



University of Bath
Research Excellence Framework 2021
Code of Practice

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Introduction

1. The University of Bath will carry out our preparations for the Research Excellence Framework (REF) 2021 in a consistent, transparent, accountable and inclusive manner and in accordance with our institutional values and existing policies, including Equality & Diversity policies.
2. The overarching aim of this Code of Practice is that each member of staff who is eligible to be included in the University's submission should readily be able to find information on how, when and by whom decisions relating to REF are being taken and how those decisions can be discussed.
3. Each institution making a submission to REF 2021 is required to develop, document and apply a code of practice on determining who is an independent researcher and the selection of their outputs in the REF submission. On making submissions the head of institution, the Vice-Chancellor, will be required to confirm adherence to the Code of Practice.
4. This Code of Practice sets out the procedures to be used by the University of Bath in preparing our submission.
5. This Code of Practice applies to all members of the University involved in REF processes and to any external advisers engaged by the University.
6. Individuals who are concerned about any practices at the University of Bath failing to conform to this Code of Practice should contact the Pro-Vice-Chancellor (Learning and Teaching), who is not involved in REF decision making processes. They will look into all allegations and as a minimum respond to the individual.
7. The quality of the research contribution of all eligible staff is acknowledged and valued by the University. All eligible outputs will be considered for submission and all decisions relating to the content of submissions will be informed by the leading aim of our research strategy: *"Conducting internationally-leading research of global significance"*.
8. REF 2021, as an institutional submission, presents an opportunity for the University of Bath to showcase the world leading impactful research it conducts. We will continue to work in a collaborative way across the University to ensure that we provide an accurate reflection of the excellent work of all our staff with significant responsibility for research, to optimise the financial and reputational outcomes for the University.
9. The development of this Code of Practice has been scrutinised by University Research Committee, University Executive Board, Senate, University Equality & Diversity Committee, the local branch of the University and College Union and was put out to an all staff consultation. The timetable for its development can be found in Appendix 1

The University's legal responsibilities

10. The University has legal responsibilities as an employer and as a public sector organisation under equality law. As an employer, the University needs to ensure that its policies do not

directly or indirectly discriminate against its employees on the grounds of their age, disability, gender, gender identity, marriage or civil partnership, race, religion or belief, sex or sexual orientation or if they are pregnant or have recently given birth. These obligations also apply to REF selection procedures.

11. Under the Equality Act 2010 the University has a duty to have due regard to the need to eliminate discrimination, advance equality of opportunity and foster good relations between people who share a protected characteristic and persons who do not. As part of our REF preparations the University will assess the impact of REF processes on different protected characteristics by gathering data on staff submissions in relation to protected characteristics. Information on the protected characteristics can be found in Appendix 2.
12. The University also recognises that under the fixed-term employee and part-time worker regulations, fixed-term employees and part-time workers have the right not to be treated by the University any less favourably than it treats a comparable 'permanent' or full-time employee. The relevant regulations are:
 - a. Part-time Workers (Prevention of Less Favourable Treatment) Regulations 2000
 - b. Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002.

Institutional equality and diversity

13. The University of Bath recognises that our diversity fuels our creativity and innovation. Our commitment to equality, diversity and inclusion drives us forward every day. Everyone is welcome at the University of Bath; we are continuously working to create an inclusive community.
14. As part of this we have committed to take action in the following areas between 2019 and 2021:
 - a) Increase the proportion of women in senior roles and take positive action to address gender imbalances and the gender pay gap
 - b) Improve the recruitment of staff and students from under-represented groups in order to better reflect the society in which we operate. Where gaps in outcomes or opportunities for progression are identified, the University will seek to address these
 - c) Create and maintain a living and working environment that supports the health and wellbeing of all staff and students
 - d) Foster a culture of inclusion and belonging through a programme of raising awareness and training
 - e) Create a supportive environment for our LGBT+ community.
15. In addition to these overarching equality objectives, the University has committed to the following vehicles to help achieve the above objectives:
 - f) Apply for an institutional Silver Athena SWAN award in 2021
 - g) Work towards appearing on the Stonewall Workplace Equality Index
 - h) Explore the benefits of an institutional Bronze Race Equality Charter award.

16. Reflecting on our REF 2014 Equality Impact Assessment, there were no equality-related issues raised by the report. Steps were taken at the time to address the recommendations raised by the report wherever possible during our REF 2014 preparations and we have been mindful of these in developing this Code of Practice.

Principles

17. Our REF 2021 submission and this Code of Practice are based on the principles of transparency, consistency, accountability and inclusivity (outlined in the REF 2021 '[Guidance on codes of practice](#)' paragraph 39):
 - a. Transparency - The procedure for determining research independence and selecting outputs for inclusion in our REF submission is fully explained in this Code of Practice. The Code itself is available to all staff, including those absent from work, and is published on the University's website. Details of key dates and timings are included.
 - b. Consistency - The Code of Practice will enable the University to apply consistent and transparent processes when determining staff who meet the criteria of research independence and outputs to be included in the submission. This document sets out the principles to be applied to all aspects and stages of the process.
 - c. Accountability - The Code of Practice sets out the responsibilities of everyone involved in developing our REF submission, with details of memberships, responsibilities, and mandatory training of all individuals, committees, advisory groups and other bodies.
 - d. Inclusivity - The University of Bath promotes an inclusive research environment and our procedures will ensure that we identify all eligible staff who are independent researchers and all eligible outputs for consideration for submission to REF 2021.

Information and data

18. All personal data collected for the REF submission, including during the preparation stages and final submission, will be treated as confidential and will be handled in accordance with the University's Data Protection Policy <http://www.bath.ac.uk/internal/data-protection/> (see Appendix 8).
19. In addition to this overarching policy, the University will develop a Staff Data Collection Statement in line with the guidance developed by Research England.
20. All such information will be limited in circulation to those staff who need access to inform the preparation and assessment of the University's REF submission.
21. All formal meetings where decisions which define our REF submission are made will be minuted and decisions recorded in the minutes. The minutes will be stored in line with University guidelines.

Communication

22. We believe that the University's preparations for REF 2021 as documented in this Code of Practice should be transparent to all members of University staff and other interested individuals. Therefore, we will make the Code of Practice publicly available on the University's website (<https://www.bath.ac.uk/guides/research-excellence-framework-ref/>).

23. To ensure that staff who are eligible for inclusion in our REF submission have seen the Code of Practice we will also make it available to all staff in the Education and Research job family by email, and liaise with Human Resources to ensure copies are made available to potentially REF eligible staff who are absent.
24. In addition, we will promote the Code of Practice via the following internal communication mechanisms to ensure awareness: the University homepage; the University's digital signage network available in all buildings on campus (this will be for two week periods at appropriate points between publication of the Code of Practice and submission); the University's staff Twitter account.
25. We will hold REF briefing meetings on our preparations and the Code of Practice in October 2019 which will be open to all members of University staff. These meetings will be promoted using the mechanisms detailed in paragraph 24.

No detriment statement

26. The University of Bath is a leading research university. Its reputation reflects the hard work and dedication of a significant body of academic and research staff whose individual contributions are each acknowledged and valued by the University.
27. To ensure that the University reflects the breadth of its globally leading research in an accurate way, recognising that the REF UOAs do not directly align with the University's Faculty or Departmental structure, the University will make strategic decisions about the composition of submissions to UOAs in collaboration with the UOA Leads and Deans.
28. Decisions relating to the composition of our REF submission will not be taken into account in connection to any decisions relating to individuals' future support or progression at the University.

Staff and committees

29. 'Appendix 3: Staff and committees – roles and responsibilities' sets out details of the key staff and committees involved in the preparation of our REF 2021 submission, including information on how each committee was formed, its membership, roles and training.
30. The roles of these staff and committees within the decision-making processes is as follows:
 - a) The Vice-Chancellor will confirm the REF 2021 submission, including staff for inclusion and the selection of outputs, having regard to the advice of the Pro-Vice-Chancellor (Research) and the Deans, as presented to University Executive Board.
 - b) The Pro-Vice-Chancellor (Research) will lead the University's REF submission, providing specific advice on interpreting and applying the Code of Practice as required.
 - c) The University Executive Board will advise on preparations for REF. It will receive recommendations from the University Research Committee for discussion or endorsement.

- d) The University Research Committee, chaired by the Pro-Vice-Chancellor (Research), will advise on strategic aspects of the REF and will report regularly to the University Executive Board.
 - e) An Internal Assessment Panel for each UOA will consider provisional submissions and make recommendations to the University Research Committee.
 - f) Faculty and School REF Panels will oversee preparations in relation to UOAs associated with their Faculty or School
 - g) Leads for each UOA in which a submission will be made will oversee preparations in relation to individual submissions.
 - h) All decisions about an individual's research independence will be considered by the Research Independence Panels.
 - i) All decisions about staff circumstances will be considered by the Staff Circumstances Panel, none of whom are involved in selecting outputs for inclusion in REF 2021.
31. All staff and groups involved in the preparation of the REF 2021 submission are selected on the basis of their academic and strategic expertise.
32. Where an individual is, for any reason, temporarily unable to fulfil any of the functions assigned to them by the Code of Practice, a substitute will be appointed by the University Research Committee in line with Appendix 3. This process would normally be conducted by email. Any substitute will be required to meet the minimum standard for equality and diversity training in order to participate in any processes. If necessary, the role of Pro-Vice-Chancellor (Research) will be covered by the Deputy Vice-Chancellor.

Training and guidance

33. All staff and groups involved in the preparation of the REF 2021 submission receive appropriate training on equality and diversity principles and how these relate to the REF. The objectives of the guidance and training are to ensure that staff have:
- a. A clear awareness of the legislative context and Funding Councils' guidance;
 - b. An understanding of relevant University policies for equality and diversity and the REF;
 - c. Confidence in their ability to make fair and transparent decisions and know where to seek additional support and advice as necessary.
34. There are 3 main levels of training which build upon each other as follows:
- T1: Equality Act briefing – a 30 minute briefing on the Equality Act delivered by the University's Equality Diversity and Inclusion team
 - T2: Online diversity modules - two bespoke online training modules developed for the University of Bath to give staff an understanding of the issues involved: Diversity in the Workplace; Unconscious Bias.
 - T3: Face to face E&D training tailored for REF purposes – a training session developed by the University's Equality Diversity and Inclusion team, based on the materials produced by AdvanceHE.

All staff involved in the REF decision-making processes will complete these three levels of training.

35. Staff who are member of the Research Independence Panels will also receive specific training on determining research independence (noted as T4 in Appendix 3).
36. Staff who are member of the Staff Circumstances Panel will also receive specific training on assessing staff circumstances and calculating output reductions (noted as T5 in Appendix 3).

REF eligible staff

37. The University of Bath will use the eligibility criteria as set out in the '[Guidance on submissions](#)'¹ when determining which staff will be considered eligible for inclusion in our REF 2021 submission. This definition is as follows:

115. Category A eligible staff are defined as academic staff with a contract of employment of 0.2 FTE or greater, on the payroll of the submitting institution on the census date, whose primary employment function is to undertake either 'research only' or 'teaching and research'. Staff should have a substantive research connection with the submitting unit. Staff on 'research only' contracts should meet the definition of an independent researcher¹

38. Further detail on how this definition works in practice can be found in Appendix 4.

Determining research independence

Policies and procedures

39. As part of our REF preparations we will need to determine research independence for two purposes:
 - a. to determine which staff on Research Only contracts meet the research independence criteria and are eligible for inclusion in our REF submission, and whether they achieved independence during the REF 2021 period and should be flagged in our HESA Staff Return as Early Career Researchers (ECRs)
 - b. to determine which members of staff on Teaching & Research contracts achieved independence during the REF 2021 period and should be flagged in our HESA Staff Return as Early Career Researchers (ECRs).
40. The Project Manager (Research) will contact staff as specified in paragraph 41 asking them to complete an online form to capture information which will be used to determine research independence. Alternative arrangements will be put in place for staff who are unable to complete the online form for any reason. The Project Manager (Research) can also be contacted to obtain the form via e-mail on REF2021@bath.ac.uk
41. The list of staff to be contacted will include:

¹ Guidance on submission <https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>

- a. All staff on Grade 7 or 8 'Research Only' contracts - to determine whether they meet the definition of an independent researcher and if so whether they should be flagged as an ECR
 - b. Staff on 'Teaching & Research' and Grade 9 or above 'Research Only' contracts who were not returned to REF2014 - to determine whether they should be flagged as an ECR
42. Each Faculty and the School will establish a Research Independence Panel as set out in Appendix 3. The Panels will review the received forms and will consider each case against the relevant REF guidance. The Panel will assess:
- a. If the member of staff meets the criteria of research independence
 - b. The date upon which they first met the criteria for the purposes of determining if they meet the definition of an ECR
43. To ensure consistency the Research Independence Panels will all be supported by the Project Manager (Research).
44. For the purpose of declaring research independence, the initial population will be determined as those employed on 31 July 2019. The form will be sent out to staff as detailed in paragraph 41 on or before 6 September 2019, to be completed online by 11 October 2019, with reminders between those two dates. Any circumstance changes post-survey completion can be sent to REF2021@bath.ac.uk at any time.
45. All new members of Teaching & Research and Research Only staff who join the University between 31 July 2019 and 31 July 2020 will be contacted by the Project Manager (Research). The Project Manager (Research) can also be contacted to obtain the form via e-mail on REF2021@bath.ac.uk
46. In line with the principles of consistency and inclusivity, the anonymised information on individuals will be presented to the relevant Research Independence Panel.
47. The assessments of the Research Independence Panels will be communicated to the individuals concerned by 28 February 2020.
48. For individuals joining the University after this date and on, or before, the REF 2021 census date of July 31st 2020, meetings of the Research Independence Panels will be held in May and September 2020. Decisions from these meetings will be communicated within two weeks of the meeting.

Independent Researchers

49. In accordance with the published 'Guidance on Submissions' document (Paragraph 131), independent researchers are defined as individuals who are employed to undertake self-directed research, rather than carrying out another individual's research programme. We do not expect this to cover research undertaken by individuals outside their contracted responsibilities. On the basis of this definition, we expect that the majority of postdoctoral

research assistants employed on project or programme grants will not be eligible for submission.

50. A member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs.
51. For a member of staff to be considered an independent researcher, they will need to meet at least one of the following criteria:
 - a. Contract: have a 'Teaching & Research' contract
 - b. Grade: be employed on a Grade 9 or above 'Research Only' contract
 - c. leading or acting as principal investigator or equivalent on a significant externally funded research project
 - d. 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 at <https://www.ref.ac.uk/guidance/additional-guidance/>
 - e. leading a research group or a substantial work package²

For staff in Main Panels C and D we will consider the following additional indicators:

- f. acting as a co-investigator on an externally funded research project²
- g. significant input into the design, conduct and interpretation of the research

Early Career Researchers (ECR)

52. ECRs are defined as members of staff who meet the definition of Category A eligible on the census date, and who started their careers as independent researchers on or after 1 August 2016. For the purposes of the REF, an individual is deemed to have started their career as an independent researcher from the point at which:
 - a. they held a contract of employment of 0.2 FTE or greater, which included a primary employment function of undertaking 'research' or 'teaching and research', with any HEI or other organisation, whether in the UK or overseas, and
 - b. they first met the definition of an independent researcher (paragraphs to 49 to 51).
53. The REF Equality and Diversity Advisory Panel (EDAP) has identified qualifying as an ECR as a circumstance which may constrain the ability of staff to produce outputs (see paragraph 100).
54. Where individuals have voluntarily declared circumstances and indicated their consent, on the Staff Circumstances form, to be considered by the Staff Circumstances Panel, the

² This might normally indicate independence in cases where large research programmes have discrete and substantial work packages led by coinvestigators, which would be equivalent to a principal investigator role on a smaller grant.

assessments of the Research Independence Panels will be shared with the Staff Circumstances Panel to allow them to determine output reductions for ECRs alongside output reductions for other circumstances. Where a voluntary declaration has not been made and this consent has not been given, the decision of the Research Independence Panel will not be shared with the Staff Circumstances Panel, and will not be considered in relation to any possible output reductions.

55. A timeline for this process can be found at Appendix 6.

Stages of approval

56. All cases of research independence will be reviewed by the appropriate Research Independence Panels. The membership and responsibilities of these panels is set out in Appendix 3.
57. A summary of decisions by the Research Independence Panels about research independence and ECR status will be reviewed by the University Research Committee. Individuals will not be identifiable from this summary. University Research Committee will be able to recommend the decisions of the Research Independence Panels to University Executive Board or request a review if queries arise
58. University Research Committee will send the endorsed recommendations to University Executive.
59. University Executive Board will sign off the inclusion of independent research staff in the University's REF 2021 submission . Paragraphs 25 to 27 set out the University's no detriment policy in relation to the composition of our REF submission.

Appeals

60. Staff who are not deemed to be independent researchers may appeal decisions.
61. Formal appeals will be considered by an Appeals Panel chaired by the Pro-Vice-Chancellor (Learning and Teaching) with two senior academics who do not hold any other REF-related roles. Members of the Appeals Panel will not have a direct connection with the department or school where the appellant is based.
62. Appeals may only be made where due process, as set out in the Code of Practice, is believed not to have been followed. Only the following grounds for appeal may be cited:
 - a. The extent of the individual's research activity was not made known to the Research Independence Panel
 - b. Any other failure of due process
63. The academic assessments made by the Research Independence Panels cannot be challenged.

64. In each case, the University's original decisions may be either upheld or reopened.
65. Appeals will be considered in a two stage process as outlined in paragraphs 66 - 81. It is the responsibility of the individual to ensure their availability so that the prescribed time limits can be met and to keep their Head of Department (or designated alternate) and the Head of Research Information & Impact informed of changes in their contact details.

Stage One

66. Stage one involves a discussion between the appellant and the Head of Department (or designated alternate) and other relevant colleagues to clarify the grounds for the appeal.
67. To initiate stage one, the appellant should outline their grounds for appeal in writing, using the stage one template form provide on the University's REF web pages (<https://www.bath.ac.uk/guides/research-excellence-framework-ref/>). The form should be completed electronically and forwarded to the Head of Department (or designated alternate) and copied to the Head of Research Information & Impact.
68. Stage one appeal forms must be lodged within 10 working days of the written feedback and no later than 10th July 2020.
69. The Head of Department (or designated alternate) will invite the appellant to attend an informal meeting to discuss the case. The individual is entitled to be accompanied at the meeting by a friend, colleague or Trade Union representative. At the appellant's request the relevant UOA Lead and the Head of Research Information & Impact can be present during the meeting.
70. The outcome of the meeting should be logged on the stage one appeal form and signed by the appellant and the Head of Department (or designated alternate). A hard copy of the signed form must then be forwarded to the Head of Research Information & Impact.
71. If, at the conclusion of stage one, the individual is satisfied with the University's decision, no further action will be taken.

Stage Two

72. Stage two is the formal stage of the appeal process. The purpose of the formal appeal is to establish whether there has been a failure of due process in the determination of research independence. A formal appeal is lodged when the signed hard copy of the stage one appeal form is submitted to the Head of Research Information & Impact requesting to proceed to a full appeal.
73. The deadline for submitting formal appeal requests is 31 July 2020. No new appeals will be considered after that date.
74. Upon receiving a hard copy appeal form indicating that an individual wishes to proceed to a full appeal, the Head of Research Information & Impact will email the Chair of the Appeals Panel, the Head of Department (or designated alternate), the relevant UOA Lead(s) and the

appellant to confirm that a formal appeal has been lodged. Responsibility for coordinating the appeals process from that point will fall to the Chair of the Appeals Panel, with appropriate support.

75. The appellant will be invited to submit a statement reiterating the grounds for their appeal and to present any relevant evidence. The statement should be submitted to the Chair of the Appeals Panel by e-mail within 5 working days of the formal appeal being lodged.
76. The Appeals Panel will consider the written statement supplied by the appellant and will at its discretion call on advice from the relevant Heads of Department or School, UOA Lead(s), Internal Assessment Panel members, Research Independence Panel members. No interviews or hearings will be conducted as part of this Appeals process. The Chair of the Appeals Panel has complete discretion as to how the appeals are considered.
77. Should the Appeals Panel find that due process was not followed, it may request that the Research Independence Panel convene to reconsider the individual's research activity.
78. Membership of the Research Independence Panel convened in the context of the appeals process will be at the discretion of the Chair of the Appeals Panel. Membership will normally comprise the original panel members, or a subset thereof. An additional member may be nominated by the Chair of the Appeals Panel at their discretion.
79. Outcomes of the Research Independence Panel meeting will be in the form of a recommendation to the Appeals Panel and will provide the basis for a final ruling by the Chair.
80. The Chair of the Appeals Panel will notify the appellant of the outcome as soon as a final ruling is reached. This would normally be within 15 working days of the formal appeal being lodged. The decision of the Appeals Panel will be final and there will be no further review under this Code of Practice after the decision of the Appeals Panel.
81. The appeals process will be completed before a final selection of outputs for REF 2021 is made.

Selection of outputs

Output review process

82. The University of Bath recognises that there may be many reasons why individuals publish at different rates, and does not expect every member of eligible staff to contribute equally to the volume of outputs submitted.
83. Having satisfied the minimum requirement that every member of REF-eligible staff should be submitted with one output, the remaining outputs required in the pool will be selected with quality as the primary criterion.

84. The following procedures have been developed to ensure the fair and transparent selection of outputs. The internal assessments of outputs are academic judgements and as such are not eligible for appeal.
85. Outputs have been reviewed across the University during the REF period. During autumn 2019 / spring 2020 all UOAs will be asked to revisit and, where necessary revise, earlier reviews to ensure consistency of process with this Code of Practice. This review will be completed prior to decisions being made about outputs to be included in our REF submission.
86. Output lists for inclusion in REF reviews are generated from the University's research information system, Pure. All REF eligible staff are contacted by their UOA Lead in advance of REF reviews to encourage them to update their output information on Pure. Where possible all REF eligible outputs are reviewed. Where this is not feasible due to volume of publishing, individuals are asked to self-nominate their outputs for review.
87. The assessment of outputs for the early phase of our REF preparations was based on the REF2014 Panel criteria and working methods using the output assessment published criteria of originality, significance and rigour, (<https://www.ref.ac.uk/2014/pubs/2012-01/>). Outputs assessed after the publication of the REF 2021 Panel criteria and working methods (<https://www.ref.ac.uk/publications/panel-criteria-and-working-methods-201902/>) were assessed using the updated criteria.
88. Following an internal review, each output is assigned a grade between 0 and 12³. This internal assessment follows the method set out below:
- Each output is reviewed in line with the REF '[Panel criteria and working methods](#)' assessment criteria of originality, significance and rigour by a minimum of two senior members of the UOA, with each reader grading the output independently.
 - Output scores are not be determined by the use of journal impact factors, nor by any hierarchy of journals. No output is privileged or disadvantaged on the basis of the publisher, where it is published or the medium of its publication.
 - Citation data is used in internal assessments in line with the '[Panel criteria and working methods](#)' paragraphs 274 to 282. Citation data is only used in internal assessments in UOAs where REF panels will use this data. Internal reviews rely on expert review as the primary means of assessing outputs, in order to reach rounded judgements about the full range of assessment criteria ('originality, significance and rigour').

³ Internal grade	0	1	2	3	4	5	6	7	8	9	10	11	12
Mapped to REF grades in Pure	U	1-	1	1+	2-	2	2+	3-	3	3+	4-	4	4+
REF Star ratings	U	1*	1*	1*	2*	2*	2*	3*	3*	3*	4*	4*	4*

- d. If the two grades do not match, the UOA Lead asks the two readers to discuss the reasons behind their grade allocations and to agree an internal quality assessment that reflects their combined view.
 - e. In the event that no agreement between the two readers can be reached, the UOA Lead assesses the output and, having regard to the two existing sets of comments, determines the quality assessment. If the UOA Lead is one of the two original readers, an appropriate senior colleague is enlisted for this purpose.
89. Output grades from the internal review process will be made available to individuals following completion of the process outlined in paragraph 85. The grades will be made available via the University's Research Information System, Pure and individuals will be contacted by email with details of when and how they can see the internal grades. Arrangements will be made to ensure absent staff receive this information.

Output selection process

90. Outputs will be selected for inclusion based on the internal assessments reached using the process outlined in paragraph 78 - 84. In selecting outputs for inclusion in the REF 2021 submission the University will seek to optimise the quality of our submission.
91. In order to determine the pool of outputs for each UOA the following assignment process will be followed:
- a. Select the highest scored output per member of staff; this will form the one output per individual requirement for REF 2021.
 - b. Where this is a co-authored output and neither author has another output rated as highly, the assignment of outputs will be determined by the UOA Lead who should select the combination of outputs that give the strongest REF performance of the UOA.
 - c. The remaining outputs required by the UOA will be selected using the next highest scored outputs and assigning these to individuals, up to a maximum of five outputs per member of staff. The assignment of outputs will be determined by the UOA Lead who should select the combination of outputs that gives the strongest REF performance of the UOA.
92. Outputs from staff who have left the University but were on Category A contracts during the REF period are reviewed as part of this process. They are reviewed in line with the process outlined in paragraph 88. Where outputs are proposed for submission assigned to a Category B⁴ member of staff and the member of staff was made redundant, we will contact them to seek their agreement prior to including the output. Where no response is received we will assume that agreement has been granted and include the output in our submission.
93. The process for assessing outputs was developed based on our REF2014 preparations and the lessons we learned from these. The most significant lesson from our 2014 preparations

⁴ Category B staff are former staff who were previously employed on Category A contracts in the assessment period to whom outputs in the submitted output pool are attributed

was the benefits of the increased granularity gained by the use of the 13-point scale as used by the REF 2014 panels in assessing outputs. This approach allows us to select the outputs for our pool with greater levels of transparency and consistency.

94. Since REF2014 the University has also developed a statement of principles outlining our approach to research assessment and management, including the responsible use of quantitative indicators. These state that research assessment and management activities require expert judgement and we believe that quantitative indicators can frequently inform but never replace this expert judgement. Our REF preparations are carried out in line with these principles. The full set of principles are included as Appendix 9.

Stages of approval

95. The outputs selections for each UOA will go through the following approvals process:
- a. UOA level selection by UOA Lead
 - b. Faculty REF Panel review
 - c. Internal Assessment Panel review
 - d. University Research Committee review
 - e. University Executive Board sign-off
96. The membership and responsibilities of each of these groups is set out in Appendix 3.

Disclosure of staff circumstances

97. As noted in paragraph 82, the University of Bath recognises that there may be many reasons why individuals publish at different rates, and does not expect every member of eligible staff to contribute equally to the volume of outputs submitted.
98. The University's procedures relating to staff circumstances are aimed at ensuring that individuals are able to voluntarily declare their individual circumstances. All REF eligible staff will be invited to disclose individual circumstances that have affected the volume of research produced. To ensure that processes are applied equally to all applicable circumstances, including ECRs, the University will only consider circumstances that have been voluntarily disclosed via this route by the individual.
99. Information about staff circumstances will be used by the University to:
- a. remove the requirement for the minimum of one output where an individual is entitled to this reduction
 - b. 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
 - c. understand where the cumulative effect of individual circumstances has disproportionately affected a UOA's list of potential outputs.
100. The University will take into account 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. These circumstances have been identified by the funding bodies, with advice from the REF Equality and Diversity Advisory Panel (EDAP):

- a. Qualifying as an Early Career Researcher (ECR) (on the basis set out in '[Guidance on submissions](#)' paragraphs 148 and 149 and Annex L) (see Appendix 7).
 - 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 '[Guidance on submissions](#)' paragraphs 162 to 163 (see Appendix 7).
 - e. Circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in outputs, which are:
 - i. Disability: this is defined in the '[Guidance on codes of practice](#)', Table 1 under 'Disability' (see Appendix 2).
 - 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 '[Guidance on submissions](#)' in Annex L (see Appendix 7).
 - 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 (see Appendix 2), or relating to activities protected by employment legislation.
-
101. To enable individuals to disclose circumstances with confidence of the appropriate degree of confidentiality, we will manage this process centrally, through the specially established Staff Circumstances Panel.
 102. Strict confidentiality will be maintained at all times regarding information about individual circumstances. These will be known only to Human Resources, members of the Staff Circumstances Panel and handled in accordance with the University's Data Protection Guidance (Appendix 8) and EU General Data Protection Regulation (GDPR).
 103. In line with the principles of consistency and inclusivity, the information on individuals will be presented to the Staff Circumstances Panel with names and Departments removed.
 104. Members of the Staff Circumstances Panel will receive appropriate training, as set out in Appendix 3.
 105. The Staff Circumstances Panel will keep confidential records to evidence decisions and actions, always in accordance with GDPR.

106. All REF eligible staff will be contacted by email or post (for absent staff) by the secretary to the Staff Circumstances Panel, with support from the Human Resources Department, to invite them to complete an online form about their individual circumstances affecting the volume of research produced during the assessment period. The form is based on the template provided by Research England for this purpose (Appendix 5: form for disclosure of staff circumstances). The completion of the form is voluntary.
107. As stated in paragraph 98, the University will only consider circumstances that have been voluntarily disclosed via this route by the individual. No other data held centrally, locally or provided by units on behalf of researchers will be used to identify circumstances.
108. Sufficient information should be provided on the form to enable a judgement to be confidently formed, and the information provided must be based on verifiable evidence. Typically, the University will accept individual's self-descriptions of their circumstances.
109. In order to meet REF Audit requirements (https://www.ref.ac.uk/media/1164/ref-2019_04-audit-guidance.pdf), for those circumstances which are not classified as special category personal data we may use additional information to verify the information provided in the voluntary declaration. These circumstances are:
- a. Qualifying as an early career researcher (ECR).
 - b. Absence from work due to secondments or career breaks outside the higher education sector.
 - c. In UOAs 1–6, Category A submitted staff who are junior clinical academics.
110. For these types of circumstances we may use, for example, central employment records, contracts or secondment agreements for verification purposes only before the information is sent to be considered by the Panel.
111. For the purpose of declaring staff circumstances the initial population will be determined as those employed on 31 July 2019. The form will be sent out to all relevant staff in post on this date on or before 6 September 2019, to be completed online, by 11 October 2019, with reminders between those two dates. Any circumstance changes post-survey completion can be sent to REF2021@bath.ac.uk at any time. Alternative arrangements will be put in place for staff who are unable to complete the online form for any reason.
112. All new members of Teaching & Research and Research Only staff who join the University between 31 July 2019 and 31 July 2020 will be contacted by the secretary to the Staff Circumstances Panel. The secretary to the Staff Circumstances Panel, can also be contacted to obtain the form via e-mail on REF2021@bath.ac.uk
113. The Staff Circumstances Panel will review the received forms and will consider each case and the relevant REF guidance. The Panel will assess whether there are individual circumstances that have constrained an individual's ability to produce outputs or work productively throughout the assessment period, drawing on '[Guidance on submissions](#)' paragraphs 160 to 163.
114. Where individuals have voluntarily declared circumstances, and indicated their consent, on the Staff Circumstances form (see paragraph 54), to be considered by the Staff

Circumstances Panel, the assessments of the Research Independence Panels will be shared with the Staff Circumstances Panel to allow them to determine output reductions for ECRs alongside output reductions for other circumstances. Where a voluntary declaration has not been made and this consent has not been given, the decision of the Research Independence Panel will not be shared with the Staff Circumstances Panel, and will not be considered in relation to any possible output reductions.

115. The assessments of the Staff Circumstances Panel will be communicated to the individuals concerned by 28 February 2020.
116. For individuals joining the University after this date and on, or before, the REF 2021 census date of July 31st 2020, meetings of the Staff Circumstances Panel will be held in May and September 2020. Decisions from these meetings will be communicated within two weeks of the meeting.
117. A summary of the Staff Circumstances Panel decisions in each UOA will be communicated to the relevant UOA Lead.
118. Information relating to the circumstances declared will be communicated to the individual's Head of Department so that appropriate adjustments to workload can be considered. Individuals can request that this does not happen on the form.
119. The Pro-Vice-Chancellor (Research) will formally monitor the process for identifying individuals whose circumstances might need special consideration.
120. A timeline for this process can be found at Appendix 6.

Determining output reductions

121. As set out in the REF 2021 '[Guidance on submissions](#)', submitting UOAs may optionally request a reduction, without penalty, in the total number of outputs required for a submission. It is expected that requests will only be made where the cumulative effect of circumstances has disproportionately affected the unit's list of potential outputs.
122. To allow the University to determine what constitutes a disproportionate effect on a UOA's list of potential outputs, decisions from the Staff Circumstances Panel's meetings will be used. This information will be at an aggregate UOA level and individuals will not be identifiable from the information.
123. Once the Staff Circumstances Panel has reviewed all cases submitted by initial deadline of 11 October 2019, a report on the cumulative reduction recorded for each UOA will be prepared by the secretary to the Staff Circumstances Panel. This will be combined with data on the list of potential outputs for each UOA by the Head of Research Information and Impact.
124. In order to ensure a consistent approach, this combined report will be reviewed by University Research Committee who will use their judgement to determine which UOAs' lists of potential outputs have been disproportionately affected by a cumulative effect of circumstances.

125. Factors that will be taken into account will include:
- a. The proportion of staff in a UOA who have declared staff circumstances
 - b. The total number of outputs reductions recorded for a UOA as a proportion of the required pool
126. In addition, in all UOAs, an individual may be returned without the required minimum of one output without penalty in the assessment, where the nature of the individual's circumstances has had an exceptional effect on their ability to work productively throughout the period so that the staff member has not been able to produce the required minimum of one output.
127. Decisions relating to the removal of the requirement to submit one output will be taken by the Staff Circumstances Panel. These will be communicated to the individual as detailed in paragraph 107.

Stages of approval

128. All cases of staff circumstances will be reviewed by the Staff Circumstances Panel. The membership and responsibilities of this committee is set out in Appendix 3.
129. A summary of decisions relating to staff circumstances by the Staff Circumstances Panel will be reviewed by the University Research Committee. Individuals will not be identifiable from this summary data. University Research Committee will be able to recommend the decisions of the Staff Circumstances Panel to University Executive Board or request a review.
130. University Executive Board will sign off decisions relating to output reduction requests prior to submission to Research England.

Equality impact assessment

131. The University will conduct an on-going equality impact assessment of our preparations for the REF. This will comprise a thorough and systematic analysis of data on our potential submission to determine whether our REF procedure could have a differential impact on particular groups of eligible staff. Consultation with staff will be included as part of the process, as will information from the previous Research Excellence Framework.
132. The Funding Council has advised that the aim of the equality impact assessment is to enable the University to identify where discrimination may inadvertently occur within our REF processes and to respond by providing justification for the policy or practice within the constraints of the law or by taking actions to change the policy or practice. Equality impact assessment will also be used to identify where a particular policy or practice has a positive impact on the advancement of equality and apply as appropriate to other areas.
133. The equality impact assessment will include an analysis of data on two aspects of our REF preparations:

- a. staff whose outputs are eligible for selection in respect of all the protected characteristics for which data are available
 - b. where the determination of research independence is required in respect of all the protected characteristics for which data are available
134. An initial equality impact assessment, carried out in spring 2019, has informed the development of this Code of Practice. The equality impact assessment will be updated and reviewed by the University Executive Board at key stages of the REF preparation process, to ensure that any necessary changes to prevent discrimination or to promote equality are taken prior to the submission deadline. Any agreed action points which might emerge from an equality impact assessment will be taken into account in future stages of the process. The latest versions will be made available to academic staff on the REF intranet site.
135. The equality impact assessment will be published externally after the submission has been made.

Appendices

Appendix 1: Timetable for consultation on the Code of Practice

Meeting date	Meeting
<i>31st January 2019</i>	<i>Final guidance due from Research England</i>
<i>31st January 2019</i>	<i>Initial draft to URC</i>
<i>12th March 2019</i>	<i>2nd draft to University Research Committee</i>
<i>28th March</i>	<i>Consult with UCU</i>
<i>2nd April 2019</i>	<i>University Executive Board</i>
<i>10th April 2019</i>	<i>Senate – to review draft</i>
<i>15th April to 3rd May</i>	<i>Open consultation</i>
<i>2nd May 2019</i>	<i>Equality & Diversity Committee</i>
<i>16th May 2019</i>	<i>Paper on REF progress and development of Code of Practice received by Council</i>
<i>21st May 2019</i>	<i>Revised version to URC</i>
<i>21st May 2019</i>	<i>Revised version to UEB</i>
<i>5th June 2019</i>	<i>Final version to Senate</i>
<i>7th June 2019</i>	<i>Submit to REF Team at Research England</i>
<i>16th August 2019</i>	<i>Feedback received from Research England</i>
<i>10th September 2019</i>	<i>Revised Code to University Executive Board</i>
<i>12th September 2019</i>	<i>Revised Code to Senate by email</i>
<i>20th September 2019</i>	<i>Revised code submitted to Research England</i>

Appendix 2: Protected Characteristics⁵

Table 1: Summary of equality legislation

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

⁵ Taken from Guidance on codes of practice <https://www.ref.ac.uk/publications/guidance-on-codes-of-practice-201903/>

	<p>There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people generally, not a specific individual, carry out on a daily or frequent basis.</p> <p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p> <ul style="list-style-type: none"> • sensory impairments • impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy • progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer • organ specific impairments, including respiratory conditions and cardiovascular diseases • developmental impairments, such as autistic spectrum disorders and dyslexia • mental health conditions such as depression and eating disorders • impairments caused by injury to the body or brain. <p>It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.</p> <p>Equality law requires HEIs to anticipate the needs of people with disabilities and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a researcher's impairment has affected the quantity of their research outputs, the submitting unit may return a reduced number of outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances').</p>
<p>Gender reassignment</p>	<p>The Equality Act 2010 and the Sex Discrimination (Gender Reassignment) Regulations (Northern Ireland) 1999 protect from discrimination, harassment and victimisation of trans people who have proposed, started or completed a process to change their sex. Staff in HE do not have to be under medical supervision to be afforded protection because they are trans and staff are protected if they are perceived to be undergoing or have undergone related procedures. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.</p> <p>Trans people who undergo gender reassignment will need to take time off for appointments and, in some cases, for medical assistance. The transition process is lengthy, often taking several years, and it is likely to be a difficult period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole.</p> <p>The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a transsexual may commit a criminal offence if they pass the information to a third party without consent.</p> <p>Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with</p>

	<p>particular care.</p> <p>If a staff member's ability to work productively throughout the REF assessment period has been constrained due to gender reassignment, the unit may return a reduced number of research outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'). Information about the member of staff will be kept confidential as described in 'Guidance on submissions', paragraph 195.</p> <p>HEIs should note that the Scottish government recently consulted on, and the UK government is currently consulting on, reform of the Gender Recognition Act 2004, which may include streamlining the procedure to legally change gender.</p>
Marriage and civil partnership	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 as amended, individuals are protected from unlawful discrimination, harassment and victimisation on the grounds of marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and treatment in employment. The protection from discrimination does not apply to single people.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff who are married or in civil partnerships.</p>
Political opinion	<p>The Fair Employment and Treatment (Northern Ireland) Order 1998 protects staff from unlawful discrimination on the grounds of political opinion.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff based on their political opinion.</p>
Pregnancy and maternity	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 women are protected from unlawful discrimination, harassment and victimisation related to pregnancy and maternity.</p> <p>Consequently, where researchers have taken time out of work, or their ability to work productively throughout the assessment period has been affected, because of pregnancy and/or maternity, the submitting unit may return a reduced number of research outputs, as set out in 'Guidance on submissions', paragraphs 169 to 172.</p> <p>In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process.</p> <p>For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.</p>
Race	<p>The Equality Act 2010 and the Race Relations (Northern Ireland) Order 1997 protect HEI staff from unlawful discrimination, harassment and victimisation connected to race. The definition of race includes colour, ethnic or national origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their race or assumed race (for</p>

	example, based on their name).
Religion and belief including non-belief	<p>The Equality Act 2010 and the Fair Employment and Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination, harassment and victimisation related to religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived religion or belief, including non-belief. 'Belief' includes any structured philosophical belief with clear values that has an effect on how its adherents conduct their lives.</p>
Sex (including breastfeeding and additional paternity and adoption leave)	<p>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect HEI staff from unlawful discrimination, harassment and victimisation related to sex. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex.</p> <p>The sex discrimination provisions of the Equality Act explicitly protect women from less favourable treatment because they are breastfeeding. Consequently, the impact of breastfeeding on a woman's ability to work productively will be taken into account, as set out in 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'.</p> <p>If a mother who meets the continuity of employment test wishes to return to work early or shorten her maternity leave/pay, she will be entitled to shared parental leave with the father or her partner within the first year of the baby's birth. Partners may also be eligible for shared parental leave or pay. Fathers/partners who take additional paternity or adoption leave will have similar entitlements to women on maternity leave and barriers that exist to taking the leave, or as a result of having taken it, could constitute unlawful sex discrimination. Consequently, where researchers have taken additional paternity and adoption leave, the submitting unit may return a reduced number of outputs, as set out in 'Guidance on submissions', Annex L.</p> <p>HEIs need to be wary of implementing procedures and decision-making processes in relation to REF 2021 that would be easier for men to comply with than women, or vice versa. There are many cases where a requirement to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women.</p> <p>HEIs should note that there are now requirements under UK and Scottish legislation for public authorities (including HEIs) to report information on the percentage difference amongst employees between men and women's average hourly pay (excluding overtime).</p>
Sexual orientation	<p>The Equality Act 2010 and the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003 protect HEI staff from unlawful discrimination, harassment and victimisation related to sexual orientation. Individuals are also protected if they are perceived to be or are associated with a person who is of a particular sexual orientation.</p>

	HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived sexual orientation.
Welsh language	<p>The Welsh Language Act 1993 places a duty on public bodies in Wales to treat Welsh and English on an equal basis. This is reinforced by the provisions of the Welsh Language (Wales) Measure 2011 and the Welsh Language Standards (No 6) Regulations 2017.</p> <p>The arrangements for the assessment of outputs in the medium of Welsh by the REF panels are set out in 'Guidance on submissions', paragraphs 284 and 285.</p>

Appendix 3: Staff and Committees – roles and responsibilities

Group Name	Procedure for establishment	Membership	Role	E&D Training
University Executive Board	The University Executive Board is advisory to the Vice-Chancellor.	Vice-Chancellor; Deputy Vice-Chancellor; Pro-Vice-Chancellors International & Doctoral, Research and Learning ⁶ & Teaching; Vice-Presidents Implementation and Corporate Engagement; Deans (4); Directors of Finance, Policy & Planning, Human Resources, Communications and Commercial; Chief Marketing Officer	To advise the Vice-Chancellor on key decisions on preparations for REF 2021, including: <ul style="list-style-type: none"> • The broad lines of the project approach and timescales • The selection of UOAs in which to make submissions • The form and content of submissions • Key documents relating to staff selection and risk management It will receive recommendations from the University Research Committee for discussion and endorsement.	T1 T2 T3
University Research Committee	An established committee of the University. The Research Committee is responsible to Senate for the development of strategies to assist the University in meeting its research objectives	Pro-Vice-Chancellor (Research), Associate Deans (4), Director of Finance, Director of RIS, Head of Research Information, up to 6 members with significant research expertise appointed by Senate	To advise the Pro-Vice-Chancellor (Research) on strategic aspects of the work including recommendations to the Executive Board	T1 T2 T3
UOA Leads	Appointed by the University Research Committee and	A member of senior academic staff with significant research	To oversee preparations in relation to an individual submission by:	T1 T2 T3

⁶ The Pro-Vice-Chancellor Learning & Teaching will chair the appeals panel and therefore will absent himself from any discussions relating to REF selections

Group Name	Procedure for establishment	Membership	Role	E&D Training
	University Executive	experience for each UOA	<ul style="list-style-type: none"> • acting as a first point of contact for all work related to the UOA • interpreting discipline-specific guidance and requirements • collating, analysing and providing commentary on all relevant forms of qualitative and quantitative data considered for inclusion in a submission • oversee the review and grading of outputs proposed for submission • leading the drafting of textual parts of submissions and detailed decisions regarding their form and content, including recommendations relating to the submitted staff cohort 	
Internal Assessment Panels	Appointed by the University Research Committee and University Executive Board	<p>The Chair of the University Research Committee</p> <p>At least one additional academic member of the University Research Committee</p> <p>The relevant UoA Lead</p> <p>One other UoA Lead in an advisory capacity</p> <p>The relevant Dean and Associate Dean (Research) (or</p>	<p>To review submission in a UOA:</p> <ul style="list-style-type: none"> • report via the Chair to the University Research Committee; • co-ordinate the association of staff with UOAs and, where necessary, facilitate discussion between Unit of Assessment Leads on UOA transfers; • review Units of Assessment submissions in detail 	T1 T2 T3

Group Name	Procedure for establishment	Membership	Role	E&D Training
		Deans where multiple departments are represented in submissions to particular UoAs). The Head of Research Information & Impact	and make recommendations to Research Committee on the submissions; <ul style="list-style-type: none"> • Provide feedback to UOA Leads and Deans 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 and selecting outputs for inclusion in the submission; • Record the discussions and recommendation 	
Faculty of Science REF Advisory Group	Appointed by the Dean	Dean, Associate Dean (Research), Heads of Department, UOA Leads	To advise the Dean on faculty-wide issues relating to REF submissions	T1 T2 T3
Faculty of H&SS REF Advisory Group	Appointed by the Dean	Dean, Associate Dean (Research), Heads of Department, UOA Leads	To advise the Dean on faculty-wide issues relating to REF submissions	T1 T2 T3
Faculty of Engineering REF Advisory Group	Appointed by the Dean	Dean, Associate Dean (Research), and three academic members	To advise the Dean on faculty-wide issues relating to REF submissions	T1 T2 T3
School of Management REF Advisory Group	Appointed by the Dean	Dean, Deputy Dean, Associate Dean (Research), the Associate Dean (Faculty) and the REF Director	To advise the Dean on school-wide issues relating to REF submissions	T1 T2 T3
Research Independence Panels	Appointed by the Dean	Dean (Chair), one representative per Department in the	To collect and review information on research	T1 T2 T3

Group Name	Procedure for establishment	Membership	Role	E&D Training
		Faculty (Division in the School) who is a senior member of academic staff but not involved in REF decision making processes	independence, to assess whether individuals meet the research independence criteria and identify those who can be classified as ECRs.	T4
Staff Circumstances Panel	Appointed by the University Research Committee and University Executive	Two professors (one to chair), a mid-career academic, Academic Staff Development Manager, Director of Human Resources, Head of Equality, Diversity and Inclusion, Project Manager (Research) (secretary)	To collect and review information on staff circumstances, to assess whether there are circumstances that have constrained the ability of staff to produce outputs or to work productively throughout the assessment period	T1 T2 T3 T5
Appeals panel	Chair appointed by the University Research Committee and University Executive	Pro-Vice-Chancellor (Learning & Teaching) (Chair), 2 professors, to be nominated by Chair, Office of Policy and Planning (secretary)	To hear formal appeals and decide whether the University's original decisions should be upheld or reopened.	T1 T2 T3

Other individuals responsible for REF preparations

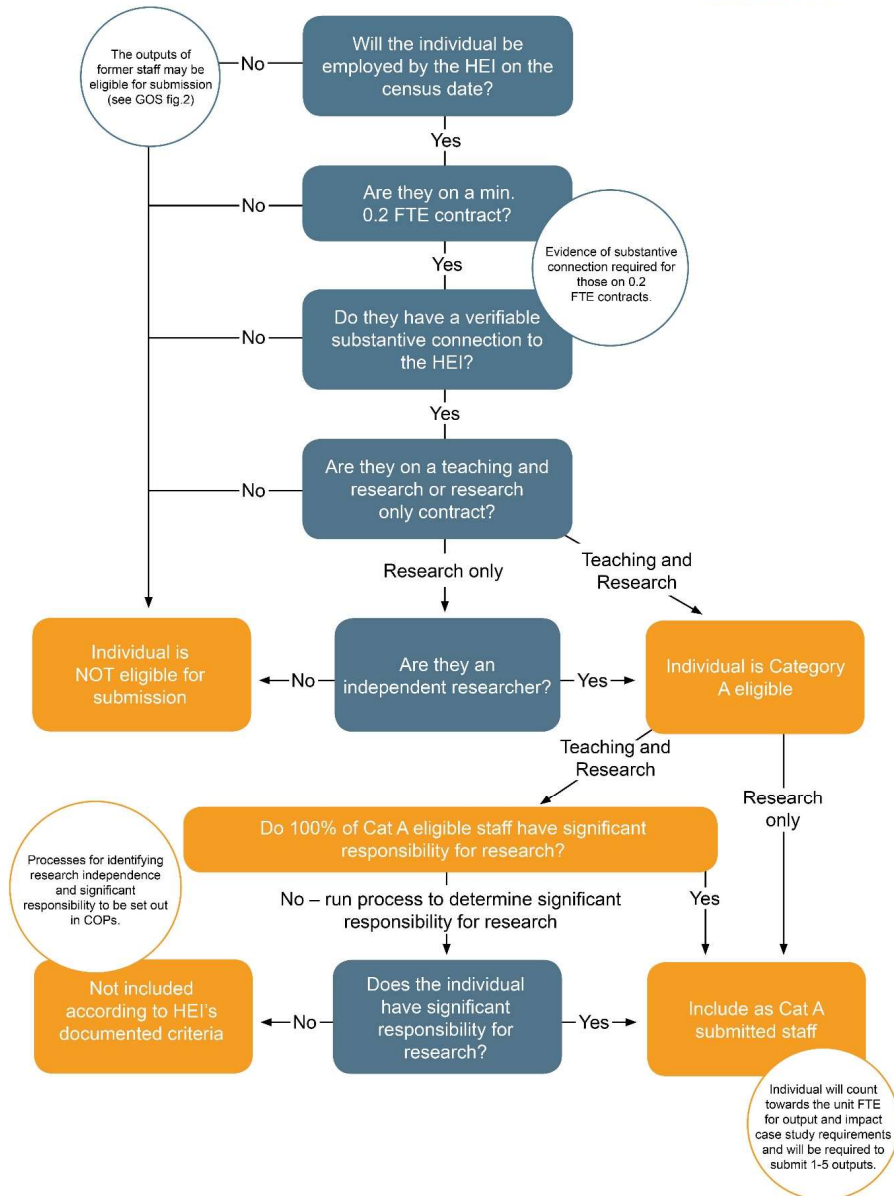
	Role	Equality & Diversity training
Vice-Chancellor	The Vice-Chancellor will confirm the REF 2021 submission, having regard to the advice of the Deans and the Pro-Vice-Chancellor (Research) as presented to the University Executive Board.	T1 T2 T3
Pro-Vice-Chancellor Research	To lead the University's REF submission, providing specific advice on interpreting and applying the Code of Practice as needed.	T1 T2 T3
Deans & Associate Deans Research	To lead the preparation of submissions at Faculty level	T1 T2 T3

	Role	Equality & Diversity training
Heads of Department	<ul style="list-style-type: none"> validating data from central systems at a departmental level (e.g. lists of eligible staff) working with UoA Leads to ensure that all eligible staff are considered for submission to the UoA 	T1 T2
Head of Research Information & Impact	<p>To assist in the preparation of submissions:</p> <ul style="list-style-type: none"> To project manage the REF submission To offer information and advice on submission construction To design and deliver appropriate training 	T1 T2 T3
Research Information & Impact Team	<p>To assist in the preparation of submissions:</p> <ul style="list-style-type: none"> To provide operational support for the preparation of submissions To offer information and advice on impact case studies 	T1 T2
Library Open Access Team	<p>To assist in the preparation of submissions:</p> <ul style="list-style-type: none"> To support Open Access compliance and checking of open access status of outputs To validate data on outputs on central systems 	T1 T2

Appendix 4: Staff eligibility in REF 2021

Staff eligibility in REF 2021

REF2021 Research Excellence Framework



Appendix 5: Form for declaring staff circumstances

PDF To be included here

Appendix 6: Timetable for determining research independence and reviewing staff circumstances

	Deadline	Responsible
Write to all REF eligible staff in post	06.09.19	Secretary to Staff Circumstances Panel and Research Independence Panels
Deadline for return of forms	11.10.19	Members of staff
Meetings of Research Independence Review Panels and Staff Circumstances Panels (dependent on numbers)	November 2019 December 2019 January 2020	Research Independence Panels Staff Circumstance Panel
Final date for communication of all decisions	28.02.20	Secretary to Research Independence Panels
Request outputs reductions from REF Team	March 2020	Pro-Vice Chancellor (Research)
Write to all new joiners	13.04.2020 13.08.2020	Secretary to Staff Circumstance Panel and Research Independence Panels
Meetings of Research Independence Review Panel (dependent on numbers)	May 2020 September 2020	Research Independence Panels Staff Circumstance Panel
Deadline for stage 1 appeals	10.07.2020	Members of staff
Deadline for stage 2 appeals	31.07.2020	Members of staff

Appendix 7: Staff Circumstances, including Early Career Researchers

(taken from Guidance on submissions: <https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>)

Early Career Researchers

148. ECRs are defined as members of staff who meet the definition of Category A eligible on the census date, and who started their careers as independent researchers on or after 1 August 2016. For the purposes of the REF, an individual is deemed to have started their career as an independent researcher from the point at which:
- a. they held a contract of employment of 0.2 FTE or greater, which included a primary employment function of undertaking 'research' or 'teaching and research', with any HEI or other organisation, whether in the UK or overseas, and
 - b. they first met the definition of an independent researcher (paragraphs to [131](#) to [133](#)).
149. The following do not meet the definition of an ECR (this list is not exhaustive):
- a. Staff who first acted as an independent researcher while at a previous employer – whether another HEI, business or other organisation in the UK or elsewhere – before 1 August 2016, with a contract of 0.2 FTE or greater.
 - b. Staff who first acted as an independent researcher before 1 August 2016 and have since had a career outside of research or an extended break from their research career, before returning to research work. Career breaks outside the HE sector are included in the types of circumstances where requests for output reductions may be made (see paragraph [160](#)).
 - c. Research assistants who would not normally meet the definition of an independent researcher, as set out in paragraph [129](#).
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.

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 leave²², or shared parental leave²³ lasting for four months or more, taken substantially during the period 1 January 2014 to 31 July 2020.

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

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

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

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

Combining circumstances

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

22. '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'.

23. '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.

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 8: University of Bath Data Protection Guidance

Data Protection Guidance

Guidance for staff and students on complying with the Data Protection Act

Guidance

All members of the University are responsible for ensuring compliance with the [Data Protection Act](#). The Information Commissioner can impose fines of up to £17 million on organisations for breaching the Act and serious breaches may also see individuals involved being prosecuted.

Managing data in compliance with the Act

There are three broad stages of processing data that you need to be aware of to ensure compliance with the Six Principles of the Act:

gathering data

keeping data

disclosing data.

Data Security

Keeping data secure is essential to complying with the Data Protection Act. Security is also essential when working off campus and on mobile devices.

Specific guidance

Responding to requests for information

The University has to respond to Subject Access Requests within one month. Follow our guidance for dealing with requests to help us deal with them efficiently.

Academic research

Academics who supervise students whose research uses personal data should be aware of exemptions to processing research data under the Act and the guidance they should give.

Photography and filming

Make sure you comply with the Act when taking photographs or making film recordings on behalf of the University or on campus.

Academic appeals

Guidance on the types of information that a student can request to help them gather evidence for an academic appeal.

Examiner comments and examination board minutes

Staff and external examiners should take care to understand what information for exam papers is available under a subject access request.

Personal references

Individuals may have the rights to see references which the University has written about them or received in respect of them.

Although references may be marked in such a way as to infer confidentiality, ('private & confidential' or 'for the attention of the addressee and the relevant interviewing panel only'), confidentiality can never be guaranteed.

If you are writing a reference you should assume that it may be disclosed to the Data Subject.

Gathering data

You must comply with the Data Protection Act whenever you gather or collect personal data for

University-related purposes. This includes data obtained for Academic Research.

There are three general rules of compliance that you should follow when collecting data.

Obtain consent

Limit the Personal Data you collect

Keep data secure

Obtain consent

Data subjects should be told in clear terms, preferably in writing, exactly what information is being collected, what it will be used for and to whom it may be released. A record should be kept to show that the individuals have consented to their data being processed under the Data Protection Act.

All University of Bath students and staff provide their general consent to their personal data being processed for certain, limited, necessary purposes:

[Data protection statement for student registration](#)

[Human resources data protection statement](#)

If you intend to collect data which is not covered by this general consent, or from individuals who are not students or staff, you must ensure that you obtain their permission.

If the data is going to include any sensitive personal data, specific consent in writing is needed.

For advice and sample consent wording email the [Data Protection team](#)

Limit the personal data you collect

Ensure you only collect personal data that is strictly necessary, especially sensitive personal data. Any irrelevant or excessive information should not be retained.

Keep data secure

All personal data gathered must be held securely. Use a computing services server to store data wherever possible. Don't put the data onto a mobile device unless it is secure - password protected and, where appropriate, encrypted.

Restrict access to data and maintain confidentiality by:

only allowing other staff to access the data if necessary

not transferring data to a third party unless you have consent

taking care not to lose data

ensuring data is kept securely, whether on or off campus.

Keeping data

If you have access to existing files or data you must follow the rules on keeping data to ensure that requirements of the Data Protection Act are met.

There are four general rules of compliance that you should follow when keeping data.

review the content of files and records

accuracy

relevance

fairness and access rights

keep data secure

maintain best practice in record keeping

limit access to data

only use data for the original purpose

keep files in a single location

only retain data for as long as necessary

Review the content of files and records

Accuracy

Files and other records containing personal data must be kept up-to-date and regularly checked for accuracy. Record any changes and delete any obsolete information.

Relevance

Only relevant and necessary information should be retained. Carry out the regular administration of files and records to remove duplicated materials and irrelevant information.

Fairness and access rights

Individuals have the right to see their personal data, including any comments about them. Opinions about individuals in documents should be justifiable and based on fact. It is permissible to give a reasoned, frank opinion about a student's work or behaviour, but not to express personal dislike or make any insulting or defamatory remarks. Do not record, however informally, comments you would not be happy for the Data Subject to see.

Keep data secure

All paper and digital records containing personal data must be held securely. You must take care to ensure that data cannot be accessed or viewed by anyone not authorised to do so. see our detailed guidance on data security and data security off-campus.

Maintain best practice in record keeping

Limit access to data

Access to personal data should be restricted to those staff who require access for legitimate business or operational reasons and used for the purpose(s) for which it was granted.

Exercise caution if you are asked by a third party to disclose personal data. It should not normally be disclosed without the consent of the individual.

Only use data for the original purpose

Personal data collected for one purpose may not subsequently be used for another without the individual's consent. For example, contact details collected on a course feedback form may not be used for a mailshot.

Keep files in a single location

All documents which may need to be referred to in order to carry out normal departmental business should be kept centrally in a single file.

Members of staff holding their own separate files can only be justified if it is in the interests of the student or other individual, for example where the information is particularly sensitive.

Private files should not be routinely kept so as to avoid duplication or fragmentation. Personal data should only be reproduced for specific purposes. Once the purpose is fulfilled the record should be securely disposed of.

Subject Access provisions apply to 'private' files in the same way as to any other records. Any additional or separate files maintained by personal tutors relating to students for the duration of a programme of study should be weeded after graduation.

Any material which might be needed for the completion of student references should be combined with the relevant central departmental student file. Storing selected work-related or staff records a home does not exempt them from the Subject's right of access.

Only retain data for as long as necessary

Personal data should not be kept for any longer than is necessary.

When a student graduates or leaves the university the departmental student file is closed. At some time during the next three years, student files must be thoroughly weeded and all records of no further use should be destroyed. Weeded student files must be retained permanently within the department or in the [University Records Centre](#).

When personal data is to be deleted or disposed of, ensure that confidentiality is maintained. Paper files should be shredded or put into confidential waste sacks.

Disclosing data

Individuals are entitled to see all information held about themselves, but personal data should only be disclosed to third parties under specific conditions.

If you are concerned about a request for data, email the [Data Protection team](#) for advice.

Be open with individuals

Wherever possible, be open with individuals in relation to information held about them. If an individual wants to make a formal Subject Access Request under the Data Protection Act, they should be referred to the Data Protection team or to our guidance on making a [Subject Access Request](#).

Take care with requests from third parties

Exercise caution if you are asked to disclose information about an individual to someone else, either within or outside the University.

You can pass on information to other members of staff if they legitimately require the information for their duties, but in most other cases you must not disclose personal data without the individual's consent. Even parents, spouses, friends, partners or sponsors are not entitled to information without the Data Subject's consent.

There are times when you can pass personal information about an individual to a third party. Staff in the [Student Records and Examinations Office](#) may legitimately disclose relevant data to appropriate third parties for purposes connected with a Student's studies or to meet statutory requirements. The member of staff dealing with the request will need to be satisfied as to the legitimacy of the enquirer's identity and request.

The University also receives requests for information from bodies such as the police and the Inland Revenue. If you routinely disclose such data as part of your job, you should first take steps to ensure that requests are genuine and legitimate. The Police have a standard form which they should use in connection with any requests for personal information.

All non-routine requests should be referred to the Data Protection team.

Disclosing information in an emergency

Personal information can be disclosed in an emergency. In such a situation, if necessary, personal information can be disclosed without consent. For example, if a member of staff or a student collapses and is unconscious, it would be permissible to inform medical staff that the individual suffers from diabetes.

You must not disclose information about an individual to any other enquirers, without written and signed permission from the individual to release their personal data.

Disclosing data to third parties

Exercise caution when dealing with requests for personal information from outside the University.

Disclosure formats

Personal data should only be disclosed over the telephone in emergencies. When personal data is

included in an email, the email should be password protected and where appropriate encrypted.

Requests from public and official bodies

When dealing with routine type queries from public and official bodies, such as Local Education Authorities (LEAs) or equivalent, you need to be convinced that:

the person is who he/she says he/she is

the enquiry is genuine

the student in question is clearly identified.

If in doubt as to the authenticity of the enquiry, seek advice from a senior member of [Student Records and Examinations office](#) or by emailing the [Data Protection team](#).

Unless you are familiar with named staff at bodies such as Local Education Authorities, it is advisable to ask for a main switchboard number to phone them back to ensure the legitimacy of a query.

Requests in writing should be on official headed paper. Keep a record of all telephone calls with any other correspondence and a copy of the outgoing letter.

Once the legitimacy of the request is established the requested information should be made available.

Requests from the police

The police do occasionally ask for personal data as part of an inquiry but they don't have the automatic right to receive information about our staff or students. You should not be pressured into handing over personal information. There is a special process to allow the police to access personal data for certain crime-related purposes. The request should be referred to the Data Protection team.

Requests from other third parties

You should not disclose any information about an individual without written and signed permission from the individual. Do not even confirm that a student is registered at the University. You can, without implying that a student of the name given is registered, agree to attempt to pass on a letter or message to them, but do not give out addresses or contact details.

If a third party claims that it is vital to have an answer or to contact an individual immediately, take their details and seek assistance from a senior member of [SREO staff](#) or the Data Protection team.

Third party processor

If the University has to disclose personal data to a third party, either for them to process data on our behalf (for example, to conduct a questionnaire for us) or as part of an agreement we have entered into with them (for example, sending student data to another institution about exchange students), the university must have a written contract in place with the other party.

The contract will ensure that the third party processor will only process the personal data in accordance with our instructions and will comply with the Data Protection Act. The Data Protection Officer can draft data sharing agreements when needed.

Sending personal data outside the European Economic Area (EEA)

The Act states that personal data should not be sent to countries outside the EEA which do not have an adequate level of data protection unless the individual consents or there is other good reason as set out under the Act, for example, for the performance of a contract between the individual and the University.

Consent from the individual should always be obtained before their personal data is sent outside the EEA.

Consent should be obtained before placing personal data on a website, as this may involve its transfer outside the EEA.

Examples of third-party requests

Former students

If you receive an enquiry from an individual claiming to be a former student of the University asking for a letter to confirm his or her status as a student, or details of an award, you should not proceed until you are convinced that the enquirer is who they say they are. Once this is established, then the letter can be produced as requested. You may include relevant dates of attendance if they are required. It is important to keep a record of any telephone calls of this kind with any other correspondence and a copy of the outgoing letter.

Requests from former students wishing to contact other students should be treated as any other request from an unknown third party. You can volunteer to try to forward a message to anyone who matches the details provided, which generally need to be more than just a full name.

Landlords

When receiving requests from landlords wishing to get in touch with a former tenant who may be, or have been, a student, you should not confirm that a particular individual is a registered student. You can volunteer to try and forward a message to anyone who matches the details provided, which generally needs to be more than just a full name.

Other universities

In response to forms sent directly by another university without any signed authorisation from the relevant student, staff may confirm on request the details of an award (degree type, subject, classification and date), but not more (dates of attendance) without the written authorisation of the former student.

If the form asks for more information than you are able to give, the appropriate sections should either be left blank or you can write a letter confirming the position in your own terms. If in doubt seek advice from a senior member of SREO staff or the Data Protection team.

Recruitment agencies and employers

Do not release information about students without a statement signed by the student authorising the release of data about them for a reference.

In response to a telephone enquiry or a letter, which does not enclose a signed authorisation from the student in question, staff members may confirm on request the details of an individual award (degree type, subject, classification and date) but no more (dates of attendance).

In response to a letter which does enclose a signed authorisation from the student in question, staff members may confirm on request the details of an award (degree type, subject, classification and date), and any further details covered by the written authorisation. If in doubt seek advice from a senior member of SREO staff.

Schools

If contacted by a school wishing to ascertain the outcome of a former pupil's University study you may confirm on request the details of the award (degree type, subject, classification and date) but not more (dates of attendance) without the written authorisation of the student.

If the individual in question has left the University prematurely you should not even confirm that he/she was a registered student.

Data security

Any information you access when conducting University business that pertains to living individuals is covered by the Data Protection Act. More stringent rules apply to sensitive personal data containing information such as a person's race or ethnic origin, religious beliefs or health.

The Act applies to personal data processed on campus and remotely on mobile devices, even if the device is your personal property. If you use a mobile device or home computer to access or save your University emails, there is likely to be personal data within those emails which falls under the Act.

Keeping data secure

The most common causes of data loss or leakage and breaches of the Act can be avoided by following our guidance.

Keep personal data secure

paper files should be kept in locked cabinets or locked offices when not being used and stored securely at the end of the day - not left on desks.

offices should be locked when left unattended (during meetings and lunch breaks).

always ensure that you log off from your computer when away from it.

password protection should be used for any electronic files/documents containing sensitive personal data.

take particular care when transferring personal data onto a memory stick, laptop or any other mobile device - use password protection and encryption where appropriate.

if you ever need to include sensitive personal data in an email use password protection or encryption where appropriate.

change your password frequently and adhere to the University's [IT Security Policy](#).

don't copy any personal data unless it is strictly necessary.

Restrict access to personal data

ensure the access to data is only granted to University staff who require it for legitimate purposes.

don't disclose personal data to other third parties.

avoid third parties seeing digital screens displaying personal data.

if you need to share data with a third party for business purposes contact the Data Protection team so that a data sharing agreement can be entered into with them.

Storing personal data

where possible, store/save personal data on a computing services server.

never store personal data, especially sensitive personal data, on a mobile or home computer unless it is strictly necessary and the device has been encrypted where appropriate.

don't store or transfer personal data where it could be lost or exposed (on unencrypted USB drives, mobile devices and laptops).

Dispose of personal data carefully

Shred paper files or dispose of them securely using the University's [confidential waste sacks](#).

If you store personal data on your own device you must securely erase all personal data on it before disposing of it.

Report data breaches

You must immediately [report breaches or potential breaches](#) as soon as you become aware of them.

This includes lost or stolen laptops, memory sticks or other mobile devices, and accidental disclosures of information, for example sending an email to the wrong recipient.

Data security off campus

The Act applies to all personal data that you use for University business, wherever that data is held. It includes personal data kept on mobile devices (laptop, tablet, phone) whether the device is your own or the University's.

When working off-campus, follow the points below. Don't take any personal data off-campus without

authority and having first considered security. You must adhere to the University's [IT security policy](#).

Email security

Only use your computing services email account for University business.

Working off-campus

Don't store data on mobile devices. Use remote access facilities ([UniDesk](#)), to access and store personal data, as it ensures that the data remains on a secure University server.

Taking data off campus

Reduce risks of a breach of the Act through data loss by:

limiting the amount of personal data taken off-campus - only take the data you really need

making and using a copy of your data rather than taking the original

anonymising data wherever possible to remove Sensitive Personal Data.

Use encryption and passwords

If you store or transfer personal data onto a mobile device or pc outside of the University's IT systems, ensure that password protection and encryption where appropriate are used.

[Contact computing services](#) for advice and assistance on keeping your data secure.

Take security measures

If you store personal data on a PC or device outside the University's IT systems, it should be as a short-term measure only. Keep a copy of the data on the University's IT system too, so that if a device is lost or stolen, you do not lose the only copy.

Store it on the University's IT system at the same time or transfer it there as soon as possible. In any event, the data should be deleted from the device/PC outside the University's IT system as soon as possible.

Make sure that any mobile device you use is adequately protected against viruses.

Take special care when transporting personal data to and from your home and when using public transport.

Avoid keeping sensitive data on mobile devices.

Responding to a request for information

Any staff member who receives a request for information, which they believe to be a request for data under the Data Protection Act, should immediately forward the request to the [Data Protection team](#).

You should pass on all such requests where any person is essentially asking for information about themselves, even if they do not mention the Data Protection Act. The exception is where the request is for information that would normally be released as a matter of course, such as a request by a student for a copy of their academic transcript.

Photography and filming

Images of individuals, whether in still photographs or moving film images, will often be caught by the definition of personal data in the Data Protection Act. In many cases, consent from the individuals will need to be obtained in order to process (capture and use) the images fairly and lawfully.

If you are unsure as to whether the Act applies to the photos or film that you plan to take, get advice from the Data Protection team.

Consent and location forms

Taking and using photographs or film footage of people without their consent could constitute a

breach of the Act. If an individual objects to the display of their photograph, then it must be removed. Before taking photographs or filming for University purposes, please follow our guidance and use these forms where appropriate.

[Consent form to photograph/film an individual \(adult subject\)](#)

[Parent consent form to photograph/film an individual \(child subject\)](#)

[Lecturer's consent form for filming/photography \(internal university use only\)](#)

[Lecturer's consent form for filming/photography \(external audience\)](#)

[Consent form for filming/photography for audience participant](#)

[Visiting speakers/lecturer's consent form for filming/photography \(internal university use\)](#)

[Visiting speakers/lecturer's consent form for filming/photography \(external audience\)](#)

[Location Notice Warning form](#)

Special arrangements may be made for students with specific learning needs to allow them to record lectures for their own use. Please contact [Student Services](#) for more information.

Withdrawing consent

An individual captured in an image can withdraw their consent even after having signed the consent form. Any such withdrawal should be in writing.

Once consent is withdrawn, the University cannot use the relevant images again, but it will not normally be possible to recall documents in which the image has already appeared.

Photographing and filming on campus

As the university is accessible to the public, areas such as the parade will be considered to be public areas, and you should be able to film or take pictures there which incidentally capture passers-by in the background, without the need to get their consent. However, you should still attempt to display our [Location Warning Notice](#) for filming/photography.

Photographing and filming individuals or small groups

Consent must always be obtained from people whose images are the focus of the photograph or film. For example, an academic being interviewed or photos of individuals being taken for a department noticeboard.

Where a photograph or film involves individuals other than the main subject, then in some circumstances their consent will also be needed. To ensure compliance with the Act:

make sure all those involved are happy to be photographed or filmed and understand how the images/film will be used and for what purpose

get all individuals to complete our [personal consent form](#), (you may need to adapt it for your particular purpose)

obtain permission from the parent or guardian of any under 18s are involved (see [Parental Consent form](#)).

Photographing and filming large groups such as lectures

If you are filming or taking pictures of a lecture delivered to a large group of registered students as part of their course of study, it is not normally necessary to ask all those in attendance to complete a consent form.

However, if it is a public or one-off lecture or it is to be made available on the web you need to consider both copyright and consent issues.

Copyright

get the presenter to sign the consent form prior to recording. They must ensure that they do not include in their presentation any material which belongs to a third party, unless they have permission or a licence to do so.

the [consent form](#) also permits the university to use the lecture content and any of the lecturer's performance rights.

if any students or members of the audience participate in the lecture, for example, if they deliver a presentation they also need to sign the consent form to licence copyright and performance rights.

Consent

display a warning notice to flag up that photography and filming is going to be taking place.

verbally tell all those present that you will be photographing or filming in the group, before starting to do so, so that any individual who wishes to opt out may leave or move to the back, if appropriate.

offer the individuals present in the audience the opportunity to set somewhere where they will not be filmed.

Copyright assets

Photographs, film, sound recordings and still images are all protected by copyright. The University is the owner of copyright in recordings it makes but our academics own copyright in their scholarly output and this includes the underlying lecture material (such as PowerPoint Slides) and the content of the lecture (when fixed by a recording). The University has the automatic right to use those copyright works for its legitimate purposes. You must ensure that any third party material captured in the course of filming or taking photographs does not breach copyright, by being satisfied that the University is permitted to use such material for this purpose.

The University holds a licence which permits limited use of certain copyright material, for example, to distribute copies to registered students. But there is no blanket licence which would allow recording of all copyright material.

Storing photographs and film recordings

All photos or recordings which contain personal data will need to be treated in the same way as personal data held in other formats. They need to be kept securely and disposed of securely when no longer required, in accordance with our guidance on Data Security.

Since photographs may reveal details of the subject's race and ethnic origin they are classified as Sensitive Personal Data. Generally, photographs should only be used and retained where strictly necessary.

Academic research

Academics involved in supervising students whose work uses personal information have a duty to ensure that their students are aware of the requirements of the Data Protection Act, specifically:

the need to obtain consent of the Data Subjects of the research

the need to ensure all personal information received is held confidentially and securely

the fact that results must be anonymised and not identify individual research participants.

Academics should follow our guidance to ensure compliance with the Act.

Email questions to dataprotection-queries@lists.bath.ac.uk or contact the team directly.

Obtaining consent

Participants in research projects must be told in clear terms, preferably in writing:

exactly what information is being collected

what it will be used for

to whom it may be released

whether and in what form the data will be published.

The individual must be asked to sign a statement agreeing to the use of their personal data for these

purposes. Contact the Data Protection team for advice on the wording of such a statement. If research data is being supplied by a third party source, such as a GP, it is important to check that they have secured permission to supply any personal data to the University.

Collecting data

Researchers need to ensure that they only collect personal data that is strictly necessary for the research being undertaken, in line with our guidance on gathering data. Unless necessary for the research, details such as names and addresses must not be collected at all.

Data security

It is vital that all personal data being used for research is held securely and that access is restricted to the staff or students engaged in the research.

If any data is to be processed by, or shared with a third party, that third party will need to enter into a written agreement with the University to ensure compliance with the Data Protection Act. Contact the Data Protection team for assistance with the wording of this agreement.

It is important that data security is considered if any data is to be processed or taken off-site or kept on mobile devices.

Publishing results

Researchers must ensure that the results of the research are anonymised when published and that no information is published that would enable a Data Subject to be identified.

Exemptions from the Act

There are exemptions to the general rules on data protection that apply to academic research.

Further processing of personal data

Personal data which has been collected for one piece of research can be used for other research without breaching the Act.

However, this only applies to research data that is:

not being used to "support measures or decisions with respect to particular individuals"

not processed in such a way that is likely to cause substantial damage or distress to the relevant individual.

Retention of personal data

Personal data collected in connection with research can be kept indefinitely so that research can be reconsidered or the data re-analysed at a later date.

Subject access requests

Research data collected must be anonymised or the usual rights of the Data Subject to view information held about them will apply.

Individuals whose personal data is being used in research do not have the right to see their data or be supplied with details of it, provided that the results of the research or any resulting statistics do not identify the individuals concerned.

Academic appeals

Academic appeals are an opportunity for students to apply for a reconsideration of a decision made by the Board of Studies in relation to a degree classification, failure or academic progression.

When students provide written evidence or other documentation they consent to the evidence or information being disclosed to those involved in the appeal.

If the appeal centres on complaints about the quality of the academic supervision and the student submits written evidence, this will need to be put before the supervisor concerned, to give them an

opportunity to properly rebut any specific points raised.

Information students can request

Students can ask to see copies of information which relates to them, including:

examiner's reports

comments written by examiners on reports or other documents

minutes of meetings of the relevant examination board.

Such documents will normally be provided to any student who submits a Subject Access Request. They can also be disclosed following an informal request so long as their disclosure does not involve divulging personal data relating to any third party. In many cases, it may be necessary to take steps to anonymise some documents, such as a mark list which includes the names of other students.

Academic appeal request

Requests by students for information they need in order to support an Academic Appeal can be made verbally, by email or in writing to the relevant person, which will be a Departmental Administrator, Director of Studies, Personal Tutor or Head of Department. A record of the request and the response to it must be kept on the student's file.

A student should normally be given the information about them that they are entitled to see within a reasonable time of making a request to the relevant person. If, however, the person receiving the request is unsure whether the information should be released or if the information contains references to other persons, the student should be asked to contact the Data Protection team to make a formal request for the information.

Disclosure of email

If members of staff store their emails discussing Academic Appeals then they will be disclosed to the student if they request to see them. Staff should ensure that what they write in emails is truthful and balanced. Care should always be taken to print out important and relevant emails which should be held on the relevant students' file.

Disclosure of minutes

If a student requests to see any such minutes they will normally be entitled to have a full copy provided to them.

If the minutes contain personal data of a confidential nature relating to a third party, it may be necessary to provide the student with an amended, anonymised version of the minutes.

Personal notes made by the appeal sub-committee

It is University procedure for all personal notes to be destroyed as soon as the meeting has finished and/or the formal minutes are approved. Students will have to rely on copies of the formal minutes.

Data protection and exams

There is a range of information that a student can request under the Act. Staff and external examiners must take care to understand what information can be made available under a Subject Access Request.

Examination scripts

The examination scripts themselves, particularly the information recorded by candidates in exams, are exempt from disclosure under the Act. However, if examiners record any comments on the scripts themselves, they can be disclosed if the student makes a Subject Access Request to see them.

Internal examiner's comments on examination scripts and assessed work must be intelligible,

appropriate and capable of being copied for a Data Subject.

Students may also ask to see examination marks, but if the request is made before the examination results are publicly announced, the timescale for responding to the request is extended, normally to 40 days from the date the results are publicly announced.

Examination board minutes

Minutes of examination boards and other boards that contain a record of discussions about students, for example, IMC panel meetings are subject to disclosure if the student makes a Subject Access Request to see them.

It may be necessary to redact the data to prevent details pertaining to other students from being disclosed before the data is released.

Publishing results

All departments must ensure that exam and assessment results are only disclosed to the student themselves.

If you intend to publish any lists publicly, for example on a noticeboard in a department, you will need to ensure that the data is published in an anonymised form.

Never publish results where third parties can see them, such as on the internet. Never disclose examination or assessment results over the telephone unless you can properly identify the student.

Appendix 9: Principles of research assessment and management

The principles that outline our approach to research assessment and management, including the responsible use of quantitative indicators.

In an increasingly competitive external environment, research assessment and management is a necessary activity. The University of Bath undertakes research assessment and management at various levels including: whole university, department/school, research group, and individual researchers. These assessment and management activities require expert judgement and we believe that quantitative indicators can frequently inform but never replace this expert judgement.

The University has developed the following set of principles outlining its approach to research assessment and management, including the responsible use of quantitative indicators. These principles draw upon the Leiden Manifesto and the Metric Tide. They are designed to encapsulate current good practice and to act as a guide for future activities.

All research assessment and management at the University of Bath is:

Centred on expert judgement

Research assessment and management at the University of Bath is based on expert judgement. Criteria and/or indicators used must be carefully chosen in light of the purpose of the assessment and context (which may include external evaluations of the University's research). Where appropriate, quantitative indicators can be used to inform judgements and challenge preconceptions, but not to replace expert judgement.

Set in the broader environment

Those undertaking research assessment and management must be aware of the possible consequences of these activities for behaviour. The potential for research assessment and associated metrics to reflect or introduce bias (e.g. gender) must be addressed. The University of Bath expects everyone involved in research assessment, whether as assessor or assessee, to behave with integrity and to conform to the University's Code of Good Practice in Research Integrity.

Supported by reliable data

Where used, quantitative data sources are selected for their reliability (i.e. accuracy, quality, transparency and coverage). Any limitations inherent in data sources must be explicitly acknowledged. The aim is to avoid placing undue significance on quantitative differences out of context. Research quality is multifaceted and cannot be captured by a single indicator used in isolation.

Tailored: one size does not fit all

Disciplinary differences in research inputs, processes and outputs have to be taken into account. Any disciplinary biases in indicators used must be explicitly acknowledged and addressed.

Research assessment and management activities should also be tailored to the scale of the research activity being assessed. Particular caution is needed when interpreting quantitative indicators in small scale assessments such as the assessment of an individual researcher.

Transparent

Assessment criteria and any quantitative data used must be transparent and available (on request) to those being assessed. Those conducting assessments must disclose the data sources used and ensure that researchers can review and correct data about their work.

Activities that do not conform to the principles

Individuals who are concerned about any practices at the University of Bath failing to conform to these principles should contact the Pro-Vice-Chancellor for Research.