

University of Warwick REF2021 Code of Practice

**Identification of Staff with Significant Responsibility for Research, Research
Independence and the Selection of Outputs for the Research Excellence Framework
2021**

GLOSSARY OF TERMS

| | | |
|-----------------|----|---|
| COP | – | Code of Practice |
| ECR | – | Early Career Researcher |
| ECU | – | Equality Challenge Unit |
| ED&I | – | Equality, Diversity and Inclusion |
| EIA | – | Equality Impact Assessment |
| FTE | – | Full Time Equivalent |
| GDPR | -- | General Data Protection Regulation |
| GOS | – | REF2021 Guidance on Submissions |
| HE | – | Higher Education |
| HEI | – | Higher Education Institution |
| HOD | – | Head of Department¹ |
| HR | – | Human Resources |
| PCWM | – | Panel Criteria and Working Methods |
| REF | – | Research Excellence Framework |
| REF-AP | – | REF Appeals Panel |
| REF-ESG | – | REF Executive Steering Group |
| REF-SCG | – | REF Staff Circumstances Group |
| REF-SSG | – | REF Submissions Steering Group |
| R&IS | – | Research and Impact Services |
| UEB | – | University Executive Board |
| UOA | – | Unit of Assessment |

¹ For the purposes of this Code of Practice, all references to ‘HOD’ or ‘HODs’ apply to those Heads of Departments that are responsible for academic departments with a research-active staff contingent, and that therefore may be responsible for REF-eligible academic staff. For the avoidance of doubt, such references are not intended to apply to Heads of Department that are responsible for ‘teaching focussed’ staff only.

TABLE OF CONTENTS

| Section | Title | Page |
|------------|--|------|
| | Glossary of Terms | 2 |
| | Table of Contents | 3 |
| | Table of Appendices | 4 |
| 1.0 | Introduction | 5 |
| 1.1 | Principles of the COP | 5 |
| 1.1.1 | Transparency | 5 |
| 1.1.2 | Consistency | 6 |
| 1.1.3 | Accountability | 6 |
| 1.1.4 | Inclusivity | 6 |
| 1.2 | The COP in the context of other University policies concerning Equality and Diversity | 6 |
| 1.3 | Update on the Actions Taken Since REF2014 | 9 |
| 1.4 | COP Consultation and Communication | 9 |
| 1.4.1 | Consultation | 9 |
| 1.4.2 | Communication | 10 |
| 1.5 | Decision making bodies | 10 |
| 1.5.1 | The REF Executive Steering Group | 10 |
| 1.5.2 | The REF Submissions Steering Group | 11 |
| 1.5.3 | The REF Staff Circumstances Group | 13 |
| 1.6 | Appeals | 14 |
| 2.0 | Identifying Staff with Significant Responsibility for Research | 16 |
| 3.0 | Determining Research Independence | 18 |
| 3.1 | Policy and procedures for determining whether staff meet the definition of an independent researcher | 18 |
| 3.2 | Fixed Term and Part-time Staff | 19 |
| 3.3 | Commencement of Career as an Independent Researcher | 19 |
| 3.4 | Process for Determining Research Independence | 20 |
| 3.5 | Communication of REF eligibility | 22 |
| 3.6 | Training | 22 |
| 3.7 | Equality Impact Assessment | 24 |
| 4.0 | Selection of Outputs | 25 |
| 4.1 | Policy and Procedures for the Selection of Outputs | 25 |
| 4.2 | External Review of Outputs | 26 |
| 4.3 | Applicable Circumstances | 27 |
| 4.3.1 | Circumstances with a defined reduction | 28 |
| 4.3.2 | Circumstances requiring a judgement about reductions | 28 |
| 4.4 | Staff Circumstances | 29 |
| 4.4.1 | Process for the Disclosure of Circumstances | 29 |
| 4.4.2 | Process for recognising the effect of staff circumstances | 30 |
| 4.4.3 | Process for assessing the effect on the output pool | 30 |
| 4.5 | EIA | 31 |

TABLE OF APPENDICES

| Appendix | Title | Page |
|-----------------|---|-------------|
| One | Public Sector Equality Duty | 32 |
| Two | Summary of Equality Legislation | 48 |
| Three | Progress made against REF2014 Action Plan | 55 |
| Four | Provisional Consultation Timetable | 72 |
| Five | How the University is Governed and Managed | 73 |
| Six | Scheduled Meetings | 78 |
| Seven | List of Heads of Departments and REF Coordinators per UOA | 79 |
| Eight | REF Appeals Pro Forma | 82 |
| Nine | Applicable Circumstances | 83 |
| Ten | Independent Fellowships | 87 |
| Eleven | REF2021 Equality Impact Assessment Form | 91 |
| Twelve | REF2021 Individual Staff Circumstances Disclosure Form | 95 |

1.0 Introduction

This document sets out the University's Code of Practice (COP) on preparing its submission to the Funding Councils' Research Excellence Framework 2021 (REF2021). It includes the processes by which:

- (i) staff with significant responsibility for research will be identified;
- (ii) research independence of staff will be determined; and
- (iii) research outputs from the total eligible output pool will be selected, for inclusion in the University's submission to REF.

A key aim of the COP is to demonstrate the University's commitment to fairness and transparency in its mechanisms for the identification of staff eligible for submission.

The COP has been agreed following an all staff consultation and discussions with the relevant trade unions.

1.1 Principles of the COP

The processes outlined in this COP seek to identify all eligible staff that have a significant responsibility for research and those staff that are considered to be independent researchers in their own right. In accordance with REF2021 Guidance on Submissions (GOS), this COP seeks to demonstrate fairness to staff by adhering to the principles detailed below.

1.1.1 Transparency

The COP has been drawn up and made available in an easily accessible format. It will be publicised to all academic staff across the University, including on the staff intranet, and drawn to the attention of those absent from work.

The COP will also be published on the University's external website and will be approved and published by the Funding Councils' REF team by the end of 2019. A copy of the final COP, together with the final Equality and Impact Assessment, will be published along with the submissions in 2022.

1.1.2 Consistency

The principles and processes covered by the COP will be applied to all aspects of the REF 2021 exercise, to support consistent decision making at all levels of the University.

1.1.3 Accountability

Responsibilities are clearly defined.

Individuals and bodies that are involved in identifying staff with significant responsibility for research, determining research independence, and selecting outputs for REF submissions have been identified by role. The COP outlines the training that will be undertaken by those involved in the process.

Operating criteria and terms of reference for individuals, committees, advisory groups and any other bodies concerned with these processes are outlined in the COP, and thus made readily available to all individuals and groups concerned.

1.1.4 Inclusivity

The COP aims to promote an inclusive environment, enabling the University to identify all staff who have a significant responsibility for research, all staff who are independent researchers, and the excellent research produced by staff across all protected groups, for submission to the REF.

1.2 The COP in the context of other University policies concerning Equality and Diversity

The processes outlined in this document have been designed within the context of all relevant equality legislation enacted since the REF2014 submission, namely the changes to the Equality Act 2010 which came into force on 1 October 2010, and the public sector Equality Duty which commenced on 5 April 2011, enacted in March 2017 by the Equality Act 2010 (Specific Duties and Public Authorities) Regulations 2017 (see Appendices One and Two).

The Equality Act consolidates and brings together previous anti-discrimination law into one piece of legislation. It established nine 'protected characteristics' on the grounds of which it is unlawful to discriminate (either directly or indirectly) against a person. These are stated in the Act as:

- Age;
- Disability;
- Gender reassignment;
- Marriage and civil partnership;
- Pregnancy and maternity;
- Race;
- Religion or belief;
- Sex;
- Sexual orientation.

Appendices One and Two (Public Sector Equality Duty and Summary of Equality Legislation respectively) provide further details and specific guidance on each protected characteristic. In addition, for the purpose of the REF, the following additional factors or circumstances will be taken into account:

- Part-time and fixed-term employment status;
- Early career researchers (ECRs) as defined in paragraph 148 of the GOS;
- Other relevant personal factors (which could include, for instance, bereavement of an immediate family member). Assessment of such cases will be based on the severity of the issue and the impact it has had on the ability of the eligible member of staff to produce research outputs.

In accordance with the Equality Act 2010 and the University's equality objectives, the University strives to encourage and support the recruitment, retention and development of all staff, regardless of any protected characteristics. This commitment is underpinned by the following University policies:

- Equality, Diversity and Inclusion Policy;
- The Disability Policy (which includes a section on Mental Health);
- The Dignity at Warwick Policy;
- The Trans and Gender Reassignment Policy.

All of these policies, which can be found on the University's HR website, have been subjected to Equality Impact Assessments (EIAs). In addition, policies are reviewed every two years to ensure they remain up-to-date and continue to be fit for purpose.

The University is a Silver Athena SWAN holder and promotes a culture of gender equality, including considerations of intersectionality. As such, it has prompted a range of initiatives to support research active staff.

In addition, the University has renewed its six-year accreditation of the HR Excellence in Research, which is aligned to the European Concordat. Continued progress in the Stonewall Workplace Equality Index is being made year on year, with the latest benchmarking carried out in January 2019 showing that the University is ranked 162 out of 445 organisations submitting to the Index.

The University has committed to building on and embedding EIA into all REF processes, following the work carried out in REF2014.

REF2021 EIA management information reports will be carried out throughout the REF process leading to the point of REF submission and will be discussed at the University's REF Executive Steering Group (REF-ESG) meetings and used to inform the final policy and procedures documented in this COP.

In line with REF2014, a further EIA will be performed at the conclusion of the REF2021 submission to ensure that the processes outlined in the University's COP have been adhered to. Checks will be made at regular intervals during the REF planning process to ensure consistency, fairness and that any identified discrepancies can be addressed. These will coincide with the REF Submissions Steering Group (REF-SSG) meetings in November 2019 and March and June 2020.

1.3 Update on the Actions Taken Since REF2014

Results of a statistical analysis and staff consultation process regarding REF2014 feedback have been incorporated into an Action Plan that will inform the University's REF2021 processes. These included suggestions from academic staff and those involved in the administration of the process. Progress against actions can be found in Appendix Three. There are a number of key themes, specifically:

- A continued commitment to ensure that REF submissions are fair and transparent and the selection process does not discriminate;
- The establishment of measures to increase the numbers of REF eligible employees with protected characteristics;
- Improvement to the quality of data available on secondments, sickness absence and protected characteristics, through improved recording.

1.4 COP Consultation and Communication

1.4.1 Consultation

The University provided a copy of the draft COP to relevant, recognised trade unions, and explained the processes related to identifying staff with significant responsibility for research, obtained feedback on the content and took feedback on the dissemination of the COP. The University met with the trade unions regularly during the development of the COP.

In the interests of transparency, the University published its draft COP on the University's Intranet, requesting feedback from staff. A dedicated REF Planning resource account has been created so that staff queries relating to REF2021 and the University's REF-related processes can be raised and addressed. A set of Frequently Asked Questions will be published and maintained on the University's REF2021 webpages.

During the consultation period, the University considered all feedback received to inform the final version of the University's COP.

A series of drop-in sessions for all Heads of Department were held to take questions and provide feedback on the application of the COP, prior to the submission of the final draft to the Funding Council by 7th June 2019.

1.4.2 Communication

The final, approved COP will be sent by email to all Heads of Department and also directly to all individuals eligible for submission to the REF2021 by the Pro-Vice-Chancellor (Research). Staff absent through maternity, adoption, study leave, sick leave, career break or any other form of long term absence will also be sent a copy of the document through the post by Human Resources. The COP will also be published on the University's website and Intranet, providing all staff with easy access to the document.

The University will also provide regular updates pertaining to REF2021 and the COP via the established twice-termly forums for Heads of Department.

The consultation timetable is provided in Appendix Four.

1.5 Decision making bodies

This section outlines the decision making bodies that will oversee and enact the identification of staff with significant responsibility for research, the determination of research independence of staff, and the selection of outputs for REF2021 submission.

1.5.1 The REF Executive Steering Group

The REF-ESG is the overarching body that steers REF institutional strategy and policy. It does not meet with academic departments.

REF-ESG's membership and terms of reference, listed below, were approved by the University Executive Board and then confirmed by the University's Steering Committee on behalf of the Senate. Further details on how the University is governed, including the terms of reference of the Steering Committee, are publicly available online and can be found in Appendix Five.

The membership of the REF-ESG is as follows²:

² Roles marked † are advisory in nature. By implication, those not marked with this symbol are decision making roles.

- Vice-Chancellor (Chair)
- Provost
- Pro-Vice-Chancellor (Research)
- Deputy Pro-Vice Chancellor (Research) (Infrastructure & Governance)
- Deputy Pro-Vice Chancellor (Research) (Arts, Social Sciences, Interdisciplinary Research)
- Chairs of the Faculty Boards:
 - Faculty of Arts;
 - Faculty of Science, Engineering and Medicine;
 - Faculty of Social Sciences.
- Director of Specialist Human Resources †
- In attendance: REF Secretariat † (Director of R&IS; Head of Research Planning (REF Manager), R&IS; Head of REF Futures, R&IS).

The Terms of Reference of the REF-ESG are as follows:

- On behalf of the Senate, to have oversight of the University's preparations for the Research Excellence Framework 2021;
- To develop overarching policies and strategies for managing the University's submission to the REF;
- To guide and advise departments on submissions strategies and act as the principal decision making body on such matters.

1.5.2 The REF Submissions Steering Group

The REF-SSG is the body that meets directly with Heads of Departments and/or Heads of Units of Assessment (UOAs) and REF Coordinators to prepare and consider all aspects of the University's REF submission, focusing on the core areas of REF assessment: namely outputs, impact, and environment. The membership of REF-SSG comprises a subset of the REF-ESG membership: the Pro-Vice-Chancellor (Research) (or nominee) shall chair meetings with departments/UOAs in all faculties and the requisite Chair of the Faculty Board shall also be present as a member of the Group. The Head of Research Planning (REF Manager), R&IS, and the Head of REF Futures, R&IS, shall serve as Secretariat to the Group and Faculty HR managers shall attend in an advisory capacity only.

The Terms of Reference of the REF-SSG are as follows:

- To confirm determinations on the identification of staff with significant responsibility for research, research independence and the selection of outputs for submission to the REF;
- To approve assessed quality level ratings for research outputs and impact case studies. The REF Submissions Steering Group decisions on such matters are final;
- To consider and approve reports from the REF Staff Circumstances Group (REF-SCG) on the proposed reduction in outputs of members of eligible staff having applicable circumstances;
- To act as the sole decision making body on staff eligibility for REF submission;
- To consider and ultimately sign-off departments' submissions to UOAs.

The REF-ESG and REF-SSG will meet regularly and those meetings will be minuted. Dates for meetings are scheduled in Appendix Six.

The membership of the REF-ESG and REF-SSG has been drawn from professorial and senior professional services staff who are members of the University's senior management. Further detail on senior management roles at the University can be found in Appendix Five.

Heads of Department and/or UOAs and REF Coordinators are senior members of staff in academic departments who meet with the REF-SSG. They are involved in the drafting of submissions to UOAs. A list of Heads of Departments and/or UOAs and REF Coordinator roles can be found in Appendix Seven.

Heads of Department and/or UOA, REF Coordinators and other departmental representatives or groups are advisory members to the Group and will explicitly not make decisions on the eligibility of staff.

1.5.3 The REF Staff Circumstances Group

The responsibility for considering the applicable circumstances of eligible members of staff lies with the REF Staff Circumstances Group (REF-SCG).

The membership of the REF-SCG is as follows:

- Pro-Vice-Chancellor (Education/International), (Chair)
- Director of Wellbeing and Safeguarding
- HR Manager – Professional Services
- Equality, Diversity and Inclusion Manager
- Head of Research Planning (REF Manager), R&IS
- Head of REF Futures (Policy & Delivery), R&IS
- Secretariat – Equality, Diversity and Inclusion Officer

The Terms of Reference of the REF-SCG are:

- To consider, in a consistent manner, all cases of applicable circumstances of staff eligible for the REF in accordance with the criteria and details outlined in the Funding Councils' GOS and the Panel Criteria and Working Methods document (PCWM);
- In accordance with the criteria set out in the GOS and PCWM, to recommend to the REF-SSG any reduction in the total number of research outputs required for submission by the submitting unit, arising from applicable circumstances that may have constrained the ability of individuals within the submitting unit to produce outputs or to work productively through the assessment period. Justification of the recommendation would remain confidential;
- To communicate to Heads of Departments decisions on the reduction in the total number of research outputs permitted for submission by the submitting unit, arising from applicable circumstances that may have constrained the ability of individuals within the submitting unit to produce outputs or to work productively through the assessment period;
- To communicate the outcome of the considerations by the REF-SCG, and decisions on reductions to the expected 2.5 outputs per eligible staff member, to individuals

that return details of applicable circumstances that may have affected them during the assessment period;

- To determine the appropriate information required in order to make informed decisions including, where necessary, referral to Occupational Health or access to further medical evidence;
- All personal data submitted as part of the consideration of staff circumstances will be handled in accordance with the General Data Protection Regulations 2018 in terms of, but not limited to, the purpose for requesting, collecting and holding the data, how it will be used, who will have access to it, and when it will be destroyed.

The REF-SCG will meet as required to discuss cases. Dates are scheduled as shown in Appendix Six.

1.6 Appeals

Staff who believe a decision regarding their eligibility for REF, as determined by the University's process for identifying staff with significant responsibility for research and/or determining research independence, has been discriminatory with respect to equality legislation, and/or has been made as a result of an error of the process outlined in Sections 2 and 3, have the right to appeal as defined in this COP, where Sections 2 and 3 outline the factors that the REF-SGS will consider when determining REF eligibility. This includes the criteria for identifying staff with significant responsibility for research, and determining research independence.

Approval of the quality level ratings of research outputs and research impact case studies is the responsibility of the REF-SGS and its decision is final. Appeals against the quality ratings assigned to research outputs and/or research impact case studies will not be permitted.

A nominated Pro-Vice-Chancellor and named deputy, not otherwise involved in selection of staff for the REF, will be appointed to help and advise potential appellants.

Members of staff considering making an appeal are encouraged to discuss their case with the nominated Pro-Vice-Chancellor or deputy. Appellants should contact the University's Equality and Diversity Manager (refappeals@warwick.ac.uk) to arrange to meet with the Pro-Vice-Chancellor or their deputy.

Appellants are requested to complete the Appeals pro forma which can be found at Appendix Eight.

The appeals process will be completed prior to the University's final submission to REF2021. The membership of the REF Appeals Panel (REF-AP) is as follows:

- University of Warwick Emeritus Professor;
- An academic representative of the Senate;
- Director of Human Resources (or equivalent);
- An independent Member of Council.

The Terms of Reference for the REF Appeals Panel are:

- To consider cases of staff members who have appealed against the decision of the REF Submissions Steering Group regarding their significant responsibility for research or research independence on the basis of the decision being discriminatory and/or on the basis that the decision with regards to significant responsibility for research or research independence was made as a result of a procedural error;
- To re-examine how the decision regarding their significant responsibility for research or research independence was reached and to seek further evidence, where necessary, in order to confirm or change the REF Submissions Steering Group's decision.

The REF-AP will meet (as required and depending on the number of appeals) well in advance of the Funding Councils' submission deadline. Dates are scheduled as shown at Appendix Six.

Staff involved in the REF Decision Making Bodies will undergo specific training on equality legislation and REF processes, as outlined in Section 3.6 below.

2.0 Identifying Staff with Significant Responsibility for Research

The definition of 'significant responsibility for research' is described in paragraph 138 of the GOS:

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

For the purposes of the REF, research is defined in Annex C of the GOS as

“a process of investigation leading to new insights, effectively shared. It includes work of direct relevance to the needs of commerce, industry, culture, society and to public and voluntary sectors; scholarship (defined for the REF as the creation, development and maintenance of the intellectual infrastructure of subjects and disciplines, in forms such as dictionaries, scholarly editions, catalogues and contributions to major research databases), the invention and generation of ideas, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It excludes routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of new analytical techniques. It also excludes the development of teaching materials that do not embody original research. It includes research that is published, disseminated or made publicly available in the form of assessable research outputs, and confidential reports, as defined in paragraph 261 [of the GOS]”

The University expects that the core eligibility criteria as detailed in paragraph 117 of the GOS and outlined below would accurately identify all staff with significant responsibility for research, across all disciplines and for all Units of Assessment to which the University of Warwick will make a REF2021 submission:

“117. Category A eligible staff are defined as academic staff with a contract of employment of 0.2 FTE or greater, on the payroll of the submitting institution on the census date, whose primary employment function is to

undertake either 'research only' or 'teaching and research'. Staff should have a substantive research connection with the submitting unit (see paragraphs 123 to 127). Staff on 'research only' contracts should meet the definition of an independent researcher (paragraphs 128 to 134)"

As such, the University expects to adopt the approach described in paragraph 135a of the GOS and submit 100% of eligible staff to REF:

"135a. Where the 'Category A eligible' staff definition accurately identifies staff in the submitting unit with significant responsibility for research, the unit should submit 100% of staff."

However, in line with paragraph 119 of the GOS, the University recognises that "*staff on 'teaching and research' contracts cannot always be assumed to be independent researchers,*" and therefore that the REF core eligibility criteria may also identify staff who do not have a significant responsibility for research. The University will therefore run a process for identifying staff with significant responsibility for research, to identify those 'teaching and research' staff for whom paragraph 141b of the GOS below does not apply and who will therefore not be eligible for REF submission.

Paragraph 141 (b) of the GOS states that:

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

*: The possible indicators of independence are listed in Section 3.4 of this COP.

The REF-SSG will be the decision-making body responsible for implementing this process. The REF-SSG recognises the definition and the possible indicators listed in the REF guidance above and will refer to this guidance when identifying staff with a significant responsibility for research.

Each UOA will be provided with a staff data snapshot from HR prior to each meeting of REF-SSG. During the meeting, HoDs will be asked to confirm that this is a complete list and provide any updates to the Group which may include new staff who started after the data snapshot date.

The REF-SSG will review the HR staff data snapshot against the criteria outlined in para 141b as presented above, to identify 'teaching and research' staff with significant responsibility for research.

The same staff and committees are responsible for identifying staff with significant responsibility for research, determining research independence and selecting outputs for REF submission. This COP details the Decision Making Bodies, their related structure, membership, terms of reference in Sections 1.5.1 – 1.5.3 and their meeting schedules in Appendix Six.

To note, as set out in Section 3.6, all members of REF-SSG will be required to receive training on equality and diversity prior to identifying staff with significant responsibility for research.

3.0 Determining Research Independence

3.1 Policy and procedures for determining whether staff meet the definition of an independent researcher

The definitions of 'Category A eligible' and 'Category A submitted' staff are described in paragraphs 117 and 135 of the GOS respectively.

To be eligible for submission to REF, staff must be on the payroll of the University on 31 July 2020, have a contract of employment of 0.2 FTE or greater, and a primary employment function to undertake either 'research only' or 'teaching and research'. Staff must also have a substantive research connection with the submitting unit. Staff on 'research only' contracts must be independent researchers, as defined in paragraphs 128 to 133 of the GOS.

For the avoidance of doubt, staff on 'teaching and research' contracts are typically considered by the University to be independent researchers; however, 'Research Assistants', sometimes referred to as postdoctoral research assistants (PDRAs), as defined in paragraph 130 of the GOS, are not expected to be eligible for REF submission. Furthermore, as stated in paragraph 133 of the GOS, *'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'*.

As per the terms of the GOS, staff on 'teaching only' contracts will not be eligible for submission to REF2021.

Where a member of eligible staff has been engaged on a contract between 0.20 and 0.29 FTE, a statement evidencing the clear connection of the staff member with the submitting unit will be provided by the University, where necessary and in accordance with paragraph 123 of the GOS.

The University will inform 'research only' staff who do not meet the REF definition of independent researcher that they are ineligible for the REF. Determinations on independence will be communicated to staff. Details are described more fully in Section 3.5 of this document.

The University's processes for identifying staff with significant responsibility for research and determining the research independence of staff as documented in Sections 2.0 and 3.0 will be taken into account when completing the EIAs.

The staff and committees outlined in Sections 1.5.1-1.5.3 are responsible for identifying staff with significant responsibility for research, determining research independence and selecting outputs for REF submission. An outline of these meeting schedules is in Appendix Six. Training for all those involved in these decision making bodies is outlined in Section 3.6 of this COP.

3.2 Fixed Term and Part-time Staff

This COP confirms the University's commitment to equality of opportunity for those on fixed-term and part-time contracts, which includes contract research staff. The outputs selection criteria, described in Section 4.0, will take account of applicable circumstances for staff members on such contracts including the proportion, in FTE, across the assessment period that the individual has been contracted and how this might have affected the volume of research they have produced.

3.3 Commencement of Career as an Independent Researcher

For the purposes of the REF, paragraph 148 of the GOS describes that an individual is deemed to have started their career as an independent researcher from the point at which:

- a) they held a contract of employment of 0.2 FTE or greater, which included a primary employment function of undertaking ‘research’ or ‘teaching and research’, with any HEI or other organisation, whether in the UK or overseas, and
- b) they first met the definition of an independent researcher, as defined in paragraphs 131 to 133 of the GOS:

Appendix Nine, Table 4 contains the definition of junior clinical academics.

3.4 Process for Determining Research Independence

The definition of ‘independent researcher’ and possible indicators of independence are described in paragraph 131 of the GOS and paragraphs 188-189 of the PCWM:

“131 (GOS). For the purposes of the REF, an independent researcher is defined as an individual who undertakes self-directed research, rather than carrying out another individual’s research programme.”

“188 (PCWM). Possible indicators of independence are listed below. Institutions should note that each indicator may not individually demonstrate independence and, where appropriate, multiple factors may need to be considered. Across all main panels, the following indicators would normally identify research independence:

- *leading or acting as principal investigator or equivalent on an externally funded research project*
- *holding an independently won, competitively awarded fellowship where research independence is a requirement. An illustrative, but not exhaustive, list of independent fellowships can be found at www.ref.ac.uk, under Guidance*
- *leading a research group or a substantial or specialised work package.*
- *189 (PCWM). In addition to the generic criteria specified in the ‘Guidance on submissions’, Main Panels C and D also consider that the following attributes may generally indicate research independence in their disciplines:*
 - *Being named as a Co-I on an externally funded research grant/award.*
 - *Having significant input into the design, conduct and interpretation of the research.*

The University recognises this definition and the possible indicators of independence listed in the REF guidance, including those considered to be of relevance to Main Panels C and D only, and the REF-SSG will refer to this guidance when making determinations about the research independence of academic staff. It will also refer to and be guided by the list of independent fellowships published by Research England, see Appendix Ten.

However, the REF-SSG notes that the list of indicators of independence is not exhaustive and reserves the right to consider any additional generic or discipline-specific indicators that are deemed by the Group to be relevant to its assessment. For example, the REF-SSG considers that an independent researcher might exhibit some, but not necessarily all, of the following characteristics:

- Ability to invent/create and drive a programme of research or a research project intellectually;
- Ability to win research grants from grant-awarding bodies both external and internal to the university;
- Eligibility to supervise PhD students either as a primary or secondary supervisor (for staff on probation).

3.4.1 - The University also considers that the vast majority of 'research only' staff on research grants, graded internally at FA Level 6 and undertaking research directed by a named Principal Investigator who has won the necessary research funding, will not typically meet the REF definition of an independent researcher and therefore, would not be eligible for REF submission.

3.4.2 - Where there are research only staff for whom the above definition does not apply the university will consider the potential independence of such staff members. The REF-SSG will ensure that the criteria for 'significant responsibility for research' and 'research independence' are consistently applied within each UOA.

The staff and committees outlined in Sections 1.5.1-1.5.3 are responsible for identifying staff with significant responsibility for research, determining research independence and selecting outputs for REF submission. An outline of these meeting schedules is in Appendix Six. Training for all those involved in these decision making bodies is outlined in Section 3.6 of this COP.

3.5 Communication of REF eligibility

As outlined earlier in Sections 2 and 3, to be eligible for submission to REF, staff must be on the payroll of the University on 31 July 2020, have a contract of employment of 0.2 FTE or greater, and a primary employment function to undertake either 'research only' or 'teaching and research'. Staff must also have a substantive research connection with the submitting unit. Staff on 'research only' contracts must be independent researchers, as defined in paragraphs 128 to 133 of the GOS

Staff outlined in 3.4.1 will receive written communication from the University confirming that they are not eligible for submission to the REF.

Where the REF-SSG resolves that an individual member of staff outlined in 3.4.2 is ineligible for REF, as per the processes documented in Sections 2.0 and 3.4, the University will communicate this in writing in August 2020, outlining the reason for the REF-SSG's decision.

Staff that wish to discuss and understand decisions on REF eligibility in more detail should contact their head of department directly.

Staff will have the right of appeal on discriminatory and/or procedural grounds only. The appeals process is described in Section 1.6 above.

REF ineligibility and/or volume of outputs submitted to the REF and subsequent ratings will not be used by the University as a measure of research performance of an individual member of staff and will not lead to any contractual changes. The University's probation, promotion, and hiring procedures will not rely on REF as an indicator of research performance.

3.6 Training

Equality and Diversity training is available via different routes to all members of staff, from face-to-face training, online modules, video resources, how-to guides and awareness events.

Information on training is available through induction material, the Learning and Development website and through regular communications of new courses via the University's Intranet site. Staff are encouraged to attend training sessions as part of their professional and personal development and invited to attend the termly Equality Diversity and Inclusion Network

meetings. Guidance and awareness of protected characteristics are embedded in many of our training programmes and processes, for example, unconscious bias training has been rolled out across the University in relation to recruitment and promotion.

Staff involved in the REF decision making bodies will undergo specific training on equality legislation and REF processes. This will include members, the Secretariat and those 'in attendance'. Full details on all of the University's decision making bodies are outlined in Sections 1.5.1 -1.5.3 above.

Prior to decisions being made on the identification of staff with significant responsibility for research, research independence and the selection of outputs, Heads of Departments, REF Coordinators and members of the REF Executive and Submissions Steering Groups, the REF Staff Circumstances Group (REF-SCG) and the REF Appeals Panel (REF-AP) shall be specifically trained on equal opportunities legislation, unconscious bias and legal compliance. The undertaking of this training by decision makers is mandatory. The Learning and Development team will monitor completion of training by all those for whom it is mandatory via the University's online Learning Management System.

The University will utilise and make available a variety of training methods. The development of an equality and diversity training workshop, tailored to the REF, has been scheduled for summer 2019. This workshop will cover the content of the University's COP as it refers to preparing REF submissions, as well as the legislation and compliance requirements of the Equality Act 2010. The training sessions will include case studies that explore issues such as the implications of dealing with personal circumstances in REF-related processes for staff with significant responsibility for research, research independence and the selection of outputs. The University will also provide online equality and diversity training via an e-learning module entitled 'Diversity in the Workplace' tailored specifically to the HE sector.

On completion of the training session, staff will possess a comprehensive knowledge and understanding of the Equality Act 2010 and the implications of applicable circumstances associated with protected characteristics. The training session will also cover how these can impact on the total number of outputs that the submitting unit, to which the affected individual belongs, may be required to submit to the REF.

3.7 Equality Impact Assessment

A thorough and systematic Equality Impact Assessment (EIA) will be conducted on the policy and procedures for identifying staff with significant responsibility for research, determining research independence, and selecting outputs for the REF and to ensure these processes are fair and inclusive. The University will monitor the profile of its submission of staff in respect of protected characteristics at each significant stage of the process. This analysis will be used to inform the EIA and the outputs of the assessments (the EIA form can be found at Appendix Eleven).

Additionally:

- For the processes related to identifying staff, the assessment shall consider data on the characteristics of staff considered to meet the criteria for having significant responsibility for research in the context of all staff who are eligible for submission;
- For policy and procedures relating to the identification of independent researchers, the assessment shall consider data on the characteristics of staff determined to meet the definition, in the context of a comparator pool for junior academic staff;
- For policy and procedures relating to output selection, the assessment shall consider data on the distribution of selected outputs across staff, by protected characteristic in the context of the characteristics of the submitted pool.

The statistical analysis reviewed as part of the EIA will be used to inform decision making, ensuring that no group with protected characteristics are treated differently and where discrepancies are identified that these are justified or mitigated. In order for analysis to be effective, accurate staff lists showing protected characteristics, where known, numbers of publications and how many publications are to be submitted will be required at every stage of the EIA process.

A review of the equality analysis will be a standing agenda item on the REF-SSG meetings with UOAs. The REF-ESG will consider these management information reports during the course of 2020 and any prima facie imbalances will be investigated by members of the Group. If any imbalance is judged to be reflective of inequality, the REF-ESG shall address the matter prior to making its submission to the Funding Councils in 2020. Full details of the EIA will also be made available to the Appeals Panel.

The final version of the REF EIA will be published on the University's REF2021 webpage after the submission has been made and will include the outcomes of any actions taken to advance equality and to prevent discrimination

4.0 Selection of Outputs

4.1 Policy and Procedures for the Selection of Outputs

The University will require each UOA to submit to Senate a summary of the principles underpinning the review and selection of outputs for consideration by REF-SSG.

In line with the principles of the COP, as described above, the REF-SSG will receive regular reports from Heads of Departments on information that will potentially be included in submissions.

The REF-SSG will oversee departmental processes, to ensure a robust and consistent approach within all UOAs, and will expect all Heads of Departments to share with staff the process for the selection of outputs for consideration by REF-SSG.

Heads of Departments will, in preparation for the REF submission deadline, compile full draft submissions, between March and July 2020, at the request of the REF-SSG.

The REF-SSG will take the final decision on determinations for the selection of outputs for submission to the REF, and on the specific outputs to be submitted.

When making decisions on the selection of outputs for inclusion in the University's REF submission, the quality of research outputs first brought into the public domain during the publication period 1 January 2014 and 31 December 2020, along with the REF guidance regarding output selection and eligibility as described in 'Part 3 Section 2: Research outputs (REF2)' of the GOS, shall be paramount. The Group will then consider the following subsidiary factors:

- Volume of research outputs produced during the publication period for outputs³. Individual circumstances that have affected the volume of research submitted will be taken into account as will the recommendations made by the REF Staff Circumstances Group;
- Citations data, where the relevant REF sub-panels have indicated that their use is considered appropriate for their discipline;
- The REF Executive Steering Group may seek cross referral to a relevant UOA, in cases where an individual's research does not naturally fit into a particular UOA submission.

Decisions on the selection of outputs will be made with reference to the factors described above and will be made in the context of both the relevant REF panel assessment criteria and working methods, and the University's REF submission strategy.

The University does not intend to return the outputs of staff members employed on open-ended contracts who have left the University as a result of redundancy. However, the University recognises that there may be specific circumstances, in which the return of outputs would be reasonable, and recognise the contribution made during the REF period. This would apply particularly to staff who have been employed on fixed-term contracts, very often early career researchers on research fellowships.

The REF-SSG is the body responsible for selecting outputs, for identifying staff with significant responsibility for research and for determining research independence. Full details on all of the University's REF Decision Making Bodies, including the REF-SSG, its associated membership and terms of reference are supplied in Section 1.5.1-1.5.3 above.

4.2 External Review of Outputs

The REF-ESG has mandated that all Departments should have individual research outputs externally reviewed, accepting that the level and extent of this may vary according to discipline. External review is used as an aid to help Heads of Departments prepare submissions through gaining a more comprehensive understanding of the overall quality of the Unit's submission. Departments opting to undertake an external review as part of their

³ The REF2021 publication period for outputs runs from and including 1st January 2014 to and including 31 December 2020, it being noted that outputs first published in their final form during the REF2021 publication period, but that were 'pre-published' online in the previous publication period between 2008 and 2013 are eligible for submission to REF provided that they were not submitted in the previous REF2014 exercise.

REF preparations must be mindful of General Data Protection Regulation (GDPR), Subject Access Requests, potential conflicts of interest, and the guidance contained in this COP. Advice in respect of this can be sourced from the departmental link HR Adviser.

4.3 Applicable Circumstances

As a key measure to support equality and diversity in research careers, the Funding Councils have stated that in all UOAs a submitting unit may optionally request a reduction, without penalty, in the assessment in the total number of outputs required for submission, where the individual circumstances of Category A submitted staff have constrained the ability to produce outputs or to work productively throughout the assessment period.

The University is permitted to list a minimum of one and a maximum of five outputs against any researcher submitted to REF, irrespective of their circumstances or the length of time they have had to conduct research. A minimum of one output must be listed against each individual submitted to the REF, unless an individual's circumstances have had an exceptional effect on their ability to work productively throughout the period as detailed in Section 4.4.2., *'so that the staff member has not been able to produce the required minimum of one output'* (paragraph 159, GOS).

In order to ensure that equality and diversity is supported in research careers, the University will seek to apply appropriate reductions to the UOA submissions, where individual circumstances during the assessment period have constrained an individual's ability to contribute to the output pool.

The University has set out a process (below) through which eligible staff can make a submission of circumstance. This is an entirely voluntary process.

An internally appointed REF Staff Circumstances Group (REF-SCG), as described in Section 1.5.3, will consider each case within the appropriate terms of reference and determine if applicable, in accordance with the criteria and details outlined in the GOS and PCWM.

All members of the REF-SCG are bound by confidentiality requirements, and acceptance of the confidentiality requirements is a condition of their appointment to the role. Information relating to individuals will only be shared with those who have a legitimate requirement to see the documentation as part of the REF process. No information relating to identifiable

individuals' circumstances will be published by the University. All data collected, stored and processed by the REF-SCG will be handled in accordance with the GDPR 2018.

4.3.1 Circumstances with a defined reduction

In order to provide clarity and consistency on the number of outputs that may be reduced without penalty, there is a **defined reduction** in outputs for the following applicable circumstances:

- Qualifying as an early career researcher, see Appendix Nine, Table 1.
- Absence from work due to secondments or career breaks, see Appendix Nine, Table 2.
- Qualifying periods of family-related leave, see Appendix Nine, Table 3.
- Other circumstances that apply in UOAs 1-6, see Appendix Nine, Table 4.

For the avoidance of doubt, staff affected by such equality-related circumstances wishing to disclose their circumstance(s) for consideration by the REF-SCG should do so in accordance with the voluntary process described in Section 4.4 below.

4.3.2 Circumstances requiring a judgement about reductions

Circumstances equivalent to absence will **require a judgement** about the appropriate reduction in outputs and arrangements are in place for such circumstances to be considered on a consistent basis through the REF-SCG (see Section 1.5.3). Applicable circumstances requiring a judgement about the appropriate reduction in outputs would be:

- Disability
- Ill-health, injury or mental health conditions
- Constraints relating to pregnancy, maternity, paternity, adoption or childcare
- Other caring responsibilities (such as caring for an elderly or disabled family member)
- Gender reassignment
- Other circumstances related to the protected characteristics listed in Section 1.2 above, or relating to activities protected by employment legislation.

For the avoidance of doubt, staff affected by such equality-related circumstances wishing to disclose their circumstance(s) for consideration by the REF-SCG should do so in accordance with the voluntary process described in Section 4.4 below.

Where staff have had one or more circumstances that require a judgement – including in combination with any circumstances with a defined reduction in outputs – the University, through the REF-SCG, will make a judgement on the appropriate reduction in the number of outputs, taking into account all the circumstances, and will provide a rationale for its judgement.

As far as is practicable, the information supplied by the University to REF will provide an estimate – in terms of the equivalent number of months absent from work – of the impact of the circumstances requiring a judgement on the individual's ability to work productively throughout the assessment period, and state any further constraints on the individual's research work in addition to the number of months absent. A judgement on the appropriate reduction will be made according to Table 2 in Appendix 9, in relation to estimated months absent from work, with further constraints taken into account as appropriate.

For further information and guidance regarding the applicable circumstances, please refer to Appendix Nine below.

4.4 Processes for the disclosure of circumstances and recognition of their effect

4.4.1 Process for the disclosure of circumstances

Adhering to the principles of the COP, all University staff who, in accordance with the GOS, are eligible for submission to the REF2021, will have the option to complete an Individual Staff Circumstances pro forma detailing any circumstances that they believe may have adversely affected their ability to produce research outputs during the assessment period. Details of applicable staff circumstances have been described in Section 4.3, and extracts from the Funding Councils' criteria can be found at Appendix Nine.

The University has developed a template to collect robust information on staff circumstances. This Individual Staff Circumstances Disclosure Form, found at Appendix Twelve, together with clear information about applicable circumstances and how the process will operate, will be emailed by the Pro-Vice Chancellor (Research) to all eligible staff members, drawing their attention to the staff circumstances process laid out in the COP and thereby affording all staff the opportunity to disclose any relevant circumstances.

The pro forma will also be easily accessible on the University's website. Completion of the form is not mandatory and staff will be informed that they are under no pressure to disclose and submit information. The process will be entirely voluntary and the University will not take into account any circumstance other than those to which consent has been given and have been declared via this process.

Those members of staff who do wish to disclose staff circumstances will complete a Staff Circumstances Disclosure Form online which will be submitted to the ED&I Manager. Staff for whom the online form is inaccessible will be able to complete a hard copy form which should be sent by internal post or confidential email: refcircumstances@warwick.ac.uk.

4.4.2 Process for recognising the effect of staff circumstances

For each submitted case, the ED&I Manager will determine whether it qualifies as an applicable circumstance with a defined reduction; a circumstance where a judgement is required about reductions; or for the removal of the minimum of one output requirement as described in the Funding Councils' REF GOS and in Appendix Nine of this document. An initial recommendation to the REF-SCG regarding the reduction will be made.

Where the ED&I Manager considers that a case may qualify for the removal of the minimum requirement of one output, the ED&I Manager may request evidence via HR to support the case; will summarise key issues and overall impact, specifically in terms of time, pro-rata against the REF assessment period; and make recommendations on the appropriate reduction in the number of outputs to be applied, in accordance with the criteria specified in the GOS. The case and recommendations will be submitted to the REF-SCG for consideration.

4.4.3 Process for assessing the effect on the output pool

The REF-SSG will review and determine where a reduction request will be made at the level of the submitting unit. This will be based on the criteria in the GOS and include a consideration of one or more of the following factors: the size of the unit; the impact of staff circumstances on the unit's overall output pool; cases in which disciplinary publishing norms have led to an individual generating a smaller number of outputs across the publication period; where there is a significant proportion of staff within the unit whose individual circumstances have affected their productivity over the REF period.

Where it is determined that the available output pool at the unit level has been disproportionately affected, the University will seek a reduction to the total number of outputs for that submitting unit, in accordance with the 'request process' outlined in paragraphs 198-200 of the GOS.

In making the request for any reduction, the REF-SSG will include a statement on the context of the unit, how the circumstances affected the unit's output pool and why this was determined to be disproportionate. This will be considered by the Funding Bodies' national Equality & Diversity Advisory Panel (EDAP).

HR will write to individual members of staff on behalf of REF-SSG, informing them of the decision regarding any reduction in the 2.5 outputs per eligible staff member, that they are expected to contribute to the total pool of eligible outputs.

As explained more fully in Appendix Nine, the maximum reduction per individual cannot be more than 1.5 outputs, in order that the required minimum of one output per eligible staff member is satisfied, unless an individual's circumstances has had an exceptional effect on their ability to work productively throughout the period such that the individual has not been able to produce an eligible output. In these exceptional cases, a case can be made for the minimum of one output requirement to be removed.

In order to support staff through this process, when using the form for declaring circumstances, there is an option for the individual to request that HR contact them to provide support regarding their circumstances.

4.5 Equality Impact Assessments (EIAs)

As previously documented, EIAs will be carried out and reviewed at designated stages of the REF2021 process to ensure that any changes that are necessary to promote equality and to prevent discrimination, are taken prior to the submission deadline. Data on submissions will be scrutinised and acted upon accordingly to ensure that the University complies with both this COP and the GOS, demonstrating a fair and transparent process. A profile of eligible staff for submission and any known protected characteristics (where disclosed) will form part of the initial EIAs, and this will be monitored and acted upon accordingly.

Appendix One

The Public Sector Equality Duty

The public sector equality duty: specific duties and public authorities' regulations for England (Revised June 2017)

Implications for higher education institutions

The Equality Act 2010 replaced previous anti-discrimination law, consolidating it into a single act. The majority of the Act came into force on 1 October 2010 and introduced new measures which have direct implications for higher education institutions (HEIs).

The public sector equality duty (henceforth the 'equality duty') came into force on 5 April 2011, replacing the previous separate equality duties for race, disability and gender. The equality duty is supported by specific duties which are different for England, Scotland and Wales.

In England the Equality Act 2010 (Specific Duties and public authorities) Regulations came into force on 31 March 2017 replacing the Equality Act 2010 (Specific Duties) Regulations 2011. English HEIs, the Higher Education Funding Council for England (HEFCE) and the Student Loans Company (including, therefore, Student Finance England) are covered by the equality duty and the specific duties.

This briefing provides detail about the equality duty and the specific duties for England, and highlights issues for institutions to consider in developing their approaches to meeting the requirements. It replaces the Equality Challenge Unit's (ECU's) September 2011 briefing. This briefing should be read in conjunction with an earlier ECU briefing published in 2012: ECU (2012) Equality Act 2010: implications for colleges and higher education institutions (revised) www.ecu.ac.uk/publications/equality-act-2010-revised

The equality duty

The equality duty consists of a general duty, with three main aims (set out in section 149 of the Equality Act 2010); and specific duties (set out in the secondary legislation that accompanies the Act). The specific duties are intended to assist public bodies to meet the general duty.

The equality duty covers the following protected characteristics that are recognised within the Equality Act:

- = age
- = disability
- = gender reassignment
- = pregnancy and maternity
- = race – this includes ethnic or national origin, colour or nationality
- = religion or belief – this includes lack of belief
- = sex
- = sexual orientation

It also applies to marriage and civil partnership, but only in respect of the requirement to have due regard to the need to eliminate unlawful discrimination in employment.

The Equality and Human Rights Commission (EHRC) is responsible for assessing compliance with and enforcing the equality duty. It has powers to issue compliance notices to HEIs that fail to comply with the duty and can apply to the courts for an order requiring compliance. The general duty (see below) can also be enforced by judicial review. This can be sought by the EHRC or any individual or group of people with sufficient interest.

General duty

The general duty has three aims.

It requires HEIs to have due regard to the need to:

- = eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Equality Act 2010
- = advance equality of opportunity between people from different groups. This involves considering the need to:

- remove or minimise disadvantages suffered by people due to their protected characteristics
 - meet the needs of people with protected characteristics
 - encourage people with protected characteristics to participate in public life or in other activities where their participation is low
- = foster good relations between people from different groups. This involves tackling prejudice and promoting understanding between people from different groups

In order to demonstrate due regard, institutions must consider the three aims of the general duty when making decisions as employers and education and service providers; for example, when:

- = developing, evaluating and reviewing policies
- = designing, delivering and evaluating services, including education provisions
- = commissioning and procuring services from others

To comply with the general duty, institutions may treat some people more favourably than others, as far as this is allowed by UK and European anti-discrimination law. The general duty also explicitly recognises that disabled people's requirements may be different from those of non-disabled people. HEIs are required to take account of disabled people's impairments and must make reasonable adjustments for disabled people.

Due regard

There is no prescribed process on how to demonstrate due regard, though mechanisms developed could look to replicate, extend or replace equality impact assessment tools. HEIs can be flexible in their approach as different types of policies and practices may require different approaches. ECU has produced guidance on impact assessments which may be useful to help in considering demonstrating due regard: www.ecu.ac.uk/guidance-resources/governance-and-policies/equality-impact-assessment

Where a particular policy or practice is found to have a discriminatory impact on a protected group, HEIs can explore alternative policies or practices or justify their actions within the constraints of the law. ECU recommends HEIs record and justify actions and decisions taken to demonstrate due regard. Justification will be needed if a legal challenge is made.

Involving staff and students

Involving staff and students can further aid institutions in prioritising and understanding the impact of the actions they take to meet the equality duty, as well as promoting an inclusive and responsive culture. ECU recommends that HEIs involve staff and students in various processes, for example when:

- = assessing the equality impacts of the HEI's policies and practices
- = considering and designing actions and initiatives relating to the public sector equality duty

In doing so, considering a number of contextual factors, such as accessibility, location and timing, will help maximise involvement. ECU and the Higher Education Academy (HEA) have produced guidance on the range of ways HEIs can engage with disabled students, which contains information that can be transferred to other protected characteristics:

ECU and HEA (2010) Strategic approaches to disabled student engagement.

www.ecu.ac.uk/publications/strategic-approaches-to-disabled-student-engagement

Specific duties

The specific duties aim to help HEIs perform better in meeting the equality duty.

The focus of the specific duties is transparency in how HEIs are responding to the equality duty. It is important to note that institutions must meet both the equality duty and the specific duties – it is not enough to meet the specific duties alone.

There are four elements of the specific duties:

- = publication of information
- = equality objectives
- = manner of publication
- = gender pay gap reporting

The specific duties can be found in full:

www.legislation.gov.uk/ukdsi/2017/9780111153277/contents

Publication of information

HEIs must publish, no later than 30 March 2018, information to demonstrate compliance with the equality duty. Subsequently, information must be published at intervals no greater than one year from the last publication.

The information must include information relating to people who share a relevant protected characteristic who are employees (if the HEI has 150 employees or more) and other people affected by policies and practices. This will include students, alumni and service users, for example.

Considerations

HEIs have some flexibility in the information they collect, analyse and publish to demonstrate compliance with the equality duty. The minimum information that public bodies must publish to be compliant is outlined in the EHRC's technical guidance on the public sector equality duty for England:

- = www.equalityhumanrights.com/en/publication-download/technical-guidance-public-sector-equality-duty-england
- = A list of some of the information HEIs may find useful to collect and analyse to assess the impact of their functions on different protected groups can be found at the end of this briefing. HEIs should not publish information if to do so would legally breach confidence

or the Data Protection Act 1998. ECU has published guidance to assist HEIs in data gathering, analyses and dealing with small numbers:

= www.ecu.ac.uk/guidance-resources/using-data-and-evidence/working-with-data

The information institutions publish is intended to provide the public with headline statistics of how a HEIs functions, as an employer and education provider, and its impact on current and prospective staff and students.

To consider how the functions of an institution affect all staff and students, ECU recommends that information is gathered across all of the protected characteristics. Where HEIs are not already collecting information on a particular protected characteristic, or where disclosure is low, ECU recommends institutions seek to develop a safe and supportive environment through comprehensively demonstrating a commitment to equality and providing clear reasons for collecting data and explaining how it will be used. This is as important for data that is compulsory for HEIs to collect as it is for optional data.

A number of ECU's publications explore this in further detail:

- = ECU (2016) Trans staff and students in higher education and colleges: improving experiences. www.ecu.ac.uk/publications/trans-staff-and-students-in-he-and-colleges-improving-experiences
- = ECU (2011) Religion and belief in higher education: the experiences of staff and students www.ecu.ac.uk/publications/religion-and-belief-staff-and-students-in-he
- = ECU (2010) Advancing LGB equality: improving the experience of lesbian, gay and bisexual staff and students in higher education. www.ecu.ac.uk/publications/advancing-lgb-equality
- = ECU (2010) Student pregnancy and maternity: implications for higher education institutions. www.ecu.ac.uk/publications/student-pregnancy-and-maternity
- = ECU (2009) Developing staff disclosure: a guide to collecting and using equality data. www.ecu.ac.uk/publications/developing-staff-disclosure

HEIs will need to consider what questions they ask staff and students relating to their protected characteristics to get an accurate profile of their HEI.

Specific questions recommended by ECU can be found on our website:

www.ecu.ac.uk/guidance-resources/using-data-and-evidence/monitoring-questions

HEIs may publish both quantitative and qualitative information. ECU recommends HEIs consider the range of information they already collect and how this can be extended to all protected characteristics. This will include:

- = information provided to the Higher Education Statistics Agency (HESA)
- = student and staff satisfaction surveys
- = HR records
- = equality monitoring forms
- = evidence from involvement, engagement and consultation exercises
- = information on how institutions have assessed the impact of their policies and practices on different protected characteristics

Using national evidence will enable an HEI to compare its performance with the rest of the sector and therefore provide context. It is useful to involve colleagues responsible for holding and analysing information in this process. National evidence may also help to identify long-standing inequalities which institutions may choose to explore locally.

ECU's annual statistical report highlights some of the equality issues existing within the sector:

- = ECU (2016) Equality in higher education: statistical report 2016.
www.ecu.ac.uk/publications/equality-in-higher-education-statistical-report-2016/

A number of further resources may be useful to institutions:

- = HESA's online data management tool, Heidi plus, allows users to manipulate data to create detailed reports across a range of criteria: www.hesa.ac.uk/services/heidi-plus
- = ECU (2011) Effective equality surveys.
www.ecu.ac.uk/publications/effective-equality-surveys

Equality objectives

A HEI must prepare and publish one or more specific and measurable objective(s) that it thinks it should achieve to meet any of the three aims of the equality duty.

The objective(s) must be published no later than 30 March 2018. If a HEI has published its equality objective(s) within the 4 years prior to 30 March 2018 then the requirement to publish by 30 March 2018 does not apply. All HEIs are required to publish their equality objective(s) every 4 years beginning with the date of the last publication.

Considerations

Equality objectives must be specific and measurable and should be informed by analysis of the equality data your institution has collected and published in line with the other elements

of the regulations. To help make the objectives specific, they can be linked to a specific element of the equality duty and supported by actions linked to the policies, functions or practice within your institution. To help make the equality objectives measurable, link them to data that has been collected. Analysis of this data over time will show how the HEI is performing against its objectives. For example:

- = eliminate discrimination by reducing levels of reported homophobic experiences by staff and students on campus from x to y in z years

See ECU (2010) Advancing LGB equality: improving the experience of lesbian, gay and bisexual staff and students in higher education.

www.ecu.ac.uk/publications/advancing-lgb-equality

- = advance equality of opportunity for black and ethnic minority (BME) students by reducing the gaps in degree attainment between white and BME students from x to y in z years

See ECU (2013) Access, retention and success: aligning widening participation and equality strategies.

www.ecu.ac.uk/publications/access-retention-success-wp-and-equality

- = foster good relations between staff and students from different groups by reducing levels of reported hate crime from x to y in z years

Specific actions may include developing and managing spaces for dialogue, running events which look to promote understanding, training activities to tackle prejudices, and improving support offered to people who experience hate crime.

Meaningful objectives will result in practical action to build and mainstream equality and strengthen the all-round performance of the HEI, and address the equality issues relevant to the institution. To ensure objectives are meaningful and relevant, ECU recommends that HEIs involve staff and students in the process, and consider previous work undertaken to meet the previous duties.

ECU recommends that senior management is involved at an early stage in the development of equality objectives to demonstrate institutional commitment and ensure that objectives are aligned with the HEI's strategic priorities, business planning and reporting processes.

For example, look to align objectives to:

- = mission/value statements
- = key performance indicators
- = widening participation strategic assessments

- = access agreements
- = external benchmarks (e.g. national student survey)

There is no specific requirement that HEIs set an objective for each protected characteristic. However, HEIs must be satisfied the objectives meet the general duty.

There is no maximum number of equality objectives. Through analysing information, HEIs will be able to identify equality issues within their HEI, and will then be able to show due regard to address these issues. Although not a legal requirement, ECU recommends publishing the actions taken and the details of involvement when publishing objectives.

Manner of publication – information including and equality objectives

HEIs must publish information and equality objective(s) in a manner that is accessible to the public. They may be within another published document.

Considerations

As this information is intended to be public-facing, ECU recommends HEIs develop a communication strategy to ensure the information is easily available to as wide an audience as possible. Although publishing an equality scheme is no longer a specific duty, HEIs may consider that continuing to publish information within an equality scheme will support institutions in meeting the accessibility requirement.

Where information highlights an equality issue, ECU recommends HEIs provide commentary to support the public in interpreting the information. This will also provide HEIs with an opportunity to communicate to the public their intention to work proactively towards meeting the equality duty.

Gender pay reporting

HEIs with 250 or more employees are required to publish information on the pay of all employees on the 'snapshot' date of 31 March annually. Information from 31 March 2017 must be published by 30 March 2018 and each subsequent year. The government has specified the following information be published on all 'relevant employees':

1. The difference between the mean hourly rate of pay of male and female full-pay employees

2. The difference between the median hourly rate of pay of male and female full-pay employees
3. The difference between the mean bonus pay paid to male and female employees
4. The difference between the median bonus pay paid to male and female employees
5. The proportions of male and female employees who were paid bonus pay
6. The proportions of male and female full-pay employees in the lower, lower middle, upper middle and upper quartile pay bands

The government has also specified the formula for making the calculations, details of which can be found at: www.gov.uk/guidance/gender-pay-gap-reporting-data-you-must-gather

Relevant employees are defined as staff employed by your HEI on the snapshot date in any given year. A **full pay** employee means anyone who during the relevant pay period is not being paid at a reduced rate or receiving no pay due to being on leave. Leave includes annual leave; maternity, paternity, adoption, parental or shared parental leave; sick leave; sabbaticals and any other form of leave. With the exception of bonus pay calculations, employees who were on a reduced rate of pay during the relevant period for reasons relating to leave should be excluded from the calculations.

The Equality Act **definition of employment** is broad and means employment under a contract of employment, a contract of apprenticeship or a contract personally to do work. For HEIs this means that atypical staff are likely to be included in the definition of employment. Agency staff do not need to be included as they will be included in the reporting of their employing agency. If staff working for enterprises of an HEI have a contract of employment with the HEI and not the enterprise, they will need to be included in their HEIs calculations.

What is meant by pay?

Gender pay calculations need to be made on the basis of employees' 'ordinary pay'. It should be based on gross pay – **before** tax and any deductions for employee pension contributions have been made and **after** any deductions for salary sacrifice.

The meaning of 'ordinary pay' used within UK law is far broader than basic pay. In addition to basic pay, ordinary pay includes allowances, recruitment and retention bonuses, payment for piecework e.g. a specific piece of research, pay for leave and shift pay premium. It does not include overtime or redundancy payments or pay in lieu of annual leave.

Allowances include payments made for living in a particular location e.g. London weighting or on a campus abroad, to attract or retain employees, for undertaking additional responsibilities such as outreach work or being a first aider.

The following elements of pay should not to be included when calculating employees' gross pay:

1. Benefits in kind e.g. the provision of additional research support as money is not received
2. Interest free loans e.g. season ticket loans
3. Overtime payments and allowances earned during overtime

Calculating the hourly rate of pay

Where the number of hours an employee works per week is unknown or varies, the government has specified how to calculate the hourly rate of pay. Information on this can be found at: www.gov.uk/guidance/gender-pay-gap-reporting-data-you-must-gather

Bonuses

While bonuses are not widely used in the higher education sector, any bonuses offered by HEIs will need to be reported on and the definition used within the legislation may differ from that used within individual HEIs. Bonuses include anything that relates to profit sharing, productivity, performance, incentive and commission. They can be received in the form of cash, vouchers, securities, securities options, and interests in securities.

Gender identity considerations

Transgender employees should be treated as male or female on the basis of their self-identified or legally recognised gender identity. In its guidance the Advisory, Conciliation and Arbitration Service (ACAS) has stated that employees who do not identify as male or female, can be excluded from the gender pay gap calculations. See ECU (2016) Trans staff and students in higher education and colleges: improving experiences.

www.ecu.ac.uk/publications/trans-staff-and-students-in-he-and-colleges-improving-experiences

Creating a narrative

All HEIs should provide a narrative to accompany the data. **ECU recommends this, as does ACAS**, as this provides an opportunity to explain the data to employees and the public, analyse your gender pay gap information and outline the actions that you are currently taking or plan to take to reduce it.

Having a gender pay gap does not necessarily mean that your institution has pay inequalities. Where institutions have in place pay and grading arrangements underpinned by

the principles of the 2004 Framework agreement for the modernisation of pay structures (www.ucea.ac.uk/en/empres/paynegs/fagree/index.cfm) and undertake regular equal pay reviews that include all staff, it is unlikely that the gender pay gap is being caused by unequal pay for women, but by the impact of occupational segregation, both horizontal and vertical, on women's pay.

HEIs are not required to provide a supporting statement signed by their vice chancellor declaring the accuracy of the data. However, if they wish to do so they can.

The following ECU publications may assist you in the development of your narrative:

- = ECU (2012) Occupational segregation in Scottish HEIs: disability, race, gender. www.ecu.ac.uk/publications/occupational-segregation-in-scottish-heis-disability-gender-race
- = ECU (2010) Promoting equality in pay: A practical resource for conducting equal pay reviews in higher education. <http://www.ecu.ac.uk/publications/promoting-equality-in-pay/>
- = The new JNCHES website also has a range of resources on the gender pay gap and pay equality in the HE sector: <http://www.ucea.ac.uk/en/empres/paynegs/new-jnches/jw-reports/index.cfm>

Where to publish gender pay information

ECU recommends that gender pay gap data and the accompanying narrative be published at the same time. The government has created a portal to which all HEIs are required to register and upload their gender pay gap information. The portal can be accessed through the government's gender pay gap campaign webpage:

<https://genderpaygap.campaign.gov.uk/>

In addition, the information must be published in a section of the HEIs website that is accessible to the public and be available for at least three years.

Further guidance on gender pay reporting

ACAS has produced detailed guidance on behalf of the Government Equalities Office on the gender pay reporting requirements:

www.acas.org.uk/media/pdf/m/4/Gender_Pay_Reporting_GUIDE3.pdf as well as a mini guide for the public sector:

www.acas.org.uk/media/pdf/l/c/Gender_Pay_Reporting_PUBLIC1.pdf

They have also published the top 10 myths on the gender pay reporting:

[www.acas.org.uk/media/pdf/3/e/Gender Pay Reporting MYTHS.pdf](http://www.acas.org.uk/media/pdf/3/e/Gender_Pay_Reporting_MYTHS.pdf)

Further resources

- = ECU (2012) Equality Act 2010: implications for colleges and higher education institutions (revised)
www.ecu.ac.uk/publications/equality-act-2010-revised/
- = Guides on the equality duty and further explanation of the law
www.equalityhumanrights.com
- = General information about the government's equality strategy and legislation
www.gov.uk/government/policies/equality
- = Information on government guidelines for releasing data
<https://data.gov.uk/>

Examples of information to collect

The following information sets are illustrative and may help HEIs consider what information to collect, analyse and publish. Ultimately, HEIs should decide what information to publish that will demonstrate meeting the general duty.

Staff

Number (and percentage) of people who share a protected characteristic

- = overall
- = departmental

Number (and percentage) of people who share a protected characteristic by:

- = grade
- = job type
- = contact type (fixed-term, permanent or open-ended)
- = full-time or part-time status
- = occupation

Members of decision making bodies or committees

- = senior management position
- = member of governing bodies

Recruitment

- = number of applicants to positions
- = number of shortlisted applicants
- = number of applicants invited to interview
- = number of successful applicants

Progression

- = number of people going for promotion
- = number of successful applicants

Workplace environment and practices

- = number of people taking flexible working
- = number of people who have been pregnant in last year

- = number of people who have taken up maternity, paternity, adoption leave
- = number of staff returning from maternity, paternity, adoption leave
- = training opportunities
- = staff satisfaction surveys
- = reported incidents of hate crime
- = grievances
- = disciplinaries

Research Excellence Framework (REF)

- = application and selection for submission to the REF

Students

Number (and percentage) of people who share a protected characteristic by:

- = full-time or part-time study
- = subject
- = undergraduate first degree
- = undergraduate other degree
- = postgraduate teaching
- = postgraduate research

Admissions

- = number of applicants
- = number of applicants invited to interview
- = number of successful applicants

Retention and progression

- = number of withdrawals year on year

Attainment

- = percentage of students achieving each class of degree

Career opportunities

- = number of people on work placements and targeted programmes

Student experience

- = access and take-up of services (e.g. student support)
- = results of student satisfaction surveys
- = complaints
- = disciplinaries
- = reported incidents of hate crime

ECU provides research, information and guidance, training, events and Equality Charters that drive forward change and transform organisational culture in teaching, learning, research and knowledge exchange. We have over ten years' experience of supporting institutions to remove barriers to progression and success for all staff and students.

ECU believes that the benefits of equality and diversity and inclusive practice are key to the wellbeing and success of individuals, the institution's community, the efficiency and excellence of institutions, and the growth of further and higher education in a global environment.

Appendix Two

Summary of Equality Legislation

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| Age | <p>All employees within the higher education 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 the their age group.</p> <p>It is important to note that early career researchers are likely to come from a range of age groups. The definition of early career researcher used in the REF (see 'Guidance on submissions', paragraphs 144 to 147) 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> |
| Disability | <p>The Equality Act 2010, the Disability Discrimination Act (1995) (Northern Ireland only) and the Disability Discrimination (Northern Ireland) Order 2006 prevent unlawful discrimination, victimisation and harassment relating to disability. Individuals are also</p> |

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| | <p>protected if they are perceived to have a disability or if they are associated with a person who is disabled (for example, if they are responsible for caring for a disabled family member).</p> <p>A person is considered to be disabled 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, not individuals, 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 |
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| | <ul style="list-style-type: none"> • 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 disabled people and <u>make reasonable adjustments for them</u>. Failure to <u>make a reasonable</u> adjustment constitutes discrimination. If a disabled researcher's impairment has affected the quantity of their research outputs, the submitting unit may return a reduced number of outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances').</p> |
| <p>Gender reassignment</p> | <p>The Equality Act 2010 and the Sex Discrimination (Gender Reassignment) Regulations (Northern Ireland) 1999 protect from discrimination, harassment and victimisation of trans people who have proposed, started or completed a process to change their sex. Staff in HE do not have to be under medical supervision to be afforded protection because they are trans and staff are protected if they are perceived to be undergoing or have undergone related procedures. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.</p> <p>Trans people who undergo gender reassignment will need to take time off for appointments and, in some cases, for medical assistance. The transition process is lengthy, often taking several years and it is likely to be a difficult period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole.</p> <p>The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's</p> |

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| | <p>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 191.</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>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> |

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| | <p>Consequently, where researchers have taken time out of work, or their ability to work productively throughout the assessment period has been affected, because of pregnancy and/or maternity, the submitting unit may return a reduced number of research outputs, as set out in 'Guidance on submissions', paragraphs 169 to 172.</p> <p>In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process.</p> <p>For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.</p> |
| Race | <p>The Equality Act 2010 and the Race Relations (Northern Ireland) Order 1997 protect HEI staff from unlawful discrimination, harassment and victimisation connected to race. The definition of race includes colour, ethnic or national origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their race or assumed race (for example, based on their name).</p> |
| Religion and belief including non-belief | <p>The Equality Act 2010 and the Fair Employment and Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination, harassment and victimisation related to religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived religion or belief, including non-belief. 'Belief' includes any structured philosophical belief with</p> |

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| | <p>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', paragraphs 169 to 172.</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> |

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| | <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 Three

Progress made against REF 2014 Action Plan

| KEY ISSUE | ULTIMATE GOAL | ACTIONS | MEASURABLE OUTCOME | PROGRESS | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|--|--|--|---|------|--|--|---------------------------------|----------------------------------|---------|------|------|-----|-------|---------|------|------|-----|-------|---------|------|------|-----|------|---------|------|------|-----|-------|---------|------|------|-----|-------|
| REF PROCESS AND MONITORING IMPROVEMENTS | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>1. It became evident during the REF process that some academic departments were failing to report sickness absence as detailed in the University Sickness Absence Policy. This therefore led to staff claiming to have had periods of sickness, which could not be completely verified by the HR system</p> <p>Protected Characteristic: ALL</p> | <p>To improve sickness absence recording to ensure that the University is able to manage reasonable adjustments and support appropriately to allow people to continue to reach their full research potential. To allow the University to make adjustments in respect of special circumstances.</p> | <p>(a) All HR Advisers to meet with Departmental Heads of Departments (HoDs) and Administrators to communicate the importance of sickness absence recording to ensure the HR system is up to date.</p> <p>(b) For all HoDs to disseminate this information to members of staff in their respective departments.</p> <p>(c) HR to run spot checks on departments on absence recording</p> | <p>Improvement in recording absences evidenced in part through the Special Circumstances process.</p> <p>Accountability: HoDs Dept Administrators Staff members HR</p> <p>Timescales: Ongoing</p> | <p>Discussions on levels and patterns of absence are addressed at regular people planning meetings with the HR Business Partner teams and the Head of Department. Overall, absence rates for research and teaching, research focussed and teaching focussed staff are low and have continued to remain fairly static at around 10%. The table below shows the analysis from 2013/14 to 2017/18. Whilst the absence rate has remained fairly static, the number of the above staff categories has increased by nearly 1000 staff members.</p> <table border="1" style="width: 100%; border-collapse: collapse; text-align: center;"> <thead> <tr style="background-color: #d9e1f2;"> <th>Year</th> <th>Academic* Headcount on 1st Aug each year</th> <th>No. days absence reported between 1st Aug and 31st Jul</th> <th>No. employees reporting absence</th> <th>% of employees reporting absence</th> </tr> </thead> <tbody> <tr> <td>2013/14</td> <td>1951</td> <td>3432</td> <td>224</td> <td>11.5%</td> </tr> <tr> <td>2014/15</td> <td>2178</td> <td>3663</td> <td>229</td> <td>10.5%</td> </tr> <tr> <td>2015/16</td> <td>2207</td> <td>3386</td> <td>212</td> <td>9.6%</td> </tr> <tr> <td>2016/17</td> <td>2302</td> <td>3616</td> <td>248</td> <td>10.8%</td> </tr> <tr> <td>2017/18</td> <td>2407</td> <td>4332</td> <td>264</td> <td>11.0%</td> </tr> </tbody> </table> <p>*Includes teaching and research, research focussed and teaching focussed staff</p> <p>Moving forward, the central recording of absence data will be significantly enhanced with the imminent introduction of a new self-service HR system which will be fully functional early in 2019.</p> | Year | Academic* Headcount on 1st Aug each year | No. days absence reported between 1st Aug and 31st Jul | No. employees reporting absence | % of employees reporting absence | 2013/14 | 1951 | 3432 | 224 | 11.5% | 2014/15 | 2178 | 3663 | 229 | 10.5% | 2015/16 | 2207 | 3386 | 212 | 9.6% | 2016/17 | 2302 | 3616 | 248 | 10.8% | 2017/18 | 2407 | 4332 | 264 | 11.0% |
| Year | Academic* Headcount on 1st Aug each year | No. days absence reported between 1st Aug and 31st Jul | No. employees reporting absence | % of employees reporting absence | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2013/14 | 1951 | 3432 | 224 | 11.5% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2014/15 | 2178 | 3663 | 229 | 10.5% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2015/16 | 2207 | 3386 | 212 | 9.6% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2016/17 | 2302 | 3616 | 248 | 10.8% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2017/18 | 2407 | 4332 | 264 | 11.0% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

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| | | | | <p>In 2015 a new Disability Framework was Introduced as a support mechanism for staff returning from long term sick leave (or who have a disability) to ensure that all reasonable adjustments are in place to enable those individuals to reach their full potential. Uptake and feedback of this scheme has been excellent.</p> <p>Warwick has also produced the following guidance booklets: Guidance & Support on Disability Disability Checklists for Line Managers Disability FAQs for Candidates and Employees</p> <p>In April 2018, Warwick commenced work on self-assessing against the Business Disability Forum Standards with a view to creating a plan of actions to improve processes/procedures for staff/students with disabilities. Subscription to the Business Disability Forum provides access to a vast resource bank to support staff with disabilities.</p> <p>Also available as a support mechanism for staff is the ‘Fuse portal’, operated by Fusion who are the University’s external OH providers. This portal provides staff with access to factsheets, manuals and information on a variety of health and wellbeing issues.</p> <p>In addition in April 2019, the University subscribed to the Health Assured Employee Assistive Programme (EAP), which is a confidential employee benefit designed to support staff and their families with personal and professional problems that may affect their home or work life, health and general wellbeing.</p> <p>The EAP provides a 24 hour service including:</p> <ul style="list-style-type: none"> • Life support – unlimited access to counselling for emotional problems and a pathway to structured telephone counselling or face-to-face counselling sessions. • Legal information – for any issues that cause anxiety or distress including debt management, accountancy, lawsuits, consumer disputes, property or neighbour legalities • Bereavement support • Medical Information • CBT online - self help tools in dealing with a range of issues. |
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| <p>2. Limited information was available in HR files relating to staff who had been on secondments during the REF period. More precise information needs to be retained on the type of job role that staff are being seconded to.</p> <p>Protected Characteristic: ALL</p> | <p>To improve secondment information</p> | <p>(a) HoDs and HR Advisers to ensure accurate information is collected and filed on all secondments.</p> <p>(b) HR systems to be kept up-dated.</p> | <p>Up to date secondment reports available. Improvement on the type of information collected.</p> <p>Accountability: HoDs and HR</p> <p>Timescales: Ongoing</p> | <p>The HR Business Partner team liaise with departments and individuals to manage successful secondments within and across departments as well as external secondments. Information on the secondment details are kept in an individual's file, so that the University is aware of the types of role that individuals are being seconded to. Note: The table below shows numbers of secondments for research and teaching staff and research focussed staff. Warwick's Secondment Agreement has also recently been refreshed in line with GDPR.</p> <table border="1" data-bbox="1234 424 1700 762"> <thead> <tr> <th>Year</th> <th>No. on secondment</th> </tr> </thead> <tbody> <tr> <td>2013/14</td> <td>9</td> </tr> <tr> <td>2014/15</td> <td>7</td> </tr> <tr> <td>2015/16</td> <td>3</td> </tr> <tr> <td>2016/17</td> <td>6</td> </tr> <tr> <td>2017/18</td> <td>5</td> </tr> </tbody> </table> | Year | No. on secondment | 2013/14 | 9 | 2014/15 | 7 | 2015/16 | 3 | 2016/17 | 6 | 2017/18 | 5 |
|--|---|--|--|--|------|-------------------|---------|---|---------|---|---------|---|---------|---|---------|---|
| Year | No. on secondment | | | | | | | | | | | | | | | |
| 2013/14 | 9 | | | | | | | | | | | | | | | |
| 2014/15 | 7 | | | | | | | | | | | | | | | |
| 2015/16 | 3 | | | | | | | | | | | | | | | |
| 2016/17 | 6 | | | | | | | | | | | | | | | |
| 2017/18 | 5 | | | | | | | | | | | | | | | |
| <p>3. Improvements to REF Special Circumstances Forms:</p> <p>The Special Circumstances form was replicated from the ECU example provided. The form was modified slightly for clarity –</p> <p>ACTION COMPLETED</p> <p>Disclosure of protected Characteristics – ACTION COMPLETED</p> | <p>To improve clarity for staff who are required to complete a form.</p> <p>To improve disclosure rates</p> | <p>A number of adjustments to the form were made following feedback and consequently the form was modified slightly – see progress column:</p> | <p>It was felt that staff who did not need to complete the form should not have to do so – only those with clearly defined or complex circumstances should have to complete a form.</p> <p>Accountability: staff eligible for the REF</p> <p>Timescales: COMPLETED but</p> | <p>1. The following selection was removed from section 1 of the special circumstances form:</p> <p><input type="checkbox"/> I have no individual circumstances that I wish to be taken into consideration for the purpose of the Research Excellence Framework (REF). - COMPLETED</p> <p>2. A sentence was added to the REF Special Circumstances Form: <i>'As personal information collected in this exercise has been obtained solely for REF purposes, anyone wishing the information to be included in their University records should contact the HR Adviser for their department'</i>. This statement was added to encourage staff to disclose disabilities or other protected characteristics that they might not have already disclosed. The 2012/13 Warwick Workforce Profile has indicated that there has been a drop in the number of staff disclosing disabilities, so this was a mechanism to try to capture this type of information. - COMPLETED</p> <p>3. Confusion from staff who actually wanted their HoDs to see their Special Circumstances Forms, so that the HoDs became aware of their circumstances. When staff found out that HoDs did not have access to the form they asked for</p> | | | | | | | | | | | | |

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| <p>Confidentiality of the Special Circumstances Form</p> <p>Due to the confidential nature of the REF Special Circumstances Form and as highlighted in the Warwick CoP, the forms were only seen by those staff with a legitimate requirement to see the documentation for purposes of administering and managing the REF</p> <p>Protected Characteristic: ALL</p> | | | <p>noted for next REF</p> <p>Improvements in the number of staff disclosing protected characteristics</p> <p>Accountability: All Staff</p> <p>Timescales: COMPLETED but noted for next REF</p> | <p>this to be made more explicit on the form and that an option be included as below:</p> <p><i>Do you wish your Head of Department to see a copy of your Special Circumstances Form: YES/NO? – COMPLETED</i></p> <p>With the launch of the new HR system in mid-May 2019, a communication will be sent to all staff to explain why data on protected characteristics is sought, i.e. in order for the University to offer the correct support and provision. The new HR system will give staff the autonomy to self-disclose within their own personal record and it is hoped that this will encourage and empower staff to disclose their protected characteristics.</p> |
| RECRUITMENT (INCREASING THE POOL OF ELIGIBLE STAFF – GENDER/BME) | | | | |
| <p>4. To attract more females to apply for research and academic positions</p> <p>Protected Characteristic: Gender</p> | <p>More applications from females and more appointments of females to academic roles.</p> | <p>Exploration of possible changes to recruitment advertising in order to attract more applications to academic positions from females. Adverts to include statements such as job share, part-time considered to encourage females with caring responsibilities to continue their academic careers.</p> | <p>More applications from females for research and academic positions. Achievement of a more gender balanced academic workforce.</p> <p>Accountability: HR, Academic</p> | <p>Academic departments who are working on Athena SWAN agendas have recruitment and incorporating strategies, such as tone of advert and where justifiable encouraging females and other under-represented groups to apply for positions. An example is the School of Engineering who has piloted a change in recruitment from 2018 by additionally advertising academic-related posts as an Educational Partner with the Women’s Engineering Society, to see if this impacts the diversity of applicants. The impact of this initiative will be documented in their Athena SWAN submission scheduled for April 2019.</p> <p>Moving forward, the central recording of recruitment data will be significantly enhanced once the new HR system is fully functional in 2019. The HR system will provide detailed recruitment information to inform institution and departments of their workforce recruitment patterns.</p> <p>The University also uses the Athena Silver logo on adverts.</p> |

Depts
Administrators
Timescales:
2014

A workforce equality report is produced annually and the last report reflects on data from 2017/18. The Table below demonstrates that there has been a gradual increase in the number of female applications for academic roles

Summary of Academic Staff Recruitment Data

| Year | Applicants | | | Shortlisted | | | Offered | | |
|---------|------------|------------|-----------|-------------|------------|----------|------------|------------|---------|
| | Female | Male | Unknown | Female | Male | Unknown | Female | Male | Unknown |
| 2013/14 | 31.0 % | 65.9 % | 3.2% | 34.7 % | 59.7 % | 5.6 % | 37.9 % | 60.3 % | 1.7% |
| 2014/15 | 30.8 % | 67.2 % | 2.1% | 37.5 % | 60.2 % | 2.3 % | 39.7 % | 56.9 % | 3.4% |
| 2015/16 | 31.6 % | 65.7 % | 2.8% | 33.7 % | 63.7 % | 2.6 % | 38.6 % | 60.4 % | 1.0% |
| 2016/17 | 31.7 % | 65.5 % | 2.8% | 38.8 % | 58.9 % | 2.3 % | 39.9 % | 59.6 % | 0.5% |
| 2017/18 | 33.65 % | 62.86 % | 3.49 % | 40.47 % | 57.13 % | 2.4 % | 40.50 % | 57.85 % | 1.65% |

In 2016 and 2017, **Women in Academic Workshops** were held and facilitated by the Pro-Chancellor /Vice-Chair of Council (Female) and one of Warwick's Pro-Vice Chancellor (Female) and the Provost (Female). The workshop was attended by female academic staff from across all four faculties and spanning different career stages. An outcome was the published Gender Statement of Intent, endorsed by senior management, committing to embedding E&D at the heart of Warwick's strategy. Another important outcome was the establishment of a Gender Taskforce to develop the strategy and take a multi-faceted approach to implementation. It was also evidenced from feedback at the Women in Academia workshops that staff with caring responsibilities may not be able to work 100% FTE and therefore adverts for full time positions may deter female applicants from applying. Consequently the following statement is published on recruitment pages: *'We will consider applications for employment on a part-time or other flexible working basis, even*

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| | | | | <i>where a position is advertised as full-time, unless there are operational or other objective reasons why it is not possible to do so'.</i> |
| <p>5. To attract more BME staff to apply for research and academic positions</p> <p>Protected Characteristic: Race</p> | More applications from and appointments of BME staff | To explore any barriers/challenges that BME staff may encounter. To improve the disclosure rate of staff who apply to Warwick. | <p>More applications from BME staff for research and academic positions. Improve disclosure rates</p> <p>Accountability: HR</p> <p>Timescales: 2014/15</p> | <p>The University currently (2018/19) employs 1059 employees with a BAME background (955 in 2017/18). This is out of a total of 6633 staff members, which is equivalent to 16% of the total employee population. This is the highest proportion of BAME employees that the University has employed to date and is higher than the sector average of 9.4% as reported in the AdvanceHE Equality + Higher Education Staff Statistical Report 2018. The University has 14 female BAME professors. As specified in 4 above, the new HR system will provide detailed recruitment information to inform institution and departments of their workforce recruitment patterns. Warwick's race equality work has been ongoing since 2015 and aims to address some of the challenges/barriers identified through surveys and focus groups held with our BAME community. A Director of Social Inclusion has been appointed (August 2018) who will taking the lead to continue progress against identified actions across both staff and student processes. An appropriate action plan of activities has been created in conjunction with the Race equality work.</p> |
| <p>6. Enhance opportunities for mid-career females</p> <p>Protected Characteristics: Gender/Age</p> | Recruitment, retention and progression of mid-career females | Launch of Women's Network Group for mid-career females to discuss career trajectories, development needs and networking. | <p>Appropriate forum to consult on issues raised by group and outcomes to be measured.</p> <p>Accountability: Chairs of the Faculty Boards</p> <p>Timescales: Ongoing</p> | <p>This group was created back in 2013/14 and met termly. However the group has now further developed into the Warwick Gender Taskforce. The Taskforce has a membership of both academic and professional and support staff. Its Terms of Reference are:</p> <p>The Gender Taskforce will champion and oversee the advancement, implementation and further development of gender equality at institutional level in line with the Gender Statement of Intent catalysed by the Women in Academia Workshops. The work of the Taskforce will not be limited to binary classifications.</p> <p>The Gender Taskforce will be responsible for:</p> <ul style="list-style-type: none"> - Developing a gender strategy and to take a multi-faceted approach to implementation, being mindful of existing initiatives in the University, including Athena SWAN; - Research role within the GTF to look at activities in the Athena work and more broadly Gender Equality at Warwick - Monitoring and reviewing gender data to identify areas of concern where action may be required to enhance gender equality and the working environment; |

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| | | | | <ul style="list-style-type: none"> - Consideration of issues of strategic relevance, plan how best to address issues of concern and how best to optimise and disseminate current good practice; - Support the achievement of the University's equality objectives, by raising awareness of gender equality and acting as a body of expertise on gender issues; - Regular reports to the Equality and Diversity Committee, the Senior Executive Committee and other strategic University Committees on the work of the Gender Taskforce <p>Regular reports to the Equality and Diversity Committee, the Senior Executive Committee</p> <p>In addition the Warwick Learning and Development Centre offer a number of Leadership courses for research active staff and also provides funding support, along with departmental funding, for female research active staff to attend the Aurora Leadership Course.</p> |
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MENTORING AND CAREER DEVELOPMENT SUPPORT – TO IMPROVE QUALITY OF RESEARCH

| <p>7. Mentoring and Coaching</p> <p><i>Protected Characteristics: Gender/Race/Disability</i></p> | <p>Improve uptake of mentoring & coaching support to facilitate career progression of females, BME staff and Disabled Staff. Create a culture where it is “expected” that ECRs both mentor and are mentored.</p> | <p>(i) Support women/BME/Disabled staff to:</p> <ul style="list-style-type: none"> • Follow up on requests for mentoring • Raise confidence levels • To prepare for promotion • Provision of one-to-one mentoring • Development of Job portfolios • Access to procedural information | <p>Increase of staff engaged in mentoring and coaching.</p> <p>Increase numbers of staff with protected characteristics putting themselves forward for promotion</p> <p>Accountability: Learning and Development Centre (LDC)/HoDs</p> | <p>Coaching and Mentoring Scheme (PSS staff also) - set up in 2012, providing opportunities for career planning and personal work related issues with more senior staff outside of line management arrangements. It is particularly important for females who may lack access to informal networks. 60 of the 88 registered mentors being female. Staff on academic probation (Assistant Professors) automatically have a mentor as part of their probation.</p> <p>Number of staff on mentoring schemes by gender</p> <table border="1" data-bbox="1234 1011 2119 1315"> <thead> <tr> <th rowspan="2">Programme/ Mentoring Scheme</th> <th colspan="2">2016-2017</th> <th colspan="2">2017-2018</th> </tr> <tr> <th>WMS</th> <th>Other depts</th> <th>WMS</th> <th>Other depts.</th> </tr> </thead> <tbody> <tr> <td>Warwick Coaching & Mentoring Scheme</td> <td>18 staff (5M/13F)</td> <td>47 staff (11M/36F)</td> <td>23 staff (6M/17F)</td> <td>55 staff (12M/43F)</td> </tr> <tr> <td>Research active/academic staff</td> <td>18 staff (5M/13F)</td> <td>10 staff (3M/7F)</td> <td>7 staff (5M/2F)</td> <td>9 staff (2M/7F)</td> </tr> </tbody> </table> | Programme/ Mentoring Scheme | 2016-2017 | | 2017-2018 | | WMS | Other depts | WMS | Other depts. | Warwick Coaching & Mentoring Scheme | 18 staff (5M/13F) | 47 staff (11M/36F) | 23 staff (6M/17F) | 55 staff (12M/43F) | Research active/academic staff | 18 staff (5M/13F) | 10 staff (3M/7F) | 7 staff (5M/2F) | 9 staff (2M/7F) |
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| Programme/ Mentoring Scheme | 2016-2017 | | 2017-2018 | | | | | | | | | | | | | | | | | | | | |
| | WMS | Other depts | WMS | Other depts. | | | | | | | | | | | | | | | | | | | |
| Warwick Coaching & Mentoring Scheme | 18 staff (5M/13F) | 47 staff (11M/36F) | 23 staff (6M/17F) | 55 staff (12M/43F) | | | | | | | | | | | | | | | | | | | |
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| | | (ii) Develop experience of Early Career Researchers on financial decision making. | Timescales: 2013-2016 | <table border="1"> <tr> <td data-bbox="1220 193 1482 427">Coaching & Mentoring Pairings</td> <td data-bbox="1482 193 1632 427">18 staff F:F 12 M:M 1 M:F 5 F:M 0</td> <td data-bbox="1632 193 1823 427">25 staff 9M/16F</td> <td data-bbox="1823 193 1973 427">14 staff F:F 8 M:M 1 M:F 5 F:M 0</td> <td data-bbox="1973 193 2161 427">14 staff F:F 12 M:M 1 M:F 1</td> </tr> </table> | Coaching & Mentoring Pairings | 18 staff F:F 12 M:M 1 M:F 5 F:M 0 | 25 staff 9M/16F | 14 staff F:F 8 M:M 1 M:F 5 F:M 0 | 14 staff F:F 12 M:M 1 M:F 1 |
| Coaching & Mentoring Pairings | 18 staff F:F 12 M:M 1 M:F 5 F:M 0 | 25 staff 9M/16F | 14 staff F:F 8 M:M 1 M:F 5 F:M 0 | 14 staff F:F 12 M:M 1 M:F 1 | | | | | |
| | | | | Completion of Coaching & Mentoring Skills Workshop | 50 Staff (11M/39F) | 65 Staff (11M/54F) | | | |
| <p>Two members of Warwick staff are part of a collaboration of universities in the North East of England, to give strategic guidance on the support that leaders should be giving to develop research active staff.</p> <p>A new blended learning approach to coaching and mentoring awareness and training went live in mid-July 2016. This included a Moodle for information/knowledge transfer, followed by practice-based learning sessions to work through coaching/mentoring examples/scenarios. This flexible approach enables more staff to engage with the training and allow for practice-based sessions to be easily targeted to different roles/disciplines.</p> <p>Update on 2016/17 The 1-1 support is offered to all Research Active Staff (RAS). This includes 1-1 support for;</p> <ul style="list-style-type: none"> - Academic Writing Support - 4 RAS/ 6 sessions - Career Development Support – 15 RAS/ 16 sessions - Coaching & Mentoring Support – x4 RAS / 8 sessions - Specialist support including Emotional Intelligence (EI) , MBTI & Strengths Profile x1 RAS <p>A total of 24 1-1's with 21 RAS plus add WLP C&M of Professor.</p> <p>Bespoke session were run for Research Centres, WMS Unit or departments on EI, SP & MBTI .</p> <p>New for 2017/18 an Impact report was written about the benefit of the support for RAS & what they had achieved / impact as a result of the 1-1 support</p> | | | | | | | | | |

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| | | | | https://warwick.ac.uk/services/ldc/researchers/opportunities/impact_reports |
| <p>8. Annual events to raise profiles of female staff</p> <p><i>Protected Characteristic: Gender</i></p> | | <p>(i) To celebrate annually an event to recognise International Women's Day that engages with female staff and provides role models.</p> <p>(ii) Organise high profile celebration of Athena SWAN activities and women's successes in the University.</p> <p>(iii) Nominate outstanding women for honorary degrees.</p> | <p>Informed female staff who are committed and engaged with the wider university community</p> <p>Prominence of Role Models</p> <p>An increase in women receiving honorary degrees & a prominence of role models</p> <p>Accountability: HR, Academic Community, Registrar's Office</p> <p>Timescales: 2013-2016</p> | <p>Warwick's Females in Science Forum regularly host events on subjects such as: career development, work/life balance. International Womens' Day is celebrated every year where we have both male and females speakers talking about women that have inspired them throughout their careers. For example in 2018, Cherron Inko-Tariah MBE came to talk on the Power of Staff Networks on International Women's Day.</p> <p>Warwick also has an Inspiring Women Series (since 2015) which is a series of talks/panels from senior professional role models to hear personal stories of success, advice and inspiration followed by networking. Examples of speakers are Warwick alumna, Zara Hyde Peters, former Chief Executive Officer of the British Triathlon, who now has a career in the NHS; Sarah Ellis, Head of CSR, Sainsbury; Vicki Cooke, lay member of Council and Pauline Black's (musician) talk captured intersectionality well – a black woman in the entertainment industry. Warwick has been working hard to raise the visibility of female role models and celebrates success by appropriate communications, for example: A female professor of statistics became one of the first females to receive a new Suffrage Science in Maths and Computing award (2016). The awards launched the new initiative to celebrate females encouraging females into science and to reach senior leadership roles. This award was publicised across the whole institution and documented within our last institutional Athena submission.</p> <p>Since 2013, staff have been encouraged to ensure that females have been nominated for honorary degrees at each degree ceremony. Since 2013, 36 females have received honorary degrees.</p> |
| <p>9. Managing maternity leave and return to work</p> | <p>To ensure employees feel welcomed back into the workplace at a time when their levels</p> | <p>Returning Parent Network Group established to support</p> | <p>Monitoring usage and feedback from the Returning</p> | <p>A Returning Parents Network was formed (now renamed to Working Parents Network). The Network provides feedback on policies and processes (e.g. maternity provision, support before, during and after maternity leave, summer play schemes) which affect them as parents. The group has been so successful, hence the name</p> |

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| <p>Protected Characteristic: Gender/Maternity</p> | <p>of confidence may be low.</p> <p>Enable individuals to be able to continue their research upon return.</p> | <p>the transition of parents back into the work place.</p> <p>Ensure all departments are using two maternity checklists produced by HR to ensure everything in place for individual returning to work.</p> <p>To investigate ways of supporting females to focus on their research.</p> | <p>Parents Network Group. Retention of women returning from maternity or adoption leave.</p> <p>Accountability: HR, Departments</p> <p>Timescales: Ongoing</p> | <p>change to Working Parents, as members wanted to continue their membership as their baby became toddlers and older. Warwick facilitated three workshops during 2018 that were open to all working parents. The workshops were provided by an external supplier, Career Mums (now known as CM Talent), “the return to work experts”.</p> <p>Departments continue to use the Maternity Checklists provided by HR to ensure that staff about to go on, are on, or returning from maternity/adoption/extended paternity leave are fully informed on arrangements and events being held in the University or in their departments. The use of KIT days is encouraged to keep the contact between department and the individual maintained during the leave period. Line Managers also have a copy of the Checklists so that they can make the necessary preparations for the individuals return to work.</p> <p>Warwick Academic Returners Fellowship (launched in January 2015): The University is committed to addressing the recruitment and retention of excellent academic talent, and recognises that absence due parental type leave such as maternity/adoption/ extended paternity and long-term parental leave, can have a detrimental impact on research programmes and subsequent publications. The Warwick Academic Returners Fellowship is proving very popular. The Fellowship provides central ‘buy-out’ funds for the teaching and administrative duties for those on full academic contracts, who are returning to work from long term parental type leave, such as:</p> <ul style="list-style-type: none"> • Maternity/adoption • Extended paternity • Long term parental leave <p>The award enables staff to fully concentrate on their research work upon returning from long term leave.</p> <p>The award allows the home department to relieve the member of staff of any teaching and administrative duties in order to focus on their research. Since August 2017, 34 academic staff have been awarded Fellowships, including one male for adoption leave.</p> <p>Feedback from a recipient of a Returners Fellowship <i>Receiving a Warwick Academic Returners Fellowship was instrumental (indeed, indispensable) in creating the conditions necessary for me to make substantial and significant progress in my research, not just in terms of preparation of outputs, but</i></p> |
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| | | | | <i>also in impact work and participation in conferences. It is not an exaggeration to say that it would not have been possible to complete these outputs without the fellowship, and that my career would have suffered as a result. Therefore, I am very grateful for this fellowship (and I acknowledge its instrumental support in my book) and I want to publicly thank the team who created and manages this fellowship.</i> |
| PROMOTION/LEAKY PIPELINE | | | | |
| <p>10. Clarity on Promotion and Career Progression</p> <p><i>Protected Characteristic: All</i></p> | <p>All staff clear about what is required in the next step in their careers and how to achieve it</p> | <p>(i) Gain information through focus groups about ignorance on this issue. Ensure all new staff, but especially associate professors, feel they know how to progress to the next steps through Warwick's promotion process. To find out what support is offered/taken up in departments, what barriers they face, how these can be overcome or lessened.</p> <p>(ii) Ensure recently updated information on website remains useful.</p> <p>(iii) Annual Event 'Demystifying the Promotion Process'</p> | <p>Action to be developed if particular blocks to women's progress are identified. Retention and promotion of female associate professors. Investigate the pattern of promotion applications and success rates of women.</p> <p>First event held in April 2013 with 40 attendees and 10 speakers. Next session scheduled for 13 March 2014.</p> <p>Demand and success of a</p> | <p>Actions from previous staff surveys and Athena SWAN work to provide clarity on Promotion and Career Progression has resulted in Senate (key University Committee) approving a new framework for academic promotions to be implemented for 2018/19 promotions round. This work was led by the Provost, supported by the Promotion Staff Engagement Group and the Gender Taskforce. All new information on promotions and criteria have been updated on the Promotions webpages.</p> <p>It is the University's intention that this promotions framework is fairer and more transparent for <i>all</i> staff than before. It is equally intended that in so-doing, it will be of significance in addressing previous inequities for female staff. We believe this to be the case because the new framework:</p> <p>(i) has clearly set-out requirements for promotion and gives assessment criteria with a marking scheme against them, thus reducing the power of subjectivity and qualitative comments that may be prone to bias;</p> <p>(ii) has parity of esteem for research and teaching and properly scores contributions to leadership, management, collegiality, outreach and impact <i>inter alia</i> that were previously often dismissed as "other activities";</p> <p>(iii) gives threshold scoring against the criteria for promotion to confirm eligibility for promotion. Properly used, this can encourage female staff to see themselves as promotable relatively earlier in their careers than currently.</p> <p>(iv) The new criteria provides some flexibility to accommodate individual's different strengths.</p> <p>To support the implementation a 'Promotions Explained' event was held on 11 May 2018, supported by guidance on the website. This replaced the annual 'Demystifying Warwick Promotion Process' workshop which has been held annually since 2013, to inform and guide on process/criteria. Hosted by the Provost and members of</p> |

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| | | <p>established to provide academic led information about what is needed for promotion at each career stage.</p> <p>(iv) A female Leadership Programme to be established if there is demand.</p> <p>Further consultation to be undertaken by LDC to see if there is demand for a Women's Leadership Programme. Determine best format balance</p> | <p>Women's Leadership Programme. Run one such course annually</p> <p>Accountability: HR, LDC, Academic Staff, University Promotions Group, Vice Chancellors Advisory Group (VCAG)</p> <p>Timescales: Annually</p> | <p>Warwick's Promotion Committee, the event format has evolved following feedback from attendees. Information was requested for Teaching focussed and Research focussed staff, which has subsequently been included since the 2016 event. In order to assess impact, attendance is monitored by gender, to ascertain if some attendees go on to submit for promotion and their subsequent success rate. Since 2013, 191 staff have attended the Demystifying Promotion events – 93 female and 98 males. A high promotion success rate has been noted amongst attendees (of 39 attendees submitting for promotion, 35 were successful). We intend to follow this up with a focus group to gather qualitative data to share with other potential attendees.</p> <p>The work on the promotions framework may have contributed to a 9% increase in positive answers (2018PULSE staff survey) to the statement 'The University's academic promotion procedures are fair'. This can be attributed to staff consultation on the new framework and we would expect a further increase in the next PULSE Staff survey.</p> <p>Research active staff promotion statistics are monitored and reported annually to EDC, Senate and Council, with data broken down by gender, ethnicity, disability and age, to enable intersectionality analysis.</p> <p>Due to the work being done around this year (2018) for the first time, more women have been promoted to Professor than men.</p> <p>Numbers of staff attending the Demystifying Promotions event continue to be similar year on year, the number of successful applications for promotion from staff attending the event continue to be good.</p> <p>Academic probationers (Assistant Professors) are now given an extension of time and one half (as opposed to an equivalent period of time) for every maternity/adoption/extended parental leave or extended sickness absence during their period of academic probation. This increase recognises the time required to revive their research portfolio on return to work.</p> <p>Warwick surveyed female research staff in 2013/14 to see if they would welcome a female specific leadership programme. Survey results demonstrated that female staff did not see this as necessary and preferred to join their male colleagues on one of the generic Warwick Leadership Programmes. Consequently, Warwick offers a number of leadership programmes that are open to all genders:</p> <ul style="list-style-type: none"> • Managing your Academic Research Career • Leadership in Action for Researchers • Preparing for Leadership |
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| | | between meeting, mentoring, shadowing. | | <ul style="list-style-type: none"> Warwick Leadership Programme Also provided are opportunities for female colleagues to participate in the external Aurora (female only) Leadership Programme, of which 13 females have participated. |
| 11. Joint Research Project on Gender Issues <i>Protected</i> Characteristic: Gender | To benchmark and share best practice | To collaborate with staff at Monash University, Australia, on gender related projects identified after sharing staff and student data. Addressing “universal” trends within that data, by comparing and sharing best practice in policies and processes. | To share best practice and initiatives internationally to encourage recruitment and retention of females. Accountability: HR Timescales: 2013-2016 | Following a successful Monash initiative, Warwick launched in 2014, the Warwick Shadowing Programme to improve understanding of how Warwick worked, shadow senior University roles (Heads of Departments; Faculty Chairs; PVCs and the Provost) and create a senior staff network. An evaluation of the scheme in 2015/16 led to relaunch as ‘How Warwick Works’, providing 12 participants (at Professor and Associate Professor level) the opportunity to further develop leadership skills. The Programme is due to be re-evaluated and may be extended to less senior grades of staff. Staff at Warwick also acted as critical friends to Monash University’s SAGE gender submission (equivalent to the Athena principles and framework). |
| 12. The Leaky Pipeline <i>Protected</i> Characteristic: Gender | To properly understand data on the attrition of women in academia | ESRC have funded an initial project to investigate the possibility of establishing a research project to identify what is underlying the fairly obvious leaky pipeline data sets in academia. A one-day international cross-discipline workshop will be held in June 2014 to determine the next stage of the research | Publications to inform and address the underlying reasons of under-representation of females in all disciplines. Accountability: ESRC/Warwick academics/HR plus PDRA employed on project Timescales: 2013-2016 | Warwick have had staff involved in a number of research projects on gender equality. Initially on an ESRC funded project, which culminated in a one day cross-discipline workshop, and more recently on a H2020 Work package, Dr Charikleia Tzanakou is leading this work on gender equality and culture change for an EU consortium called PLOTINA. In conjunction with others at Warwick, including the Equality, Diversity and Inclusion team, she has been involved in the Gender Equality work that Warwick is undertaking. As part of her research, the PLOTINA work has contributed to catalysing new actions, monitoring old actions and embedding some activities that were piloted or were used ad hoc at Warwick. A key deliverable for PLOTINA is to develop an online Library of Actions that can be accessed by the wider community in the Higher Education sector and beyond so that other organisations can take ideas and/or transfer actions and measures in their own context. The PLOTINA Consortium is comprised of different institutional contexts that have provided using testing grounds for various gender equality measures and this variety will be reflected in the library providing tips and lessons to be learnt. The PLOTINA Summer School on How to be a Peer Reviewer took place at Warwick, 10-14 th of September 2018. The Summer School targeted PhD candidates and early career researchers and we had an overwhelming response with 70 participants registering for this event. |

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| | | | <p>The objectives of the Summer School were: to understand what different review processes entail (e.g. article reviews, funding proposals); learn how to be a constructive and effective reviewer; learn about important aspects of reviewing, including biases in knowledge production and sex/gender considerations and learn how to respond to reviewers.</p> <p>We were privileged to host an impressive line of speakers from various academic departments, from publishing houses and journals in natural sciences and social sciences.</p> <p>We received fantastic feedback from the participants of the summer school who enjoyed and participated enthusiastically.</p> <p><i>Overall it was a very interesting workshop, giving different perspectives on the peer review process. Everything was very well organized.</i></p> <p><i>It was really interesting to hear from speakers from a variety of disciplines and backgrounds. The more practical exercises such as looking over example peer reviews/letters from the editors was useful, as was the final session looking at actual pieces of work from people attending the summer school. There were several points made throughout the summer school that I think people may think are obvious, but I actually didn't know - i.e. not to write the recommendation in your response to the author. I think having presentations on both doing peer reviews and responding to peer reviews was particularly useful. Examples of feedback from participants: I was very intrigued by the discussion about gender imbalance in the research context and it has shifted my thinking since the workshop. I now consider it much more than I did previously. It was also really useful to hear about grant writing from the other side. Thank you for organising a very important and insightful course.</i></p> <p><i>Upon reading about PLOTINA, I was intrigued so I immediately signed up to the summer school, and I am glad I did! For three days, we had the honour of listening to esteemed speakers. The selection of speakers was carefully crafted to give us ideas from a wide range of specialists from academics to publishers. The diverse content of the presentations was spectacular for two reasons: First the speakers backed up their statements with impressive research (such as Sex and Gender Equity in Research), which was made accessible at the end of the school. Second, the speakers equipped us with practical tools to write better reviews, such as the distilled wisdom of thirty years by one of the speakers. I enjoyed meeting brilliant scientists both from the speakers and the attendees. The workshops gave us a collaborative atmosphere</i></p> |
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| | | | | to exchange ideas. The overall experience of the summer school exceeded my expectations. I would highly recommend it to all my friends and colleagues. |
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| QUALITY CRITERIA – SUPPORT FOR RESEARCH/CONFERENCES/NETWORKING/FLEXIBLE WORKING | | | | |
| <p>13. Creating Networking Opportunities</p> <p><i>Protected Characteristics: All</i></p> | <p>(i) Biannual Women in Science Symposium</p> <p>(iii) Support post-doc forums in departments</p> <p>(iii) Termly Welcome Lunches for PDRAs</p> | <p>To ensure a ‘grass-roots’ committee is appointed each year to organise symposia and to monitor attendance and ensure discussions are engaging with the research community.</p> <p>To continue to help with funding for departmental events.</p> <p>Ensure appropriate funding is available</p> | <p>High attendance at events.</p> <p>Accountability: Student/ Post-doctoral community</p> <p>Prominent publicity and web presence for events.</p> <p>Accountability: LDC/Research Support Services (RSS)</p> <p>Informed and engaged communities</p> <p>Prominence of role models.</p> <p>Attendance.</p> <p>Informed and engaged communities</p> <p>Accountability: Research Staff Forum/RSS</p> <p>Timescales: 2013-2016</p> | <p>Warwick Females in Science Network provides support, information and opportunity to promote all aspects of females in Science.</p> <p>The research active Staff Network Funding call is from 1 September to 31 July each year. Applicants for funding need to include budget/costings, plan of activity which should include expectations and reason for attending the course, with support required from their PI/Line Manager or HoD.</p> <p>The funding is open to research active staff (RAS) and/or those on teaching contracts. A 5 year review on RAS network funding states that:</p> <ul style="list-style-type: none"> • 32 networks have been supported / 60 networks funded • 2 networks ran for 5 yrs / 2 ran for 4 yrs / 5 ran for 3 yrs / 4 ran for 2 yrs / 19 ran for 1 yr • 4 collaborative / joint funding applications • X21 depts submitted applications • £56,890.90 / £45,393.42 used • Encourage inter-disciplinary / collaborations - 12 outside UK • Over 5 years – total 32 Network Funding networks supported • Gender split 35 males and 64 females. High % female-led initiatives • 23/32 proposal / networks submitted / led by females – Athena SWAN • Grades of participants: <ul style="list-style-type: none"> 43 – Grade FA6 20 – Grade FA7 23 – Grade FA8 4 – Readers 1 – Professor 2 – Research Associate 1 – PhD Research Student 1 – Professional Service • 4320 opportunities for peer-led/career development opportunities <p>Termly welcome lunches for PDRAs have been succeeded by the opportunity for all research active staff to attend the Researcher Forum termly meetings, where researchers meet to discuss mutual business, and career development opportunities.</p> |

| | | | | |
|--|---|--|--|---|
| <p>14. Conference attendance is essential for academics but can be difficult if staff have childcare responsibilities</p> <p><i>Protected</i> <i>Characteristics: All</i></p> | <p>More parents attending conferences (which are essential to their academic & research careers)</p> | <p>An annual fund has been established to assist with payments for extra childcare costs incurred when individuals attending conferences, workshops (£100 per claim).</p> | <p>Measured by take up of fund. Accountability: Athena Network Group</p> <p>Timescales: 2013-2016</p> | <p>Warwick sees conference attendance as an essential requirement for anyone building a prosperous research career. In 2013 a fund was created to assist with child care costs. The fund proved so popular that in 2014/15 it was agreed that all four Faculties would contribute £1000 each year to increase the budget available and for the criteria to become 'caring' rather than just 'child care'. This was in recognition that many members of staff have other caring responsibilities. Each claim is capped at £150 per claim and limited to 2 claims per academic year. To date 102 claims have been made against this fund, and whilst the amount awarded is small, staff comment that it is really valuable in supporting them in conference/workshop attendance.</p> |
| <p>15. Flexible Working Options</p> <p><i>Protected</i> <i>Characteristics: All</i></p> | <p>That all staff understand the options available to them to work flexibly.</p> | <p>The Flexible Working Policy was updated in May 2012 to give greater clarity to the fact that parents of children under 17 or disabled children under 18 or carers have a legal right to apply for flexible working and that the Policy gives clear guidance and links to appropriate government websites.</p> | <p>Ensure this information is in Induction packs for new staff. Communications with existing staff. Monitor any increase in the request for flexible working hours Accountability: HR, All departments</p> <p>Timescales: Ongoing</p> | <p>The ED&I team produced a booklet in 2016, 'Working, learning, living', which is a booklet profiling a number of Warwick staff who have shared their daily work/life balance responsibilities and how they make use of the flexible working options available at Warwick. Many of the flexible working arrangements are organised locally in departments and therefore not formally monitored. However when there is a change to contractual hours these are monitored and approved through HR and the employing department. In line with a recruitment and Working at Warwick web overhaul in May 2016, the following statement is included on the applicant information job page: 'We will consider applications for employment on a part-time or other flexible working basis, even where a position is advertised as full-time, unless there are operational or other objective reasons why it is not possible to do so'. There is also a statement welcoming applications from those individuals who may identify with different protected characteristics. All departments have a central HR Adviser, who are available to discuss flexible working with employees at any time. Guidelines on Flexible working are available on the HR website, which outline possible options for flexible working to staff.</p> |
| <p>16. Occasional Childcare</p> <p><i>Protected</i> <i>Characteristics: All</i></p> | <p>Occasional childcare available to parents wishing to attend workshops/conferences linked with their work</p> | <p>Monitor effectiveness of new initiative: University Nursery now takes a child on a one-off basis if a parent needs cover to attend a conference and</p> | <p>Childcare is not an issue for local conference attendance, measured by actual take up of</p> | <p>The University Nursery provides ad-hoc child care cover for parents who wish to attend workshops/conferences and do not have usual child care cover available (subject to availability). It is noted that the University nursery is over-subscribed and therefore this offering may be limited. Proposals to expand the nursery provision are currently being explored.</p> |

| | | | | |
|--|--|--|--|--|
| | | the child does not usually use the facilities. | places on a one-off basis Accountability: University Nursery, Athena Network Timescales: On-going | |
|--|--|--|--|--|

Appendix Four
Provisional Consultation Timetable

| Date | Event / Action | Present / Lead |
|---------------------------------|---|---|
| w/c 18/02/19 | Draft COP to TU Representatives and HOD's | HR |
| 18/02/19 | Meeting with Trade Union Representatives | PVC Research to Chair R&IS Director & HR Representatives Trade Union Representatives |
| w/c 18/02/19 | REF Planning email resource account opens | HR / REF Planning |
| w/c 25/02/19 | Meeting with Trade Union Representatives | PVC Research to Chair R&IS Director & HR Representatives Trade Union Representatives |
| w/c 11/03/19 | Draft COP posted on University Intranet for informal consultation | HR / REF planning |
| w/c 18/03/19 w/c25/03/19 | Open drop in sessions as required | HR /REF Planning / PVC Research |
| w/c 01/04/19 | Meeting with Trade Unions | PVC Research to Chair R&IS Director & HR Representatives Trade Union Representatives |
| w/c 01/04/19 to w/c 15/04/19 | Completion of Draft COP | HR / REF Steering |
| 25/04/19 | REF Executive Steering Meeting | REF Exec Steering Members |
| w/c 29/04/19 to 24/05/19 | COP Final Amends | HR / REF Planning |
| | | |
| w/c 03/06/19 | Submission of draft COP to EDAP | REF Planning / PVC Research |
| | Feedback from EDAP – recommended revisions | REF Planning |
| December 2019 | Provisional publication of the COP, subject to EDAP approval | REF Planning |
| December 2019 / January2020 | Final COP cascade to all HOD's and eligible individuals | REF Planning |
| | Post to eligible absent colleagues. | HR |
| | Place on University Intranet and Insite message | REF Planning |

Appendix Five

How the University is Governed and Managed

Governance

Warwick's executive governing body is the Council, which oversees the conduct of University business in conjunction with the Senate – the University's supreme academic authority.

Council

The Council is the executive governing body of the University with particular managerial responsibilities for finance and the University estate, and also a more general remit to oversee the conduct of University business in conjunction with the Senate. The Council, formally meets five times each year, and is chaired by Sir David Normington, and has a maximum membership of 26, a majority of whom are independent members drawn from the professions, business and industry, and local authorities, who bring a range of experience and professional expertise to the work of the University.

The Statement of Primary Responsibilities of the Council outlines the powers and responsibilities of the Council derived from the University Statutes. The Code of Practice for Corporate Governance summarises the decisions that can be taken by the University Council relating to corporate governance.

In order to carry out its responsibilities, and ensure the necessary dialogue with the Senate, the Council has specialist standing committees, principal amongst which are the Finance and General Purposes Committee, the University Estate Committee and the Audit and Risk Committee. The detailed work of the Council is mostly carried out through these standing committees and a range of Council sub-committees, usually with a mixture of independent and academic membership, which have an important role in overseeing the conduct of specific areas of business.

Senate

The Senate is the supreme academic authority of the University. Whilst the Council is ultimately accountable for the efficient management and good conduct of all aspects of the University's operation, within that the Senate has responsibility for the academic activities of the University including all aspects of the operations of the University that have a bearing on teaching, research and the welfare, supervision and discipline of students.

The Senate is chaired by the Vice-Chancellor and has a maximum membership of 46, elected from the Faculty Boards and the Assembly. Membership also includes three

representatives from the Students' Union. The Senate meets five times each year and the greater part of its business arises from reports from the range of Senate committees responsible for specific academic matters e.g. Academic Quality and Standards Committee, Board of Graduate Studies. The Senate also oversees the work of the three Faculty Boards as well as the Research Centres and Institutes.

University Executive Board

The University Executive Board comprises the Vice-Chancellor and President; the Provost; the Registrar; the Group Finance Director; the Pro-Vice-Chancellors; the Secretary to Council and the Commercial Director. The Committee meets three times a month. The Committee's main responsibilities are to oversee the implementation of the University strategy on behalf of the Senate and the Council; to oversee performance and risk management through agreed KPIs and dashboards; to provide assurance that the required standards of accountability and legal and regulatory compliance are being achieved; to coordinate for the consideration of the Senate and the Council the academic, social and physical aspects of planning for the development of the University, and to ensure that in matters for which the statutory responsibility is laid on the Council the views of the Senate are clearly transmitted. It acts as the delegated authority to approve all staff and student related policies on behalf of the Senate and the Council; except where a policy would have a significant impact on the financial or budgetary position of the University. It is responsible for providing a strategic direction for the allocation of resources; for approving major operational decisions and providing active and visible leadership.

Steering Committee

The Steering Committee is a sub-committee of the University Executive Board and comprises the Vice-Chancellor and President; the Provost; the Registrar; the Group Finance Director; the Pro-Vice-Chancellors /; the Chairs of the Boards of the Faculties; a non-management academic member of the Senate; and the President of the Students' Union. The Committee meets on a monthly basis. The Committee's main responsibilities are to provide opinion, advice and guidance to the University Executive Board with regard to the implementation of the University strategy, specifically the potential opportunities, risks and associated implications of identified strategic activities and initiatives; the academic, social and physical aspects of planning for the development of the University; and the principles within, and implementation of, staff and student related policies. On behalf of the University Executive Board on matters of Senate business, the Steering Committee will initiate action to ensure that the relevant information and advice from other committees and relevant teams or

individuals is available to the Senate and that this is presented to the Senate in a manner which enables clear decisions to be made.

Faculty Boards

The Boards of the Faculties of Arts, Science, Engineering and Medicine and Social Sciences are headed by appointed Chairs, appointed on an annual basis but with the expectation that a Chair will serve for a minimum of three years. Membership of each of the Faculty Boards is drawn from representatives of academic departments and research centres within each Faculty. The Faculty Boards are responsible to the Senate for academic matters within the Faculty, i.e. teaching, research, curricula and examinations.

Assembly

The Assembly of the University is comprised of the Vice Chancellor, the Provost, the Pro Vice Chancellors, the Professors, Registrar, Secretary to Council, Librarian, Readers and other members of academic staff. In addition all staff employed on academic, research and teaching only terms and conditions plus any other such members of the University as may be nominated Senate including professional services staff levels 1a to 8.

It has the power to appoint six members of the University's academic staff to the Senate and make recommendations to the Council or to the Senate on any matter relating to the University, including any matters referred to it by the Council or by the Senate.

Management

The Vice-Chancellor and President is the Chief Executive Officer of the University and therefore chief academic and administrative officer, and has responsibility for the development and implementation of institutional strategy and delivery. They are supported by the University Executive Board which, in addition to themselves, comprises the Provost; the Registrar; the Group Finance Director; the Pro-Vice-Chancellors; the Secretary to Council and the Commercial Director.

The University Executive Board is supported by the Steering Committee and reports to the University Council and the Senate.

Chancellor

The Chancellor is the ceremonial Head of the University, whose official duties are to confer degrees on behalf of the University. Beyond the formal and representational duties, the Chancellor plays a key role in the University's life by promoting the work and ambitions of

the University in the UK and overseas. The Chancellor also plays an important role in the development and fundraising activities of the University.

Vice-Chancellor and President

The Vice-Chancellor and President is the chief academic and administrative officer of the University. The Statutes prescribe that this person has 'a general responsibility to the Council and the Senate for monitoring and promoting the efficiency and good order of the University'. The Vice-Chancellor and President is the 'accountable officer', as specified in the Office for Students (OfS) Financial Memorandum, responsible for ensuring that the University complies with the terms and conditions specified by the OfS for the use of funds and may be called, with the Chief Executive of the OfS who is the accounting officer for the institutions funded by the OfS, to give evidence before the Public Accounts Committee. The Vice-Chancellor and President is a member of all University committees and chairs the Senate and a number of committees of the Council and the Senate.

Provost

The Provost is appointed on a full-time basis for a fixed period by the Council after consultation with the Senate. Subject to the direction of the Vice-Chancellor and President, the Provost leads on academic strategy and delivery and performs such duties as the Vice-Chancellor and President may delegate to them in the light of University priorities.

Registrar

The Registrar, subject to the direction of the Vice-Chancellor and President, has responsibility under University Statutes for the administrative delivery of the University. The Registrar is supported by the following Senior Officers:

- Director, People Group
- Academic Registrar (Director, Education Group)
- Director, Engagement Group
- Librarian (Director, Knowledge Group)
- Director, Strategy & Policy
- Director, Innovation Group

Group Finance Director

The Group Finance Director leads the Finance and Estates Group, with a particular focus on strategy and strategic projects.

Pro-Vice-Chancellors

The Pro-Vice-Chancellors are appointed on a part-time basis for fixed periods by the Council. The Pro-Vice-Chancellors perform such duties as the Vice-Chancellor and Provost may delegate to them in the light of University priorities.

Chairs of Faculty Boards

The Chairs of the Faculty Boards support senior managers of the University. They are part-time elected positions and the appointment is made annually for a period of up to three years. They each chair their respective Faculty Boards and are the representatives of the Faculties on various University committees:

- Chair of the Board of the Faculty of Arts
- Chair of the Board of the Faculty of Science, Engineering and Medicine
- Chair of the Board of the Faculty of Social Sciences

Appendix Six

Scheduled Meetings of REF ESG; REF SSG; REF Staff Circumstances Group; REF Appeals Panel

REF Executive Steering Group

September 2019

December 2019

April 2020

July 2020

Other meetings may be held beyond July 2020 if required.

REF Submissions Steering Group

November 2019*

March 2020*

June 2020

Other meetings may be held beyond June 2020 if required.

*EIAs shall be carried out at those REF-SSG meetings marked with an asterisk. A final EIA will be conducted post-REF submission in December 2020.

REF Staff Circumstances Group

17 January 2020 (DATES SUBJECT TO AGREEMENT)

24 January 2020 (DATES SUBJECT TO AGREEMENT)

31 January 2020 (DATES SUBJECT TO AGREEMENT)

REF Appeals Panel

1 September 2020 (DATES SUBJECT TO AGREEMENT)

8 September 2020 (DATES SUBJECT TO AGREEMENT)

Appendix Seven

List of Heads of Departments and REF Coordinators by UOA

| Unit of Assessment Details | | | | |
|----------------------------|-------|---|---------------------------------------|---|
| Main Panel | # UOA | Unit of assessment Description | Departmental mapping | Nominated REF Coordinators |
| A | 1 | Clinical Medicine | WMS | Dean of the Medical School (HOD) Pro-Dean External Affairs (WMS REF lead) REF Project Officer |
| A | 2 | Public Health, Health Services and Primary Care | WMS | Dean of the Medical School (HOD) Pro-Dean External Affairs (WMS REF lead) REF Project Officer |
| A | 4 | Psychology, Psychiatry and Neuroscience | Psychology | HOD Director of Research Departmental Administrator |
| A | 5 | Biological Sciences | Life Sciences | HOD Research Strategy Development Officer Head of Administration |
| B | 8 | Chemistry | Chemistry | HOD Director of Research Senior Administrative Officer |
| B | 9 | Physics | Physics | HOD Director of Research Senior Administrative Officer |
| B | 10 | Mathematical Sciences | Mathematics Institute; and Statistics | HOD (Mathematics Institute) HOD (Statistics) Director of Research (Mathematics Institute) Director of Research (Statistics) Departmental Administrator (Mathematics Institute) Departmental Administrator (Statistics) |

| | | | | |
|---|----|------------------------------------|--|--|
| B | 11 | Computer Science and Informatics | Computer Science | HOD Director of Research Departmental Administrator |
| B | 12 | Engineering | School of Engineering; and WMG | HOD (SoE) HOD (WMG) Director of Research (SoE) Director of Research (WMG) Departmental Administrator (SoE) Departmental Administrator (WMG) |
| C | 16 | Economics and Econometrics | Economics | HOD Director of Research Departmental Administrator |
| C | 17 | Business and Management Studies | IER; and WBS | Dean of the Business School (HOD) Pro-Dean Research Senior Assistant Registrar (Research) |
| C | 18 | Law | Law | HOD Director of Research Research Administrator |
| C | 19 | Politics and International Studies | PAIS | HOD Director of Research Departmental Administrator |
| C | 21 | Sociology | Sociology; CIM (subset); and CLL (subset) | HOD Director of Research Departmental Administrator |
| C | 23 | Education | CAL; CEDAR; CES; and CLL | HOD (CAL) HOD (CEDAR) HOD (CES) UOA lead Director of Research (CAL) Director of Research (CES) |
| D | 26 | Modern Languages and Linguistics | SMLC | HOD Director of Research Departmental Administrator |

| | | | | |
|---|----|---|------------------------|--|
| D | 27 | English Language and Literature | English | HOD Director of Research Departmental Administrator |
| D | 28 | History | History | HOD Director of Research Departmental Administrator |
| D | 29 | Classics | Classics | HOD Director of Research Departmental Administrator |
| D | 30 | Philosophy | Philosophy | HOD Director of Research Departmental Administrator |
| D | 32 | Art and Design: History, Practice and Theory | History of Art | HOD Director of Research Departmental Administrator |
| D | 33 | Music, Drama, Dance, Performing Arts, Film and Screen Studies | Film & TV; and TPSCMPS | HOD (Film & TV) HOD (Theatre Studies) Centre Director (Cultural Median and Policy Studies) Director of Research Departmental Administrator |

Appendix Eight

REF Appeals Pro Forma

Staff who believe a decision regarding their eligibility for REF, as determined by the University's process for identifying staff with significant responsibility for research and/or determining research independence, has been discriminatory, have the right to appeal on the grounds of any of the protected characteristics set out in the Equality Act 2010.

In addition, staff who believe a decision regarding their eligibility for REF, as determined by the University's process for identifying staff with significant responsibility for research and/or determining research independence, has been made as a result of a procedural error, also have the right to appeal.

Appellants should submit their case using the pro forma below.

| | |
|-------------------|--|
| Name: | |
| Department: | |
| Telephone Number: | |
| Email address: | |

Please specify below the reasons why you believe the decision taken regarding your eligibility for REF, as determined by the University's process for identifying staff with significant responsibility for research and/or determining research independence, has been discriminatory and/or has been made as a result of procedural error. Please continue onto other pages if necessary.

Appendix Nine

Applicable Circumstances

Table 1: Early Career Researchers: permitted reduction in outputs

| Date at which the individual first met the REF definition of an Early Career Researcher: | 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 |

Table 2: 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 |

Table 3: Qualifying periods of family-related leave

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

* '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'.

** '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

Table 4: Other circumstances that apply in Units of Assessment 1-6

| |
|--|
| <p>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.</p> |
|--|

Circumstances requiring a judgement about reductions

Where staff have had circumstances during the period, as listed a paragraph 160.e of the GOS, including in combination with any circumstances with a defined reduction in outputs, the University 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 2 by analogy, and provide a brief rationale for this judgement.

Combining circumstances

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.

Where Table 1 is combined with Table 2, the period of time since 1 January 2014 up until the individual met the definition of an early career researcher should be calculated in months, and Table 2 should be applied.

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

Where an individual has a combination of circumstances with a defined reduction in outputs and additional circumstances that require a judgement, the University will need to 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 should be calculated according to the guidance above.

Removing the ‘minimum of one’ requirement

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 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 further reduced by one.

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:

- a. an overall period of 46 months or more absence from research, due to one of more of the circumstances set out at paragraph 160 to 163 of the GOS (such as an ECR who has only been employed as an eligible staff member for part of the assessment period)
- b. circumstances equivalent to 46 months or more absence from research, where circumstances set out at paragraph 160 of the GOS apply (such as mental health issues, caring responsibility, long-term health conditions) or
- c. two or more qualifying periods of family-related leave, as defined in Annex L of the GOS.

Where the circumstances cases do not apply, but the individual’s circumstances are deemed to have resulted in a similar impact, a request may still be made and the University should clarify this within the request form.

Where an individual has a combination of circumstances, all the applicable circumstances should be cited in the request and information provided about the effect of the combined circumstances on the researcher’s ability to produce an eligible output in the period.

The rationale for including two or more qualifying periods of family-related leave is based on the funding bodies’ and EDAP’s considered judgement, informed by the REF expert panels,

that the impact of two or more periods of such leave may be sufficiently disruptive of an individual's research that they have not been able to produce an eligible output.

The request should include a description of how the circumstances have affected the staff member's ability to produce an eligible output in the period. The information provided in the request must be based on verifiable evidence, which may be audited during the request process.

Where a request is agreed, one further output will be removed from the total output pool required for the submitting unit. This will be in addition to any reduction (of up to 1.5 outputs) applied for that staff member, according to the guidance set out at paragraph 186-191. If the staff member concerned moves institution before or on the census date, the removal of the minimum of one requirement may be applied by the newly employing institution.

Appendix Ten

Independent Fellowships

Research Fellowships

1. Table 1 provides a list of competitive research fellowships, presented in alphabetical order by funder, that have been confirmed by the funder to require research independence. This list is intended to guide institutions when developing their criteria to identify independent researchers. **It should not be taken to be exhaustive** and the funding bodies recognise that many relevant fellowship schemes are not captured, including research fellowships funded by HEIs, which may require research independence.

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

Table 1

| Funder | Fellowship scheme |
|--------------------------|--|
| AHRC | AHRC Leadership Fellowships - Early Career Researchers |
| AHRC | AHRC Leadership Fellowships |
| | |
| BBSRC | BBSRC David Phillips Fellowships |
| BBSRC | BBSRC Future Leader Fellowships (from 2018 known as BBSRC Discovery Fellowships) |
| | |
| British Academy | BA/Leverhulme Senior Research Fellowships |
| British Academy | British Academy Postdoctoral Fellowships |
| British Academy | JSPS Postdoctoral Fellowships |
| British Academy | Mid-Career Fellowships |
| British Academy | Newton Advanced Fellowships |
| British Academy | Newton International Fellowships |
| British Academy | Wolfson Research Professorships |
| | |
| British Heart Foundation | Career Re-entry Research Fellowships |
| British Heart Foundation | Clinical Research Leave Fellowships |
| British Heart Foundation | BHF-Fulbright Commission Scholar Awards |
| British Heart Foundation | Intermediate Basic Science Research Fellowships |

| Funder | Fellowship scheme |
|---------------------------|--|
| British Heart Foundation | Intermediate Clinical Research Fellowships |
| British Heart Foundation | Senior Basic Science Research Fellowships |
| British Heart Foundation | Senior Clinical Research Fellowships |
| British Heart Foundation | Springboard Award for Biomedical Researchers |
| British Heart Foundation | Starter Grants for Clinical Lecturers |
| | |
| Cancer Research UK | Advanced Clinician Scientist Fellowship |
| Cancer Research UK | Career Development Fellowship |
| Cancer Research UK | Career Establishment Award |
| Cancer Research UK | Senior Cancer Research Fellowship |
| | |
| EPSRC | EPSRC Early Career Fellowship |
| EPSRC | EPSRC Established Career Fellowship |
| EPSRC | EPSRC Postdoctoral Fellowship*1 |
| | |
| ESRC | ESRC Future Cities Catapult Fellowship |
| ESRC | ESRC Future Leaders Grant |
| ESRC | ESRC/Turing Fellowships |
| ESRC/URKI | Early Career Researcher Innovation Fellowships |
| | |
| European Research Council | ERC Advanced Grants |
| European Research Council | ERC Consolidator Grants |
| European Research Council | ERC Starting Grants |
| | |
| Health Education England | ICA Clinical Lectureship |
| Health Education England | ICA Senior Clinical Lectureship |
| | |
| Leverhulme Trust | Early Career Fellowship |
| Leverhulme Trust | Research Fellowship |
| Leverhulme Trust | Emeritus Fellowship |
| Leverhulme Trust | Major Research Fellowship |
| Leverhulme Trust | International Academic Fellowship |
| | |
| MRC | MRC Career Development Awards* |
| MRC | MRC New Investigator Research Grants (Non-clinical)* |
| MRC | MRC New Investigator Research Grants (Clinical)* |
| MRC | MRC Clinician Scientist Fellowships* |
| MRC | Senior Non-Clinical Fellowships |
| MRC | Senior Clinical Fellowships |
| | |
| NC3R | David Sainsbury Fellowship |
| NC3R | Training fellowship |
| | |

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

| Funder | Fellowship scheme |
|----------------|---|
| STFC | RSE/STFC Enterprise Fellowships |
| STFC | Rutherford International Fellowship Programme |
| | |
| UKRI | UKRI Future Leaders Fellowships |
| UKRI | UKRI Innovation Fellowships |
| | |
| Wellcome Trust | Intermediate Fellowship in Public Health and Tropical |
| Wellcome Trust | Principal Research Fellowships |
| Wellcome Trust | Research Award for Health Professionals |
| Wellcome Trust | Research Career Development Fellowship |
| Wellcome Trust | Research Fellowship in Humanities and Social Science |
| Wellcome Trust | Senior Research Fellowship |
| Wellcome Trust | Sir Henry Dale Fellowship |

Appendix Eleven

REF 2021 Equality Impact Assessment Form

The University of Warwick is committed to embedding Equality and Diversity in all aspects of its REF2021 policy and decision-making. This Equality Impact Assessment (EIA) was conducted prior to the Code of Practice being published to ensure a fair and transparent process on the selection of staff to be submitted to REF2021 and the governing process for selection. The EIA eliminates unlawful discrimination of individuals or groups of individuals with protected characteristics with regard to submission to the REF2021.

The REF EIA is an ongoing process, and the assessment will be treated as a working document to be updated at key points in the REF2021 selection and governance process where concern about equalities impact is identified. Data on staff submissions will be scrutinized at each stage of the selection process to ensure a fair and non-discriminatory process is being followed, as published in the Code of Practice.

| Names of policy/practice/procedure | Equal Opportunities Code of Practice on Preparing the REF 2021 Submission |
|--|--|
| Stage 1 – identifying policies, practices and procedures, data gathering, assessing likely impact | The University will be submitting 100% of eligible staff to REF2021. Staff with applicable circumstances will have the opportunity to disclose circumstances prior to the final REF selection being made. Such disclosures will be treated confidentially and in line with the Code of Practice and the REF2021 Guidance on Submissions. |
| What are you trying to achieve through the policy/practice/procedure? | <i>To create a clear and concise Code of Practice that informs staff of the procedure for selecting staff for inclusion in REF2021 submissions. The Code of Practice is intended to demonstrate and communicate fair and transparent mechanisms for staff selection.</i> |
| Who is intended to benefits from the proposals and how? | <i>Academic and research/teaching staff who may belong to one of the protected characteristics groups.</i> |
| How relevant is this to the University’s duties to promote Equality and Diversity? (If not applicable please explain why.) | <i>Very relevant – staff will be given the opportunity to confidentially disclose any applicable circumstances that they consider has constrained their ability to produce outputs or work productively throughout the REF2021 assessment period. The University intends for the Code of Practice to inform the REF2021 selection of staff and outputs, with a view to eliminating discrimination, harassment and victimisation and to advance equality.</i> |
| What information do you have on the people this policy/practice/procedure will affect? | <i>For monitoring purposes the University has information on all staff with regards to their eligibility for inclusion in REF2021 and who have disclosed disabilities, taken maternity, adoption, parental leave and long term sick leave or who have had a career break. The Individual Staff Circumstances Disclosure</i> |

| | |
|--|---|
| | <p><i>Form which will be issued to staff eligible to be entered into the REF2021 will give staff a further opportunity to inform of any mitigating factors and will also provide an opportunity for staff to disclose a disability or 'other' applicable circumstances that they may have not previously disclosed and that has constrained their ability to produce outputs.</i></p> |
| <p>Taking into account the information you have gathered what is the likely impact on each of the nine protected characteristics? There are some sample questions shown below but these are not exhaustive.</p> | |
| <p>Age – is there anything which excludes any particular age group?</p> <p>Think about terminology/ tone to ensure you do not alienate any one group.</p> <p>Does the practice reinforce or challenge stereotyped perceptions of individuals of any age group?</p> | <p><i>Early Career Researchers, who have not had the length of service to enable them to fully meet the specified number of outputs.</i></p> <p><i>It should be noted that an individual can be of any age to be considered an 'early career researcher', but the higher percentage of these appointments tend to be individuals under 30 years of age.</i></p> <p><i>The outputs for Early Career Researchers is factored in under the Staff Circumstances process.</i></p> |
| <p>Disability - are there any barriers for individuals with a disability either physical or non-physical?</p> <p>Is there anything that means individuals with a disability will not be able to participate or will be less successful?</p> <p>Think about the terminology and the format information is presented in and whether it is available in different formats e.g. braille, audio.</p> | <p><i>Staff with disabilities (who have previously disclosed or not) will have the opportunity to disclose factors that may have hampered their output in terms of the REF2021. These factors will be disclosed only to the REF Staff Circumstances Group for consideration. This information will be treated in strict confidence and in line with GDPR regulations.</i></p> <p><i>The Code of Practice and Individual Staff Circumstances Disclosure Form will be made available both electronically and hard COPY.</i></p> |
| <p>Sex - are men/women disadvantaged by the policy and practice? What is the make-up of the people affected by the policy?</p> <p>Have you thought about factors such as childcare, flexible working?</p> <p>Does the practice reinforce or challenge stereotyped perceptions of women and men?</p> | <p><i>Maternity and Adoption leave has been factored into the reduced output plan as proposed by REF2021 Guidelines. All of Warwick's policies take into account same sex couples and one parent families. All staff within the University do have the opportunity to request flexible working hours, as well as ad-hoc flexible working arrangements.</i></p> |
| <p>Race - Are people disadvantaged because of their ethnicity or nationality? e.g. language</p> <p>Consider cultural differences e.g. eye contact, body language.</p> | <p><i>All eligible staff will be submitted to the REF2021 regardless of ethnicity/race.</i></p> <p><i>Support may be required when English is not the first language for employees to meet the required standards.</i></p> |

| | |
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| <p>Do eligibility criteria reduce the participation of different ethnic groups?</p> | |
| <p>Religion and belief - factors affecting dress e.g. uniforms; factors affecting food.</p> <p>Elements that may affect religious festivals/prayer times e.g. inability to take annual leave or breaks at particular times.</p> <p>Consideration of different beliefs e.g. extended bereavement times</p> | <p><i>All eligible staff will be submitted to the REF2021 regardless of their religion and belief.</i></p> |
| <p>Sexual Orientation – does the practice reinforce or challenge stereotyped perceptions of sexual orientation?</p> <p>Are all the “benefits” of the policy, practice or procedure available to all staff or students? Eg not just having something available to wives or husbands, but partners as well.</p> <p>Think about the terminology used.</p> | <p><i>All eligible staff will be submitted to the REF2021 regardless of sexual orientation.</i></p> |
| <p>Gender Reassignment – if a person is undergoing or intends to undergo or who has undergone gender reassignment (the transition from one gender to another) how will this policy, practice or procedure affect them?</p> <p>Consider people who may be absent from work due to this reason.</p> | <p><i>All eligible staff will be submitted to the REF2021 regardless of their gender identity.</i></p> <p><i>Gender Reassignment has been factored into the reduced output plan as proposed by REF2021 Guidelines.</i></p> |
| <p>Marriage and Civil Partnership – marriage is defined as a ‘union between a man and a woman’. Same sex couples can have their relationships recognised as ‘civil partnerships’ therefore under legislation civil partners must be treated the same as married couple.</p> <p>Will this policy/procedure impact upon someone in a civil partnership the same way as a married couple?</p> | <p>N/A</p> |

| | |
|---|---|
| Consider that single people are not protected by the legislation. | |
| Pregnancy and maternity – Pregnancy refers to the period of time when a woman is expecting a baby; maternity refers to the period of time after the birth and is linked to maternity leave in the employment context. | <i>Maternity and Adoption leave has been factored into the reduced output plan as proposed by REF2021 Guidelines.</i> |

| | |
|--|--|
| Stage 2 – responding to the results, feedback and publishing | |
| If you have identified an adverse impact what changes do you intend making to mitigate the impacts? | |
| If you do not intend making any changes please give your justification here | <i>A clear framework has been supplied by the REF2021 Guidelines and the Code of Practice reflects these requirements. Individual staff circumstances will be given consideration by a Committee who have undertaken Equality and Diversity Training and who have a clear understanding of issues that may impact on an employees' output.</i> |
| What methods have you used to gather feedback about the final policy/procedure/ practice? | <i>Feedback will be through staff consultation and through acceptance of the Code of Practice by the appropriate REF2021 panels.</i> |
| How have you published the results within your department? (Please copy this form electronically to Sandra Beaufoy HR who will publish it on the EIA website.) | <i>The results of this EIA will be published on the REF website of the University of Warwick and will also accompany the REF Code of Practice which will be distributed to employees eligible for the REF2021.</i> |
| Stage 3 – monitoring and review | |
| When will you next monitor and/or review this EIA? (NB. You must carry out an EIA once every three years as a minimum.) | The review of this process will be ongoing through the timeframe of the REF2021 exercise. |
| Date of assessment | 17 January 2019 |
| Assessment carried out by: | Sandra Beaufoy, Equality, Diversity and Inclusion Manager |

Appendix Twelve

REF2021 Individual Staff Circumstances Disclosure Form

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

- To enable staff who have not been able to produce a REF-eligible output during the assessment period to be submitted to REF without the minimum requirement of one output where they have;
 - circumstances that have resulted in an overall period of 46 months or more absence from research during the assessment period, due to equality-related circumstances (see below)
 - circumstances *equivalent* to 46 months or more absence from research due to equality-related circumstances
 - two or more qualifying periods of family-related leave.
- To recognise the effect that equality-related circumstances can have on an individual's ability to research productively, and to adjust expectations in terms of their expected contribution to the submitting unit's overall output pool.
- To establish whether the available output pool at the Unit of Assessment level has been disproportionately affected by equality-related circumstances, and therefore whether it would be appropriate to request a reduction from the higher education funding bodies to the number of outputs required for that submitting unit.

Applicable circumstances

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

If your ability to research productively during the assessment period has been constrained due to one or more of the following circumstances, you are requested to complete the attached form. Further information can be found in Section 4.3 of the University's Code of Practice, and in paragraph 160 of the Guidance on Submissions (REF 2019/01). Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. This form is the only means by which the University will be gathering this information. You should therefore

complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

Ensuring Confidentiality

To ensure confidentiality, the University has established a centrally managed process to enable staff to disclose any equality-related circumstances that have constrained their ability to research productively during the REF assessment period in a secure manner. This process is described more fully in Section 4.4.1 of the University's REF2021 Code of Practice.

The REF2021 Individual Staff Circumstances Disclosure Form pro forma will be easily accessible on the University's website. Staff have the University's preferred option of completing an online version of the form which will be submitted directly to the Equality, Diversity and Inclusion Manager. Alternatively, staff have the option of downloading and submitting a completed form to the Equality, Diversity and Inclusion Manager by internal post or by confidential email: refcircumstances@warwick.ac.uk.

All returned forms will be collated centrally by the Equality, Diversity and Inclusion Manager and stored and processed in accordance with the General Data Protection Regulation (GDPR) 2018.

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

Submitted data will be kept confidential to the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs. All these bodies are subject to confidentiality arrangements. The REF team will destroy the submitted data about individuals' circumstances on completion of the assessment phase.

Changes in circumstances

The University recognises that staff circumstances may change between completion of the declaration form and the REF census date (31 July 2020). If this is the case, then staff should contact the Equality, Diversity and Inclusion Manager at refcircumstances@warwick.ac.uk to provide the updated information.

SECTION ONE: *(please complete the following)*

| | |
|---|--|
| NAME: | |
| STAFF NUMBER (FOUND ON YOUR UNIVERSITY CARD) | |
| DEPARTMENT: | |
| UNIT OF ASSESSMENT: (IF KNOWN) | |

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

- Yes
 No

SECTION TWO: *(please select as appropriate)*

I would like to be contacted by the HR Advisor for my department to discuss my circumstances and requirements and/or the support provided by the University of Warwick. My contact details for this purpose are:

| | |
|---|--|
| EMAIL: | |
| TELEPHONE: | |
| PREFERRED METHOD OF COMMUNICATION: | |

All personal information collected in this exercise has been obtained solely for REF purposes. Any individual wanting the information to be included in their University records should contact their link HR Advisor.

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

SECTION THREE:

I wish to make the University aware of the following circumstances which have had an impact on my ability to produce outputs or work productively between **1 January 2014 and 31 December 2020**:

Please provide information required on relevant circumstance(s) and continue onto a separate sheet of paper if necessary:

| CIRCUMSTANCE(S) | NOTES AND INFORMATION REQUIRED |
|--|---|
| <p>Early Career Researcher (started career as an independent researcher on or after 1 August 2016).</p> | <p>Please describe the role you occupied that first qualified you as an independent researcher (see paragraphs 128 to 132 of the REF2021 Guidance on Submissions for details): https://www.ref.ac.uk/publications/</p> |

| | |
|---|--|
| | Please specify the exact date on which you became an early career research in the format dd/mm/yyyy. |
| <p>INFORMATION</p> <p>First role as an independent researcher:</p> <p>Date at which you first occupied the role described above (dd/mm/yyyy):</p> | |
| <p>JUNIOR CLINICAL ACADEMIC STAFF CERTIFICATE OF COMPLETION OF TRAINING [this applies to Units of Assessment 1 to 6 within Main Panel A]</p> | Please specify date of completion: |
| <p>INFORMATION</p> <p>Completion date (dd/mm/yyyy):</p> <p>Staff that will not have acquired the Certificate of Completion of Training by 31 July 2020 should mark this box with a cross.</p> | |
| | |
| PART-TIME EMPLOYEE | Full-Time equivalent (FTE) and duration in months at that FTE |
| <p>INFORMATION</p> | |
| | |
| CAREER BREAK OR SECONDMENT OUTSIDE OF THE HIGHER EDUCATION SECTOR | Dates and duration in months |

| | |
|--|---|
| INFORMATION | |
| | |
| Family-related leave; <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. | For each period of leave state the nature of the leave taken and the dates and duration in months. |
| INFORMATION | |
| | |
| DISABILITY (including conditions such as cancer and chronic fatigue) | To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Total duration in months. |
| INFORMATION | |
| | |
| MENTAL HEALTH CONDITION | To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Total duration in months |
| INFORMATION | |

| | |
|--|--|
| | |
| | |
| ILL HEALTH OR INJURY | To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Total duration in months |
| INFORMATION | |
| | |
| CONSTRAINTS RELATING TO PREGNANCY, MATERNITY, BREASTFEEDING, PATERNITY, ADOPTION OR CHILDCARE IN ADDITION TO THE PERIOD OF MATERNITY, ADOPTION OR ADDITIONAL PATERNITY LEAVE TAKEN. | 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. Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Total duration in months. |
| INFORMATION | |
| | |
| OTHER CARING RESPONSIBILITIES (including caring for an elderly or disabled relative) | To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Total duration in months. |
| INFORMATION | |

| | |
|---|--|
| | |
| GENDER REASSIGNMENT | To include: periods of absence from work, and periods at work when unable to research productively. Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Total duration in months. |
| INFORMATION | |
| | |
| OTHER EXCEPTIONAL AND RELEVANT REASONS, NOT INCLUDING TEACHING OR ADMINISTRATIVE WORK. E.G. BEREAVEMENT. | To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Total duration in months. |
| Information | |

- I confirm that the information provided is a true and accurate description of my circumstances as of the date below.
- I recognise that the information provided will only be shared with those who have a legitimate requirement to see the documentation for purposes of administering and managing the REF.
- I realise that it may be necessary to share information with the UK Funding Bodies' REF audit and data verification team, who may make the information available to REF Panel Chairs, members and secretaries and/or the Equality and Diversity Advisory Panel. I recognise that if a joint submission is made, information may be shared with another institution. Where permission is not provided the University of Warwick will be limited in the action it can take.
- As personal information collected in this exercise has been obtained solely for REF purposes, anyone wishing the information to be included in their University records should contact the HR Advisor for their department.

SIGNATURE:

DATE:

Please email completed form no later than **Monday 2 December 2019** to refcircumstances@warwick.ac.uk or mail to **Sandra Beaufoy, Equality, Diversity and Inclusion Manager, Wellbeing Support Services, University House, Coventry CV4 8UW.**