

UNIVERSITY OF DERBY

Code of Practice for the Selection of Staff to be Submitted to the Research Excellence Framework 2021¹

Part 1: Introduction

1. The Research Excellence Framework (REF) is a system for assessing research carried out across the UK higher education sector. The second REF exercise will be conducted in 2021 (the first was carried out in 2014). The REF is conducted jointly by the four funding bodies for higher education in the UK and managed on their behalf by the REF Team. The funding body for England is Research England (RE). The exercise will produce assessed outcomes for each of the participating institutions which will be used, in part, by the four HE funding bodies to inform the selective allocation of their grant for research (QR funding), with effect from 2022–23.
2. As in previous exercises, REF2021 is based on expert peer review, through a series of panels for each of 34 Units of Assessment (UoA), overseen by four main panels (A, B, C and D). For each submission, three distinct elements are assessed: the quality of outputs (for example, publications, performances, and exhibitions), their impact beyond academia, the impact of pedagogic research within the institution and the environment that supports research. This exercise differs from REF2014, in that there has been a determined effort to “decouple” staff and outputs, in that it is the Unit of Assessment as a whole which is returned and individuals are not identified. This is intended to provide increased flexibility to institutions in building the portfolio of outputs for submission and to minimise the potential negative effects on staff that was an unintended consequence of previous exercises.
3. The University values the contribution of all staff, whether this is through teaching, research, support for professional practice, knowledge exchange or enterprise. Engagement in the REF represents one aspect of the contribution that staff may make that is no more or less valid or valued than any other contribution. For the University of Derby, REF2021 is part of an integral approach aligned to the outcomes of the Teaching Excellence Framework, Knowledge Exchange Framework, National Students’ Survey and Research Excellence Framework all of which are classified as equal importance. Thus, REF, TEF and KEF are synergistic and our ambition for REF2021 is to improve on the University’s performance from REF2014.
4. Every institution making a submission to the REF 2021 that is not intending to submit 100% of eligible staff is required to prepare and submit a code of practice to identify staff participating in the exercise. It must ensure that the code of practice is implemented in full, in strict accordance with the legislative context set out in the Equality Act 2010 (the relevant legislation is set out in Appendix 1) and provide confirmatory evidence. This document sets out the Code of Practice which describes the measures that have been put into place to select staff whose outputs will be included in the University’s submission to the REF 2021 in ways which are fair,

¹ This code of practice provides the overreaching detail of both the Code and working practice. If this document is approved the University will provide a concise code for Part 2 of this document with embedded links to the detailed information to support staff. We would be happy to share this with the Research England.

equitable and transparent.

5. This document has been prepared with advisory input from the University's Head of Equality, Diversity and Inclusion. It has been considered and agreed by the Research Excellence Framework 2021 Steering Committee (the REF Steering Committee), with input from the University Professorial Council, the University Equality and Diversity Committee, the University Research Committee, the Extended Vice Chancellor's Executive, the Academic Board and the Governing Council.
6. This document is due to be submitted to the funding bodies' REF Team by 12 noon on 7th June 2019. The funding bodies' REF Equality and Diversity Advisory Group will consider it and check that the code of practice is lawful and complies with the guidance provided by the funding bodies' REF Team set out in the documents *Guidance on Codes of Practice*² (January 2019) and *Guidance on Submissions*³ (January 2019). In developing this Code, the University has taken account of the REF Equality and Diversity Advisory Panel's report on good practice⁴, published in 2012, and also Professor Diane Berry's open letter to the sector of January 2018⁵.
7. The University's commitment to diversity and inclusion is encapsulated in the Equality, Diversity and Inclusion Policy (see Appendix 2) and set out in greater detail in the Equality, Diversity and Inclusion Strategy (see Appendix 3). In addition to the Equality, Diversity and Inclusion Committee, which reports to the University Executive and Governing Body, six sub-groups and staff networks are supported:
 - Disability Co-ordinators' Group
 - Race Equality Group
 - Lesbian, Gay, Bisexual and Transgender + ALIES Group
 - Gender Equality Group
 - Aurora Leadership Network
 - Academic Equality and Inclusivity Group⁶
8. Following REF2014, the University has actively promoted the development of a strong research culture throughout the University and/or enhanced the impact of the research being undertaken. Examples of the initiatives put in place include:
 - New University Research Centres, supported by new professorial appointments, have been created to provide focus and support for research areas linked to the University's strategic research themes of health and wellbeing, smart cities and communities and social and educational policy

² *Guidance on Codes of Practice*, REF2019/03 https://www.ref.ac.uk/media/1086/ref-2019_03-guidance-on-codes-of-practice.pdf

³ *Guidance on Submissions*, REF2019/01 https://www.ref.ac.uk/media/1092/ref_guidance_on_submissions.pdf

⁴ *Research Excellence Framework: Codes of Practice on the selection of staff, A report on good practice by the Equality and Diversity Advisory Panel (EDAP)*, October 2012

⁵ *Open letter to the UK Higher Education sector on equality and diversity in REF 2021*, Professor Diane Berry OBE, January 2018

⁶ This is a new group set up in October 2018 replaces the previous Inclusive Derby group to focus attention on learning, teaching, curriculum and extra/co-curriculum activity. The remit of the group is to ensure that there is an embedded equitable and inclusive approach in these areas.

- Our Researcher Development Programme, introduced in 2015/16, aims to support the training needs of researchers through a combination of workshops and seminars, invited speakers and online learning resources. The programme is grouped into the following themed sessions: Research Café (informal sessions showcasing current research from around the university open to all staff and postgraduate students), supervisor training for new and existing supervisors, bid support and research practice. In preparation for REF2021, sessions designed to promote REF awareness have been introduced to the programme.
 - An Early Career Researchers' Forum and the University Professorial Council have been created.
 - The establishment of an annual University Research Conference, an annual Research and Innovation Conference and an annual Postgraduate Research Conference.
 - The MRes degree (for example, in Social Sciences and Humanities) has been redesigned and is available to all staff.
 - Dedicated posts in Library Services have been created to support researchers including a Repository and Open Access Librarian and Research Liaison Manager and a Bibliometrics Working Group has also been established.
 - New posts have been created within schools to support the drafting of research funding bids.
9. In accordance with the REF2021 Guidance, this Code of Practice demonstrates the University's adherence to the principles of transparency, consistency, accountability and inclusivity. Examples of the ways in which these principles are lived out in our policy and practice include:
- a. **Transparency**
 - i. All processes for identifying eligible staff who have significant responsibility for research, determining who are independent researchers, and for selecting research outputs for inclusion in the REF2021 submission are aligned to the *Guidance on Submissions*.
 - ii. The communications plan includes multiple formats for enabling staff to remain informed throughout the University's preparation of its REF2021 submission (including all-staff emailing, articles for the University's digital newsletters, *Derby Daily* and *Inform*, presentations, blogs and so on).
 - iii. Every effort will be made to ensure that staff who are absent from the University (for example, by reason of family leave, secondment or long-term ill-health) are informed of the REF in general and this Code of Practice in particular. Colleagues will differ in how much or how little information they wish to receive and the frequency and format of communications will be agreed on an individual basis.
 - iv. In the Mock REF exercises in 2018 and 2019, colleagues were encouraged to self-assess their outputs.

- v. To ensure that everyone is aware of REF2021, all academic staff were asked whether they wished to be considered for inclusion in the University's submission.

b. Consistency

- i. The University's REF Steering Committee agreed guidance for the conduct of each Mock REF exercise (2018 and 2019). This guidance was approved by the University Research Committee and ratified by the Academic Board. The guidance was followed by the internal panels and external panels in every Unit of Assessment.

c. Accountability

- i. The University's selection processes will be undertaken in accordance with this Code as illustrated in the workflow diagrams included on pages 10 and 13 which will be consistent across the University and implemented uniformly.

d. Inclusivity

- i. The University has worked hard to promote awareness of REF2021 through the creation of a dedicated REF website, regular blog posts, roadshows and articles in staff bulletins and newsletters.
- ii. Units of Assessment put in place arrangements to encourage as many colleagues as possible to submit output to the Mock REF exercises, either by a general invitation or as part of the development of individual research plans.
- iii. In one particular area, it seemed likely that colleagues would be returned under a single Unit of Assessment (3) but structures were put in place to enable a return under two (3 and 4), with a final decision being deferred for as long as possible, so as not to disadvantage individuals. Informed by the 2019 Mock REF exercise, the Academic Board agreed to submit returns to UoA 3 and UoA 4.

10. In recognition of the importance of the information contained in this Code of Practice on the selection of colleagues for inclusion in the University's REF2021 submission, this document has been circulated in the following ways:

- a. Discussed and agreed by the REF Steering Committee which includes all Unit of Assessment Leaders and Advisors
- b. Sent to the PVC Deans and Heads of UDOL (University of Derby Online Learning) and CELT (Centre for Excellence in Learning and Teaching)
- c. Discussed by the directors of the Research Centres and the Heads of Research Groups across the University
- d. Circulated to members of the Academic Board and Governing Council
- e. Publicised in the University staff newsletter *Inform* and also the daily staff digital bulletin *Derby Daily*
- f. Placed on the University intranet web site for the REF 2021
- g. Presented in REF Workshops open to all staff by URKEO led by the Dean of Research

11. Roles and responsibilities for key decisions:

- a. The Vice-Chancellor has formal institutional responsibility for the REF submission.
- b. The Dean of Research and Unit of Assessment Leads have delegated authority from the Vice-Chancellor for managing the institutional preparations for and submission to the REF. The Dean of Research and Vice-Chancellor will take the final decision on the submission in consultation with the Chairs of the College Research Committees and PVC Deans.
- c. The University's Research Committee oversees all research activity across the University and reports to the Academic Board. REF update is a standing item on the agenda for each meeting of the Committee (and of the College Research Committees). The Committee's terms of reference are included at Appendix 4.
- d. The REF Steering Committee, chaired by the Dean of Research, consists of Unit of Assessment Leads, representatives of Professional Services divisions and other staff co-opted as required to make preparations for the REF. The Committee reports regularly to the University Research Committee. The Committee's terms of reference and composition are included at Appendix 4.
- e. Pro Vice-Chancellors/Deans of College/Directors delegate their college responsibility for research to the relevant College Research Committees which provide strategic insight and governance for all research-related activity in their college. The terms of reference of the College Research Committees are included at Appendix 4.
- f. Unit of Assessment Leads, working closely with the College Research Committees where appropriate, ensure that all research-active colleagues have the opportunity, in an equitable and fair manner, to submit outputs for consideration by the REF audit.
- g. Unit of Assessment Leads (and Deputies) have been appointed for each Unit of Assessment that the University intends to submit to REF2021. They are responsible for ensuring that:
 - i. when a REF audit takes place all relevant staff have the opportunity to submit outputs for consideration by the Unit of Assessment Internal Review Panel and that reviews are conducted in an equitable and fair manner;
 - ii. following reviews, the outcomes are communicated to members of colleagues appropriately; and
 - iii. co-ordinating the development of impact case studies and the development of the UoA environment statement;
 - iv. making final recommendations to the Dean of Research for the ultimate REF return.
- h. College Deans, Heads of School and Heads of other business units (for example, Buxton) have delegated responsibility for overseeing the arrangements for Academic Workload Planning (AWP) in their area. Chairs of the College Research Committees and Unit of Assessment Leads make recommendations with regard to research time allocations within the AWP. College Deans, Divisional Heads and Heads of other business units (for example, Buxton and CELT) also have delegated responsibility to ensure that

arrangements for Development and Performance Reviews in their area support the research aspirations of academic colleagues.

- i. Internal Review Panels assess submitted outputs and select the sample to be sent to externals. Panel membership is reflective of the Unit of Assessment and determined primarily according to experience in peer review including reading and assessing a wide range of outputs and types, but diversity of panel membership is also considered. All outputs are read internally and given a rating according to that review, moderated by external review as described in the next paragraph.
- j. External assessment provides another tier of evidence for the internal peer review process. External assessment is used to judge outputs where the decisions on rating outputs are not clear-cut, as well as to provide independent validation of the internal assessment. External assessors (who are, in the main but not exclusively, past RAE/REF panel members) have been selected and agreed within the Unit of Assessment by the Unit of Assessment Leads (in consultation with the PVC Dean) and appointments have been confirmed by the Dean of Research. They are asked to comment on the star rating of outputs (not the individual), the proposed case studies and draft environment statement. They will not be given any information relating to individual staff circumstances.

Part 2: Identifying staff with significant responsibility for research (SRR)

Policies and procedures

12. Eligible staff are defined in the REF Guidance 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'.

13. However, there has been an acknowledgement by the funding bodies' REF Team that, in some institutions, these criteria may identify staff who do not have significant responsibility for research (SRR). This is the case at the University of Derby and we have developed the criteria and processes set out in this section to identify those colleagues who do have SRR and who must, therefore, be included in our REF submission.

14. Staff who are employed on teaching and research contracts of at least 0.2 FTE must meet the criteria for having SRR to be included in the return.

- a. SRR comprises those for whom research is "an expectation of their job role", who "actively engage in independent research" and, in many but not all circumstances (for example, clinical colleagues, those who have dual professional and academic roles or those who do not have an Academic Work Plan), for whom "explicit time and resources are made available". Whilst an explicit allocation of time and resources for research is strongly

indicative that a colleague has SRR, it is not conclusive – there must also be evidence that the colleague is actively engaged in independent research. Similarly, due to the particular circumstances of some areas of the university (for example, CELT), a colleague may have SRR (by virtue of the expectations of their job role and by actively engaging in independent research) without, on the REF census date, having an explicit allocation of time for research.

- b. Some staff in leadership roles (for example, the Vice-Chancellor, PVC Deans and other senior colleagues) are research active. This is recognised in their contracts and underpinned with a research responsibility statement where they spend at least 0.2FTE of their time on research.

15. Those staff who have an allocation of at least 320 hours under the Academic Work Plan (AWP) for research are deemed to benefit from an explicit allocation of time.

16. Expectation of job role

- a. Typically, academic staff at the University of Derby are expected to undertake **either** teaching and research **or** teaching and scholarship. These expectations are articulated by line managers during their DPR conversations with staff.
- b. Research is a process of investigation that leads to new insights, effectively shared.
- c. Scholarship is the development of personal learning to a high level using existing knowledge.
- d. Colleagues who engage in scholarship, particularly when it supports professional practice make a vital contribution to achieving the University's strategic objectives to (i) provide an industry-relevant curriculum shaped in collaboration with partners across business and profession, and, (ii) drive the economic, social, cultural, educational and environmental prosperity of our city and region. However, only those colleagues for whom there is an expectation that they will undertake research as defined above will usually satisfy the criteria for SRR.

17. Actively engage in independent research

- a. The following, agreed with the PVC Deans, are seen to be indicative of independent research activity:
 - Generate research outputs (as defined in the REF2021 guidance)
 - Submit research grant applications/managing post award
 - Contribute to research carried out at the University
 - Undertake Level 8 doctoral supervision
 - Research conference organisation/panel membership
 - Esteem factors: editorial boards, reviewing, visiting fellowships, external doctoral examinerships
 - Invited keynotes (to research symposia and similar. Excludes invited keynotes at professional conferences and similar)

- Submit patents in relation to applied research
- b. The following are seen to be indicative of scholarly activity:
- Authoring text books
 - Authoring articles published in professional (rather than peer-reviewed) journals
 - Designing for clients
 - Contributing to the definition of professional standards
 - Engaging in enterprise
 - Engaging in knowledge transfer
- c. Disciplinary differences mean that it would not be appropriate to expect every member of research active staff to be carrying out all of the activities listed in 17.a above. However, staff will normally be carrying out a combination of the activities listed in order to demonstrate SRR (unless individual circumstances have been approved). For the avoidance of doubt, carrying out only one of the activities listed in paragraph 17.a will not be sufficient to demonstrate SRR.

18. All staff satisfying the criteria for SRR set out above will be returned to the REF2021 and will be required to submit between a minimum of one and a maximum of five research outputs (except in cases where individual circumstances have been approved). Part 4 (section 30) below provides information about individual circumstances and the process for confidentially declaring circumstances, using the application form included at Appendix 5.

19. Development of process(es)

- a. The REF2021 Steering Committee, and particularly the Unit of Assessment Leads, were instrumental in shaping the early development of the Code of Practice. Advice was sought from the Head of Equality, Diversity and Inclusion and knowledge shared with colleagues in other institutions as the Code was refined. Feedback on the draft Code was then invited from the University Research Committee, the Equality, Diversity and Inclusivity Committee, the Academic Board and Governing Council before a well-developed version was formally shared with representatives from the UCU (UCU local officers had been involved in the early development of the Code by virtue of their membership of other bodies, including the REF Steering Committee). The final version of the Code incorporates amendments suggested by the UCU, which agreed the criteria and processes described in Part 2.
- b. The final agreed processes will be communicated to staff as described in Part 1: Introduction.

20. Staff, committees and training

- a. The relevant PVC Dean of College, with advice from Unit of Assessment Leads as appropriate, will make the final decision with regard to determining who has SRR in consultation with their College Leadership Team.
- b. All University of Derby staff involved in determining SRR have undergone the University's standard training in recognising unconscious bias. In addition, equality and diversity training tailored to the REF process was delivered by Advance HE in the summer of 2019.
- c. The process of identification will be informed by the outcomes of Mock REF exercises conducted in May 2018 and May 2019 when all staff employed on "research only" and "teaching and research" contracts were invited to express an interest in being returned in the REF 2021 and to submit one or more research outputs for assessment (see Part 4: Selection of Outputs).
- d. All eligible staff who have not been deemed to have SRR will be informed in writing of the decision and the reasons for it and will be offered a meeting with the relevant PVC Dean or another member of the College Leadership Team. The primary purpose of the face-to-face meeting is to reassure the individual that their contribution to the University is valued, even though they are not to be returned in the REF2021.

21. Appeals

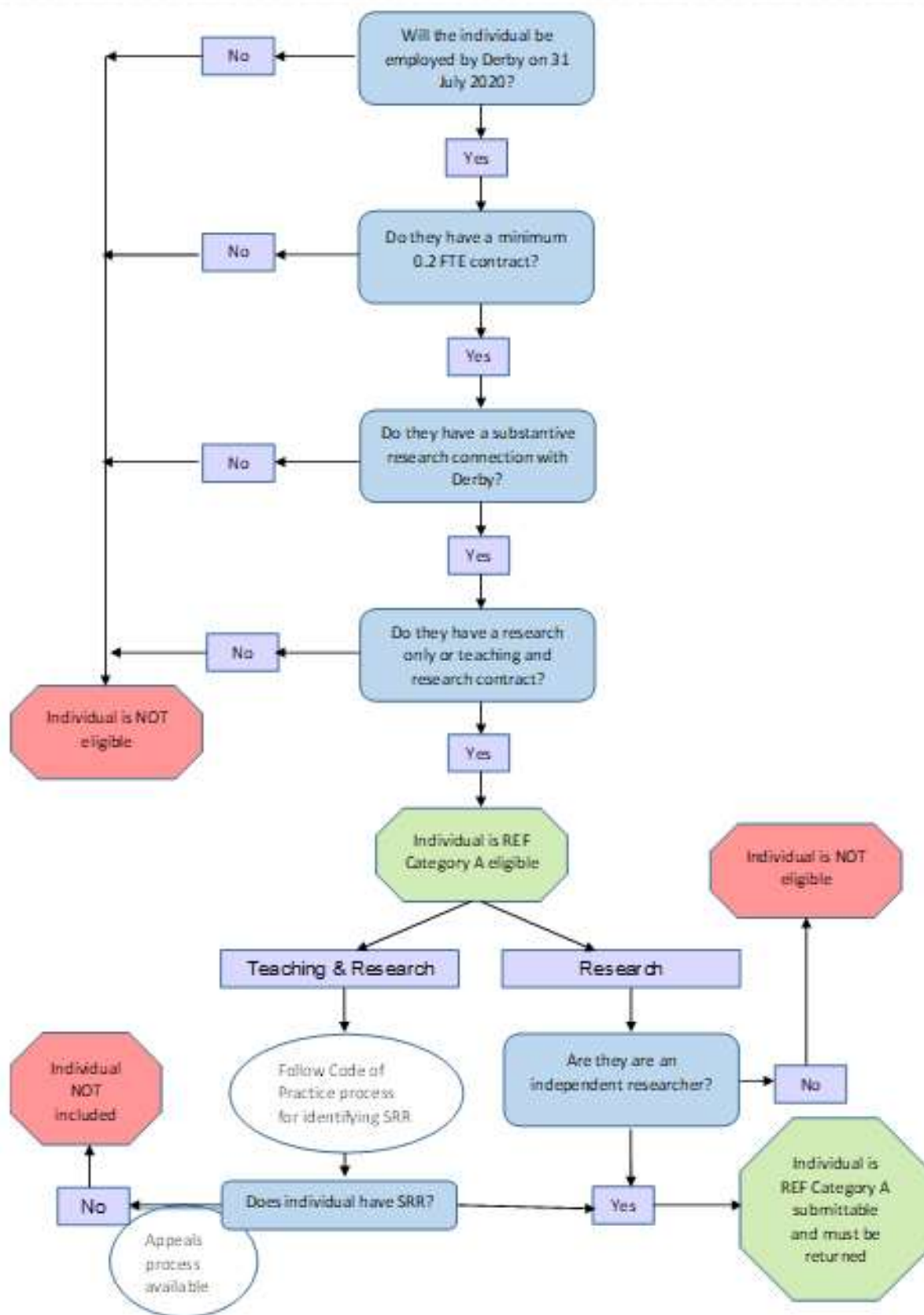
- a. In addition to the face-to-face meeting with the PVC Dean, information about the appeals process will be available on the University REF website and from the University Research and Knowledge Exchange Office.
- b. Appeals against the decision not to find that an individual have SRR must be submitted using the specified pro forma set out in Appendix 7, within three weeks of receipt of the written reasons for the decision, but only after a face-to-face meeting with the PVC Dean or another member of the College Leadership Team.
- c. The appeal should be submitted to the research-assigned HR Business Partner. The Dean of Research will consider the evidence with an impartial research manager and PVC Dean from a college not previously involved in this decision. A representative of HR will normally act as note-taker. As part of the appeal process, the panel will meet separately with (i) the appellant (who may be accompanied by a work colleague) and (ii) the PVC Dean for the appellant's College.

22. Equality impact assessment

- a. Equality impact assessments will be conducted at key stages of the REF exercise using the University's standard approach to equality analysis in relation to the protected characteristics (see Appendix 1), namely:

determining SRR, designation of research independence; final selection of outputs.

Figure 1: Determining Significant Responsibility for Research



Part 3: Determining research independence

23. Policies and procedures

- a. For the purposes of the REF, an independent researcher is defined in the REF *Guidance on Submissions* as an individual who undertakes self-directed research, rather than carrying out another individual's research programme. 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.
- b. Possible indicators of independence suggested in the *Guidance* are:
 - i. leading or acting as principal investigator or equivalent on an externally funded research project
 - ii. holding an independently won, competitively awarded fellowship where research independence is a requirement.
 - iii. leading a research group or a substantial or specialised work package.
- c. It is recognised that for the highly collaborative research teams active in some disciplines within the university the funding bodies' definition of research independence is somewhat narrow. Therefore, in determining research independence, cognisance will also be taken of the list of independent research activities set out in paragraph 17.a above.
- d. Research assistants are not eligible to be included in the REF submission as they are employed to carry out another colleague's research programme.

24. Staff, committees and training

- a. As set out in Part 2.

25. Appeals

- a. As set out in Part 2.

26. Equality impact assessment

- a. As set out in Part 2.

Part 4: Selection of outputs

27. Policies and procedures

- a. The process for selecting outputs has been informed by Mock REF exercises undertaken in 2018 and 2019.
- b. In both exercises, Category A eligible staff were invited to self-assess and submit up to (in most but not all cases) ten research outputs. Eligible staff employed from 1 January 2014 who had left the university were identified by HR so their outputs could be collated. The combined pool of outputs were assessed by the internal panels in each Unit of Assessment and a selection

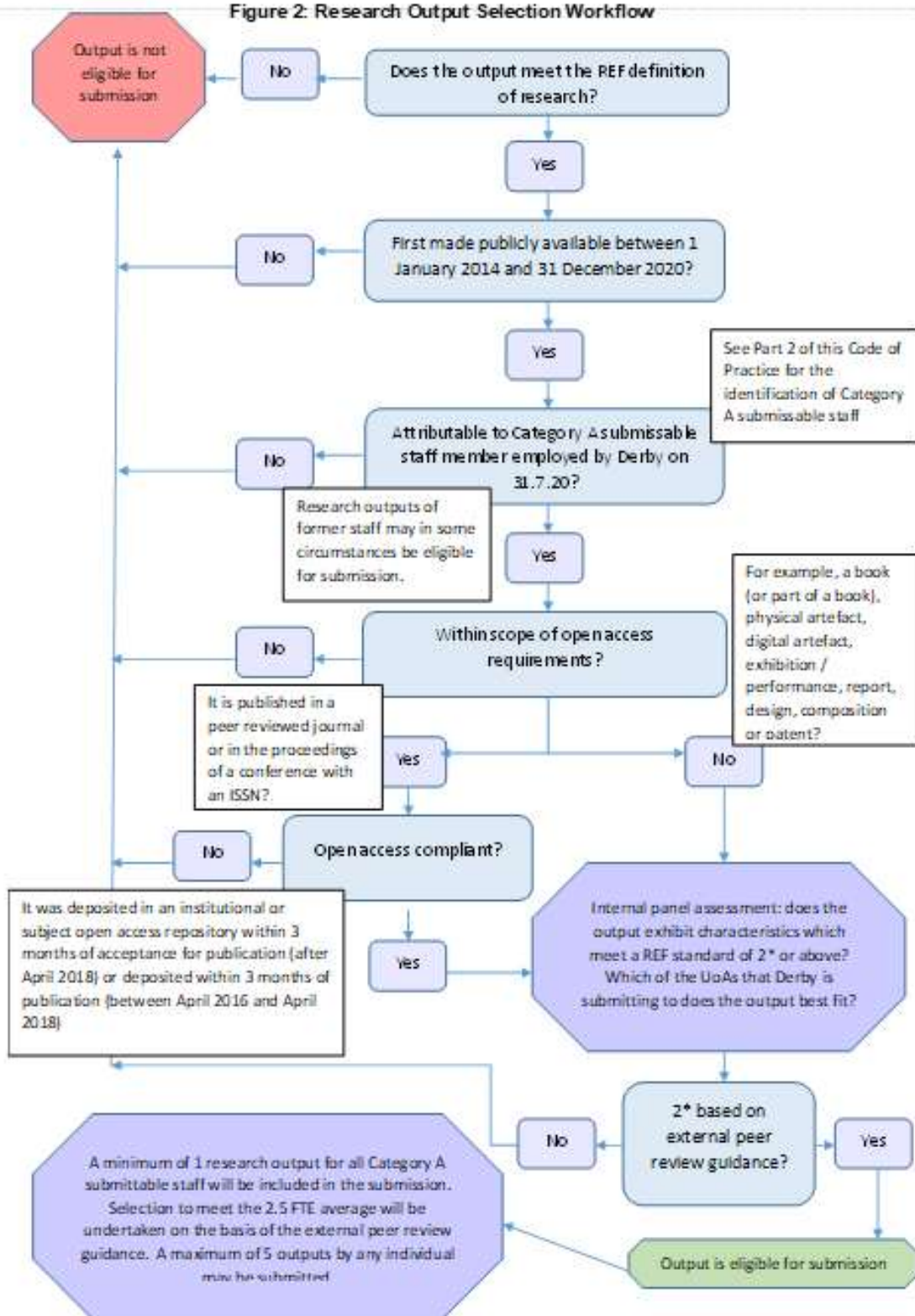
was sent to External Assessors for review. The selection included at least one output internally assessed as 2* or above for each member of staff in the Unit of Assessment (although in some units, outputs internally rated as less than 2* were also sent out for the purposes of calibration). A meeting of the panel of internal and external assessors for each Unit of Assessment agreed the * rating for each output in the selection. These outcomes (recorded and held centrally), together with a partial Equality Impact Assessment of the outcomes, was considered by the REF Steering Committee and the Academic Board. For each Unit of Assessment, the ratings for the sample agreed by the internal and external assessors are used to moderate those outputs not included in the sample sent to the externals.

- c. The process for the actual exercise will be substantially the same as described above.
- d. Research outputs from staff who have left the University on a voluntary basis (inclusive of those who have taken voluntary severance) will be treated on an equal footing with the research outputs from staff who are employed at the institution on the census date. It is University policy that we will not submit outputs from former staff that were made redundant, including those who left at the end of a fixed-term contract.

28. Early Career Researchers (ECRs)

- a. 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:
 - i. They held a contract of employment of 0.2 FTE or greater, the primary function of which was either 'research' or 'teaching and research' with any HEI or other organisation, whether in the UK or overseas, **and**
 - ii. They first met the definition of an independent researcher as set out in paragraph 23 above.
- b. A request to Research England for a reduction in the submitting unit's output requirement may be made in connection with ECRs under the provisions for Special Circumstances (see paragraph 30 below). Requests may also be made for ECRs to be returned without the minimum of one requirement in exceptional circumstances.

Figure 2: Research Output Selection Workflow



29. Staff, committees and training

- a. Each Unit of Assessment Lead has established an internal panel consisting of research active colleagues reflecting the range of research activity carried out across the Unit of Assessment. The number of internal panel members reflects the target number of outputs and impact case studies required from the Unit of Assessment. Panel membership is determined primarily according to experience in peer review (including reading and assessing a wide range of outputs and types), but diversity of panel membership is also considered.
- b. Internal unconscious bias training was undertaken by all Unit of Assessment Leads and Deputy Leads at the end of 2018 in advance of the 2019 Mock REF exercise, augmented by REF-specific training in the summer of 2019. External advisors are required to confirm that they have undergone equivalent training.

30. Staff circumstances

- a. This exercise differs from REF2014, in that there has been a determined effort to “decouple” staff and outputs, in that it is the Unit of Assessment as a whole which is returned and individuals are not identified. The total number of outputs returned from each submitting unit must be equal to 2.5 times the combined FTE of Category A submitted staff included in the submission. A minimum of one output will be required for each Category A submitted staff member. No more than five outputs may be attributed to any individual staff member.
- b. The funding bodies’ REF Team has recognised that an individual’s research productivity may be affected by personal circumstances. In all Units of Assessment, an individual with no outputs 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.
- c. Requests may be made for an individual researcher who has not been able to produce an eligible output where any of the following circumstances apply within the period 1 January 2014 to 31 July 2020:
 - i. An overall period of 46 months or more absence from research during the assessment period, due to one or more of the circumstances set out at paragraph 30.d below;
 - ii. circumstances equivalent to 46 months or more absence from research due to equality-related circumstances;
 - iii. two or more qualifying periods of family related leave, as defined in Appendix 6.
- d. The applicable circumstances recognised by the REF team are:

- Qualifying as an ECR (started career as an independent researcher on or after 1 August 2016 – see Appendix 6)
 - Absence from work due to secondments or career breaks outside the HE sector
 - Qualifying periods of family-related leave
 - Junior clinical academics who have not gained a Certificate of Completion of training by 31 July 2020
 - Disability (including chronic conditions)
 - Ill health, injury or mental health conditions
 - Constraints relating to family leave that fall outside of the standard allowances
 - Caring responsibilities
 - Gender reassignment
- e. The University has made provision for individual circumstances to be voluntarily declared in complete confidence. If a colleague's ability to research productively during the assessment period has been constrained due to one or more of the specified circumstances, they can complete the form attached at Appendix 5. The form is also available to download from the University's REF website and also from the EDI area of the HR website. The completed form should be returned to refcircumstances@derby.ac.uk.
- f. Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. This form is the **only** means by which the University will be gathering this information; we will not be consulting HR records, contract start dates, and so on.
- g. When received, the form will be reviewed by the Equality and Diversity Panel consisting of the Dean of Research, Head of Equality, Diversity, Inclusion and Wellbeing and the research assigned HR Business Partner. It is possible that further information will be needed, for example from your Head of Discipline, PVC Dean or Occupational Health. Information will only be shared outside of the Equality and Diversity Panel for these purposes where absolutely necessary and will be kept to the absolute minimum required. Any output reduction arising from a declaration (but not the reason for it) will be shared with the relevant Unit of Assessment Lead and PVC Dean who will be subject to the same confidentiality arrangements. All submitted data will be kept confidential and once the assessment phase has been completed all data will be destroyed.
- h. If the University applies to the funding bodies for either a removal of the 'minimum of one' requirement, or reduction of outputs due to personal circumstances, we will need to provide UKRI with data that you have disclosed about your individual circumstances, to show that criteria have been met for reducing the number of outputs. By submitting a Declaration of Special Circumstances request, you agree that this information will be shared

for this purpose. Please see Appendix 6 of the University's REF 2021 Code of Practice for more detail about reductions in outputs and what information needs to be submitted.

- i. The processes for supporting staff with circumstances will be consistent across the University. Careful consideration will be given to the nature and timing of support offered and any adjustments to expectations will be made in consultation with the individual affected, be guided by the tariffs in place for requesting reductions to the output requirement (as set out in Annex L to the *Guidance on Submissions*, REF2019/01 and reproduced as Appendix 6 to this Code).
- j. All Category A submitted staff must be returned with a minimum of one output attributed to them in the submission, including staff with individual circumstances. However, where an individual's circumstances have had an exceptional effect on their ability to work productively throughout the assessment period (1 January 2014 to 31 July 2020), so that the individual has not been able to produce an eligible output, a request may be made for the minimum of one requirement to be removed. Where the request is accepted, an individual may be returned with no outputs attributed to them in the submission, and the total outputs required by the unit will be reduced by one. In deciding whether to request to remove the minimum requirement, the Equality and Diversity Panel, in consultation with the Lead for the relevant Unit of Assessment and the colleague who has declared circumstances, will be guided by paragraph 179 of the *Guidance on Submissions*. The output pool can be reduced by a maximum of 2.5 for individuals who meet the exceptional circumstances criterion.
- k. There may be instances (for example, in small Units of Assessment) where the available output pool has been disproportionately affected by an accumulation of declared individual circumstances. Unit level reductions also apply where disciplinary publishing norms are such that a lower number of outputs might have been produced (for example, in arts and humanities). In such cases, the Equality and Diversity Panel will consider whether it is appropriate for a request to be made to the funding bodies' REF Team for remission of the overall output requirement for that Unit.

31. Equality impact assessment

- a. The University's standard approach to equality analysis will not be used to directly identify staff because the mechanisms outlined in this Code will be used. However, it will be used to provide a reflection on the Code and to identify any changes that may be necessary to ensure that the Code is fair in its treatment of staff as well as ensuring compliance with legal obligations regarding equality and diversity.

Part 5: List of Appendices

Appendix 1: Legislative Context

Appendix 2: Equality, Diversity and Inclusion Policy

Appendix 3: Equality, Diversity and Inclusion Strategy

Appendix 4: Terms of reference and composition of relevant committees

Appendix 5: Individual Circumstances Declaration Form

Appendix 6: Reductions for staff circumstances – Annex L of the *Guidance on Submissions*

Appendix 7: Appeals pro forma

Appendix 8: Confirmation of staff representatives' agreement for the processes to determine significant responsibility for research

Appendix 1

Legislative Context

Extract from *Guidance on Codes of Practice*, REF2019/03

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.</p> <p>Individuals are also protected if they are perceived to have a disability or if they are associated with a person who has a disability (for example, if they are responsible for caring for a family member with a disability).</p> <p>A person is considered to have a disability if they have or have had a physical and/or mental impairment which has 'a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities'. Long-term impairments include those that last or are likely to last for at least 12 months.</p> <p>Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities. An impairment which is managed by medication or medical treatment, but which would have had a substantial and long-term adverse effect if not so managed, is also a disability.</p>

	<p>The definition of disability is different in Northern Ireland in that a list of day-to-day activities is referred to.</p> <p>There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people generally, not a specific individual, carry out on a daily or frequent basis.</p> <p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p> <ul style="list-style-type: none"> • sensory impairments • impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy • progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer • organ specific impairments, including respiratory conditions and cardiovascular diseases • developmental impairments, such as autistic spectrum disorders and dyslexia • mental health conditions such as depression and eating disorders • impairments caused by injury to the body or brain. <p>It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.</p> <p>Equality law requires HEIs to anticipate the needs of people with disabilities and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a researcher's impairment has affected the quantity of their research outputs, the submitting unit may return a reduced number of outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances').</p>
<p>Gender reassignment</p>	<p>The Equality Act 2010 and the Sex Discrimination (Gender Reassignment) Regulations (Northern Ireland) 1999 protect from discrimination, harassment and victimisation of trans people who have proposed, started or completed a process to change their sex. Staff in HE do not have to be under medical supervision to be afforded protection because they are trans and staff are protected if they are perceived to be undergoing or have undergone related procedures. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.</p> <p>Trans people who undergo gender reassignment will need to take time off for appointments and, in some cases, for medical assistance. The transition process is lengthy, often taking several years, and it is likely to be a difficult period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole.</p> <p>The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires</p>

	<p>information about a person's status as a transsexual may commit a criminal offence if they pass the information to a third party without consent.</p> <p>Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care.</p> <p>If a staff member's ability to work productively throughout the REF assessment period has been constrained due to gender reassignment, the unit may return a reduced number of research outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'). Information about the member of staff will be kept confidential as described in 'Guidance on submissions', paragraph 195.</p> <p>HEIs should note that the Scottish government recently consulted on, and the UK government is currently consulting on, reform of the Gender Recognition Act 2004, which may include streamlining the procedure to legally change gender.</p>
<p>Marriage and civil partnership</p>	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 as amended, individuals are protected from unlawful discrimination, harassment and victimisation on the grounds of marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and treatment in employment. The protection from discrimination does not apply to single people.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff who are married or in civil partnerships.</p>
<p>Political opinion</p>	<p>The Fair Employment and Treatment (Northern Ireland) Order 1998 protects staff from unlawful discrimination on the grounds of political opinion.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff based on their political opinion.</p>
<p>Pregnancy and maternity</p>	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 women are protected from unlawful discrimination, harassment and victimisation related to pregnancy and maternity.</p> <p>Consequently, where researchers have taken time out of work, or their ability to work productively throughout the assessment period has been affected, because of pregnancy and/or maternity, the submitting unit may return a reduced number of research outputs, as set out in 'Guidance on submissions', paragraphs 169 to 172.</p> <p>In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process.</p> <p>For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.</p>

<p>Race</p>	<p>The Equality Act 2010 and the Race Relations (Northern Ireland) Order 1997 protect HEI staff from unlawful discrimination, harassment and victimisation connected to race. The definition of race includes colour, ethnic or national origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their race or assumed race (for example, based on their name).</p>
<p>Religion and belief including non-belief</p>	<p>The Equality Act 2010 and the Fair Employment and Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination, harassment and victimisation related to religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived religion or belief, including non-belief. 'Belief' includes any structured philosophical belief with clear values that has an effect on how its adherents conduct their lives.</p>
<p>Sex (including breastfeeding and additional paternity and adoption leave)</p>	<p>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect HEI staff from unlawful discrimination, harassment and victimisation related to sex. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex.</p> <p>The sex discrimination provisions of the Equality Act explicitly protect women from less favourable treatment because they are breastfeeding. Consequently, the impact of breastfeeding on a woman's ability to work productively will be taken into account, as set out in 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'.</p> <p>If a mother who meets the continuity of employment test wishes to return to work early or shorten her maternity leave/pay, she will be entitled to shared parental leave with the father or her partner within the first year of the baby's birth. Partners may also be eligible for shared parental leave or pay. Fathers/partners who take additional paternity or adoption leave will have similar entitlements to women on maternity leave and barriers that exist to taking the leave, or as a result of having taken it, could constitute unlawful sex discrimination. Consequently, where researchers have taken additional paternity and adoption leave, the submitting unit may return a reduced number of outputs, as set out in 'Guidance on submissions', Annex L.</p> <p>HEIs need to be wary of implementing procedures and decision-making processes in relation to REF 2021 that would be easier for men to comply with than women, or vice versa. There are many cases where a requirement to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women.</p>

	<p>HEIs should note that there are now requirements under UK and Scottish legislation for public authorities (including HEIs) to report information on the percentage difference amongst employees between men and women's average hourly pay (excluding overtime).</p>
<p>Sexual orientation</p>	<p>The Equality Act 2010 and the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003 protect HEI staff from unlawful discrimination, harassment and victimisation related to sexual orientation. Individuals are also protected if they are perceived to be or are associated with a person who is of a particular sexual orientation.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived sexual orientation.</p>

Appendix 2

University of Derby Equality and Inclusion Policy Statement

We, at the University, are committed to providing an environment which seeks to encourage an open and diverse community. This is reflected in our values and behaviours where we respect the rights and dignity of all people whatever their background.

By consistently living our values we seek to eliminate those things that undermine or are harmful to anyone involved in the activities of our University. We therefore believe that unlawful discrimination, intimidation or harassment of anyone connected with the University, specifically related to their race, religion or belief, age, gender reassignment, sex, sexual orientation, disability, marital or partnership status or maternity and pregnancy cannot be tolerated. In addition we strive to advance equality of opportunity and foster good relations between all people at the University. However, as a learning organisation we will provide an environment where people can address and debate differences and constantly reflect on practices.

We recognise that our business practices, decisions and actions have the potential to impact disproportionately on certain groups or individuals and will therefore review relevant key policies and practices as well as major business changes. We will constantly reflect on our activities and be open and transparent about changes that have a major effect on employees or students.

We aspire to be recognised by the local community and the sector, as an organisation that leads the way in publicly promoting the value of diverse cultures and our belief that these different experiences make our University a better place to work and study.

The aims and objectives of this policy will be addressed through the University's Equality and Diversity Strategy and Action Plan, quality processes, annual monitoring, business planning, policies, procedures and guidelines.

Appendix 3**University of Derby Equality, Diversity and Inclusion Strategy****Statement of Intent**

We believe that everyone should be treated as an individual and with respect. Our core values set out our intent and the associated behaviours aim to outline our culture and brand.

This Equality, Diversity and Inclusion (EDI) Strategy outlines our commitment and the structures which help govern it.

The Legal Framework

The Equality Act (2010) imposes general and specific duties on public sector bodies (including higher and further education institutions).

General

In exercise of all our functions to have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation.
- Advance equality of opportunity between people who do and do not share a protected characteristic.
- Foster good relations between people who share a protected characteristic and those who do not share a protected characteristic.

Specific

- To publish annual information demonstrating compliance with the general duty.
- To publish objective setting out how we will meet the requirements at least every 4 years.
- Ensure all published information is accessible to the public.

Who is covered by the Act?

There are currently 9 protected characteristics: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

There is a common myth that EDI is only about the minority groups but we can all identify with one or more protected characteristic, therefore. EDI is about us all and is the responsibility of every manager and employee in the University.

Business Case: How can EDI support the Corporate Strategy?

There is a strong moral and legal case for EDI but it is also a business imperative. Today the sector exists in an ever more competitive and changing market and a more strategic approach to EDI can bring real business benefits and returns on investment. To do this it is vitally important that the EDI strategy forms part of the overall University Strategy, is supported from the top and resourced adequately. EDI supports the Corporate Strategy in the following ways. A full business case can be found on the University's iD site¹.

University strategic priorities

The central theme of EDI is valuing and respecting everyone which fits well with our Values and Behaviours. By embedding EDI we will be better placed as an organisation to:

- Increase our share of the market of home and international students and apprentices
- Ensure that all students and apprentices can access the full range of academic offer, services and activities.
- Develop our Brand
- Remain in the top 50 of the Guardian's Ranking
- Deliver an increased share of on-line students and apprentices through partnership working

Competitive Advantage

EDI will help us to improve performance efficiency, creativity, trust relationships, workplace commitment, and engagement, relationships with our students and apprentices and service delivery. These will help us build our brand and “create a positive corporate image and enhance our reputation”.²

Diversity creates challenge in teams making us more agile and flexible to react to today's environment. We will be able to relate more closely to our markets which will give us a competitive edge

It will give us a better understanding of the needs of our students and apprentices, fewer students and apprentices will be disenfranchised or marginalised resulting in better student/learner satisfaction scores and feedback.

Individual differences are essential ingredients for high productivity, creativity and innovation, leading to an all-round better academic offer and student experience. Our students are after all are our best marketing resource.

Engagement

Embedding EDI will ensure that *all* of our students, apprentices and employees feel part of a culture that truly values their contribution and build trust.

Fairness, transparency and consistency in decisions around recruitment, assessment and other aspects of the student/learner journey will ensure a more positive environment for our students and apprentices and ensure a completely inclusive environment.

Ensuring that there is fairness and transparency in recruitment, development and career advancement will have a positive effect on the “psychological contract” between employer and employee and, in turn, has a positive impact on performance.

Removing barriers and prejudice will improve employee engagement and discretionary effort and, in turn, the way our services are delivered and perceived by students and apprentices.

Research has shown that, where diversity and inclusion are given high support and commitment business performance will be uplifted by up to 80%.³

Employer of Choice

A shortage of skilled people in the workforce is creating heightened competition for talent at all levels. EDI will help us attract the best talent and ensure a more diverse employee demographic.

67% of both active and passive job seekers say the diversity of a company's workforce is important to them when choosing a prospective employer.⁴

Removing the conscious and unconscious barriers to recruitment, retention and progression for groups and individuals will enable us to harness the full potential of our talent and keep hold of it.

Financial

Research shows a clear correlation between a well-managed, diverse, representative working environment and efficient high-performing organisations. Details of the relevant research can be found in the full business case.¹

Research by the Glassdoor Team³ has shown that:

- Gender-diverse companies are 15% more likely to out-perform their peers and ethnically-diverse companies 35% more likely to do the same.
- With every 10% increase in gender diversity on the Executive Team earnings before interest and tax (EBIT) rose by 3.5% and for racial and ethnic diversity by 0.8%.
- Companies with the highest levels of diversity had return on equity (ROE) that was 53% higher than those with the least.

Reporting Lines and Accountability

The Equality and Diversity Committee is the body that sets the strategy, action plan and direction of EDI within the University, reporting to Governing Council through the University Executive.

The governing body must promote equality and diversity throughout the institution, including in relation to its own operation.

HEIs are required by law to comply with extensive equality and diversity legislation, and governing bodies are legally responsible for ensuring the compliance of their institution. The legislation covers the individual rights of staff and students not to suffer discrimination on the grounds of a number of protected characteristics. Legislation in this area does not distinguish between domestic and international students and staff.

Beyond this there is evidence that board diversity promotes more constructive and challenging dialogue, which in turn can improve governance outcomes by helping to avoid 'groupthink' and that as a result there is a strong business case for diversity alongside legal and moral expectation.

The governing body must ensure that there are arrangements in place to:

- eliminate unlawful discrimination, harassment and victimisation;
- advance equality of opportunity between people who do and do not share a protected characteristic; and
- foster good relations between people who share and those who do not share a protected characteristic.

This means going further than simply avoiding discrimination, and it requires the active promotion of equality in a number of defined areas. The governing body must therefore satisfy itself that agreed action plans to implement the equality and diversity strategy are progressed throughout the institution.

The governing body must also routinely reflect on its own composition and consider taking steps to ensure that it reflects societal norms and values.⁵

Sub-groups report into the Committee and are responsible for identifying possible barriers and recommending solutions.

The Committee members are responsible for identifying any possible barriers, recommending solutions and cascading information and initiatives in their Colleges or Departments.

Strategic Objectives and Measures

These will be underpinned by a comprehensive action plan which will include roles of those responsible and time related targets.

Objective 1

Ensure due regard is given to equality, diversity and inclusion in all University activity including policy development, planning, corporate change projects, procurement, and decision making processes through the implementation of robust and systematic processes.

Actions & Measures

1. Ensure all major projects, key policies and strategies are informed by a completed Equality Analysis process.

Measure: by July 2018; 100% of the above going to Governing Council, Executive, SJCC and/or Academic Board for approval will be marked to show a current Equality Analysis has been carried out.

Objective 2

To support Colleges and Professional Departments to integrate and implement equality priorities into their local business plans.

Actions & Measures

1. Review composition of Equality and Diversity Committee to ensure all Colleges and Professional Departments are represented by the right people; able to champion EDI in their areas.

Measure: by end of 2018 increase representation on EDC proportionally to make up of whole staff.

2. Ensure Colleges & Professional Departments have at least one objective in their Business Plan, in the period 2017-2020, which explicitly supports the university's equality, diversity and inclusion ambitions

Measure: In 2018/19 business plans each College/Department to have at least one SMART EDI objective.

3. Provide a menu of face to face and online Equality, Diversity and Inclusion development/ training for all staff and monitor compliance.

Measure: by 31 July 2018;

- 100% of established new starters and 50% of hourly paid new starters to have completed Equality and Diversity in the Workforce online module
- 80% established staff and 25% of hourly paid staff to have completed at least one session of equality and diversity training at least every 3 years.

Objective 3

To widen equality data collection, monitoring and analysis on staff and students to facilitate better identification of needs and strengthen work on equality.

Actions & Measures

1. Review ethnic minority student and staff data by the detailed categories to ensure all interventions are fit for purpose.

Measure: All published data reporting on ethnicity to be completed using the 6 HESA Categories (White, Asian, Black, Chinese, Mixed and Other) rather than White/BME by end of 2017.

2. Review data to commence monitoring of students by religion or belief and sexual orientation

Measure: by end of 2019 produce student reports by the 6 main protected characteristics.

3. Investigate the reasons for any disparity in the percentage, by protected characteristic, of students not in graduate level employment within DLHE timeframe after graduating – compared to HE sector averages (using the data obtained as part of the annual 'Destinations of Leavers of Higher Education' Survey).

Measure: By end of 2020/2012 academic year, using the DLHE timeframe after graduating, we will be working toward a position where students not attaining graduate level employment will have fallen for each protected characteristic to within 5% of "all students"

4. Review achievement gaps for students within the HE and FE provision

Measure 1: By 2020 we aim to be in the top quartile of all UK HE universities in respect of all attainment gaps between student cohorts.

Measure 2: By 2018 .there will be no significant achievement gaps between different groups of Students/apprentices in FE Provision

Objective 4

To achieve an equally high level of staff recruitment, staff satisfaction, retention and progression across all employee demographic groups.

Actions & Measures

1. Take action to promote best practice in the recruitment of staff to ensure that under-represented groups are encouraged to apply for and be successful for roles within the University.

Measure: By end of 2020 we will have moved towards a staff demographic which is more representative of the local area (for Professional support staff) and the student body (for Academic staff)

2. Review the Staff Engagement Survey biennially by gender, race and disability and target work where there are gaps

Measure: Each demographic grouping remains within 4% of the University average for overall satisfaction.

3. Review staff retention by protected characteristic and take action to close any diversity-related gaps.

Measure: Close any diversity-related gaps in staff retention by the end of 2020.

4. Take actions that encourage/develop those from under-represented ethnic minority, gender and disability groups to apply for and be successful in progression/promotion.

Measures: By end of academic year 2020/2021

- Ethnic minority representation in Leadership Group to increase from 6.76% to 12%
 - Ethnic minority representation in Senior Manager Level B to increase by 100%
5. Strive to achieve excellence in EDI.

Measures: By end 2020:

- Be in top 200 for the Stonewall Workplace Equality Index
- Achieve a University Bronze Award in Athena SWAN
- Be a member of Race Equality Charter (working towards a Bronze)
- Successfully renew our CredAble Employer mark

References/Bibliography

¹ The full business case can be found at: <https://staff.derby.ac.uk/sites/hr/Equality-Diversity/layouts/15/WopiFrame.aspx?sourcedoc=/sites/hr/Equality-Diversity/Documents/Beyond%20Equality%20A%20Business%20Case%20for%20Diversity%20and%20Inclusion%20Corporate%20Style.docx&action=default>

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⁵ Committee of University Chairs, 2014, The Higher Education Code of Governance, December 2014

Appendix 4**Terms of reference and composition of relevant committees****REF2021 Steering Committee*****Terms of Reference***

The REF Steering Committee has been set up to support our University ambition in research and REF and to co-ordinate our REF 2021 submission. The Committee brings together academic leaders and representatives from our professional service areas to ensure that we put in place all the requisite systems, processes and practices that will be giving us up-to-date information about research outputs, income, PGR students and impact case studies to assist with fact-based decision making. The Committee will be actively discussing the REF plans for each discipline area and progress made towards the 2021 submission.

The Committee is chaired by the Dean of Research, Clare Brindley, with the Research and Knowledge Exchange Office Support Administrator as Secretary. The Committee reports to the Executive and is a standing item on the University Research Committee who will receive minutes and papers to note.

The Committee will meet every 2 months.

Membership

Dean of Research (Chair)

Research and Knowledge Exchange Administrator (Secretary)

Research and Knowledge Exchange Impact Officer

Associate PVC TLAE (Ruth Ayres)

Chair of the University Professorial Council (Paul Lynch)

UoA leads:

3 Allied Health Professions, Dentistry, Nursing and Pharmacy (Sue Dyson)

4 Psychology, Psychiatry and Neuroscience (James Elander)

7 Earth Systems and Environmental Sciences (Karim Vahed)

11 Computer Science and Informatics (Lee Barnby)

12 Engineering (Yong Xue)

17 Business and Management Studies (Carley Foster)

20 Social Work and Social Policy (Alex Nunn)

23 Education (Dennis Hayes)

32 Art and Design (Ang Bartram)

34 Culture, Communication (Paul Elliott)

Corporate Planning and Performance nominee (Aaron Morrison)

Marketing nominee (Kim Wathall)

Finance nominee (Helen Beckett)

Library nominee (Lucy Ayre)

ITS nominee (Kim Pearson)

HR nominee (Gail Keen)

Early Career Researchers (x2) to be nominated at First Meeting of ECR Forum

The VC will be a standing member of the Committee as an Executive representative.

University Research Committee

Terms of Reference

Function

The function of the University Research Committee (URC) is to govern research activity across the Institution to ensure that it achieves the ambitions of the University Research Strategy and its Key Performance Indicators. The Committee is responsible for advising Academic Board on research strategy, governance, and ethics and for the development of relevant policy and support activity. The Committee is also responsible for monitoring, evaluating and enhancing the quality of the Postgraduate research degrees to ensure that they fully satisfy the standards set down by external agencies including HEFCE, the QAA and research councils. The Committee must have due regard for diversity and equal opportunities in its composition, conduct and reporting activities.

The URC is expected to liaise with the Regulatory Frameworks Committee with regard to revision of the relevant research degrees regulatory frameworks to ensure consistency with post-graduate taught regulatory frameworks.

URC is required to submit an annual report on research, including PGR provision, to Academic Board. It will be supported with reporting key metrics from teams within University Research and Knowledge Exchange Office.

The URC will be supported and advised by the University Professorial Council.

The URC has authority to exercise the following powers:

[The scope of URC's authority in relation to planning and approval of professional doctorate programmes is under consideration pending further review and approval by Academic Board]

1. To advise University Executive on the approval of Research Centres and Institutes
2. To evaluate the performance of Units of Assessment, Research Centres and Institutes
3. To approve the appointment of external examiners for PGR candidates for a postgraduate research degree
4. To approve the award of postgraduate research degree to individuals who have satisfied the examiners with regard to the examination requirements

5. Advise Academic Board on the University's submission to the Research Excellence Framework
6. Recommend amendments to the PGR Regulatory Frameworks to RFC and approve associated procedural and guidance documents

The Committee is expected to undertake the following:

Research environment

7. Recommend to Academic Board research strategy, policies, codes of conduct and charters which the University should adopt in order to enhance research activity or respond to national developments
8. Have oversight of the preparation of submissions to external assessments of research activity, such as the Research Excellence Framework
9. Advise the executive regarding research infrastructure, research environment and business engagement needs and their financial implications
10. Monitor progress against the key performance indicators in the research strategy across the University including the record of publications and research outputs generated by staff and students
11. Ensure that intellectual property generated throughout the University's research-related activities is protected
12. Consider and respond to issues raised by the College Research Committees and relevant Programme Committees
13. Monitor the implementation and effectiveness of charters and quality marks relating to the research environment

Research ethics

14. Liaise with College Research Committees and monitor the implementation and effectiveness of University policies relating to research ethics and research governance
15. Provide final review in the case of appeal relating to an application for ethical approval

Research students

16. Propose, monitor and evaluate training for PGR students
17. Advise on policies and procedures in relation to research students
18. Advise on policies and procedures in relation to the creation and disbursement of bursaries to support research students
19. Monitor, evaluate and propose improvements to facilities for postgraduate research students
20. Ensure provision of appropriate training and continued professional development for research supervisors and examiners
21. Evaluate overall progress and performance of postgraduate research students including the destinations of successful candidates at least annually

Research income and impact

22. Monitor all non-teaching related income generated across the University at least annually. This includes research, grants, consultancy, income generation, knowledge transfer and income in-kind.
23. Maintain the University risk register as it relates to research and impact activities.
24. Monitor impact capture mechanisms for the purposes of REF and for wider dissemination to build University reputation
25. Approve mechanisms to assure financial integrity and quality submissions of grant and tender proposals
26. Ensure research activities have visibility both on-campus and through virtual media

Administrative arrangements

URC meeting agendas should include issues relating to research strategy, research student progress, research ethics and research environment. URCs should meet at least four times a year. URCs will be administered by the University's Registry.

Composition

Members serve for a period of up to four years in the first instance. They may be re-appointed but the membership should be designed to widen experience and input from across the Colleges and to ensure a good balance with regard to equality and diversity considerations. A second vice-chair should be nominated from the Committee membership.

An external appointment is necessary to support review of ethical policy and practice.

Membership of URC will be approved by Academic Board. At least 50% of the members need to be present for a committee meeting to be quorate.

Chair	Dean of Research
Members	Chair of the University Professoriate Council (or Chair-designate)
	One representative from each College Research Committee, either the Chair or a Chair designate.(5)
	Two UoA Leads drawn from REF Steering Committee
	Three PGR/DProf programme leaders
	PGR Student Experience Research Fellow
	Head of Library & Learner Support (or nominee)
	Head of Careers and Employment Service
	Director of UDOL (or nominee)
	Director of ITS (or nominee)
	Director of Estates (or nominee)
	Director of Corporate Planning and Performance (or nominee)
	Director of Marketing (or nominee)
	Director of Finance (or nominee)
	Head of Knowledge Exchange
	Union of Students President and PGR Officer
Students	Four postgraduate research students, including two PhD and two professional doctorate students
	Committee Officer Senior research administrator
Officer	

Right of attendance

Vice Chancellor
Senior members of University Research & Knowledge Exchange Office

College Research Committees**Terms of Reference**Function

Each college has a College Research Committee (CRC) which advises college management and reports into the University Research Committee (URC). The role of these committees is to provide college leadership with strategic insight and governance for all research related activities within the college. This includes post-graduate research students' progress and other matters, academic work that contributes towards the Research Excellence Framework (REF), and income generation and academic enterprise related to research. They are responsible for monitoring achievements within the College towards the University's Research Strategy and reporting progress against Key Performance Indicators (KPIs).

Each CRC has a number of specific tasks and responsibilities:

Research governance

1. To inform URC on the University Research Strategy
2. To inform URC on any matters relating to the regulations or procedures which require attention and resolution
3. To respond to invitations from URC to comment upon occasional consultative papers
4. To support URC to monitor the facilities available to research students against national standards, report any issues and suggest improvements
5. To receive regular reports from research centres and clusters within their College and monitor progress of the former against their KPIs
6. To provide a communication channel between Research Innovation and Academic Enterprise and the University's research communities

Research students

7. To consider and approve individual applications for the registration of research investigations for postgraduate research degrees and to consider and approve requests for the suspension or extension of the registration period where necessary
8. To ensure that all supervisory teams access and participate in relevant training and staff development
9. To systematically monitor and review the progress and performance of all candidates for postgraduate research degrees registered with the college and to provide an annual report of student numbers and progress to URC
10. To monitor and record publications and research outputs generated by staff and research students
11. To recommend a suitable examination package for each completing postgraduate research student for approval by URC
12. To maintain an effective programme for induction and research training support for research students which complements the University's central provision
13. To monitor employment or other progression destinations of successful postgraduate research students

Research Ethics

14. To monitor and report implementation of the University's Research Ethics Policy as it relates to all research within the college
15. To receive reports from each College Ethics Committee
16. To ensure that the necessary ethical approval has been sought and secured for research investigations undertaken by undergraduates, post-graduates and staff
17. To ensure that investigations that are submitted for award and for publication have followed the conditions linked to ethical approval

Research Income and impact

18. To provide reports on progress towards KPIs twice a year to the URC
19. To advise college management on college research and business engagement strategies and provide information to inform College Management Boards

20. To promote, monitor and manage research-related income generation activities throughout the college including maintenance of the risk register
21. To ensure intellectual property generated from research and PGR activities within the college is appropriately protected
22. To take a proactive role in preparing for peer group assessment and accreditation in relation to research, in particular, the HEFCE REF
23. To facilitate and contribute to training and other opportunities that support researcher development within and between colleges
24. To support the planning and implementation of the annual University of Derby Research Conference

Administrative arrangements

CRC meeting agendas should include issues relating to research direction, student progress, research ethics and research environment. CRCs should meet at least four times a year to ensure that student progress is effectively supported. CRCs should consider research direction, research ethics and the research environment at least twice a year. They will comprise two Parts A and B, with Part B considering student progress issues and therefore closed to student representatives. CRCs will be administered by the University's Registry teams.

Composition

All members of CRC should have a record of research activity. At least two members of CRC should have experience of having supervised at least one PGR student to completion. The majority of staff members should be currently engaged in the supervision of PGR students. They should not themselves be registered for a postgraduate research degree at Derby. At least two members should have research examination experience.

Members serve for a period of up to four years in the first instance. They may be re-appointed but the membership should be designed to widen experience and input especially from student representatives and from college staff and to ensure a good balance with regard to equality and diversity considerations. The Chair and members are appointed by the owning college and approved by URC. They may decide to appoint a co-chair or a deputy chair to reflect local needs. At least 50% of the members need to be present for a committee meeting to be quorate.

Chair	A professor or senior staff member who is research active within the college.
Members	Head of an associated Institute (if appropriate) UoA Leads Head of associated Research Centre A member of the College Research Ethics Committee(s) Four staff members who are actively involved in research or research supervision A registrar's representative
Students	Two students registered for a post-graduate research degree, at least one of whom should be a PhD student and the other a professional doctorate student where the College has both forms of provision
External Co-option	Representative from a different college within the University Up to two co-options to achieve effective balance and coverage

Right of attendance

Dean of the College

Dean of Research

Senior members of University Research and Knowledge Exchange team.

Appendix 5

Declaration of Individual Staff Special Circumstances

This document is being sent to all Category A staff whose outputs are eligible for submission to REF2021 (see [‘Guidance on submissions’](#), paragraphs 117-122).

This exercise differs from REF2014, in that there has been a determined effort to “decouple” staff and outputs, in that it is the Unit of Assessment as a whole which is returned and individuals are not identified. The total number of outputs returned from each submitting unit must be equal to 2.5 times the combined FTE of Category A submitted staff included in the submission. A minimum of one output will be required for each Category A submitted staff member. No more than five outputs may be attributed to any individual staff member.

The funding bodies’ REF Team has recognised that an individual’s research productivity may be affected by personal circumstances. In all Units of Assessment, an individual with no outputs 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.

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

1. Enable staff who have not been able to produce a REF-eligible output during the assessment period to be entered into REF.
2. Establish a supportive process addressing equality-related circumstances that can impact on an individual’s ability to research productively, and to adjust expectations in terms of expected workload / production of research outputs.
3. Identify whether there are any Units of Assessment where the proportion of declared circumstances is sufficiently high to warrant a request to the higher education funding bodies for a reduced required number of outputs to be submitted.

The University’s approach to the treatment of individual circumstances will be consistent with the range of circumstances and procedures set out in the REF Guidance on Submissions and will be consistent across all Units of Assessment. All those involved in the process will be aware of, and adhere to, the guidance on individual circumstances in respect to confidentiality and sensitivity.

Criteria for Special Circumstances

If your ability to research productively during the assessment period has been constrained due to one or more of the following circumstances, you can consider asking to be considered for special circumstances.

Applicable circumstances recognised by the REF team are:

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

Careful consideration will be given to the nature and timing of support offered and any adjustments to expectations will be made in consultation with the individual affected, be guided by the tariffs in place for requesting reductions to the output requirement (as set out in Annex L to the Guidance on Submissions, REF2019/01 and reproduced as Appendix 6 to the University's REF2021 Code of Practice).

Requests may be made for an individual researcher who has not been able to produce an eligible output where any of the following apply within the period 1 January 2014 to 31 July 2020:

- i. An overall period of 46 months or more absence from research during the assessment period, due to one or more of the circumstances set out below;
- ii. circumstances equivalent to 46 months or more absence from research due to equality-related circumstances as below;
- iii. two or more qualifying periods of family related leave, as defined in Appendix 6.

Applying for Special Circumstances

Completion and return of this form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. This form is the only means by which the University will be gathering this information. Once completed it should be submitted to the REF Special Circumstances Inbox at refcircumstances@derby.ac.uk

When received, the form will be reviewed by the Equality and Diversity Panel consisting of the Dean of Research, Head of Equality, Diversity, Inclusion and Wellbeing and the research assigned HR Business Partner. It is possible that further information will be needed, for example from your Head of Discipline, PVC Dean or Occupational Health. Information will only be shared outside of the Equality and Diversity Panel for these purposes where absolutely necessary and will be kept to the absolute minimum required. Any output reduction arising from a declaration (but not the reason for it) will be shared with the relevant Unit of Assessment Lead and PVC Dean who will be subject to the same confidentiality arrangements. All submitted data will be kept confidential and once the assessment phase has been completed all data will be destroyed.

If the University applies to the funding bodies for either a removal of the 'minimum of one' requirement, or reduction of outputs due to personal circumstances, we will need to provide UKRI with data that you have disclosed about your individual circumstances, to show that criteria have been met for reducing the number of outputs. By submitting a Declaration of Special Circumstances request, you agree that this information will be shared for this purpose. Please see Appendix 6 of the University's REF 2021 Code of Practice for more detail about reductions in outputs and what information needs to be submitted.

Changes in Circumstances

The University recognises that staff circumstances may change between completion of the declaration form and the census date (31 July 2020). If this is the case, then staff should contact the Equality and Diversity Panel in order to provide the updated information.

Time Lines for Disclosure

The University's deadline for declaring individual circumstances for the purposes of REF2021 is 31 December 2019.

Appeals

The appeal process set out in Part3 of the University's REF2021 Code of Practice is applicable.

Further information

University of Derby REF2021 Code of Practice

Guidance on Submissions, REF2019/01

https://www.ref.ac.uk/media/1092/ref_guidance_on_submissions.pdf

Declaration of Special Circumstances

Name:

College/ School/ Department:

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

Yes

No

Please complete this form if more than one of the equality-related circumstances relate to you and which you are willing to declare. Please provide information as requested and in the relevant spaces. If you are able to provide verifiable evidence supporting your request, please do so as an additional attachment.

Circumstances	Description of how the circumstances have affected your ability to produce an eligible output in the period.
<p>Early Career Researcher (started career as an independent researcher on or after 1 August 2016).</p> <p><i>Date you became an early career researcher.</i></p>	<p>Click here to enter a date.</p>
<p>Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2020.</p>	<p>Tick here <input type="checkbox"/></p>
<p>Career break or secondment outside of the HE sector.</p> <p><i>Dates and durations in months.</i></p>	<p>Click here to enter dates and durations.</p>
<p>Family-related leave;</p> <ul style="list-style-type: none"> • statutory maternity leave • statutory adoption leave • Additional paternity or adoption leave or shared parental leave lasting for four months or more. <p><i>For each period of leave, state the nature of the leave taken and the dates and durations in months.</i></p>	<p>Click here to enter dates and durations.</p>
<p>Disability (including chronic conditions)</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods</i></p>	<p>Click here to enter text.</p>

<p><i>at work when unable to research productively. Total duration in months</i></p>	
<p>Mental health condition</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Ill health or injury</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Constraints relating to family leave that fall outside of standard allowance</p> <p><i>To include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Caring responsibilities</p> <p><i>To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Gender reassignment</p> <p><i>To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Any other exceptional reasons e.g. bereavement.</p> <p><i>To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>

Please confirm the following by ticking the box provided, that:

I acknowledge that the above information will be used for REF purposes only and will be seen by the Dean of Research, the Head of Equality, Diversity, Inclusion and Wellbeing and the research assigned HR Business Partner.

I agree that the above information provided is a true and accurate description of my circumstances as of the date below.

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

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

Printed Name:

Signed:

Date:

I would like to be contacted by:

Email Insert email address

Phone Insert contact telephone number

To submit this form you should send it to refcircumstances@derby.ac.uk

Appendix 6

Reductions for staff circumstances**Extract from *Guidance on Submissions*, REF2019/01****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 **Error! Reference source not found.**). 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 leave⁷, or shared parental leave⁸ 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.

⁷ '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'.

⁸ '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.

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

Combining circumstances

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

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

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

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

Other circumstances that apply in UOAs 1–6

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

15. This allowance is made on the basis that the staff concerned are normally significantly constrained in the time they have available to undertake research during the assessment period. Where the individual meets the criteria in paragraph 14, and has had significant additional circumstances – for any of the other reasons set out in the ‘Guidance on submissions’ in paragraph **Error! Reference source not found.** – 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 **Error! Reference source not found.**e. 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.

REF2021 – Appeal pro forma

Name:

College/ School/ Department:

Signed:

Date:

I wish to appeal against (tick one only):

The determination that I do not have significant responsibility for research

The determination that I am not an independent researcher

Before submitting a complete appeal pro forma, please ensure that you have read the relevant section of the University's REF2021 Code of Practice:

Significant responsibility for research Part 2, paragraphs 12 – 21 inclusive

Determining research independence Part 3, paragraphs 23 – 26 inclusive

With reference to the relevant criteria, please explain below why you disagree with the determination giving rise to the appeal (use a continuation sheet if required)

Completed forms should be returned to the University Research Office (admin-URKEO@derby.ac.uk).

Appendix 8

Professor Kathryn Mitchell
Vice-Chancellor



6 September 2019

Steven Hill
Director of Research
Research England
Nicholson House
Lime Kiln Close, Stoke Gifford
Bristol, BS34 8SR

Dear Steve,

REF2021 Code of Practice – confirmation of staff representatives' agreement

Thank you for letter of 16th August 2019, confirming that our Code of Practice has been accepted subject to clarification.

Please note that paragraph 19 of the Code describes the development of processes for identifying staff with significant responsibility for research, and states "The final version of the Code incorporates amendments suggested by the UCU, which agreed the criteria and processes described in Part 2".

Be that as it may, I am pleased to confirm that university representatives met with representatives of the UCU (the Union recognised by the University to represent academic staff) on 23rd May 2019 to discuss the criteria and processes for identifying staff with significant responsibility for research. The notes of that meeting were agreed by UCU representatives on 27th and 28th May 2019 and the amendments to the criteria and processes based on the Union's suggestions were agreed by them on 30th and 31st May 2019. Copies of the relevant notes and emails can be provided if required.

An updated version of the Code of Practice, with the amendments shown as track changes accompanies this letter. I trust that you now have all the information necessary to sign off the Code as fully accepted but if I or my colleagues can be of further assistance please get in touch.

Yours sincerely,

A handwritten signature in black ink that reads "Kathryn Mitchell".

Professor Kathryn Mitchell DL
Vice-Chancellor & Chief Executive

Executive, Kedleston Road, Derby, DE22 1GB, UK
01332 591000

Vice-Chancellor Professor Kathryn Mitchell
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