's Policy on Dignity and Mutual Respect is set out below, together with some accompanying guidance and procedures for making, and responding to, complaints under this Policy.

This Policy defines and prohibits various behaviours – in particular, harassment, bullying and victimisation. It explains the need for everyone across the University to contribute proactively to the creation of a culture of mutual respect and an environment in which everyone is treated with dignity.

This Policy applies to everyone at the University. This includes, for example:

- all University of Leeds employees
- other workers who are not employed directly by the University (such as external consultants, visiting academics or employees of contractors engaged by the University)
- all registered students (including all taught students and postgraduate research students), and
- all visitors to the University and other third parties who are visiting or contacting the University.

Three codes of practice are attached to this Policy. These documents set out the procedures for staff members and students to raise a complaint under the Policy, and describe the responsibilities of staff members – and, particularly, managers – in terms of responding to, and managing, complaints of harassment, bullying or victimisation. One code of practice (section 7) covers complaints made by staff members about other staff, a second code of practice covers complaints made by staff members about students (section 8) and a third covers complaints made by students or a third party (section 9).

In situations in which workers who are not employees of the University experience behaviour that they consider to be bullying or harassment, they should normally follow the complaints procedure of their own employer. The subsequent process for the University to investigate or respond to the complaint will then depend very much on the circumstances of the individual case. Even in these situations, the attached codes of practice may still be useful, as they can be used as a general framework for investigating and handling such complaints.

2. GENERAL STATEMENT OF POLICY

The University of Leeds believes that every member of staff has the right to work in a supportive environment, free from harassment, bullying and victimisation. Similarly, every student at the University has the right to study and be taught in an environment that is supportive and free from such behaviours.

The University of Leeds will not tolerate acts of harassment, bullying or victimisation by any member of staff either against another member of staff or against any other individual with whom the member of staff interacts in the course of his or her duties, including students. The University will also not tolerate acts of harassment, bullying

or victimisation by any student against another student, against a staff member or against anyone else at the University.

These beliefs and this Policy are fully consistent with our University values of **academic excellence, community, integrity, inclusiveness** and **professionalism**. Preventing and tackling inappropriate behaviours and conduct are also essential to ensuring that any organisation is well-managed and well-led.

We recognise that harassment or bullying – in either a working or a learning environment – can cause not only personal distress, but also a loss of confidence, low morale and illness. It can also lead to people being absent from their workplace or programme of study and interfere with a person’s work or academic performance.

The University expects everyone who is working or studying at the University – or visiting or communicating with the University in another capacity – to contribute proactively to the creation of a culture of mutual respect and an environment in which everyone is treated with dignity.

The aims of this Policy are to eliminate forms of offensive behaviour by:

- raising awareness of the effects of such behaviour on individuals and on the working and learning environment
- promoting a climate in which people feel able to raise complaints of harassment or bullying without fear of victimisation
- stopping unwanted or inappropriate behaviour and finding ways in which parties can move forward positively through the establishment of a basis for acceptable working relationships whenever possible
- ensuring that, in cases in which the behaviour of those complained against constitutes a disciplinary offence or is unlawful, action is taken through appropriate disciplinary procedures.

Section 5 of this Policy defines the terms “harassment”, “bullying” and “victimisation”, and provides some illustrative examples of each type of behaviour. It is important to provide these definitions, to enable staff to make informed judgments about whether a particular type of behaviour falls within the scope of this Policy. However, the University also recognises that there can often be a significant amount of overlap between these different types of behaviour. If someone considers that they have experienced harassment, bullying or victimisation, but is initially unsure of which definition is the most appropriate one, they should not be deterred from bringing a complaint.

Complaints made by staff under this Policy will be handled as grievances. These procedures are therefore designed to be consistent with the relevant sections of the Support Staff Procedure Agreement and Statute VII of the University’s constitution, but are designed to be more practical and user-friendly. This document does not replace or alter the information or procedures set out in the Support Staff Procedure Agreement or Statute VII.

Complaints made by students against staff under this Policy will be handled in a way that is consistent with the University’s student complaints procedure.

Complaints made by students against other students under this Policy will be handled in a way that is consistent with the University’s student disciplinary procedure.

This Policy sits alongside other University policies which might also be relevant in some cases of harassment, bullying or victimisation – for example, the University's [Equality and Inclusion Policy](#) and [Health and Safety Policy](#).

3. ROLES AND RESPONSIBILITIES

3.1 Of the University

The University of Leeds is committed to providing a working and learning environment that is free from harassment, bullying and victimisation. To this end, the University will not condone behaviour that is abusive or offensive; any such incidents will be regarded seriously and may lead to the initiation of disciplinary proceedings under Statute VII of the University's constitution, the Support Staff Procedure Agreement or the Student Disciplinary Procedure.

The University will:

- take appropriate steps to ensure that staff, students and others are made aware of the terms of this Policy and their rights and responsibilities arising under it
- offer appropriate training on the role that staff members must play in implementing this Policy and creating a working environment in which everyone is treated with dignity and respect
- make available training opportunities for individuals who will play a specific role within the procedures which apply to complaints falling within the scope of this Policy
- ensure that this Policy is reviewed – for example, in line with changes to legislation.

3.2 Of all managers and reviewers under the Staff Review and Development Scheme (SRDS)

In addition to doing everything listed in section 3.3 below, all managers (which includes all staff with SRDS reviewer and/or other people management responsibilities) must:

- lead by example in promoting the development of a culture where everyone is treated with courtesy and respect and where it is understood that harassment, victimisation and bullying will not be tolerated
- ensure that, within their area of responsibility, staff - particularly new staff members, are made aware of this Policy and ensure that the Policy is implemented effectively within their area
- take effective, sensitive and rapid action when a complaint of harassment, bullying or victimisation is made to them. Failure to deal with a complaint of harassment, bullying or victimisation, when asked to do so, can itself amount to misconduct
- be sensitive to behaviour which may point to harassment, bullying or victimisation. Where potential harassment, bullying or victimisation is noted, sensitive exploration of the situation should be undertaken with a view to establishing what action may be required to rectify the position. It may be necessary to seek assistance from Human Resources in undertaking this task
- take appropriate corrective action or seek advice from Human Resources on how to proceed if they are informed of behaviour which contravenes, or may contravene, this Policy.

It will also assist with the effective implementation of this Policy if all managers:

- make every attempt to assist if asked to act as an investigator for services/faculties outside their own work area (as part of the formal complaints procedure for complaints brought by staff members)

- are supportive if someone they line-manage is asked to take on an investigator role in another part of the University (under the formal complaints procedure for complaints brought by staff members). Such circumstances may require an appreciation from the manager of the time that this role will take, although efforts will be made to ensure that the same people are not repeatedly asked to take on such a role.

3.3 Of all staff

All staff members (including those working at the University without being directly employed by the University of Leeds) must:

- treat all individuals with courtesy and respect when carrying out their duties
- not participate in, or condone, any act of harassment, bullying or victimisation
- ensure that they are familiar with the structure and content of this Policy, and comply with the terms of this Policy and the associated codes of practice
- modify their behaviour at work if they become aware that it is unacceptable in light of this Policy, even if no formal or informal complaint is made by the complainant.

It will also assist with the effective implementation of this Policy if all staff:

- when they witness an act of harassment, bullying or victimisation, encourage the person on the receiving end of this conduct to seek appropriate support and assistance
- offer appropriate assistance (eg by offering to provide a truthful statement about what they have witnessed)
- draw it to the attention of the appropriate manager if they feel that a workplace culture is developing which is leading, or is likely to lead, to harassment, bullying or victimisation. In the event that it is perceived the manager has contributed to the development of such a culture, the matter should be drawn to the attention of the next person in the management structure.

3.4 Of all students

All students must:

- behave in a professional and responsible manner, with respect for staff and students, as set out in the University of Leeds Learning and Teaching Partnership Agreement
<http://www.leeds.ac.uk/aqst/tsg/index.htm>
- not participate in, or condone, any act of harassment, bullying or victimisation
- modify their behaviour if they become aware that it is unacceptable in light of this Policy, even if no formal or informal complaint is made by the complainant

It will also assist with the effective implementation of this Policy if all students:

- ensure that they are familiar with the structure and content of this Policy, and comply with the terms of this Policy and the associated codes of practice

3.5 Of any person (student or staff member) who is accused of harassment, bullying or victimisation

If you are told that a person views your own behaviour as unacceptable in some respect, you should:

- read this Policy in full and note your own obligations under the Policy
- respect the right of all members of staff to work, and students to study, in an environment which is free from harassment, victimisation or bullying
- try to remain calm and listen carefully to the complaint and to the particular concerns expressed – remembering that it is the other person's reaction to the behaviour which is important, not the reaction you think he/she should have
- try to agree, with the complainant, or with others who are discussing or raising the complaint with you, on ways to deal with the situation productively, taking full account of this Policy and the associated complaints procedures

- consider whether the complaint can be justified in any way, and whether it would be advisable and appropriate to change your behaviour
- make sure that, if you are in a position to change your behaviour or conduct easily, you do not cling to demonstrating this behaviour or conduct simply because you do not agree with the other person's assessment of the situation
- review your behaviour more generally with a view to making sure that you are not causing offence in any other respect.

You should also bear in mind that:

- the first indication you may have that there is a problem may be when a colleague tells you that s/he is offended or upset by certain aspects of your behaviour and s/he asks you to stop behaving towards them in a particular manner
- all staff and students have the right to ask a person to stop behaving in a manner which is insulting, degrading or offensive to them
- you may first be made aware that there is a problem when approached by someone informing you that an informal or formal complaint has been made. Remember that people do not have a responsibility for raising the issue directly with you first, before making a complaint, and, in some cases, people may not feel able or willing to raise the issue with you in this way
- that differences of attitude, background, culture may lead to a misinterpretation of social signals, which may mean that what is perceived as harassment by one person may not be or seem so to another
- even though your behaviour may seem harmless to you, the other person's reasonable reaction to your behaviour is important.

If you are a staff member who is accused of harassment, bullying or victimisation, you may wish to consult your HR Manager, the Mediation Service, your manager/SRDS reviewer or a Union representative. These support networks are intended to help staff/students to find positive ways of resolving complaints.

If you are a student who is accused of harassment, bullying or victimisation, you may wish to consult the Student Advice Centre in the Leeds University Union. Where both parties are students the Student Advice Centre can normally advise both parties in a dispute as they have procedures to ensure that problems do not arise from potential conflicts of interest.

More information about sources of advice and support are also available to assist staff (see section 7e) and students (see section 9d).

3.6 Of any person (student or staff member) who observes behaviour which may be seen as harassment, bullying or victimisation

If you witness behaviour which may constitute harassment, bullying or victimisation, it is helpful if you:

- encourage the person or people on the receiving end of this behaviour to seek appropriate support and assistance
- offer appropriate assistance yourself (eg by offering to provide a truthful statement about what you have witnessed)
- draw it to the attention of the appropriate manager or tutor if you feel that a culture is developing, in the workplace or within a teaching group, which is leading, or is likely to lead, to harassment, bullying or victimisation. In the

event that it is perceived the tutor or manager has contributed to the development of such a culture, the matter should be drawn to the attention of the next person higher in the management structure.

4. CONFIDENTIALITY

The University is committed to investigating allegations fully, fairly, quickly and confidentially. From the earliest stage of the complaints procedure, it is vital that confidentiality exists. This is necessary to create an environment which encourages employees to talk over their concerns and obtain objective assistance. This will allow them to assess their position and the options open to them.

On a practical level, however, it is usually difficult to sort out a problem without some communication with the person who is named as being responsible for the bullying or harassment, and with named witnesses and, in some cases, other staff. Therefore, anyone considering making a complaint should bear in mind that, in order to ensure that the behaviour about which the complaint is made stops, it will generally be necessary for the person causing offence to be told about the problem so that they can discuss the situation and take any appropriate action to prevent or discontinue any offending behaviour.

The University will, as far as possible, protect a complainant's wish for confidentiality, though where a complaint identifies unlawful discrimination, a safety concern or a potentially criminal act, the University has a legal responsibility to take appropriate action which might mean confidentiality cannot be preserved.

Confidentiality is important to all parties affected, particularly in the early stages when an individual feels concerned about the behaviour of another and wishes to seek advice and explore the seriousness of the situation. However, as soon as any attempt is made to deal with the situation in a way that directly involves an individual who is accused, this individual must be informed of the nature of the complaint. Thereafter, there should be an attempt, as far as possible, to maintain confidentiality in respect of all parties while seeking a solution.

A high degree of discretion and sensitivity must be exercised by all those involved at any stage of dealing with a complaint, although this must not act as an impediment to the thorough investigation of complaints where that is required; nor should it be used to undermine the right of all staff to be treated fairly.

5. DEFINITIONS

This section defines the terms “harassment”, “bullying” and “victimisation”, and provides some illustrative examples of each type of behaviour.

It is important to provide these definitions, to enable staff to make informed judgments about whether a particular type of behaviour falls within the scope of this Policy. The University also recognises that there can often be a significant amount of overlap between these different types of behaviour. If someone considers that they have experienced harassment, bullying or victimisation, but is initially unsure of which definition is the most appropriate one, they should not be deterred from bringing a complaint.

5.1 What is harassment?

It is difficult to give a precise definition of harassment. The definition of harassment used in this Policy is based on the definitions used in various pieces of anti-discrimination legislation. **For the purposes of this Policy, harassment is defined as:**

Unwanted conduct that has the purpose or effect of either violating another person's dignity or creating an intimidating, hostile, degrading, humiliating or offensive environment for that person.

Harassment does not need to be deliberate; someone may harass another person without intending to.

In alleged cases of harassment, the perception of the complainant is very important. Behaviour which one individual may regard as acceptable may be unacceptable to another person. The perception of a complainant must therefore be taken fully into account when a judgement is made on whether conduct should reasonably be considered as having one of the purposes or effects set out in the definition above, even if others feel that they would not be offended by the same behaviour. It should be noted, however, that the perception of a complainant will not necessarily lead to a complaint being upheld. As part of the response to the complaint, an objective assessment will need to be made by the person(s) investigating the complaint as to whether the behaviour complained of can reasonably be regarded as harassment⁴.

In some situations, where the unwanted conduct is serious, a single incident may constitute harassment. In other situations, conduct may become harassment if it is repeated or sustained.

It is important to note that, in addition to breaching this Policy, most types of harassment will also be unlawful under anti-discrimination legislation or may even constitute a criminal offence. Individual members of staff who harass others can be named personally in a legal complaint and may be required to pay compensation personally to a successful claimant.

The link between harassment and equalities 'grounds'

Harassment may be related in some way to one of the following grounds: gender; gender identity or gender reassignment status; sexual orientation; race (which also includes colour, nationality, national origin or ethnic origin); disability; religion or belief (or lack of a religious belief); age; marital, civil partnership or relationship status; pregnancy status, parental or carer status; part-time employment or study status; fixed-term contract status, or trade union membership status/activities.

Harassment that is targeted at an individual or group of individuals may occur on the grounds of:

- a person's *actual* personal characteristics – for example, in relation to sexual orientation, a person may be harassed because they *are* lesbian or gay
- a person's *perceived* personal characteristics – for example, a person may be harassed because they are *considered to be* lesbian or gay
- a person's link to one of the personal characteristics *via someone else* – for example, a person may be harassed because they have a lesbian or gay relative.

⁴ See section 6.4 for explanation on 'reasonableness'.

Alternatively, harassment may not be personally targeted at an individual at all. For example, if, in a particular team, a culture exists which permits offensive or stereotypical jokes, then a person may have a valid complaint of harassment, even if these do not relate to the complainant. For instance, a homophobic work culture will create an intimidating, hostile, degrading, humiliating or offensive environment for staff, even if no one in the team is lesbian, gay or bisexual, and a person does not need to be lesbian, gay or bisexual to bring a complaint of harassment on grounds of sexual orientation in such circumstances. In other cases, harassment may have no connection with any of the grounds listed above.

Sexual harassment

The above definition of harassment will cover some cases of sexual harassment; however, there is also another definition which relates to sexual harassment involving conduct of a sexual nature. This definition is:

Unwanted verbal, visual, or physical conduct of a sexual nature, or other conduct based on sex, which affects a person's working or learning conditions or creates a hostile or humiliating working or studying environment for that person.

In some cases, the recipient's rejection of, or submission to the conduct in question may be used explicitly or implicitly as a basis for a decision affecting their job, promotion, training, salary, acceptance on a course of study, grade or other decision relating to the person's employment or course of study. However, it is not necessary for this to be the case for the conduct in question to be classed as sexual harassment.

5.2 Examples of harassment

Harassment can take many forms and may, for example, occur in a face-to-face setting, by telephone, or in written or electronic communications. The following list provides examples of the types of behaviour which can amount to harassment, although the list is, by no means, exhaustive:

- Unwelcome physical contact. This may range from unnecessary touching or brushing against another employee's/student's body, physical assault, coercing sexual intercourse, physical threats, insulting or abusive behaviours or gestures. This may also encompass invading someone's 'personal space' by standing very close to him/her where this is unnecessary.
- Unwelcome verbal conduct. This may include the making of remarks and comments about appearance, lewd comments, sexual advances, innuendo and banter, the making or repetition of offensive or stereotyped comments, jokes or songs, the making of threats or the making of patronising comments (for example, comments which repeatedly draw attention to a person's disability or impairment).
- Intrusive questioning. For example, this may include the intrusive discussion of a person's sexual practices, sexual orientation or religious beliefs – either directly with the complainant or with others about the complainant.
- Unwelcome written, visual or physical interaction. This may include sending unwelcome emails, notes or pictures, displaying or sending offensive material (eg displaying pin-ups of males or females in states of undress), making obscene or offensive gestures, persistently sending unwanted gifts, or following, spying or stalking someone.

- Non-verbal conduct – making abusive or offensive gestures; displaying of offensive written or visual material⁵; other unacceptable non-verbal conduct which denigrates a person for whatever reason.
- The deliberate exclusion of an individual from work-related activities (including social activities specifically related to work) or conversations in which they have a right or legitimate expectation to participate, as a result of a personal characteristic of the complainant.
- Other forms of oppressive or bullying behaviour which are somehow linked to a personal characteristic of the complainant.

It is important to note that harassment can be multi-directional, and can, for example, include peer-to-peer or unwanted behaviours directed towards managers. It could also include the behaviour of students towards members of staff.

5.3 What is bullying?

For the purposes of this Policy, bullying is defined as:

Offensive, intimidating, malicious or insulting behaviour which intentionally or unintentionally undermines, humiliates, denigrates or injures the recipient.

Bullying or harassment may be by an individual against an individual (perhaps by someone in a position of authority such as a manager or tutor) or involve groups of people (perhaps a person will act in a bullying manner towards several colleagues, for example). Similarly, a group of people may also be responsible for bullying behaviour (for example, if a group of staff members act in a way that leaves an individual feeling isolated or excluded).

Bullying may be obvious or it may be more covert. Bullying does not need to be deliberate; someone may demonstrate bullying behaviour, which falls within the above definition, without intending to. Whichever form it takes, it is unwarranted and unwelcome to the individual and will often cause embarrassment, fear, humiliation or distress to an individual or group of individuals.

Bullying is not normally connected to any of the grounds listed for harassment – ie, gender; gender identity or gender reassignment status; sexual orientation; race; disability; religion or belief (or lack of a religious belief); age; marital, civil partnership or relationship status; pregnancy status, parental or carer status; part-time employment or study status; fixed-term contract status, or trade union membership status/activities. If the behaviour is linked to one or more of these grounds, then it is often more likely to constitute harassment.

Bullying often results from a misuse of individual power derived from status/position, physical strength or force of personality. It can also arise from collective power arising out of strength of numbers.

²It should be noted that the importation of pornography, including downloading and storing such material, is a breach of the University's [Information Security Policy](#) and will often also constitute a criminal offence. A failure to comply with the requirements of the Information Security Policy, outside the process for exemption authorisation, will be viewed as a breach of security. Any such event may be the subject of investigation and possible further action, in accordance with University procedures, irrespective of – and potentially in addition to – any action taken under this Policy on Dignity and Mutual Respect.

Bullying is normally characterised by the emergence of a pattern of behaviour but a single incident, if serious enough, could amount to bullying behaviour.

The behaviour of individuals in the workplace can vary from day to day. Someone who is normally perfectly civil may occasionally appear impatient, pre-occupied and fail to show the courtesy expected of them. This may be for a variety of reasons including pressure of work, domestic difficulties or ill health. This Policy is not intended to deal with occasional minor lapses of good manners, courtesy or respect – unless a pattern of behaviour emerges that becomes objectionable or intimidating in itself, in which case such behaviour can constitute bullying.

Like harassment, bullying can be multi-directional, and can include peer-to-peer or unwanted behaviours directed towards managers. It could also include the behaviour of students towards members of staff.

Bullying is not about the legitimate exercise of managerial responsibility. Managers and supervisors have a duty, for example, to manage and provide feedback on performance and outcomes, provide individual employees with accurate feedback, which may be critical, and take steps to achieve an improvement in performance where that is required. Similarly, managers must take action to control absenteeism or misconduct by the legitimate exercise of managerial control. However, any such managerial actions must be carried out in a supportive, respectful and appropriate manner and if, for example, a manager adopts an unduly aggressive or intimidating manner, then these actions may be covered by the definition of bullying set out above. Further information about differentiating good management from workplace bullying is set out in section 6.

It is important to note that, in addition to breaching this Policy, some types of bullying are also unlawful and may constitute a criminal offence. In some cases, members of staff who bully others can be named personally in a legal complaint and may be required to pay compensation personally to a successful claimant.

5.4 Examples of bullying

Like harassment, bullying can take many forms, and it may occur in a face-to-face setting, by telephone, or in written or electronic communications. The following list provides examples of the types of behaviour which can amount to bullying, although the list is, by no means, exhaustive:

- Verbal abuse or threats
- Steps taken to make someone's working life unreasonably difficult. This might involve the setting of impossible deadlines, objectives or targets, constantly changing objectives and goals, deliberately imposing an intolerable workload, unreasonably removing areas of responsibility, or deliberately blocking advancement without cause
- Intimidating behaviour
- Making threats or comments about job security without foundation
- Unwarranted disparaging, ridiculing or mocking comments and remarks. Such remarks might be made in front of others and/or designed to undermine an individual
- Physical violence or an explicit or implied threat of violence
- The deliberate exclusion of an individual from work-related activities (including social activities related to work) or from conversations in which they have a right or legitimate expectation to participate.

5.5 What is victimisation?

Staff with a grievance may sometimes complain that they are being “victimised” in some way. However, victimisation within the scope of this Policy (and within the scope of equal opportunities legislation) has a specific, defined meaning.

Victimisation involves treating someone less favourably than other people because that individual has:

- **made, in good faith, a claim of harassment or bullying under this Policy, (or a claim of discrimination under another Policy, such as the University’s Equality and Inclusion Policy)**
- **suggested or complained that, in some other way, he/she has, or may have been, discriminated against, bullied or harassed or that the University’s equal opportunities policies have, or may have, been breached in some way**
- **helped some other person who is making such a claim, perhaps by providing evidence or some other form of support to that other person.**

Victimisation is entirely unacceptable behaviour which can have a profound effect upon the working environment and lead to a reluctance to report acts of discrimination or harassment.

It is important to note that, in addition to breaching this Policy, victimisation on most of the grounds covered by this Policy is also unlawful. Individual members of staff who victimise others can be named personally in a legal complaint and may be required to pay compensation personally to a successful claimant.

The law also protects people from victimisation in cases where they have disclosed certain issues to external parties under the Public Interest Disclosure Act 1998, although this is beyond the scope of this document.

5.6 Examples of victimisation

Victimisation can take many forms. The following list provides just a few indicative examples of the type of behaviour which could amount to victimisation – this list is, by no means, exhaustive:

- penalising someone for making a complaint of discrimination, harassment or bullying. For example, this might involve giving the person unrealistic or impossible deadlines or deciding not to nominate someone for contribution pay even though they deserve such a nomination, etc.
- excluding a person from work-related activities or conversations in which they have a right or legitimate expectation to participate because they have made a complaint of discrimination, harassment or bullying
- creating a difficult or oppressive environment for an individual because they have made a complaint – whether informal or formal – of discrimination, harassment or bullying. This might involve, for example, talking negatively about the person behind their back or making disparaging, ridiculing or mocking comments or remarks.

5.7 Harassment, bullying and victimisation by electronic methods

Given the degree of reliance upon electronic means of communication within the University, it should be noted that harassment, bullying and victimisation can occur by electronic means. For example, this might involve:

- sending emails (with or without attachments) which breach the terms of this Policy
- inappropriate copying of emails to parties not relevant to the discussion, as a way of intimidating or inappropriately gaining leverage over a member of staff
- using, displaying or saving offensive materials (eg offensive screensavers, photographs, etc) which are then accessed, or seen by, another person or group of people
- downloading, displaying or printing offensive material from an internet source in the presence of another person or group of people.

These are only examples of the way in which behaviour which breaches this Policy can occur using electronic means. As well as being a breach of this Policy, such behaviour may also lead to disciplinary action being taken, if, for example, the behaviour also constitutes a misuse of the University's equipment.

This Policy should also be read in conjunction with the University's [Information Security Policy](#). A failure to comply with the requirements of the Information Security Policy, outside the process for exemption authorisation, will be viewed as a breach of security. Any such event may be the subject of investigation and possible further action, in accordance with University procedures, irrespective of – and potentially in addition to – any action taken under this Policy on Dignity and Mutual Respect.

6. FURTHER PRINCIPLES RELATING TO THIS POLICY

6.1 Differentiating standard management practice from workplace bullying or harassment

The terms “bullying” and “harassment” – defined more clearly in sections 5.2 and 5.3 of this Policy – are more than a firm management style. Positive, clear management action which relates to conduct or performance or legitimate operational needs, providing this action is taken in a fair and consistent way and in line with University policies, does not constitute bullying or harassment.

Similarly, a manager may sometimes make a decision or issue an instruction which a member of staff considers unreasonable. If such action does not fall within the definitions of “bullying”, “harassment” or victimisation, as described above, the member of staff may still have a legitimate grievance, however, this would need to be pursued under the University’s normal [grievance procedures](#). These grievance procedures take into account the fact that a manager will sometimes have to take action or make a decision which staff may not agree with (if, for example, this action or decision is in the best interests of the University or of the team concerned) and balance this fact with the individual circumstances of the case.

6.2 Differentiating standard learning and teaching practice from bullying or harassment

Members of staff will often make decisions relating to students or issue instructions to students, either as part of the teaching process or whilst providing other types of support and assistance to students. Teaching staff and other staff will also need to provide feedback on students’ work or on other aspects of students’ performance. Providing that such actions are taken in a fair and consistent way and in line with University policies, such actions would not constitute bullying or harassment.

6.3 Complaints made in bad faith

This Policy is intended to promote fairness and consistency in dealing with complaints which are made in good faith. A person should only bring a complaint under this Policy if s/he has genuine cause to believe that s/he has been harassed, bullied or victimised. In terms of the general approach to be taken, the University and its staff will assume that complaints are made in good faith, and will take all complaints seriously – unless there is clear and objective evidence that a complaint is made in bad faith.

The University has a duty to protect its staff members and students from complaints made in bad faith. A complaint made in bad faith is a complaint which is malicious or repetitious, as described below:

- A complaint may be considered malicious if the complainant does not have genuine cause to believe that s/he has been bullied, harassed or victimised and is making the complaint in order to secure leverage over another person or exert power inappropriately. Such a complaint may be made in order to slow down or frustrate another procedure that the person is involved in (for example, an ongoing poor performance, grievance or disciplinary procedure).
- A complaint may be considered repetitious if it is identical, or substantially similar, to a complaint, or complaints, which have been thoroughly

investigated previously. The attached codes make appropriate provision for genuine appeals procedures, which people are encouraged to follow if they are not satisfied with the outcome of their initial complaint. However, if a situation arises in which a person repeatedly makes the same, or a similar, complaint, then this may be viewed as a repetitious complaint.

It is important to note that, in some situations, making a complaint in bad faith can itself constitute an unacceptable form of behaviour and fall within the definition of bullying or harassment. As a result, if a person makes complaint in bad faith, then appropriate action may be taken against them under this Policy or under the relevant disciplinary procedures.

Sometimes, a complaint may prove impossible to uphold; for example if the concern turns out to be due to a misunderstanding or is not capable of being sufficiently substantiated. Providing the complainant was not acting maliciously in making the complaint, this will not lead to any disciplinary action being taken against the complainant.

6.4 Objective assessment of complaints

Sometimes, perceptions about acceptable and unacceptable behaviour may vary. A balanced and objective view should be taken of any complaint which arises under this policy, to assess whether the behaviour complained of can reasonably be regarded as constituting bullying, harassment or victimisation. At all stages in the complaints process, any staff member to whom complaints are made, as well as any University member making a complaint, should take an objective overview. For a complaint to be upheld, it must be founded on an interpretation of events which is demonstrably reasonable.

7. CODE OF PRACTICE 1 – PROCEDURES FOR COMPLAINTS MADE BY STAFF MEMBERS AGAINST STAFF MEMBERS UNDER THIS POLICY

If a staff member feels that they are being subjected to harassment, bullying or victimisation in any form by another member of staff, the following options are available for taking action.

a) Procedure 1 : Taking personal action

If you feel that you have been, or are being, subjected to harassment, bullying or victimisation, you should not feel that it is your fault or that you have to tolerate it without question. In this situation, you may feel able to take action on your own to make the other person aware of the effect of their behaviour on you (we refer to this as “taking personal action”).

In many situations, this can be the most effective way to raise concerns. However, you should not feel pressured to raise concerns in this way and should also be aware of the other options open to you – namely, mediation or raising an informal or formal complaint (see sections 7b, 7c and 7d below).

There are a variety of ways in which you might take personal action, some of which enable concerns to be raised without making reference either to the individual(s) concerned or to the specific nature of the complaint. Here are some examples of types of personal action which might be worth considering:

- you can have a conversation with, or write to, the other person and explain, as clearly as possible, what it is that you consider unacceptable about their behaviour and ask them to stop behaving in this way
- you could enlist the help of a colleague to find ways of bringing the topic of harassment, bullying or victimisation into a conversation in the presence of the person causing offence
- you could ask for bullying and harassment issues, or the University’s Policy on Dignity and Mutual Respect, to be discussed at a team meeting to ensure that all members of staff in the team are aware of these.

If you do choose to contact the person, you might wish to seek advice or support beforehand from:

- a colleague
- your HR manager
- your line manager, or head of service/head of school
- a trade union representative (if you are a trade union member)
- any of the services listed in section 7e on page 27

If you do decide to take personal action, it is also worth remembering that:

- it may be advisable to note down factual information about the discussion that takes place and any agreed outcomes
- you should keep copies of relevant pieces of written or email correspondence

If you feel able to take personal action to raise concerns, and feel comfortable about doing so, this can be an effective and relatively low-key method of resolving issues.

b) Procedure 2 : Mediation

Mediation is also an important consideration for resolving issues at an early stage. Mediation is a voluntary process where an impartial third party enables two or more people to work through conflict or disagreement, with a view to improving their working relationship. Mediators are provided, through the University's Mediation Service, to help staff to honestly discuss the situation and come up with a way forward that is acceptable to the parties.

The University's Mediation Service is a voluntary service which focuses on the future and on rebuilding relationships rather than blaming people.

The mediators can support:

- staff experiencing bullying or harassment
- staff about whom complaints of bullying or harassment are directed
- groups of staff who need support with improving relationships

Whilst mediation is generally seen as a process involving two or more people, the starting point is generally for a member of staff to consult the Mediation Service and meet with a mediator to talk through their situation. This may be helpful, for example, for a person who is considering making a complaint of harassment or bullying or, indeed, someone who is, or may be, on the receiving end of such a complaint.

Mediation gives an opportunity to step back and consider how a difficult situation can be put right. The team of nationally accredited, neutral mediators can help individuals or whole teams work through issues, improving relationships and tackling communication problems.

Further information about, and contact details for, the Mediation Service can be found on the web at www.leeds.ac.uk/mediation/ or you can email mediation@leeds.ac.uk

This service is confidential. Your personal details will not be disclosed, passed to your line manager or kept on your personal file unless you give your permission.

Mediation is complementary to other support services – such as staff counselling, occupational health or trade union support.

c) Procedure 3 : An informal complaint

How to make an informal complaint

If you do not wish to take personal action to raise concerns, or have done so but the behaviour has continued, you can make an informal complaint. You would normally make an informal complaint verbally, but may choose to make an informal complaint in writing if you wish to.

Normally, you should make an informal complaint to your line manager (or to that person's line manager if the complaint is about your own line manager). It will then be the responsibility of the manager who receives your complaint to take the matter forward in accordance with the flowchart on page 21.

If, in the first instance, you do not feel comfortable speaking to your line manager about this issue, you can instead speak to your local HR Manager. Normally, under these circumstances, the HR Manager will liaise with your manager to discuss what

should happen next. It will remain the responsibility of your line manager (or that person's manager, as appropriate) to take the matter forward, with the HR Manager acting in an advisory capacity.

The manager receiving the complaint does have a certain amount of flexibility in deciding how to progress an informal complaint; however, this should always be decided in consultation with you and it should always be progressed in a sensitive and appropriate manner.

Information you should provide in your informal complaint

Even though an informal complaint is not being handled through our formal complaints procedures, it can be helpful for anyone making an informal complaint to:

- identify clearly the name of the person/people about whom the complaint is made
- be clear about the nature of the behaviour about which the complaint is made (making reference, where possible, to the relevant section of any Policy that was allegedly breached by this behaviour)
- provide an indication of the impact that his behaviour has had
- provide examples, where available, of the behaviour or conduct you find inappropriate, including information about the times and locations of any incidents, where possible
- provide an initial indication of whether anyone else might have observed the behaviour in question
- describe any action that has already been taken to challenge or stop the behaviour and the outcome of any such action.

How managers should respond to an informal complaint

The flowchart on page 21 sets out the procedure for managers to deal with informal complaints.

In all cases, when receiving an informal complaint, managers should seek advice from their HR Manager at an early stage to inform what happens next. Sometimes, this might be a case of having a quick conversation with the HR Manager to explain the situation and check that your proposed next steps are appropriate. In other cases, the HR Manager may need to become more involved – particularly in situations in which the manager is unsure of how to proceed or when the complaint warrants a more serious response.

If the complaint in question is about, or implicates, the local HR Manager, then, instead of seeking advice from the HR Manager, advice should be sought from the Deputy Director of Human Resources.

In responding to, or investigating, a complaint, managers have access to a range of different documents produced by external organisations – for example:

- An ACAS document entitled *Bullying and harassment at work: a guide for managers and employers* – available at www.acas.org.uk/index.aspx?articleid=794
- An Equality Challenge Unit (ECU) guide entitled *Dignity at Work: a good practice guidance for HE institutions*, which is available at www.ecu.ac.uk/publications/dignity-at-work-guide-for-he. This contains sections on “Bullying versus firm management” and “Conducting investigations”, and an appendix provides links to additional resources.
- The Health and Safety Executive’s (HSE’s) guidance for managers on workplace bullying - available at www.hse.gov.uk/stress/furtheradvice/informationonbullying.htm

Managers may also seek advice from the Equality Policy Unit, particularly in situations in which a complaint may relate to an equality issue – ie when the complaint relates to issues of age, disability, gender reassignment, marriage & civil partnership,

pregnancy & maternity, race, religion or belief, sex, sexual orientation. Contact details for the Equality Policy Unit are provided in section 7e.

The line manager and/or Human Resources must always take full account of the wider implications of any complaint. For example, they should consider whether a case of bullying or harassment might be part of a larger pattern of such behaviour within an office.

Points for everyone to bear in mind in relation to informal complaints

When following this procedure, the following points must be taken into account:

- The complainant is entitled to be accompanied by a trade union representative or workplace colleague at any meetings which take place under the informal complaints procedure.
- Once the respondent is made aware of the complaint, they are also entitled to be accompanied by a trade union representative or colleague at any such meetings.
- All complaints lodged will be dealt with as quickly as possible but it may not always be possible to comply fully with every suggested timescale set out in the procedure. In situations in which it is not possible to comply with the timescales set out in this Policy, the parties involved should be kept up-to-date, to ensure that they are aware of what is happening next in the process and when.
- Information about complaints that are resolved informally will not normally be placed on file (for example, in a personnel or staff file of either the complainant or the respondent) unless the relevant individual is specifically notified of this.
- However, if the matter relates to a serious complaint and it could not be resolved through lack of evidence, then written information and correspondence relevant to the complaint may be kept on file by the manager dealing with the complaint. This may include keeping this information in the staffing or personnel file of the complainant and/or respondent for a limited period of time. The length of time for which this information is stored should not be excessive and should be determined on a case by case basis. If this is the case, the Human Resources manager will inform the relevant party about the information that is to be stored on file, explain why this information is being stored in this way and state how long the information will be stored for.
- Both parties are advised to retain copies of all written information and correspondence that is relevant to the complaint specifically for their own records.
- If the matter remains unresolved through this informal approach, or if the problem continues after an agreed resolution, the matter should be referred to the formal stage (see Section 7d).

THE PROCEDURE FOR MAKING AND DEALING WITH AN INFORMAL COMPLAINT IS SET OUT IN THE FLOW-CHART ON PAGE 21

INFORMAL COMPLAINTS PROCEDURE

The complainant makes an informal complaint verbally or in writing to their line manager (LM) or Human Resources manager (HRM). If the complaint was made verbally, the LM or HRM makes a written note of the complaint and asks the complainant to check the note and sign and date it.

Within 3 working days of receipt of the complaint, the LM and the HRM need to liaise to assess whether the complaint falls within the scope of the Policy on Dignity and Mutual Respect.

If the complaint is not within the scope of this Policy, the LM should advise the complainant of this and explain what other procedures or methods could be used to raise the complaint (eg standard grievance procedures etc)

If the complainant is not satisfied with this assessment, s/he can appeal in writing, within 5 working days of being notified of the decision, to the Deputy Director of Human Resources, who will review the assessment and notify the complainant accordingly.

If the complaint is within the scope of this Policy, the LM (with advice from the HRM) should agree a course of action with the complainant and set an agreed timescale for such action. Normally, this would be for the LM to discuss the complaint with the person/people about whom the complaint has been made (ie the respondent/s). This could be done with or without the complainant being present, depending on the wishes of the complainant and the nature and circumstances of the complaint. It is also worth exploring with both parties whether the University's Mediation Service might be able to assist at this stage of the process (both parties should agree to such a course of action).

Reference should be made by the LM/HRM to the guidance on confidentiality outlined in section 4.

The LM should take a note of what was discussed and agreed at any meetings with the respondent. A copy of this note should be forwarded to both the complainant and the respondent, with both parties being asked to retain a copy of this note for their records.

LMs (with advice from HRMs) should discuss with the complainant and the respondent – separately if necessary – any further actions that would be helpful. For example:

- further training on harassment and bullying issues
- on-going support (eg counselling, mediation, mentoring, etc.)
- any other appropriate steps that should be taken to ensure that good working relations are restored/maintained.

The situation should be resolved at this stage. If, however, the complaint is not resolved (for example if the behaviour complained of does not stop), the complainant should discuss the situation again with the LM/HRM. In such circumstances, the complainant may decide to make a formal complaint.

d) Procedure 4 : A formal complaint

You can make a formal complaint of harassment, bullying or victimisation if:

- you have raised a complaint previously by taking personal action, making an informal complaint or following a process of mediation, but you feel that the issue has not been properly resolved, or
- the alleged behaviour is serious enough to warrant a formal complaint without going through the previous stages.

A formal complaint raised under the Policy on Dignity and Mutual Respect will be handled as a “grievance”. The flowcharts on pages 25 (for support staff) and 26 (for academic and professional/managerial staff) outline the procedure for making and dealing with a formal complaint and show how this fits in with the relevant University grievance procedures.

These procedures are slightly different depending on whether the person making a formal complaint is a member of support staff or, alternatively, a member of academic or professional/managerial staff. As a general rule, staff on grades 2-6 will be members of “support staff”, whilst staff on grades 8-10 will be “academic” or “professional/managerial” staff members. For staff on grade 7, this will depend on the specific nature of your role and your employment contract. Advice can be sought from your HR Manager if you are unsure which procedure applies to you.

If you are considering, or planning to, make a formal complaint, there are a range of sources of support you may wish to consult (see Section 7e for more information).

Information you should provide in your formal complaint

In any formal complaint, it is generally important for the person making the complaint to:

- identify clearly the name of the person/people about whom the complaint is made
- be clear about the nature of the behaviour about which the complaint is made (making reference, where possible, to the relevant section of any Policy that was allegedly breached by this behaviour)
- provide an indication of the impact that his behaviour has had
- provide examples, where available, of the behaviour or conduct you find inappropriate, including information about the times and locations of any incidents, where possible
- provide an initial indication of whether anyone else might have observed the behaviour in question
- describe any action that has already been taken to challenge or stop the behaviour and the outcome of any such action
- sign and date the written formal complaint.

Points for everyone to bear in mind in relation to formal complaints

When following this procedure, the following points must be taken into account:

- The complainant is entitled to be accompanied by a trade union representative or workplace colleague at any meetings which take place under the formal complaints procedure

- Once the respondent is made aware of the complaint, they are also entitled to be accompanied by a trade union representative or workplace colleague at any such meetings
- All complaints lodged will be dealt with as quickly as possible but it may not always be possible to comply fully with every suggested timescale set out in the procedure. In situations in which it is not possible to comply with the timescales set out in this Policy, the parties involved should be kept up-to-date, to ensure that they are aware of what is happening next in the process and when
- Information about complaints that are resolved formally may be placed on the career files of either the complainant or the respondent, who will be specifically notified of this
- If the matter relates to a serious complaint which could not be resolved through lack of evidence, then written information and correspondence relevant to the complaint may still be kept on file. This may include keeping this information in the staffing or personnel file of the complainant and/or respondent for a limited period of time. The length of time for which this information is stored should not be excessive and should be determined on a case by case basis. If this is the case, the Human Resources manager will inform the relevant party about the information that is to be stored on file, explain why this information is being stored in this way and state how long the information will be stored for
- Both parties are advised to retain copies of all written information and correspondence that is relevant to the complaint specifically for their own records
- Complaints of harassment and bullying handled formally under this Policy may lead to action being taken in accordance with the disciplinary procedures prescribed within Statute VII or the Support Staff Procedure Agreement, which include procedures relating to rights of appeal.

STAGE 1

OF FORMAL COMPLAINTS PROCEDURE – FOR ALL STAFF GROUPS

The complainant makes a formal complaint in writing to their Head of School or Head of Service. If your complaint is about the behaviour of your head of school or head of service – or if this person is absent - then you should send your formal complaint to your faculty dean or the line-manager of your head of service. If you do not work within a particular school or service, you should consult your HR manager to discuss who you should make your complaint to.



The person receiving the complaint (as above) should seek the support and advice of their HR manager at this stage. The person receiving the complaint must also contact the faculty dean (or equivalent) to make them aware of the formal complaint at this stage.

The person receiving the complaint will meet with the complainant within 10 working days of receiving the formal complaint. The complainant will receive notification of this meeting in writing and the letter will include the option to be accompanied by a trade union representative or a workplace colleague. The purpose of the meeting will be to ascertain the exact nature of the concerns raised, to understand what, if anything, has already been implemented to resolve the grievance, to ensure they have all the necessary information and if possible to facilitate a resolution.



Following this initial meeting, the person receiving the complaint, in conjunction with the HR manager, needs to devise a plan for investigating and resolving the issue raised.

At this stage, the person who received the complaint needs to ensure that anyone who has had a complaint made about them receives details of the nature of any allegation relating to them in writing.

The plan for investigating and resolving the complaint may include:

- interviewing other members of staff or other parties involved
- a detailed investigation, led by the person who received the complaint or by another independent person at head of school/service level (the HR manager will be able to advise on whether another independent person would be in a better position to carry out this investigation)
- further meetings with the parties involved, with the aim of facilitating a resolution.

The person who received the complaint is then responsible for ensuring that the above plan is carried out. The outcome of this process is that they write to the complainant and the person about whom the complaint was made, detailing the nature of the complaint and any resolutions agreed or proposed. **This written response should be sent within 20 working days of receipt of the initial formal complaint.**

The person who received the complaint should seek advice from the HR manager to determine whether the behaviour or actions of any staff members:

- contravened the Policy on Dignity and Mutual Respect or otherwise constituted a disciplinary offence, and/or
- were unlawful

as a decision to this effect should be included within the above written response. If either is the case, then action will be taken through the University's disciplinary procedures.



It is expected that in most cases the matter will be resolved at this point. If, however, it has not been possible to resolve the matter, the member of staff can begin stage 2 proceedings within 10 working days of receipt of the outcome letter mentioned above.

Stage 2 proceedings vary according to staff group:

- If the member of staff making the complaint is a member of “support staff”, refer to page 25 for details of Stage 2
- If the member of staff making the complaint is a member of “academic” or “professional/managerial staff”, refer to page 26 for details of Stage 2

STAGE 2

OF FORMAL COMPLAINTS PROCEDURE – FOR SUPPORT STAFF

The member of staff should put their complaint in writing to the Director of Human Resources within 10 working days of receipt of the outcome letter from the previous stage. The complainant should also include any details of previous attempts to resolve the grievance and why they have been unsuccessful.



The Director of Human Resources may nominate another member of the HR team (who has not been involved at an earlier stage) who will consider the stage 2 complaint. The Director of HR or nominee will meet with the complainant within 10 working days of receiving the stage 2 complaint. The complainant will receive notification of this meeting in writing and the letter will include the option to be accompanied by a trade union representative or workplace colleague. The purpose of the meeting will be to ascertain the exact nature of the concerns raised and understand what, if anything, has already been implemented to resolve the matter.



Following this meeting, the Director of Human Resources or nominee may carry out a further investigation into the circumstances surrounding the complaint and may meet with the other relevant parties involved to date. The Director of Human Resources or nominee will then prepare a written response to the individual setting out any decision and further action to be taken. The complaint should normally be concluded and this response sent to the individual within 20 working days of the stage 2 complaint being received.

As part of this written response, the Director of Human Resources or nominee should determine whether the behaviour or actions of any staff members:

- contravened the Policy on Dignity and Mutual Respect or otherwise constituted a disciplinary offence, and/or
- were unlawful.

If either is the case, then action will be taken through the University's disciplinary procedures.

STAGE 3

OF FORMAL COMPLAINTS PROCEDURE – FOR SUPPORT STAFF

If, after completing all of the above procedures, it has still not been possible to resolve the matter, the member of staff may appeal to the Pro-Vice-Chancellor for students and staff for consideration by a grievance panel. The appeal must be submitted within 10 days of receipt of the outcome letter from stage 2.

This third stage will follow the "final stage" process for a grievance process as set out in section F, subsection 5 of the Support Staff Procedure Agreement (available at www.hr.leeds.ac.uk/policies or you can request a printed copy from Human Resources). Staff are advised to refer to this Agreement for more information on how to proceed.

This stage (stage 3) will involve a panel being convened to consider all aspects of the complaint. The decision of this appeal panel is final and ends the University of Leeds' internal procedures.

STAGE 2

OF FORMAL COMPLAINTS PROCEDURE – FOR ACADEMIC OR PROFESSIONAL/MANAGERIAL STAFF⁶

The member of staff should put their complaint in writing to the Vice-Chancellor within 10 working days of receipt of the outcome letter from the previous stage. The complainant should also include any details of previous attempts to resolve the grievance and why they have been unsuccessful.



The Vice-Chancellor should consult the Secretary to the University (or nominee) for advice at this stage.

If it appears to the Vice-Chancellor that the matter has been finally determined – under parts III, IV or V of Statute VII (within the University Statutes) – or that the grievance is trivial or invalid, he or she may dismiss it summarily or take no action upon it. The Vice-Chancellor shall inform the complainant accordingly, and also inform the head of school or head of service who received the original complaint. In these circumstances, this decision is final and ends the University of Leeds' internal procedures.

If, alternatively, it appears to the Vice-Chancellor that the complaint requires further investigation, or that it would be appropriate to attempt to resolve the matter informally, he or she will normally refer the matter to the Secretary to the University (or nominee), who will make the necessary arrangements, ensuring that the person(s) to whom the matter is referred has not been involved at an earlier stage.

If, however, it appears to the Vice-Chancellor that the complaint is serious enough, it can be referred directly to the Grievance Committee.



The Secretary to the University or nominee will consider the stage 2 complaint and may

- **meet with the complainant** within 20 working days of receiving this complaint. The complainant will receive notification of this meeting in writing and the letter will include the option to be accompanied by a trade union representative or workplace colleague. The purpose of the meeting will be to ascertain the exact nature of the concerns raised and understand what, if anything, has already been implemented to resolve the matter.
- **carry out a further investigation into the circumstances surrounding the complaint** which may include meeting with the other relevant parties involved to date.
- **make arrangements to seek a report on the matter**

The Secretary to the University (or nominee or person(s) who have been reporting on the matter) will then prepare a written response to the individual setting out any decision and further action to be taken. The complaint should normally be concluded and this response sent to the individual within 20 working days of the stage 2 complaint being received.

As part of this written response, the Secretary to the University or nominee should determine whether the behaviour or actions of any staff members:

- contravened the Policy on Dignity and Mutual Respect or otherwise constituted a disciplinary offence, and/or
- were unlawful.

If either is the case, then action will be taken through the University's disciplinary procedures.



STAGE 3

OF FORMAL COMPLAINTS PROCEDURE – FOR ACADEMIC OR PROFESSIONAL/MANAGERIAL STAFF

If, after completing all of the above procedures, it has still not been possible to resolve the matter, the member of staff may refer the matter back to the Vice-Chancellor, requesting that the matter is considered by the Grievance Committee – in accordance with paragraph 33 of Statute VII. This appeal must be submitted within 10 days of receipt of the outcome letter from stage 2.

Any decision which is taken at this stage – either by the Vice-Chancellor or by the Grievance Committee - is final and ends the University of Leeds' internal procedures.

these provisions may necessitate matching changes to the process set out above.

e) Sources of advice and support for staff members before or during any of the above procedures

The University provides a number of services which are available to support staff experiencing any of the issues identified in this Policy and guidance. These include:

Your manager/line manager

Ideally, you should talk to your manager if you have experienced or observed harassment, bullying or victimisation, or if a complaint is made against you under this Policy. Depending on your job, your manager may go under another title, such as “supervisor” or “team leader”. Managers have a key responsibility for your general wellbeing. Managers also have prescribed roles to investigate and manage complaints under the complaints procedures set out in this document.

Human Resources Managers

If you are uncomfortable talking to your manager, you can consult your Human Resources manager (HR Manager) to discuss any concerns relating to harassment, bullying or victimisation issues. HR managers will be able to discuss these issues with you sensitively and without involving your manager initially. In many cases, however, your manager may need to become involved at a later stage, as this is often necessary in order to investigate or address any issues that are raised.

HR managers also have prescribed roles – for example, in advising managers and heads of services – within the complaints procedures set out in this document. You can find out the details of your local HR manager at www.hr.leeds.ac.uk/contacts/staff_faculty.aspx

Mediation Service

Mediation is often a useful process which can be pursued at any stage. More information about the Mediation Service and the process of mediation is provided in section 7b and at www.leeds.ac.uk/mediation/

Staff counsellors

The staff counselling service deals with a wide range of personal difficulties ranging from anxiety states and depression through to life and relationship issues both at home and at work. The range of approaches is very wide and is drawn from stress management, cognitive behaviour therapy (CBT) and counselling and coaching approaches.

Staff can access the service by telephone on 0113 343 3694 and leaving contact details on the answering machine.

Calls will be returned by our staff counsellors as soon as possible to arrange an appointment. With the exception of holiday periods, you would normally be contacted within a few days of making your first enquiry and an appointment would be available within a week to ten days

http://wsh.leeds.ac.uk/info/134/staff_counselling_and_psychological_support

Leeds Citizens Advice Bureau

Leeds CAB provide staff with a dedicated social welfare and legal rights advice service by telephone. The service is available exclusively for staff at the University and can provide advice on legal issues, social welfare rights, debt, homelessness, employment rights, discrimination, education, immigration, tax, citizenship and legal procedures.

Staff can access the service by calling 0844 4775772 on Tuesdays between 10am and 2pm to speak to an advisor. Outside of these times, staff can either listen to a recorded information service on the above number, or, each weekday between 11.30am and 12.30pm can call to request a telephone appointment with an advisor on Tuesdays. (Calls are charged at 5p per minute to callers from land lines and may be higher from mobile phones.)

http://www.leeds.ac.uk/hr/support/advice_line.htm

Trade unions (for those who are members)

Employees of the University of Leeds are free to join a union of their choice, although union membership is not a condition of working here. Trade unions are able to provide assistance and support to members in relation to a wide range of issues, including issues relating to bullying, harassment and victimisation.

The University recognises the following trade unions:

- University and College Union (UCU) – visit www.leeds.ac.uk/ucu for more information
- Unite (formerly Amicus) – visit www.amicus.leeds.ac.uk/ for more information
- UNISON – visit www.leeds.ac.uk/unison for more information.

Advice to managers from the Equality Policy Unit

Where a manager or Head of School/Service is considering how best to respond to issues raised within their area in relation to harassment or discrimination (on grounds of age, disability, gender reassignment, marriage & civil partnership, pregnancy & maternity, race, religion or belief, sex, sexual orientation), the Equality Policy Unit can provide advice on the way forward and act as an independent 'sounding board' for the manager or Head of School/Service during this process.

Although the Equality Policy Unit does not generally provide advice to individual staff members who have experienced discrimination or harassment, the service can signpost staff members to appropriate sources of advice and support.

For more information about the Equality Policy Unit, visit www.equality.leeds.ac.uk or telephone 0113 343 3964 and ask to speak to an Equality and Inclusion Manager.

Other external sources of advice and support

There are a range of external sources of advice and support for staff and managers on issues relating to harassment, bullying and victimisation. For example, these include:

- **The Advisory, Conciliation and Arbitration Service (ACAS)** offers a helpline service, which can provide advice to employers and employees who are involved in an employment dispute or are seeking information on employment rights and rules. The helpline provides clear, confidential,

independent and impartial advice to assist the caller in resolving issues in the workplace. You can call the Acas helpline on 08457 47 47 47 or visit the ACAS website at www.acas.org.uk

- **The Andrea Adams Trust** is a non-political, non-profit making charity operating as the focus for the diverse and complex problems caused by bullying behaviour in the workplace. You can telephone the Andrea Adams Trust helpline on 01273 704 900 or visit the Trust's website at www.andreadamstrust.org
- **The Equality and Human Rights Commission (EHRC)** is a statutory body charged with enforcing anti-discrimination legislation. The Equality and Human Rights Commission helpline can provide information and guidance on discrimination and human rights issues to employers and employees. You can telephone the helpline on 0845 604 6610 or visit the EHRC's website at www.equalityhumanrights.com for more information
- **Your local Citizens Advice Bureau (CAB)** can provide free and impartial advice. You can find your local CAB office in the phone book or online at www.citizensadvice.org.uk/

8. CODE OF PRACTICE 2 – PROCEDURES FOR COMPLAINTS MADE BY STAFF MEMBERS AGAINST STUDENTS UNDER THIS POLICY

If a member of staff feels that they are being subjected to harassment, bullying or victimisation in any form by a student, under the terms of this Policy there are a number of possible options for action:

- Taking personal action – you may feel able to take informal personal action as described in Section 7a
- Action by the faculty/school/service - you could discuss this with your manager or head of school/service to gain their support in raising the issue directly with the student
- Formal action – in serious, or persistent cases it may be necessary to raise the complaint through the University's Student Complaints Procedure. Details of the Complaints Procedure are available on the web at:
http://www.leeds.ac.uk/secretariat/student_complaints.html or email:
studentcases@leeds.ac.uk

The sources of advice and support for staff set out in Section 7e are available to support staff in these situations.

9. CODE OF PRACTICE 3 – PROCEDURES FOR COMPLAINTS MADE BY STUDENTS UNDER THIS POLICY

If a student feels that they are being subjected to harassment, bullying or victimisation in any form, the following options are available for taking action.

a) Procedure 1 : Taking personal action

If you feel that you have been, or are being, subjected to harassment, bullying or victimisation, you should not feel that it is your fault or that you have to tolerate it without question. The behaviour in question could be coming from another student, a member of staff at the University or someone else associated with the University.

Generally, complaints are most easily resolved if they are raised at the time the problem first occurs and with the person/s directly involved. If you feel that you have been, or are being, subjected to harassment, bullying or victimisation, you may feel able to take action on your own to make the other person aware of the effect of their behaviour on you (we refer to this as “taking personal action”).

In many situations, this can be the most effective way to raise concerns; however, you should not feel pressured to raise concerns in this way and should also be aware of the other options open to you – namely, making a complaint to the relevant school or service (see section 9b) or making a complaint about the behaviour of another student (see section 9c).

There are a variety of ways in which you might take personal action, some of which enable concerns to be raised without making reference either to the individual(s) concerned or to the specific nature of the complaint. Here are some examples of types of personal action which might be worth considering:

- You can have a conversation with, or write to, the other person and explain, as clearly as possible, what it is that you consider unacceptable about their behaviour and ask them to stop behaving in this way.
- You could enlist the help of a peer to find ways of bringing the topic of harassment, bullying or victimisation into a conversation in the presence of the person causing offence.
- If you do choose to contact the person, you might wish to seek advice or support beforehand from:
 - your personal tutor or another member of staff within your school
 - an adviser within the LUU Student Advice Centre, or
 - your warden.

If you do decide to raise your concerns directly with the person concerned, face-to-face, you might wish to invite someone else to be present when you are having the conversation. If you decide to raise your concerns in writing, you should keep copies of relevant pieces of correspondence. In either case, it may be advisable to note down factual information.

If you feel able to take personal action to raise concerns, and feel comfortable about doing so, this can often be an effective and relatively low-key method of resolving issues.

b) Procedure 2 : Making a complaint about the behaviour of a member of staff to the relevant school or service

Making a complaint to the relevant school or service

If you feel that you have been, or are being, subjected to harassment, bullying or victimisation from a member of staff at the University, and you cannot, or feel unable to, resolve your concerns by taking personal action, you should consider raising the issue with the relevant School or Service. In this situation, a useful starting point might be to have a conversation with a member of staff within the relevant school or service to raise the complaint verbally.

In some situations, this may be sufficient and lead to an appropriate resolution. In other cases, you may feel it is appropriate, or you may be advised, to put your complaint in writing to the relevant head of school or head of service (or where appropriate, the faculty dean or Pro-Dean for Learning and Teaching). On receipt of your written complaint, the member of staff should provide you with a response to your complaint within 15 working days. If the University cannot meet this or any of the other deadlines set out in this procedure, you will be kept fully informed of the reasons why.

Making a formal complaint under the Student Complaints Procedure

If you cannot resolve your complaint directly with the relevant school or service, you should put your concerns in writing to the University's Complaints Officer. The Complaints Officer, or a member of their team, will carry out a thorough investigation of your concerns and will provide you with a written account of any findings. Contact details and more information about this procedure can be found at www.leeds.ac.uk/secretariat/student_complaints.html

c) Procedure 3 : Making a complaint about the behaviour of another student

If you feel that you have been, or are being, subjected to harassment, bullying or victimisation by another student at the University, and you cannot, or feel unable to, resolve your concerns by taking personal action, there are different sources of advice and support depending on the circumstances:

- If the behaviour concerned has taken place between students who are living in university accommodation, the appropriate person to speak to is likely to be your warden (see section 9d). Out of term time, when wardens may not be available, you can contact Accommodation Services at <http://www.leeds.ac.uk/accommodation/contact.html>
- If you feel that you have been, or are being, subjected to harassment, bullying or victimisation from another student within a particular module or study group, then the appropriate person to speak to is likely to be your personal tutor or the module leader, or other student support staff within your school.
- If this situation arises in a different context, or if you're unsure of who to speak to, then you should seek advice from the LUU Student Advice Centre.

If your concerns about the behaviour of another student are not resolved through informal approaches, then you can raise the complaint through the University's Student Complaints Procedure by writing to: Head of Student Complaints and Appeals. Details of the Disciplinary Procedure are available on the web at: http://www.leeds.ac.uk/secretariat/student_complaints.html or email: studentcases@leeds.ac.uk

d) Sources of advice and support for students before or during any of the above procedures

The University provides a number of services which are available to support students experiencing any of the issues identified in this Policy and guidance. These include:

LUU Student Advice Centre

If you are a student who has experienced harassment, bullying or victimisation at the University of Leeds, you are encouraged to contact the Student Advice Centre. As part of the University of Leeds students' union (Leeds University Union), the Student Advice Centre offers independent, confidential and free information and representation from professional advisers covering many issues including those within the remit of this Policy. For more information, visit the LUU website at <https://www.luu.org.uk/helpandadvice/browse/>

Warden / Accommodation Services

For students who are experiencing difficulties in their University of Leeds accommodation, wardens are available for help and advice. This includes, but is not limited to, issues arising under the remit of this Policy.

All University residences have wardens (members of University teaching or administrative staff) who you can go to during term time for advice or for help sorting out any problems. If you are having particular problems in your accommodation, we encourage you to speak to your warden who will do everything they can to help you.

Wardens at all residences hold advisory sessions during term time (see www.leeds.ac.uk/accommodation/your_warden.html for more information), and usually no appointment is necessary. Most sites also have resident subwardens, usually postgraduate or mature students, which means there's someone there 24 hours a day during term time in case of emergencies.

Out of term time, when wardens may not be available, you can contact Accommodation Services at <http://www.leeds.ac.uk/accommodation/contact.html>

Personal or academic tutor

Your personal tutor will normally be an academic member of staff. They should play a key role in supporting your general academic and personal development. They will hold one-to-one meetings with you at regular points in the academic year and you can request more meetings if necessary.

The role of your personal tutor includes supporting your development in an academic, personal and professional way, embedding the University values and the Learning & Teaching Partnership Agreement within the personal tutoring system. The delivery of personal tutoring in each school will reflect the diverse needs both of different subject disciplines and of academic units of various sizes and natures, but whatever the particular local arrangements are, they will reflect the principles laid down in the Leeds Model of Personal Tutoring where more information about the role of personal tutors can be found. See: <http://leedsforlife.leeds.ac.uk/model.html>

It is recognised that where complaints of harassment, bullying or victimisation occur, this may impact on your academic progress – and therefore your personal tutor may be best placed to support you in raising a complaint or to refer you onto the appropriate source of support within the University.

Rather than approaching your personal tutor, you may feel it is more appropriate for you to contact another academic tutor or another member of staff within your school responsible for student support issues.

Other sources of support within the University

For general or additional support for students experiencing bullying, harassment or victimisation, other sources of advice and support are available, including:

- **Student Counselling Centre** – the Student Counselling Centre provides a confidential counselling service (individual and group) with professional qualified staff who are very experienced at enabling students to deal with a wide range of issues. Appointments need to be booked but drop-in sessions are available every day during term-time without an appointment. The Student Counselling Centre has a lot of experience of dealing with students experiencing harassment bullying or victimisation. For more information, visit the Student Counselling Centre's website at www.leeds.ac.uk/studentcounselling/
- **International Student Office** – the International Student Office offers a range of support services to international students, including a drop-in information and advice service and confidential appointments with specialist advisers. For more information about the International Student Office, visit their website at www.leeds.ac.uk/international/studentsupport
- **Disabled Students' Assessment & Support** – if you are a student who has experienced harassment which relates to disability issues, you may also wish to contact Disabled Students' Assessment & Support. They provide information, guidance and support to disabled students, which includes assessing the academic support requirements of students and putting in place a variety of different support services, as required. The team works with University departments to ensure that they are also making appropriate adjustments to meet the needs of disabled students. A drop-in service during lunchtimes in term-time, for which you do not require an appointment. For more information, visit their website at http://ses.leeds.ac.uk/info/21810/disabled_students

Other external sources of advice and support

There are a range of external sources of advice and support for students on issues relating to harassment, bullying and victimisation. For example, these include:

- **The Equality and Human Rights Commission (EHRC)** is a statutory body charged with enforcing anti-discrimination legislation. The Equality and Human Rights Commission helpline can provide information and guidance on discrimination and human rights issues to employers and employees. You can telephone the helpline on 0845 604 6610 or visit the EHRC's website at www.equalityhumanrights.com for more information

- **Your local Citizens Advice Bureau (CAB)** can provide free and impartial advice. You can find your local CAB office in the phone book or online at www.citizensadvice.org.uk/
- **The Burley Lodge Centre** is a Community Legal Service accredited generalist advice service based at 42-46 Burley Lodge Road, Leeds LS6 1QF in North West Leeds. You can visit their website at www.burleylodge.org.uk or email advice@burleylodge.org.uk. Telephone: 0113 2753498
- **Leeds Counselling** is a counselling service for anyone in Leeds. You can find out more information at www.leedscounselling.org.uk/ or telephone 0113 245 0303
- **Liberty** is a national organisation which campaigns for human rights and equal treatment. They run a Public Advice Line on 0845 123 2307 or 0203 145 0461. You can find out more about what they do at www.liberty-human-rights.org.uk. They also run the www.yourrights.org.uk website, where you can get information on your rights, including discrimination law in the UK.

Back cover contents:

- **This Policy defines and prohibits various behaviours – in particular, harassment, bullying and victimisation. It explains the need for everyone across the University to contribute proactively to the creation of a culture of mutual respect and an environment in which everyone is treated with dignity.**
- **Three codes of practice are attached to this Policy. These documents set out the procedures for staff members and students to raise a complaint under the Policy, and describe the responsibilities of staff members – and, particularly, managers – in terms of responding to, and managing, complaints of harassment, bullying or victimisation.**
- **To ensure that this Policy supports our University members to work within a positive environment, it will be reviewed after a 12 month period of use.**

If you require a copy of this document in an alternative format (for example, braille or large print), please email equality@leeds.ac.uk, quoting the title of the document

