REF 2021

Code of Practice

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Part 1: Introduction

1. REF 2021 is the Research Excellence Framework, administered by Research England. It is the current system for assessing the quality of research in UK higher education institutions and happens every 7 years. It is scheduled for 2021, but much of the preparation will happen between now and 2020, when we must provide our evidence.

2. The REF is a process of expert review of all universities, carried out by expert panels for each of the 34 subject-based units of assessment (UoA), under the guidance of four main panels. Expert panels are made up of senior academics, international members, and research users. For each submission, three distinct elements are assessed: the quality of outputs (e.g. publications, performances, and exhibitions), their impact beyond academia, and the environment that supports research.

3. Leeds Beckett University entered REF 2014 in 11 Units of Assessment and is preparing an enhanced submission for REF 2021 assessment.

4. The results from REF 2021 determine Quality Related (QR) funding which is the University's annual allocation of grant (non-project) funding from Research England. It also influences national league tables and the reputation we have as a University. As we develop and enhance our research culture this external exercise is a critical measure of our progress and we welcome the opportunity to contribute to the REF2021 assessment.

5. Every university that intends to submit to REF 2021 is required to develop, document and apply a Code of Practice (CoP) on the fair and transparent identification of staff with significant responsibility for research; determining who is an independent researcher; and the selection of outputs.

6. For the purposes of this CoP, research is as defined in the REF 2021 Guidance for Submissions, as a 'process of investigation leading to new insights, effectively shared'.

7. It includes work of direct relevance to the needs of commerce, industry, culture, society, and to the public and voluntary sectors; scholarship; the invention and generation of ideas, images, 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.

8. It includes research that is published, disseminated or made publicly available in the form of assessable research outputs and confidential reports.

9. On 31 July 2020, the Research Excellence Framework (REF) was formally restarted after being paused in March 2020 due to COVID-19. This Code of Practice has been reviewed and updated

to reflect any changes and revisions made to the REF2021 Guidance published by Research England.

The Legislative Context

10. The Equality Act 2010 harmonised and consolidated previous anti-discrimination legislation to protect the rights of individuals and advance equality of opportunity for all. It covers discrimination because of age, disability, gender reassignment/identity, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation. These categories are known in the Act as 'protected characteristics'.

11. The Act introduced a new public sector equality duty applying to the protected characteristics listed above and, to a more limited extent, to the protected characteristic of marriage and civil partnership. This duty applies to all HEIs and requires us to have due regard to the need to:
    - eliminate discrimination, harassment and victimisation and any other conduct prohibited by or under the Equality Act 2010
    - advance equality of opportunity between people who share a protected characteristic and those who do not share it
    - foster good relations between people who share a protected characteristic and those who do not share it

12. HEIs must ensure that REF procedures do not discriminate unlawfully against, or otherwise have the effect of harassing or victimising individuals because of age, disability, gender reassignment/identity, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

13. As well as prohibiting direct discrimination, the Act prohibits indirect discrimination; when a provision, criterion or practice appears to affect everyone in the same way, but its impact particularly disadvantages people with a protected characteristic, unless the person applying the provision can justify it as a proportionate means of achieving a legitimate aim.

14. With the exceptions of marriage/civil partnership and pregnancy/maternity, protection from discrimination extends to people who are perceived to have or are associated with someone who has a protected characteristic. For example, if a researcher is treated less favourably because they care for their disabled parent, that could be unlawful disability discrimination.

15. To demonstrate compliance with the requirements of the public sector equality duty in the Equality Act 2010, we will consider the effect that our REF policies have on equality and attach our equality impact assessments (EIA) in Appendix K.

16. Leeds Beckett University is committed to protecting the privacy and security of the personal information of all staff and will manage all processes within this CoP in accordance with the Data Protection Act (2018) and General Data Protection Regulations (GDPR). Our privacy statement will be on our REF microsite and is attached in Appendix L.

REF 2021 Principles

17. We commit to adhering to the REF principles of transparency, consistency, accountability and inclusivity in all aspects of our REF submission process.

Transparency

18. All processes for identifying staff with significant responsibility for research, determining research independence, and selecting outputs for inclusion in REF submissions are transparent. Our CoP is available on request in an easily accessible format and publicised to all academic staff across the institution, including the staff intranet, and drawn to the attention of those absent from work.

19. We demonstrate the transparency of our processes by:
    - Creating a REF microsite where all relevant policies and processes are easily accessible
    - Including all our REF EIAs on the EIA website which is open to the public
    - Ensuring the CoP is available in different accessible formats on request
    - Providing information by direct mail for academic staff absent from work
    - Having a regular update in our staff bulletin
    - Promoting our generic email for staff – *REF2021@leedsbeckett.ac.uk*
    - Providing an online FAQs to support staff
    - The VC including REF in his annual colleague roadshow, supported by UoA meetings
    - Ensuring all staff involved directly in the submission support and development have appropriate and tailored training and advice

Consistency

20. We commit to implementing this CoP across all our Schools and UoAs.

21. We ensure consistent application of our policies and processes by:

    - Providing central coordination of all processes through Research and Enterprise Services
    - Using our REF microsite as the repository for all REF related information
    - Having a pan-university REF Strategy Panel providing oversight of decisions and processes
    - Centrally coordinating all REF documentation and communication
    - Ensuring that an appeals process is available to staff to correct inconsistencies of practice

Accountability

22. Through our REF governance processes described in Part 2, we will clearly define all responsibilities, and ensure that individuals and bodies that are involved in decision making are accountable for their actions.

23. We will demonstrate full accountability at all levels of the REF submission process by:
    - Ensuring the Code of Practice appears on our REF microsite which provides details of committees and decision-making processes
    - Ensuring we apply agreed criteria to all decisions
    - Implementing clear terms of reference for all committees and associated governance processes
    - Requiring all staff involved in any REF process to complete the University's REF 2021 training that validate their involvement

Inclusivity

24. Equality, diversity and inclusion are integral to our Strategic Planning Framework and are at the core of how we work with all colleagues and stakeholders. Our Equality, Diversity and

Inclusion Framework sets out our vision, principles and objectives and evidences how these are embedded within policy, practice and the activity of University life, see Figure 1. We aim to inspire trust and respect and challenge inequality, supporting the overarching principles of equity, equality and transparency which govern the conduct of the REF.

25. We continue to recruit, retain and develop from the most diverse demographic. Our professoriate has grown and changed significantly in this timeframe so that 28.6% of Professors are women and 20.6% of Professors identify as BAME. The number of Readers has also increased following the introduction of a new annual promotion process. 40.4% of all Readers are women and 15.4% identify as BAME.

26. Our research ethos and culture continue to grow, and we regard all academic colleagues as research active whilst working to support relevant academics to become research independent. Training, development and mentoring are integral to supporting colleagues.

27. The University has a commitment to equality charters and frameworks building over several years to support changes in institutional culture. From 2015 – 2017 we were a Stonewall Top 100 employer in recognition of our LGBT+ inclusive policy and practice. We piloted the sector specific Race Equality Charter in 2015 and committed to the resultant charter when it launched in 2016.

VISION AND PRINCIPLES	
Vision	Our University will be a place where everyone feels respected, valued and supported to achieve excellence.
Principles	• To commit to equality, diversity and inclusion as a fundamental part of our corporate strategy • To expect that each member of our community respects others • To behave in ways that inspire trust • To ensure that every individual feels welcomed • To measure progress towards our vision and address areas that do not deliver equality, diversity and inclusion

Figure 1: Our Equality, Diversity and Inclusion Framework

28. The University became Athena SWAN Charter members in 2014, committing to the Charter principles and a bronze level was award in April 2017. Six of our Schools are either working towards their own submissions or have already applied and are implementing local action plans. These include actions designed to strengthen our research ethos through the adoption of research plans for all academic colleagues, research mentoring and differentiated research development in addition to an established academic leadership programme.

29. We encourage an inclusive environment by:
    - Using our EIA to inform our decision making
    - Ensuring our EDI Framework sits at the heart of all our processes and policies
    - Providing opportunities for staff feedback about throughout the REF submission
    - Promoting our generic email for staff – *REF2021@leedsbeckett.ac.uk*
    - Providing an online FAQs to support staff
    - Offering REF awareness training to all staff

- Inviting all academic staff to self-nominate their research independence

Development since REF 2014

30. A new Strategic Planning Framework was launched in 2016, to be an excellent, accessible, globally engaged university, contributing positively to a thriving Northern economy. This framework, shown in Figure 2, put improvements in Research and Academic Enterprise at the heart of the University.

31. The associated Research and Enterprise Strategy has 3 KPIs below:
    - **Research Intensity**
      Measure: We will grow and develop our research culture
      KPI: 45% academic staff at 0.2 FTE and above submitted to 2021 REF
    - **Research & Enterprise Prestige**
      Measure: R&E will make a major contribution to our prestige and reputation
      KPI: £28m HEBCIS Income, within which the contribution from research income to increase to £6m, from its current £3M
    - **Research Environment**
      Measure: Our research environment enables our staff to deliver outstanding research
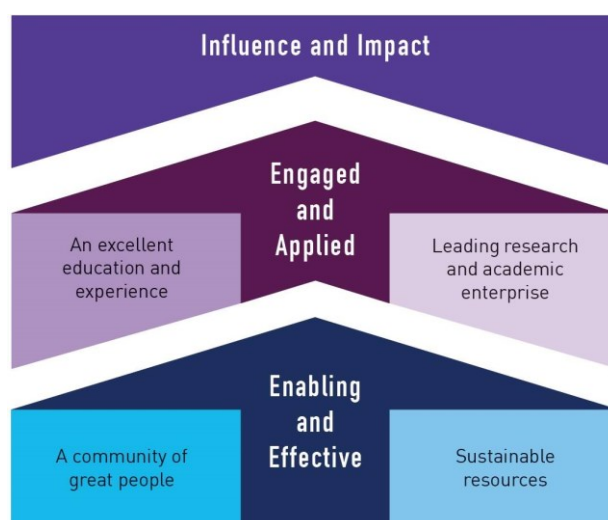   KPI: 1000 Doctoral students enrolled

Figure 2: *Strategic Planning Framework*

32. To build on our strengths, as evidenced in the REF 2014 exercise, we have focused our research around those UoA where we have a good track record of achievement and with a critical mass in staff/research student engagement and achievement. We have targeted investment and new appointments at improving our REF 2021 entry in these units. A key part of this was the appointment of Directors of Research for each UoA in 2016.

33. In REF 2014 only 16% of staff attended the equality and diversity training, with the recommendation to make this a requirement in 2021. All those who are part of the REF decision making process will undertake equality and diversity training and will cover bias in decision making. Additional training for those involved in the Appeals process and in determining recommendations for individual circumstances is also being provided.

34. In 2014 there was anecdotal feedback that some staff were unaware of the processes around defined and complex circumstances. Mindful of this, we are writing to all staff who meet our Category A criteria to ensure that the approach to staff circumstances is clearly set out, communicated personally and promoted at individual Unit of Assessment meetings and on our microsite.

35. Since REF 2014, we have carried out annual REF audits to monitor progress of outputs. These audits have informed our decisions and progress as we prepare for REF 2021. EIAs of the 2017 and 2018 audits were also carried out and used to inform action plans.

Colleague Communications

36. A university wide communication campaign has created awareness and understanding of REF 2021, highlighting key messages and milestones for all colleagues across the university, in addition to the ongoing promotion of research across our university. This supports the university's strategic aim of being a 'Leading and Academic Enterprise'.

37. Raising awareness of the research being carried out by our academic community is essential to our university's success. Academics at our university listen, inspire, challenge, and innovate. They transform the way our students think and the way they view the world. Their teaching is the foundation of the student experience at Leeds Beckett, while their research directly impacts the way that we lead our lives.

38. We have carried out a two-stage consultation process, first with senior stakeholders including UCU, Managers, and the University Executive Team and then an 'all staff' consultation. As part of this staff were invited to UoA meetings and to complete an online survey.

39. A microsite has been created to host ongoing REF related messaging including; video, documents, forms, infographics, timelines, FAQs, webinar links, and news updates.

40. Fortnightly updates will continue to be included in the colleague publication, 'Staff Bulletin'. News, events and meetings relating to REF will also be highlighted as news stories on the staff website. Video content will be created to support updates on REF, to encourage engagement.

41. Face to face briefings and meetings will be managed locally by the Directors of Research for each UoA, but with support from The Communications Team to deliver consistent messaging.

42. Research news, interviews, opinion pieces and case studies will continue to receive support from External Relations, with internal communication and external communication campaign support.

43. A general REF email, *REF2021@leedsbeckett.ac.uk* is available for colleagues to communicate with the REF team. This will be monitored daily and an initial response will go to the sender within 5 working days either answering the query or detailing next steps.

Part 2: Identifying staff with significant responsibility for research

Policies and procedures

44. All academics (0.8FTE and above) with significant responsibility for research have a minimum of 20% FTE for independent research in the University Workload Allocation Model (WAM).

45. This will be consistently applied across the institution and is in addition to the 150 hours of Research and Scholarly Activity (RSA) time that all staff are allocated within the WAM.

46. The allocations within the WAM for fractional staff below 0.8FTE who are identified as research independent will be treated on a case by case basis. It is expected that their WAM research allocation will be at least 20% of their working time but in many cases this should be higher to allow the time to do excellent research.

47. The allocation of a minimum of 20% FTE for research independent staff identifies them as having significant responsibility for research and they will be on the UoA List of Category A Submitted Staff which will be submitted to the REF Strategy Panel for approval.

48. To be identified as having significant responsibility for research and be allocated a minimum of 20% FTE research time, staff are invited to evidence and be identified as an independent researcher, as described in Part 3. All staff providing evidence of independence that is accepted by our UoA Panel will be in the List of Category A staff for the UoA and be eligible to have 20% FTE research time and thus significant responsibility for research.

49. Academic staff who have been identified as working towards independence may be allocated research time within the workload model, but this should be less than 20% FTE and not usually more than 15% FTE. This does not indicate significant responsibility for research.

50. Staff completing PhDs may also have time allocated to their study in the WAM, but this does not indicate significant responsibility for research.

51. The Directors of Research, as chairs of the UoA panel, will manage this independently within their UoAs, but all are required to follow this CoP.

52. In 2019/2020, these processes were applied consistently across the institution. Thus the 2019/2020 WAM will provide an appropriate and auditable means of identifying staff with significant responsibility for research, based on their allocated hours for independent research in the WAM on the census date of 31st July 2020.

53. As we are committed to improving the quality and quantity of our research, academic staff will be invited annually to self-select as independent and be allocated an appropriate research allowance within the WAM.

Communication and Timescales

54. Figure 3 overleaf shows the timelines and workflows for applying these decisions. Internal institutional processes require the staff time allocation for academic year 19/20 to start on 1st May 2019. This is after staff consultation, but prior to the formal approval of the CoP by Academic Board and Research England. Thus, any changes required by these processes will be implemented as soon as is practical.

55. The first meeting of each UoA Panel will be in spring 2019. This will be to plan the communication to staff inviting them to present their evidence to identify independent

researcher status. The UoA Panel will consider this evidence in line with the process defined in Figure 3.
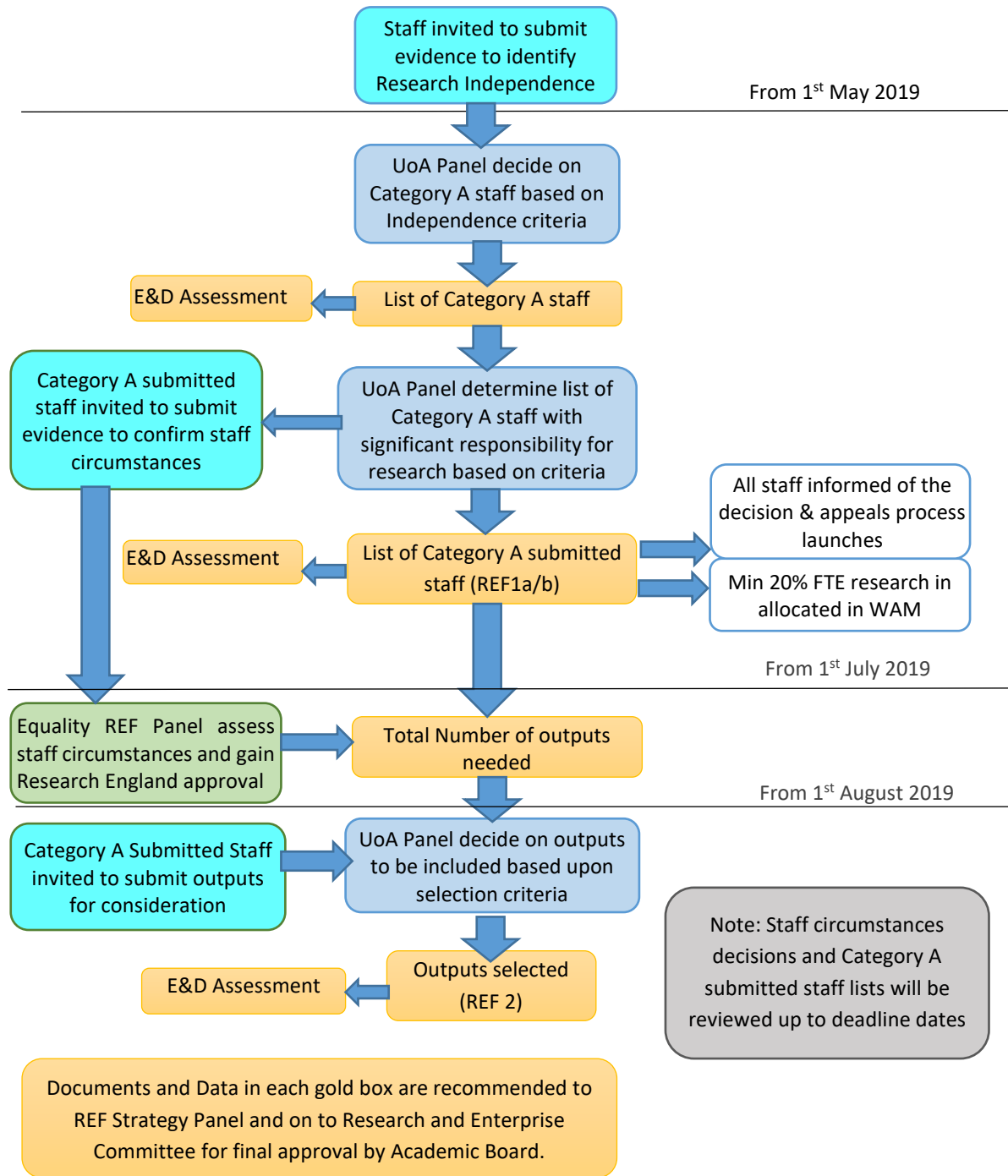

Figure 3: Process for Determining Independence, Significant Responsibility and Staff Circumstances

Development of process(es)

56. The CoP Short Life Working Group developed the draft CoP, managed the consultation process and supported the implementation.

Phase 1 – Management Consultation

57. Phase 1 consultation took place in December 2018 and January 2019, following the drafting of Draft 1 of the CoP and involved discussions with key stakeholders and committees: The University Research and Enterprise Forum, the University Executive Team, Senior Management Group, the REF Strategy Panel, Research and Enterprise committee, and UCU.

Phase 2 - All Staff Consultation

58. A four-week formal period of staff consultation on the draft CoP commenced on 11th March 2019 ended on Friday 5th April 2019. It was promoted with a 'Join the Conversation' message. A university wide email was sent to colleagues to inform them that the formal consultation process had launched, and this signposted the REF microsite where all content is hosted. To ensure that we communicated with all colleagues, those who were not currently in work received a letter which was posted to their home address on 8th March 2019. A call to action to 'Join the Conversation' on REF 2021 was visible on digital and plasma screens across the university, throughout the consultation period.

59. The email/letter launched a bespoke email address, *REF2021@LeedsBeckett.ac.uk* for colleagues to ask questions and provide feedback. We additionally sought feedback via an anonymous staff online survey on the REF microsite, as part of the consultation.

60. The REF microsite contains a landing page hosting all content including; REF 2021 key messaging, the draft Code of Practice as a downloadable document, a video to explain the consultation process featuring the Director of Research and Enterprise, and FAQs with a link to the bespoke email address for colleagues to ask questions directly. Finally, there was a clear commitment to answer colleague questions and publish these as part of our FAQs.

61. Fortnightly updates were emailed to all colleagues via the university's news publication 'Staff Bulletin'.

62. All academic colleagues were invited to attend a UoA briefing with their Director of Research to review the draft Code of Practice, discuss the content, and ask questions. These meetings have a record of discussions. There was a question and answer session to ensure accurate feedback into the REF Strategy Panel's actions.

63. Feedback on the draft was collated by the CoP working group and reviewed in mid-April 2019. A summary of the feedback is included in Appendix I.

64. The final draft of the CoP was presented to the REF Strategy Panel Meeting, the R&E Committee and will be approved by Academic Board by the 7Th June deadline.

65. We also sought the views of our union colleagues at UCU. We shared an early draft of the CoP at a consultation meeting on the 18th January 2019. Based on the feedback at that meeting, we amended our proposal to include that the UCU REF representative becomes a member of the Appeals Panel.

66. We met again with UCU on 25th April 2019 to seek further views and share feedback from the consultation and the resultant CoP changes. This meeting confirmed the need for a revised appeal process that included an informal stage and the option to hold a hearing if appropriate. Staff would be able to bring a UCU Rep with them to the hearing. UCU confirmed they were

comfortable that this would not cause a conflict of interest with the member that was on the Appeals Panel.

67. We circulated the final version of this CoP on the JCC agenda for 1 May 2019 to evidence our stakeholder consultation process as required by Research England and to confirm that our union colleagues understand the policies and processes involved in our REF submission process.

Staff, committees and training

68. The REF governance structure, shown in Figure 4 has accountability for adherence to the principles of transparency, consistency, accountability, and inclusivity and provides a clear and auditable decision-making structure covering REF 2021 preparations and submission.

69. Academic Board and Research and Enterprise Committee are an integral part of the university governance structure and have the oversight of the REF process.

70. The details of these existing committees, including terms of reference and membership are included in Appendix A and B. Some staff are members of committees because of their role. In other cases, an election is used to appoint staff, a process summary is found in Appendix C.
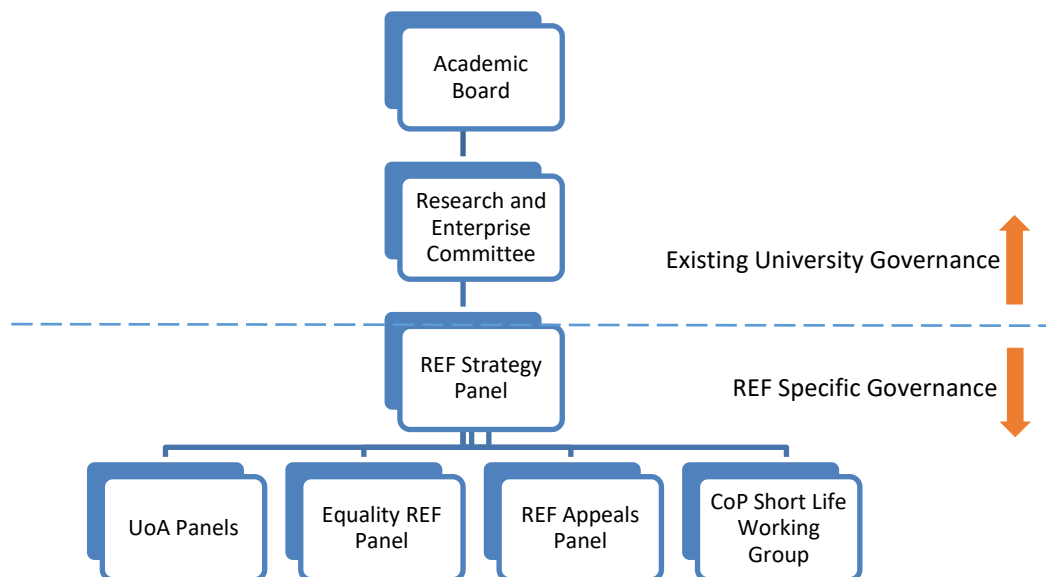
Figure 4: Panel and Committee Structure Responsible for REF Governance

71. The REF Strategy Panel is a formal subcommittee of the Research and Enterprise Committee. It oversees the REF submission prior to approval by university governance. The Ref Strategy Panel recommends the following to the Research and Enterprise Committee:
    - REF 2021 Code of Practice
    - The list of Category A Staff for each UoA
    - The list of Category A selected staff for each UoA (REF1a/b)
    - The list of Selected Outputs for each UoA (REF 2)
    - Equality and Diversity Impact Assessments
    - REF3 (Impact), REF4a/b/c (Data), REF5a/b (Environment)

72. The REF Strategy Panel facilitates cross university discussion on matters relevant to REF and oversees the development of process and policy in relation to REF. It has several supporting committees that make recommendations on different aspects of the REF Process:

73. The CoP Short Life Working Group developed the draft CoP, manages the consultation process and is supporting the implementation. This is an advisory body making recommendations to the REF Strategy Panel.

74. Each UoA will convene a panel in spring 2019. This UoA Panel will recommend the List of Category A Staff, Category A Submitted Staff, the Selection of Outputs and REF documents REF3 (Impact), REF4a/b/c (Data), REF5a/b (Environment).

75. The Equality REF Panel is responsible for considering individual staff circumstances and recommending any UoA output reduction requests to the REF Strategy Panel. To maintain independence, the UoA panels will have no ability to influence this recommendation. All recommendations must be presented to Research England who will uphold or overturn these decisions. The details of this panel are contained in Part 4.

76. An Appeals Panel will consider staff concerns with non-compliance to process, inconsistencies and equality and diversity issues. This panel is described in more detail in Part 2.

77. Appendix D details the membership and terms of reference all committees and panels and the role descriptions of the members are clarified in Appendix E.

78. All Leeds Beckett University staff involved in one of the committees described in the previous section are required to attend a REF training session to understand in detail the Leeds Beckett University REF 2021 Code of Practice. In addition, they should complete the existing Leeds Beckett online training package on Equality and Diversity and Unconscious Bias (if they have not already done so within the last year).

79. On completion of the consultation phase, the REF 2021 CoP and associated training material will be available to all members of staff via dedicated REF webpages. There will also be regular updates via internal communication channels such staff bulletins.

80. Any changes in the current legislative context and best practice in Equality and Diversity will be updated in the training and communications supporting the REF 2021 submission development, in Leeds Beckett University.

81. A register of those completing the training will be kept and alternative arrangements will be made for those unable to attend scheduled REF 2021 training and briefing sessions.

82. Training commenced in spring 2019 and is being delivered to support the timeline of the submission development as set out in Figure 3.

Appeals

83. A key part of our REF Code of Practice is a discrete appeals process relating solely to REF 2021. All appeals will be considered and outcomes implemented before the final submission is made.

Informal Resolution

84. Colleagues wishing to challenge a UoA Panel decision regarding their independence should first seek to resolve their concerns by obtaining feedback from the relevant Director of Research. Following this discussion, the individual can submit more evidence to the next Unit of Assessment panel in support of their independence claim.

85. If the individual remains dissatisfied with either their informal feedback or the outcome of the UoA Panel, they may submit a formal appeal.

Formal Appeal

86. Formal appeals are considered by the Appeals Panel. The independence of appeal panel members is assured based on no prior involvement in any decisions made by UoA Panels. Panel members will have received appropriate training as outlined in Part 2.

87. The membership and terms of reference for the REF Appeals Panel is detailed in Appendix D.

88. The REF Appeals Panel will consider appeals based on the following grounds:
    - Failure to apply the criteria consistently or adhere to the process for identifying colleagues with significant responsibility for research and determining research independence, as articulated in this Code of Practice
    - Alleged discrimination based on personal protected characteristics – relating to age, disability, gender reassignment/identity, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation

89. There is no right of appeal in relation to the selection of outputs in line with the guidance from Research England.

90. The appeals process opens on 1 July 2019 and closes on 31st July 2020. An exception to the closing date will be where staff eligibility processes have been run retrospectively due to the impact of the Covid-19 Pandemic. Any staff whose eligibility has been determined retrospectively have the right to appeal before the final Appeal Panel has taken place.

91. Colleagues who wish to appeal should download the REF Appeals form, shown in Appendix F and send a completed version to *REF2021appeals@leedsbeckett.ac.uk* along with any supporting documentation.

92. There will be several Appeals Panel meetings and all appeals received are considered at the earliest opportunity. Panel meeting dates will be published on our REF 2021 webpage, along with corresponding deadlines for the receipt of appeal submissions for each panel. No further appeals will be heard after the final Appeals Panel has taken place.

93. Eligible appeals will not be declined without the opportunity for a Panel hearing. Where a hearing takes place, appropriate union representation can attend if required.

94. A written response will be provided by the Chair of the Panel within 10 working days of a meeting or hearing or following the receipt of any required additional information. This response provides a rationale for the decision reached by the Panel.

95. If an appeal is referred to a UoA Panel for further evidence to be considered following the appeals process, the subsequent decision by that panel is final and there are no further opportunities for appeal.

96. The decision of the REF Appeals Panel is final and there is no further right of appeal. As due consideration will have been given to the information and evidence presented as part of the appeals process, once concluded it is deemed that the appeal has been heard in full.

97. It is expected that complaints regarding the implementation of the code of practice will be resolved through this appeals process. There may be instances where complaints regarding the implementation of our code of practice cannot be satisfactorily resolved through this appeals process. For such circumstances, the UK funding bodies will offer a robust and independent process that will duly consider such complaints and appropriate action.

Equality impact assessment

98. Our university EIA informs how we equality- proof our policies, processes and practices, to ensure that they do not favour or discriminate against groups as defined in the Equality Act 2010. This is specifically in relation to the protected characteristics: age, disability, gender reassignment/identity, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation. In addition to these groups the University process also includes reference to working pattern (full-time/part-time). For REF purposes, we will include assessment by contract type and compare those on fixed term contracts relative to those employed on open contracts. To protect the identity of individuals, any data classifications of less than five will not be published.

99. EIAs are iterative and intended to be living, working documents. Where the assessment identifies a disproportionate impact on particular groups, we seek to mitigate this through adjustment to our policy or process. We will conduct EIAs on the policy and procedures used to identify staff with significant responsibility for research, for determining research independence, and for selecting outputs for the REF.

100. The EIA will be conducted at key points through the REF submission. Review points will include:
   - Internal REF audit outcomes (March 2019)
   - The process for identifying staff with significant responsibility for research (April 2019)
   - The criteria and process for determining research independence (April 2019)
   - Those self-selecting for independence through analysis of personal data (July 2019)
   - Comparing early career researchers with those who meet independence criteria (July 2019)
   - The pool of agreed Category A staff through personal information data analysis (Oct 2019)
   - Those choosing to appeal, the grounds on which appeals were made and the outcomes through analysis of personal data (Dec 2019)
   - Those choosing to apply for consideration of their personal circumstances through analysis of personal data (Dec 2019)
   - The final pool of staff in our REF submission through analysis of personal data (April 2020)

101. These points are indicative and may be subject to change dependent on outcomes from the equality impact assessment process.

102. Members of the UoA Panels and CoP Working Group will complete assessments under the guidance of the University's Equality and Diversity Team. Any changes made to mitigate for equality considerations, and the rationale for doing so, will be recorded in the narrative sections of the equality impact assessment.

103. EIAs are published on the University website as open access documents, and any REF related assessments will be viewable by the public. The final version of the EIA at the point of submission will be included as an appendix.

Part 3: Determining research independence

Policies and procedures

104. All academics who wish their research work to be considered for REF 2021 must demonstrate that they are independent researchers.

105. An independent researcher is defined as an individual who undertakes self-directed research, rather than carrying out another individual's research programme. The REF 2021 documents make it explicit that 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*.

106. The criteria used to determine staff who meet the definition of an independent researcher are derived from the REF Guidance on Submissions and they apply within the current REF period.

107. Independent researchers are those who can evidence <u>at least one</u> of the following 3 criteria:
    - Leading a research group or a substantial or specialised work package
    - 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

    For UoA in Main Panels C and D, academics can also apply the following criteria:
    - Having a significant input into the design, conduct, interpretation and publication of REF defined research in all its forms presented in significant public or private spaces
    - Being named as a Co-Investigator on an externally funded research grant/award

108. Academic staff will be invited to evidence their research independence by completing the pro-forma in Appendix G and submitting to their UoA Panel. There is no expectation that all academic staff members will choose to make a case for research independence.

109. The cases for independence are reviewed by the UoA Panel. Academic staff who evidence at least one of the indicators of independence to the satisfaction of a majority of the UoA Panel are identified as an independent researcher. Where an academic has not satisfied the UoA panel of their independence, they are classified as working towards independence.

110. Academic Staff who are members of the UoA must have their application for independence ratified by another UoA panel to ensure we fully adhere to the REF principles of transparency, accountability, consistency and inclusiveness.

Communication and Timescales

111. **Error! Reference source not found.** shows the flowchart outlining the decision-making process to determine the content of the University's REF submission.

112. All academic staff submitting a case for research independence are contacted individually by their Director of Research with the outcome of the UoA Panel.

113. Where the outcome is 'working towards independence', a one-to-one meeting will be arranged with the Director of Research for the Unit, and a development plan agreed.

114. All staff who provide evidence of independence that is accepted by the UoA Panel are in the List of Category A staff for the UoA for submission to the REF Strategy Panel for approval.

115. As described in Part 2, all staff on the Category A Staff list will be considered for significant responsibility for research.

116. All decisions will be evidence based and an audit trail will be kept of decisions.

Staff, committees and training

117. The processes are the same as reported in Staff, committees and training section of Part 2

Appeals

118. The processes are the same as reported in the Appeals section of Part 2

Equality impact assessment

119. We will carry out an EIA to ensure that the criteria and process used to determine research independence do not impact negatively on any individual particularly those with protected characteristics.

120. Once staff have been invited to submit evidence of their research independence, a further review using the same personal information categories will be completed to assess proportionality. If equality considerations are identified though these assessments, we will seek to mitigate these through changes to our policy and or process.

Part 4: Selection of outputs

Policies and procedures

121. We are committed to fairly and transparently selecting the outputs for submission to REF 2021.

122. Each UoA submitting to REF 2021 must include an output total equal to 2.5 x the total FTE of Category A Submitted Staff. This may be reduced by any requests for staff circumstances approved by Research England.

123. The number of REF outputs is calculated by the UoA Panel which manages the process of recommending the outputs to be included within the UoA submission to the REF Strategy Panel.

Process

124. Each Category A Submitted Staff submits up to five outputs for consideration to UoA Panel for inclusion. Staff must rank and rate their outputs in Symplectic and include a brief description of the research merit based on the REF 2021 criteria for originality, rigour and significance. Relevant outputs should also be tagged for double weighting consideration.

125. Practice based outputs must also be accompanied by a 300-word statement that specifies the originality, rigour and significance of the output.

126. UoA Panels will gather reviews from internal and external experts to confirm the quality of the staff outputs. This will generate a range of opinions on each output. The UoA Panel will use this information to agree the merit of an output, against the REF criteria.

127. Based on this, UoA Panels will add one output from each of the Category A Submitted Staff on to the Selected Output List.

128. The remainder of the Selected Output List will be chosen based upon the agreed merit, the research strategy of the UoA and any relevance to impact case studies.

129. The UoA Panel, at its discretion and where it improves the submission, may include outputs from academic staff who were employed in Leeds Beckett University during the current REF assessment period (1st January 2014 to 31st December 2020), but who are no longer employed.

130. For outputs where one or more of the authors were made redundant during the REF period, we will only include them in the following circumstances:
    - For single author outputs where the author was made redundant during the current REF period we will seek their written permission to include them in the submission
    - Where the output has one or more other authors who are still employed by Leeds Beckett and are on our Category A Submitted List, we reserve the right to include these on our Selected Output List

131. The Selected Output List plus reserves (and indicating potentially double weighted items) will be submitted to the REF Strategy Panel for approval.

132. Managers will ensure that constructive feedback, mentoring and developmental support is provided to academic staff, based on the outcomes of this process.

133. Internally generated estimates of the merits of outputs used in preparation for the REF will not be used in promotion or probation cases for individuals, as these are approximations used to guide this specific REF process.

Staff, committees and training

134. The processes are the same as reported in Part 2.

Staff circumstances

135. The Equality REF Panel independently considers requests from eligible staff with either defined and/or complex personal circumstances which have impacted on their productivity during the REF 2021 assessment period for a reduction in output contribution in line with the REF 2021 criteria. The Panel advises the REF Strategy Panel as to proposed reductions on the UoA outputs which should be put to Research England for ratification.

136. The membership and terms of reference for the Equality REF Panel are detailed in Appendix D.

137. The Equality REF Panel operates to create a safe and supportive environment for individuals to submit their disclosure requests and is always bound by the highest levels of integrity and confidentiality in their operations, discussions, decision making, and communication.

138. The Panel will also provide analysis and reporting as required for the Equality Impact Assessment on Leeds Beckett University REF 2021 submission, internally and externally. Following the REF submission, the Equality REF Panel will lead the preparation of the EIA report.

139. The frequency and schedule of the Equality REF Panel work and meetings will be publicised on the REF 2021 microsite, along with corresponding deadlines for the receipt of submissions for each panel.

Process

140. The Equality REF Panel ensures all Category A staff are invited to document any individual circumstances that they believe have affected their ability to contribute to their UoA output pool. It will be clearly communicated that this is voluntary and there is no pre-determined requirement to engage with this process.

141. Once verified, these documented circumstances may adjust the expectations of an affected individual's contribution to the UoA output pool or contribute to a decision to reduce the total number of outputs required for their UoA.

142. It is recognised that as staff circumstances can change and disclosures from individual staff members may occur throughout the REF 2021 submission preparations, up until the end of March 2020, the deadline set by Research England for considering UoA output pool reduction requests.

143. Requests are considered via two distinct routes for (1) defined and (2) complex circumstances.

144. Defined circumstances are those that can be verified through centrally maintained University records held by Human Resources. These disclosures are considered by a virtual meeting of the Equality REF Panel, conducted via secure email. The following are examples of defined circumstances:
    - Qualifying as an Early Career Researcher (ECR)
    - Absence from work due to secondments or career breaks outside the HE sector
    - Qualifying periods of family-related leave

145. An ECR is a member of staff on a minimum of 0.2FTE contract for 'teaching and research', and who became an independent researcher on or after 1st August 2016. Staff cannot be an ECR if they are or have been a research assistant, or an independent researcher at a previous employer, or acted as an independent researcher, or had a career outside Higher Education/Research and then returned to research.

146. The permitted output reduction is based on the date on which the definition of an ECR was met:

On or before 31 July 2016	No reduction permissible
Between 1 August 2016 and 31 July 2017 inclusive	Permissible reduction 0.5
Between 1 August 2017 and 31 July 2018 inclusive	Permissible reduction 1
On or after 1 August 2018	Permissible reduction 1.5

The permitted reduction in outputs available to those absent from work due to secondments or career breaks outside of the HE sector, where you did not undertake academic research, are:

Fewer than 12 calendar months	No reduction permissible
At least 12 calendar months but less than 28	Permissible reduction 0.5
At least 28 calendar months but less than 46	Permissible reduction 1
46 calendar months or more	Permissible reduction 1.5

The permitted reductions in outputs or statutory maternity, paternity or adoption leave are:

| Each discrete period of statutory maternity or adoption leave taken during the period 1 January 2014 to 31 July 2020 regardless of the length. | Permissible reduction 0.5 |
| Additional paternity, adoption or shared parental leave lasting for 4 months or more taken substantially during the period 1 January 2014 to 31 July 2020 | Permissible reduction 0.5 |

147. All other requests are dealt with as complex circumstances. These are personal circumstances which have resulted in long or frequent periods of absence due to sickness of disability or significant personal difficulties and changes which have impacted on research work. Staff are encouraged to seek further support from HR if this is appropriate. When requesting consideration for complex circumstances we may require sensitive conversations with you or to confirm details further with HR.

148. Complex circumstances, in isolation or together, may significantly constrain the ability of submitted staff to produce outputs or to work productively throughout the assessment period. Complex circumstances disclosures are considered by the Equality REF Panel convening in person to ensure any proposed reduction is appropriately judged.

149. The following are examples of complex circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in outputs:
- Disability
- Ill health, injury, or mental health conditions
- Constraints relating to pregnancy, maternity, paternity, adoption or childcare
- Other caring responsibilities
- Gender reassignment

- Other circumstances relating to protected characteristics or activities protected by legislation

150. Where staff have complex or combined circumstances, the Panel need to make a judgement about the effect of the circumstances in terms of the equivalent period absent. In line with the REF 2021 Guidance, the reductions below will be applied, and brief rationale will be provided for this judgement. The permissible reductions are based on the timeframes set out for secondments and career breaks from Higher Education and are as follows:

Fewer than 12 calendar months	No reduction permissible
At least 12 calendar months but less than 28	Permissible reduction 0.5
At least 28 calendar months but less than 46	Permissible reduction 1
46 calendar months or more	Permissible reduction 1.5

151. All submitted staff must have a minimum of one output in the submission, including staff with individual circumstances. However, a request may be made for the minimum of one requirement to be removed where an individual's circumstances have had an exceptional effect on their ability to work productively throughout the assessment period.

152. In addition to the existing guidance for REF6a reductions, the minimum of one output requirement may be removed for a Category A submitted staff member that has not been able to produce an eligible output, where the following circumstances apply:

- Output(s) in the process of being produced have been affected by COVID-19 during the assessment period (1 January 2014 to 31 July 2020). This includes effects due to applicable circumstances (such as ill health, caring responsibilities); other personal circumstances related to COVID-19 (such as furloughed staff, health-related or clinical staff diverted to frontline services, staff resource diverted to other priority areas within the HEI in response to COVID-19); and/or external factors related to COVID-19 (for example, restricted access to research facilities);

- The overall impact of the COVID-19 effects, combined with other applicable circumstances affecting the staff member's ability to research productively during the assessment period, is deemed similar to the impact of the circumstances cases set out at paragraph 179a. to c. of the 'Guidance on submissions'. For example, where a staff member is an early career researcher, or has held a fractional contract for a significant proportion of the assessment period, and has experienced COVID-19 related disruption to the production of an eligible output2.

153. Where the request is accepted, an individual may be returned with no outputs attributed to them in the submission, and the total outputs required by the unit will be reduced by one. 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.

154. Requests may be made by an eligible individual researcher who has not been able to produce an eligible output where any of the following circumstances apply:
- 46 months or more absence from research, due to one or more circumstances set out above
- circumstances equivalent to 46 months or more absence from research, where defined or complex circumstances apply
- two or more qualifying periods of family-related leave

155. Where the individual's circumstances are deemed to have resulted in a similar impact, including a combination of circumstances that would not individually meet the thresholds set out, there may still be an option for the request to be made to remove 'the minimum of one' requirement.

156. Individuals complete either a REF 2021 Disclosure Form (Defined) or a REF 2021 Disclosure Form (Complex) or both, giving details of the request and circumstances with enough detail for the circumstances and the impact of such to be fully considered by the Panel. The REF 2021 Disclosure Forms will be made available on the REF microsite and shown in Appendix H.

157. The completed form(s) are submitted via secure email to the Chair of the Equality REF Panel to a dedicated email account *equality.REF@leedsbeckett.ac.uk*. This email account has strictly defined, controlled and secure access and is managed in line with the process requirements and timelines. Completion of the form is taken as permission to use the information for REF purposes.

158. Information provided by the individual will be verified using internal and external sources as required. Such verification requests will be kept wherever possible to a minimum and will be dealt with securely and in strict confidence.

159. A written response will be provided by the Chair of the Panel within 10 working days of the meeting or following the receipt of any required additional information. This response will provide a rationale for the decision reached by the Equality REF Panel.

160. The Equality REF Panel will consider and aggregate all requests received from members of eligible staff in each UoA and determine how many outputs are to be submitted from the Unit and whether a reduction in outputs for the overall output pool is required. Reduction requests may be recommended in the following cases;

- The number of upheld individual requests received is a significant proportion of the Category A Submitted staff in the UoA
- There is a skewed composition of Category A Submitted staff in terms of key factors including gender, working arrangements, career stage
- The potential output pool is close to or less than that needed for submission and thus any reduction could have a significant impact on the panel evaluation

161. The Equality REF Panel forwards recommendations for individual reductions and UoA output pool reductions to the REF Strategy Panel for agreement. The reductions agreed by the REF Strategy Panel, are submitted by the Equality REF Panel to Research England for approval. The Equality REF Panel communicates the decision(s) from Research England to the appropriate UoA Panels.

Equality impact assessment

162. The selection of outputs will be assessed through an EIA to ensure that the selection process is proportionate and does not impact negatively on the groups outlined in paragraph 98.

163. The EIA will assess the range and balance of processes used to evaluate the relative quality of outputs. This will include the use of citation data, bibliometric measures and peer review processes. The review will include personal information and the analysis will assess proportionality in relation to protected characteristics.

164. The EIA will also include a review of applications made for defined and/or complex circumstances. This too will rely on analysis of personal information and will be conducted by the Equality REF Group to ensure that this information remains confidential to that group.

165. If equality considerations are identified based on these assessments, we will review the decision-making process with UoA Panel Chairs and seek to mitigate any disproportionality which cannot be justified, through changes to our policy and or process.

Part 5: Appendices

Appendix A: Research and Enterprise Committee

Appendix B: Academic Board

Appendix C: Staff Election Processes

Appendix D: REF Specific Governance Structure

Appendix E: Role Descriptions for Committee members

Appendix F: Appeals Form

Appendix G: Independent Researcher Form

Appendix H: Disclosure of Individual Circumstances: Guidance Notes & Form

Appendix I: Feedback from Staff Consultation

Appendix J: Training for all REF Panel members

Appendix K: Equality Impact Assessments

Appendix L: Privacy Notice

Appendix A: Research and Enterprise Committee

Taken from http://www.leedsbeckett.ac.uk/-/media/files/partners/governance-and-legal-services/academic-governance/research-and-enterprise-committee/resconstitution.pdf

Terms of Reference

The Research and Enterprise Committee is responsible to the Academic Board for overseeing research and enterprise, and the provision of research degrees in the University.

In terms of REF governance, this Committee will approve the following with delegated authority from Academic Board:

- REF 2021 Code of Practice
- The list of Category A Staff for each UoA
- The list of Category A selected staff for each UoA (REF1a/b)
- The list of Selected Outputs for each UoA (REF 2)
- Equality Impact Assessments
- REF3 (Impact), REF4a/b/c (Data), REF5a/b (Environment)

The Committee's terms of reference are to:

(a) promote the strategic development of research & enterprise and other related scholarly activity across the University

(b) advise the Academic Board on the development, review and implementation of the sections of the University's Academic Regulations related to research, and associated policies and procedures, in light of developing national and international expectations

(c) oversee the provision of research degrees, in accordance with the Academic Regulations, and monitor the overall recruitment, admission, progress, and completion of research students

(d) maintain oversight of the School Academic Committees in relation to: the implementation of the sections of the University's Academic Regulations related to research and associated policies and procedures

(e) promulgate good practice, innovation, and ethical conduct in research and enterprise and other scholarly activity

Delegated Authority

The Research & Enterprise Committee has authority from the Academic Board to:

(a) oversee preparations for, and responses to, all external assessments of research or enterprise and monitor the implementation of any recommendations arising from them;

(b) approve an annual report to the Academic Board on the management of research & enterprise, identifying any institutional matters for consideration and resolution;

(c) approve examination arrangements for research degrees on the recommendation of the relevant School and ensure that they conducted, and awards recommended, in accordance with the regulations;

(d) agree the scope of internal quality audits and to appoint members of internal quality audit teams.

Delegation

The Research and Enterprise Committee has established, with the approval of the Academic Board, a Research Ethics Sub-Committee which is responsible for overseeing the development and implementation of the University's Policy & Procedures relating to research ethics.

The Research and Enterprise Committee has established with the approval of the Academic Board, a research degrees sub-committee, which is responsible for the monitoring of adherence to, and application of, the sections of the University Academic Regulations related to research, the Quality Manual for Research Degree Programmes, and the Code of Practice for research students.

In accordance with the Standing Orders, the Committee may establish short life working groups to perform specific tasks and in so doing must determine their terms of reference, membership (including the Chair who must be a member of this Committee), and lifespan.

Membership Profile

Members [17]

Quorum [8]

    Deputy Vice Chancellor (Chair) [1] – Ex-officio

    Director of Research & Enterprise [1] – Ex-officio

    Directors of Research [11] – Ex-officio

    The Chair of the Research Ethics Sub-Committee [1] – Ex-officio

    The Chair of the Research Degrees Sub-Committee [1] – Ex-officio

    One member of the Libraries and Learning Innovation staff [1] – Nominated

    Research Student [1] - Elected

In attendance

    Head of Graduate School

    Senior Management Account (Research)

For non-ex-officio members, terms of office should normally be three years. Students' terms of office should normally be one year.

The Constitution of the Committee is made by resolution of the Academic Board on 06 July 2016.

Appendix B: Academic Board

Taken from http://www.leedsbeckett.ac.uk/-/media/files/partners/governance-and-legal-services/academic-governance/academic-board/acbtermsofreference.pdf

Academic Board will receive the following REF 2021 Documents for information, namely:
- REF 2021 Code of Practice
- The list of Category A Staff for each UoA
- The list of Category A selected staff for each UoA (REF1a/b)
- The list of Selected Outputs for each UoA (REF 2)
- Equality and Diversity Impact Assessments
- REF3 (Impact), REF4a/b/c (Data), REF5a/b (Environment)

Terms of reference

Subject to the provisions of the Articles of Government; the overall responsibility of the Board of Governors; and the responsibilities of the Vice-Chancellor, the Academic Board is responsible:

(a) subject to the requirements of validating and accrediting bodies, for: general issues relating to the research, scholarship, teaching and courses at the institution, including criteria for the admission of students; the appointment and removal of internal and external examiners; policies and procedures for assessment and examination of the academic performance of students; the content of the curriculum; academic standards and the validation and review of courses; the procedures for the awards of qualifications and honorary academic titles and the procedures for the expulsion of students for academic reasons;

(b) for considering the development of the academic and related activities of the University and the resources needed to support them and for advising the Vice-Chancellor and the Board of Governors thereon;

(c) for advising on such other matters as the Board of Governors or the Vice-Chancellor may refer to the Academic Board.

Statement of Primary Responsibilities

Subject at all times to the provisions of the Articles of Government, the Academic Board shall be the principal academic authority of the University and in exercising that role shall have the following primary responsibilities:

(a) to formulate, in consultation with the Schools, and recommend for approval to the Board of Governors, the academic strategy of the University, and to oversee its implementation;

(b) to maintain the University's academic standards and enhance the quality of its educational provision;

(c) to foster and promote research and other scholarly activity;

(d) to establish such criteria and regulations as may be required for the recruitment, selection, admission, education, and assessment of the students of the University, and the approval, modification, and review of its courses;

(e) to approve and modify, and to monitor and review the performance of, academic partnerships and the collaborative provision of education;

(f) to appoint and remove the internal and external examiners of the University;

(g) to confer awards and degrees of the University;

(h) to promote a rigorous spirit of inquiry, scholarship, and debate in all the University's academic activities, and to protect academic freedom.

Delegation

Pursuant to paragraph 3.4 of the Articles of Government, the Academic Board may establish such committees as it considers necessary to enable it to carry out its responsibilities provided that each establishment is first approved by the Vice-Chancellor and Board of Governors.

The Academic Board has established the following committees which shall exercise the functions and powers stipulated in their constitutions:

  (a) Academic Quality & Standards Committee

  (b) Honorary Awards Committee

  (c) Research & Enterprise Committee

  (d) Research Ethics Sub-Committee

  (e) Research Degrees Sub-Committee

  (f) School Academic Committees

  (g) Course Committees

Membership profile [40]

Quorum [20]

The Vice Chancellor (Chair) [1] – Ex-officio

Category A: Members drawn from Senior Management and Deans of School [24]

- The Deputy Vice Chancellors [4]
- The Pro Vice Chancellors [2]
- Deans of School [13]
- University Registrar [1]
- Director of the Centre for Learning & Teaching [1]
- Director of Libraries & Learning Innovation [1]
- Director of Research & Enterprise [1]
- Director of Student Services [1]

Category B: Members drawn from elected academic and officer staff; students and co-opted members [15]. Members of Senior Management are not eligible for appointment in Category B.

- Student representatives [4] (The President of the Student's Union, Vice President Education and two nominees of the Students' Union)
- Professors [2]
- Research Staff [1]
- Course Directors [3]
- Academic Staff [2]
- Professional Service Staff [3]

In attendance:

- University Secretary
- Deputy Registrar

For non-ex-officio members, terms of office should normally be three years. Students' terms of office should normally be one year.

The Constitution of the Committee is made by resolution of the Board of Governors on 13 July 2018.

Appendix C: Staff Election Processes

A summary of document found at:

https://www.leedsbeckett.ac.uk/-/media/files/partners/governance-and-legal-services/academic-governance/committee-elections/elections-guidance-201819.pdf

This is a summary of the information and guidance on the electoral system employed by Leeds Beckett University to fill vacant positions on Academic Board and its Sub Committees.

Elections for vacant positions (where members are coming to the end of their term of office) on the Academic Board and its Sub-Committees are normally held each year.

Only staff who are 0.5FTE or more are entitled to vote. There is no obligation on the University Secretary's office to include staff who do two or more part-time jobs which together add up to 0.5 FTE or more.

The standard term of office for all elected positions is a term of three years. Terms of office normally begin on the 01 September and finish on 31 August. No individual may serve for more than three successive terms of three years each in the same elected position (i.e. a total of nine years).

The following principles apply to all staff elections:

- To ensure maximum staff participation, calls for nominations, ballots, profiles of candidates and the role of the bodies concerned should be publicised as widely as practicable and relevant and in a timely fashion, principally via email and the University website
- General staff elections that are contested are decided by secret ballot
- Results are determined by the 'single transferable voting' system
- Each election is administered by a 'returning officer' or 'deputy returning officer' nominated by the University Secretary. All rulings of the University Secretary or nominee on the conduct of an election are final

Nomination is the process by which candidates for election to a vacancy on the Academic Board or its Sub-Committees are identified.

Where a ballot is to be held all candidates should be asked to submit a personal profile ('election statement') of up to 200 words based on a pro-forma which includes their job title, department, location and names of their proposer and seconder. These should be published unedited on the University website as soon as the ballot process starts. Information on how to access the election statements should be provided on the ballot papers.

For any election a simple clear timetable should be established well in advance, which sets out the dates for the beginnings and ends of the nomination and ballot stages in particular.

The polling notice is the information provided by the Returning Officer or Deputy Returning Officer to the electorate. The polling notice should include:

- A title stating the nature of the election and the type of vacancy(s)
- The vacancies that are to be filled
- Instructions to voters on how to vote
- The times and dates of the opening and closure of polls

- Election statements of the candidates or a link to the Governance & Legal Services web-pages where the Election statements are published

Where ballots are to be held for vacancies on more than one Committee, more than one election may be held concurrently. It is advisable to do this to save time and resources. Separate electronic ballots should be prepared for each election.

Elections should be conducted by means of an electronic ballot using the OpaVote online ballot software (https://www.opavote.com/).

Counting of votes in an STV election should be done by using the STV- Software package.

When all vacancies are filled by the process above, the count is concluded, and the declaration made.

Results should also be reported to the committees onto which the candidates have been elected, as well as their 'parent' committees.

Appendix D: REF Specific Governance Structure

REF Strategy Panel

The Panel's terms of reference are to:
- oversee the development of the REF 2021 submission for all UoA
- facilitate cross university discussion on matters relevant to REF
- advise Research and Enterprise committee on the development of REF process and policy REF
- recommend all UoA submissions and University Environment statement to R&E Committee
- promulgate good practice, innovation, and ethical conduct in all aspects of REF activity
- oversee subcommittees, CoP working group, Appeals Panel, UoA panels & Equality REF Panel

The Ref Strategy Panel has a lifespan of the preparation for REF 20201 and will disband following the final submission.

Delegated Authority

The REF Strategy Panel is an advisory panel to the Research and Enterprise Committee and has delegated authority to:

(a) oversee preparations for, and responses to, REF 2021 and monitor the implementation of any recommendations arising from them;

(b) oversee the development of the REF 2021 Code of Practice;

(c) develop policy and processed necessary for REF 2021 submission

(d) agree the scope of REF audits and to monitor results.

(e) ensure that the REF principles of transparency, consistency, accountability and inclusivity underpin all decisions

(f) ensure EIAs inform all decisions pertaining to REF 2021.

Delegation

The Ref Strategy Panel, has established, with the approval of the Research and Enterprise Committee, a CoP working group responsible for the development, approval and implementation of the REF 2021 CoP, an Appeals Panel responsible for the fair judgement of any appeals decisions, UoA panels responsible for recommending the UoA submission for REF and the Equality REF Panel responsible for recommending staff circumstances decisions and carrying out EIAs. In accordance with the Standing Orders, the Committee may establish short life working groups to perform specific tasks and in so doing must determine their terms of reference, membership (including the Chair who must be a member of this Committee), and lifespan.

Membership Profile

Members [19]

Quorum [9]

- DVC (Research and Enterprise) (Chair)
- Director of Research & Enterprise (Deputy Chair)
- 11 Directors of Research
- REF & Research Policy Manager
- 3 Assistant UoA leads
- Equality and Diversity Manager
- Representative from Libraries and Learning Innovation

For all members, terms of office should be the life of the panel.

Code of Practice Short Life Working Group

The working group's terms of reference are to:

- draft the CoP and to lead the consultation with staff
- submit a fully approved CoP to Research England
- support colleagues to implement CoP within their schools and units of assessment
- receive and action feedback from Research England

The Code of Practice Short Life Working Group will disband once the CoP has been approved by Research England.

Delegated Authority

The Code of Practice Short Life Working Group is an advisory panel to the REF Strategy Panel and has delegated authority to:

(a) develop the REF 2021 CoP;
(b) lead the consultation with staff at all levels;
(c) advise staff on the contents of the CoP
(d) liaise with Research England to get approval for the CoP.

Delegation

There is no delegation for this committee

Membership Profile

Members [7]
Quorum [3]

- Director of Research & Enterprise (Chair)
- 2 Directors of Research
- HR Representative
- HR Representative for Equality and Diversity
- Corporate Communications Representative

For all members, terms of office should be the life of the working group.

UoA Panel

There is a UoA Panel for each of the units in which we plan to submit.

The UoA Panel's terms of reference are to:
- uphold the REF principles during all decision making
- ensure that EIAs underpin all decision-making processes
- follow the processes in this CoP to identify the lists of Category A and Category A submitted staff and the Selected Output list and submit to REF Strategy Panel for approval
- To oversee all REF documentation for the UoA submission and submit to REF Strategy Panel for approval
- Consider any issues referred from the Appeals Panel

The UoA Panel will have a lifespan of the preparation for REF 20201 and will disband following the final submission.

Delegated Authority
The UoA Panel is an advisory panel to the REF Strategy Panel and has delegated authority to:
- (a) develop all REF documentation for the UoA submission;
- (b) liaise with Research England to ensure all REF principles and processes are followed;
- (c) ensure all staff in the UoA are aware of and execute their responsibilities
- (d) ensure mentoring is in place to support staff to engage with REF and research in the most appropriate manner
- (e) keep auditable records of all decisions made

Delegation
There is no delegation for this committee

Membership Profile
The UoA Panel will have a membership relevant to that unit composition, see Table below for unit rationales and appointment process. A balance of genders is maintained wherever possible. A research administrator will also attend to ensure accurate minutes.

Membership is between 3 and 7 dependant on the size of the unit
Quorum (Total Membership less 2, or a minimum of 2)

UoA	Panel Composition	Selection Criteria
3	Chair – Director of Research 2 Professors Admin support	The panel will comprise the 3 research centres leads. The Unit covers 2 Schools, which is also reflected in the panel.
4	Chair – Director of Research 2 Professors	The panel will comprise the three Professors to cover: • Cognitive Psychology/Neuroscience • Health/Clinical Psychology. All have contributed to previous REFs and are experienced academics who regularly review journal articles, grant proposals.
11	Chair – Director of Research 1 Professor 1 Reader	The panel will comprise all senior staff in research leadership roles.

12	Chair – Director of Research 1 Professor 1 Reader	The panel will comprise all senior staff in research leadership roles.
13	Chair – Director of Research 3 Professors 1 Senior Lecturer	UoA Panel members have been chosen to cover the following Unit 13 subject areas: • planning and planning related areas • surveying, construction and related areas • civil engineering • architecture and landscape architecture
17	Chair – Director of Research 5 Professors 1 Reader	The panel is made up of senior representatives of all 6 subject groups within the School plus the Director of Research and Dean of School. Each member is an established researcher previously submitted to REF exercises.
18	Chair – Director of Research UoA 4 Dean	The panel will be supported by Director of Research UoA 4 as it does not have an incumbent Director of Research. There is only 1 Professor in the unit and so no selection process will be necessary.
19	Chair – Director of Research 2 Professors Subject Group Lead	The panel will comprise 4 senior researchers in the Unit and ensure a gender balance.
20	Chair – Director of Research 2 Professors Head of Research Group	The panel will comprise 3 senior researchers in the Unit and ensure a gender balance
23	Chair – Director of Research 3 Professors 2 Readers	The panel will consist of the established Profs and Readers group, and thus no additional selection is required.
24	Chair – Director of Research 5 Professors	The panel membership has been chosen based on prior REF experience, expert assessor for other exercises, editor in chief experience, impact lead
27	Chair – Director of Research 5 Professors 3 Readers	UoA 27, 28 and 34 are small and comprise colleagues in the same school. The panels for the 3 units will use the same staff to ensure gender balance and a coverage of all disciplines.
28	Chair – Director of Research 5 Professors 3 Readers	UoA 27, 28 and 34 are small and comprise colleagues in the same school. The panels for the 3 units will use the same staff to ensure gender balance and a coverage of all disciplines.
32	Chair – Director of Research Director of Research UoA 33 Dean 4 Readers	The Dean, all Readers and Professors from the School. To ensure a full cross section of experience and knowledge, the Director of Research of UoA 32 will support.
33	Chair – Director of Research Dean; 3 Senior Research Staff Director of Research UoA 32	The panel will comprise all senior staff in research leadership roles. To ensure a full cross section of experience and knowledge, the Director of Research of UoA 33 will support.
34	Chair – Director of Research 5 Professors 3 Readers	UoA 27, 28 and 34 are small and comprise colleagues in the same school. The panels for the 3 units will use the same staff to ensure gender balance and a coverage of all disciplines.

Equality REF Panel

The Equality REF Panel's terms of reference are to:
- approve or reject all submissions from Category A staff for circumstances consideration
- gain approval for any agreed reductions from Research England
- work with UoA panels to determine the final number of outputs required
- carry out all EIA and ensure input into decision making at all committee levels

The Equality REF Panel will have a lifespan of the preparation for REF 2021 and will disband following the final submission.

Delegated Authority

The Equality REF Panel is an advisory panel to the REF Strategy Panel and has delegated authority to:
- (a) manage the process of reviewing all staff circumstances submissions and deciding on outcomes;
- (b) make recommendations to the REF Strategy Panel, in consultation with the UoA panel as to the UoA reduction requests for Research England;
- (c) advise UoA Panels and REF Strategy Panel on all equality considerations
- (d) liaise with Research England to get approval for the UoA reduction requests.

Delegation

There is no delegation for this committee

Membership Profile

Members [5]
Quorum [3]
- Strategic Relationships Manager (Chair)
- HR Equality & Diversity Representative
- Human Resources Business Partner
- Professor (who does not sit on any other committee)
- The Head of Graduate School

Appeals Panel

The Appeals Panel's terms of reference are to:
- determine reject appeals from staff members
- communicate all decisions in a timely manner to appellants
- provide appropriate reports to the REF Strategy Panel

The Appeals Panel will have a lifespan of the preparation for REF 2021 and will disband following the final submission.

Delegated Authority

The Appeals Panel is an advisory panel to the REF Strategy Panel and has delegated authority to:
- (a) manage the appeals process and make related decisions
- (b) review the operation of the appeal process; any learning points arising from the appeals considered.

Delegation

There is no delegation for this committee

Membership Profile

Members [4]
Quorum [2]
- University Secretary (Chair)
- Director of Research and Enterprise
- A Dean of School
- UCU REF Representative

Appendix E: Role Descriptions for Committee members

All roles on committees are described by Job Title.

Most Job Titles are self-explanatory. This section gives more details on roles where the job title is not always indicative of the committee role, or it is not clear what the role is.

Job Title	Role
Directors of Research	Leads a REF UoA with critical mass, appointed as part of our R&E strategy
Assistant UoA leads	This role is informal but supports the Director of Research in some UoAs where the UoA crosses schools for example
HR Representative	A member of HR team nominated by the Director of HR and tasked with leading REF from a HR perspective
Communications Manager	A member of Corporate Communications team nominated by the DVC (Corporate Communications) and tasked with leading REF from a Corporate Communications perspective
UCU REF Representative	The nominated representative from UCU to lead on REF at our institution
The Chair of the Research Ethics Sub-Committee	DVC (Research and Enterprise), in his role as chair of Research and Enterprise Committee nominates a Director of Research to chair this committee which has delegated responsibilities from the Research and Enterprise committee
The Chair of the Research Degrees Sub-Committee	DVC (Research and Enterprise), in his role as chair of Research and Enterprise Committee nominates a Director of Research to chair this committee which has delegated responsibilities from the Research and Enterprise committee
One member of the Libraries and Learning Innovation staff	The Director of Libraries and Learning Innovation or nominated staff member with responsibility for Research support
Course Director	Responsible for the management of a programme of study within a school

Appendix F: Appeals Form

REF 2021 Appeals Form

Name:	
School:	
Unit of Assessment:	

Ground(s) for Appeal (Please tick)	
1. Failure to apply the criteria consistently or adhere to the process for identifying colleagues with significant responsibility for research and determining research independence, as articulated in this Code of Practice.	
2. Alleged discrimination based on personal protected characteristics – relating to age, disability, gender reassignment/identity, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.	
Date of Informal Discussion with Director of Research:	

Evidence to support your appeal:

Please state why you wish to appeal (500 words maximum)

What would be your preferred outcome of the appeal? (500 words maximum)			
Signed (applicant):		Date:	
All REF 2021 appeals must be submitted to REF2021appeals@leedsbeckett.ac.uk			

Appendix G: **Research Independence** Form

LEEDS BECKETT UNIVERSITY

Independent Researcher Form

SECTION A.

Name:	
School:	
Unit of Assessment:	

	REF 2021 Indicator of Independence	**Evidence of indicator (evidence must apply to the period Jan 2014 – present date)**
Indicators that are common to all REF Panels	Leading a research group or a substantial or specialised work package.	
	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.	

| Indicators specific to Main Panels C and D | Having a significant input into the design, conduct, interpretation and publication of REF defined research in all its forms presented in significant public or private spaces. | |
| | Being named as a Co-I on an externally funded research grant/award. | |

SECTION B.

Please list up to five outputs that provide evidence of your research independence, published since January 2014. In each case, outline your specific contribution to the output considering the criteria for independence outlined in Section A. Please ensure the output meets the definition of research for the REF (*'a process of investigation leading to new insights, effectively shared'*).

To review the REF 2021 Output Glossary please see Appendix K (p.121) of the Guidance on Submissions document:

http://www.ref.ac.uk/media/ref,2021/downloads/Draft%20Guidance%20on%20submissions%20REF%202018_1.pdf

	Contribution to the output that evidences research independence:
Output 1.	
Output 2.	
Output 3.	
Output 4.	
Output 5.	

Appendix H: Disclosure of Staff Circumstances Forms

LEEDS BECKETT UNIVERSITY

REF2021 Research Excellence Framework

Declaration of Individual Staff Circumstances template

This document is being sent to all Category A staff whose outputs are eligible for submission to REF2021 (see 'Guidance on submissions', paragraphs 117-122). As part of the university's commitment to supporting equality and diversity in REF, we have put in place safe and supportive structures for staff to declare information about any equality-related circumstances that may have affected their ability to research productively during the assessment period (1 January 2014 – 31 July 2020), and particularly their ability to produce research outputs at the same rate as staff not affected by circumstances. The purpose of collecting this information is threefold:

- To enable staff who have not been able to produce a REF-eligible output during the assessment period to be submitted to REF without the minimum requirement of one output where they have;
  - o 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)
  - o circumstances *equivalent* to 46 months or more absence from research due to equality-related circumstances
  - o two or more qualifying periods of family-related leave.
- To recognise the effect that equality-related circumstances can have on an individual's ability to research productively, and to adjust expectations in terms of expected workload / production of research outputs.
- To establish whether there are any Units of Assessment where the proportion of declared circumstances is sufficiently high to warrant a request to the higher education funding bodies for a reduced required number of outputs to be submitted.

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 heath, injury or mental health conditions
- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment

If your ability to research productively during the assessment period has been constrained due to one or more of the following circumstances, you are requested to complete the attached form. Further information can be found paragraph 160 of the Guidance on Submissions (REF 2019/01).

Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. This form is the only means by which the University will be gathering this information; we will not be consulting HR records, contract start dates, etc. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

Ensuring Confidentiality

All circumstance information will be treated as highly confidential and will only be seen by members of the Equality REF Panel. A dedicated email account has been created for applications from Category A Staff and for all communications between the Panel members and responding to applicants. This email has strict defined, controlled and secure access. The information will be kept securely by the Equality REF Panel in line with all GDPR requirements. The information will be held securely until the audit process has been completed and the results of REF2021 published. After this point the information will be destroyed confidentially.

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

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

Changes in circumstances

The university recognises that staff circumstances may change between completion of the declaration form and the census date (31 July 2020). If this is the case, then staff should contact their HR partner to provide the updated information.

To submit this form, you should use the confidential email: equality.ref@leedsbeckett.ac.uk

Name: Click here to insert text.

Department: Click here to insert text.

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

Yes ☐

No ☐

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

Circumstance	Time period affected
Early Career Researcher (started career as an independent researcher on or after 1 August 2016). *Date you became an early career researcher.*	Click here to enter a date.
Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2020.	Tick here ☐
Career break or secondment outside of the HE sector. *Dates and durations in months.*	Click here to enter dates and durations.
Family-related leave; • 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 durations in months.*	Click here to enter dates and durations.

Disability (including chronic conditions) *To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Mental health condition *To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Ill health or injury *To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Constraints relating to family leave that fall outside of standard allowance *To include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Caring responsibilities *To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Gender reassignment *To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.

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

Please confirm, by ticking the box provided, that:

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

I agree ☐

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

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

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

I would like to be contacted by:

Email   ☐   Insert email address

Phone ☐   Insert contact telephone number

Appendix I: Feedback from Staff Consultation

1. On 24th January 2019 Andrew Slade sent an email to all university staff introducing which open rate of 64.16%, a click through rate of 15.57% with 1865 members of staff opening the email at least once.

2. The second email launching the Code of Practice consultation period sent on 11th March had a 59.18% open rate and 15.57% click through rate with 1728 members of staff opening the email at least once. The Communications Team noted the open rate for both of these emails was 'exceptionally good'. The REF microsite has been viewed 1183 times, and has had 820 individual views (as of 18/04/19).

3. 13 Unit of Assessment Code of Practice Meetings were held, a total of 222 (27% based on 2018 REF audit) academic colleagues attended across all meetings and 91 questions were asked and answered. 12/13 of these meetings were recorded via webinar and are available for colleagues to listen to upon request.

4. 133 colleagues across the university completed the Code of Practice consultation survey. 77.9% of these were academic staff (11% based on 2018 REF audit), and 22.1% were professional services support staff. A total of 85 comments were generated from the survey. Table 1 below shows the responses from the consultation survey. Overall more than 90% of staff either strongly agree, agree or are neutral with the sections laid out in the draft Code of Practice.

Answer Choices	Strongly Agree	Agree	Neutral	Disagree	Strongly disagree
Do you agree with our actions to meet the principles?	37%	40%	14%	5%	3%
Do you agree with the proposed method of identifying independence?	32%	40%	21%	4%	3%
Do you agree with the proposed method of identifying Significant Responsibility?	25%	39%	22%	6%	7%
Do you agree with the proposed method of selection of Outputs?	22%	50%	22%	2%	3%
Do you agree with the processes for Staff Circumstances?	34%	44%	14%	3%	5%
Do you agree with the appeals processes?	27%	49%	19%	2%	3%
Do you agree with the Equality and Diversity processes?	29%	46%	17%	2%	6%

Table 1: Responses from the Consultation Survey

3. Table 2 below summarises the comments received and provides a formal response to colleagues about the changes to be made to the CoP. This table will be published on our REF 2021 microsite.

Feedback	Response
There needs to be better governance on the appointment of Unit of Assessment Panels and the decisions that are made.	The process for selection of colleagues on the UoA is now included within the CoP to meet REF principles of transparency, inclusivity, accountability and consistency.
The examples given to define "independence" are too narrow and it is not clear during what period these activities need to have occurred.	We have used the examples given by Research England to describe Independence. However, we do recognise that these are not always easy to interpret for some colleagues and disciplines. Please discuss concerns with the Director of Research.
Concerns were raised about the time allocated for research in the workload model.	The university is showing its commitment to all our academic colleagues who wish to engage in research by providing explicit time within their workload model. Those who have significant responsibility for research have been allocated 20% of their workload plus 10% for wider scholarly activity, to enable them to fulfil their duties and commitments.
The University must ensure everyone is aware that research outputs for REF must be deposited on Symplectic.	Indeed, and the Directors Of Research and the Libraries are working hard with colleagues to make sure this happens.
There must be good communication between UoA panels and libraries (LLI) to ensure the workflow for adding selected outputs operates smoothly.	A more detailed workflow showing how Libraries (LLI), the UoA panels and the Research and Enterprise team will work together is being prepared for inclusion in the CoP.
We are keen to understand the process for handling emails received by the *ref2021@leedsbeckett.ac.uk* email address. Response:	The emails sent to this inbox will be monitored by Research and Enterprise services on a daily basis and passed to the relevant colleague. It is expected that the sender should receive a response within 5 working days.
We would suggest that the selected outputs list is a report from Symplectic.	We agree, and this has been written into the CoP.
A process is needed to attribute outputs to researchers if there are multiple researchers from the same unit of assessment named on an output.	REF 2021 has decoupled outputs from researchers as far as possible to eliminate issues such as this. Within the selected outputs list all we need to do is ensure we have at least 1 output from each member of staff (unless staff circumstances have been identified).
There needs to be consistency around UoA and UOA and CoP and COP	We have amended this in the Code of Practice to ensure consistency in the way in which these terms are used.
It is unclear why the 'fair and transparent' process for selecting outputs has no appeals process?	This is in line with guidance given to us by Research England. However, there is an appeals process set up by Research England for colleagues who feel that the institution's REF preparations have been handled unfairly. Details are yet to be published.

Table 2: Summary of Comments Received with Responses

Appendix J: REF Training

REF specific training will be provided to all those involved in REF decision making through attendance at workshops designed to embed equality and diversity within REF2021. This includes the full panel membership of those involved in REF specific governance (shown in the green box below) from the REF Strategy Panel, REF Appeals Panel, Equality REF Panel and all Unit of Assessment Panels.
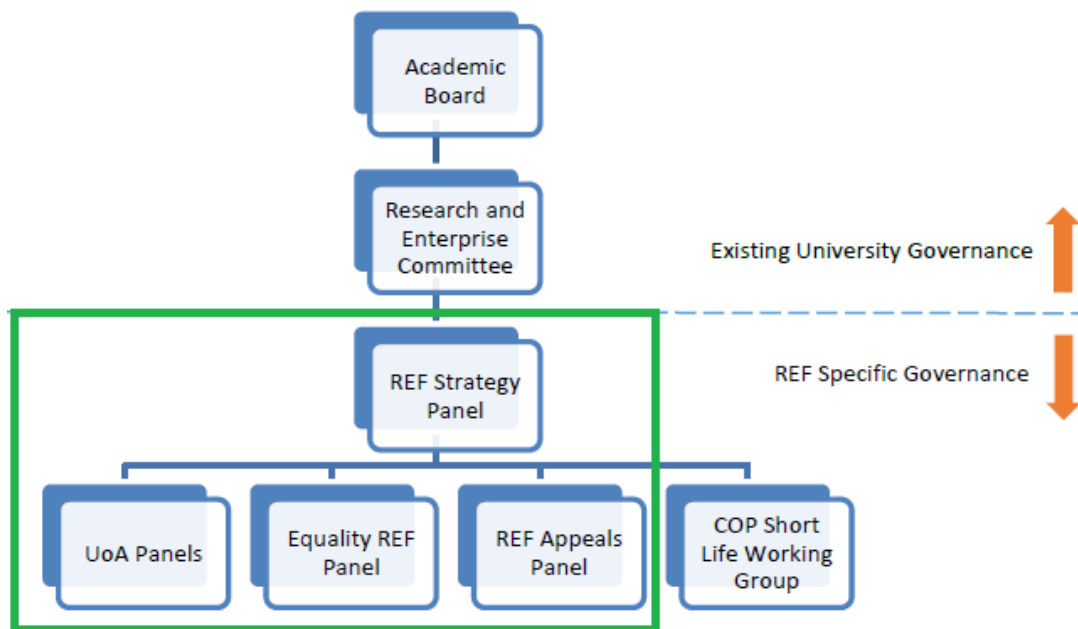
Figure 4: Committee Structure Responsible for REF Governance

Training Objectives

- Understand the legislative and policy drivers and context for embedding equality and diversity in REF2021
- Ensure that equality is embedded in all decisions on REF 2021 at the level of individuals, Units of Assessment and institutionally
- Understand the concept of bias (including implicit and unconscious) and how these can impact on REF decision making
- Create a culture and process for individuals to disclose circumstances (but not be compelled to)
- Manage at unit level the effects of individuals on the total output pool
- Begin to develop individual and institutional actions and strategies to minimise the potential pool for bias in REF decision making

This base level training will be delivered by the University's Equality and Diversity Manager and the Head of Research in May and June 2019. This is in preparation for decisions made by Unit of Assessment Panels in relation to determining research independence, identifying significant responsibility for research and selecting outputs.

Additional training will be provided as necessary and may include completion of the University's online equality and diversity module and unconscious bias training as appropriate.

Appendix K - Leeds Beckett Equality Impact Assessment

Section 1: Contact details
Please complete your personal details and contact information in the spaces provided.

Impact assessor's name:	Katrina Tilbrook
Job title:	Equality and Diversity Manager
Faculty/Service Area:	Human Resources
Submission date:	25 April 2019

Section 2: About the policy, practice or procedure
Please describe what you are impact assessing and who it applies to.

Title:	REF2021 Code of Practice (First Iteration April 2019)			
Description/purpose:	To assess the criteria and processes set out in our Draft Code of Practice for: 1. Determining research independence 2. Identifying staff with significant responsibility for research To review our internal research audit outcomes through the lens of protected characteristics as a baseline indicator for the REF submission process which launches in late Spring 2019.			
People it applies to:	✓ Staff	☐ Students	☐ Visitors	☐ General public

Context

All institutions taking part in REF2021 who are not going to submit 100% of Category A eligible staff are required to develop, document and apply a code of practice which sets out how the institution will determine who is an independent researcher, which staff have significant responsibility for research and how outputs will be selected as part of the submission. We are developing our research culture and activity and so our Code of Practice reflects this journey and acknowledges that not all academic colleagues will be submitted.

This document sets out how equality and diversity issues have been considered in determining the decisions we have made about our REF processes and practice and how this has informed our REF policy. Our Code of Practice defines how we intend to develop our submission and this assessment documents why we have chosen to develop our processes as we have.

Our conduct in REF2021 is governed by the principles of;
Equity – fair and equal assessment of all types of research and forms of research output
Equality – promoting equality and diversity in all aspects of the assessment
Transparency – clear, open processes through which decisions are made and information is shared

Our equality impact assessment is a living document and will be reviewed throughout the process. Indicative points have been agreed but may be subject to change dependent on outcomes from the equality assessment process. These points are currently as follows:

April 2019	Processes for Determining Research Independence and Identifying Staff with Significant Responsibility for Research.
	Review our internal REF Audit by analysis of individual protected characteristics
July 2019	Compare the pool of staff who meet the independence criteria with our early career research group
August 2019	Review appeal panel outcomes (grounds for appeal and appellants) through analysis of personal information
October 2019	Review the pool of agreed Category A staff through analysis of personal information
December 19	Review applications for defined and/or individual circumstances through analysis of personal information
April 2020	Review the pool of those included in the REF 2021 submission through analysis of personal information

Determining Research Independence

Our institution is working hard to become more research active and we recognise that not all academics will meet the criteria as defined in the REF Guidance. We are keen that our submission reflects who we are and giving people the choice to apply is an important principle in being transparent and equitable. We recognise that not all academics will choose to submit for REF2021 and those who do wish their research work to be considered must first demonstrate they are independent researchers. This is a process whereby colleagues self-select and opt in to the process through the submission of evidence to their Unit of Assessment Panel. Those not meeting the criteria of independence are classified as working towards independence. This provides individuals with the opportunity for conversations around what support is then needed to develop research independence.

For the same reasons of transparency and equity we have given assurances around the selection of outputs from those were made redundant during the REF period. We will only include single author outputs from a previous employee who was made redundant during the current REF period where we have their written permission. This means that we don't disadvantage those for whom inclusion is part of their career progression and we respect their right to having choice in the matter.

In developing this principle of self-selection, we have taken account of the fact that some individuals may self-select out of the process if they don't equate their research activity with the REF Guidance Criteria. Our Directors of Research (DoRs) and Unit of Assessment Leads have run several meetings at Unit of Assessment level to look at how the criteria are met within individual units. DoRs are also encouraging colleagues through 1:1 meetings and research planning discussions to consider how their research interests are best reflected in any submission.

Section 3: Data and evidence

a) Have you identified relevant evidence (qualitative and quantitative) to establish whether this policy, practice or procedure could potentially affect some equality groups more than others?

Have you analysed equality data for each of the groups identified in Section 2?	✓ Yes	☐ No
Have you identified/researched anecdotal or alternative evidence?	✓ Yes	☐ No
Have you attached the evidence to this impact assessment?	✓ Yes	☐ No

Data and information used to inform this first assessment has been taken from several sources and includes; feedback from staff consultations (online survey and UoA meetings x A), data from the annual research audit, minutes from the Code of Practice working group.

Research Audit Data

An audit of research activity and engagement is undertaken each year and the outcomes from this have been used to inform the data analysis used for this first iteration of our equality assessment. Data for the research audit included all academic colleagues at 1 October 2018 and excluded teaching only staff (Part-Time Lecturers and Graduate Teaching Assistants) and anyone with an FTE of less than 0.2. The audit is an assessment of which academic colleagues meet our REF criteria and gives an indication of who we might expect to be included in REF2021. The actual pool of those who self-select and put themselves forward for submission to REF will differ and will be reflected in the next iteration of this document.

b) *Based on your research/evidence, which equality groups might this policy, practice or procedure affect more or less than others (if any)?*

Age	☐	Religion and belief (including no belief)	☐
Disability	☐	Sex (Gender)	✓
Gender reassignment (Gender Identity)	☐	Sexual orientation	✓
Pregnancy, maternity and adoption	☐	Working Pattern (part-time/full-time)	✓
Race	✓	Contract Type (fixed-term/open)	☐

Data around Gender reassignment/identity has not yet been included pending clarification of the data set. Data around pregnancy, maternity and adoption will be added and the University does not maintain records of individual marital status, so this has not been included.

To protect the identity of individuals we do not publish data classifications of less than 5 and these will be redacted in any published data set.

Data Summary

The following data is taken from the internal research audit and can only be indicative at this point. The data is a comparison of those individuals in the Unit population as compared with those included in the Audit population. Most of the information is provided at Unit of Assessment level except in the case of sexual orientation and religion and belief. This data is provided on an aggregated basis to protect identities.

The table over shows the total headcount for each Unit of Assessment (UoA) and the headcount total derived from the research audit.

Data from the audit has been analysed in relation to Age, Disability, Gender, Race, Religion and Belief, Sexual Orientation, Working pattern and Contract Type. Based on this first analysis there is no evidence of disproportionality regarding age, disability or religion and belief. The aggregated audit population is broadly in line with the aggregated unit population.

There is disproportional impact in respect of Race/ethnicity, sexual orientation, gender (sex), working pattern and contract type.

UoA	Subject Area	Unit Total	Audit Total	Audit/Unit
3	Allied Health Prof, Dentistry, Nursing and Pharmacy	128	38	29.7%
4	Psychology, Psychiatry and Neuroscience	47	31	66.0%
11	Computer Science and Informatics	60	12	20.0%
13	Architecture, Built Environment and Planning	75	32	42.7%
17	Business and Management Studies	121	40	33.1%
18	Law	25	9	36.0%
19	Politics and International Studies	14	12	85.7%
20	Social Work and Social Policy	49	23	46.9%
23	Education	53	17	32.1%
24	Sport and Exercise Sciences, Leisure and Tourism	182	73	40.1%
27	English Language and Literature	18	15	83.3%
28	History	12	12	100.0%
32	Art and Design: History, Practice and Theory	54	35	64.8%
33	Music, Drama, Dance and Performing Arts	62	33	53.2%
34	Comms, Cultural and Media Studies, Library and Inf Mgt	10	8	80.0%
XX	Modern Languages	15		0.0%
Total		925	390	42.2%

The following tables provide fuller details in relation to characteristics detailed above and in table 3b.

- Grey shading has been used to indicate those Units where the audit population is within 2% of the total unit population and is regarded as similar enough not to indicate any disproportionality.
- Blue shading indicates over-representation
- Orange shading indicates under-representation

Age

	Age Profile for Aggregated Unit and Audit Population

Age Band	16-24		25-34		35-44		45-54		55-64		65+		Total
	n	%	n	%	n	%	n	%	n	%	n	%	n
Unit Population	1	0.1%	82	8.9%	283	30.6%	314	33.9%	212	22.9%	33	3.6%	925
Audit Population			35	9.0%	135	34.6%	131	33.6%	74	19.0%	15	3.8%	390

The distribution across age bands is broadly comparable at institution level i.e. comparing the aggregated unit total against the aggregated audit total. Appendix x provides the same data as a comparison at Unit of Assessment level.

At Unit level the variation in age profiles between the total unit population and the audit group is more pronounced.

Disability

	Disability Profile for Aggregated Unit and Audit Population

Disability Status	Disabled		Not Disabled		Not Known		Total
	n	%	n	%	n	%	n
Unit Population	40	4.3%	781	84.4%	104	11.2%	925
Audit Population	13	3.3%	340	87.2%	37	9.5%	390

The majority of colleagues have stated they identify as not disabled and a significant proportion of the populations (11.2% and 9.5%) have opted not to disclose or share this information. Only 4.3% of all academic colleagues identify as disabled compared with an Audit population of 3.3%. The number of individuals who have shared their information and who identify as disabled is very small and one

individual can significantly alter the proportion indicated at unit level. On this basis there is a level of disproportionality in impact – both positive and negative in relation to declared disability status at Unit level.   There are issues associated with focussing on individual disability and much more to be gained from encouraging and promoting inclusive practice.

Religion and Belief

Religion and Belief Profile for Aggregated Unit and Audit Population																		
Religion/Belief	Buddhist		Christian		Hindu		Jewish		Muslim		Other Religion		Sikh		No Religion		Unknown		Total
	n	%	n	%	n	%	n	%	n	%	n	%	n	%	n	%	n	%	n
Unit Population	4	0.4%	264	28.5%	5	0.5%	2	0.2%	30	3.2%	8	0.9%	2	0.2%	326	35.2%	284	30.7%	925
Audit Population	2	0.5%	97	24.9%	5	1.3%	2	0.5%	14	3.6%	5	1.3%	0	0.0%	162	41.5%	103	26.4%	390

The academic staff profile in relation to religion and belief is broadly comparable at institution level i.e. comparing the aggregated unit total against the aggregated audit total.

Gender / Sex

	Unit Population					Audit Population				
UoA	Female		Male		Unit	Female		Male		Audit
	n	%	n	%	Total	n	%	n	%	Total
3	81	63.3%	47	36.7%	128	24	63.2%	14	36.8%	38
4	36	76.6%	11	23.4%	47	23	74.2%	8	25.8%	31
11	15	25.0%	45	75.0%	60	<5	25.0%	9	75.0%	12
13	19	25.3%	56	74.7%	75	9	28.1%	23	71.9%	32
17	49	40.5%	72	59.5%	121	14	35.0%	26	65.0%	40
18	13	52.0%	12	48.0%	25	<5	44.4%	5	55.6%	9
19	6	42.9%	8	57.1%	14	5	41.7%	7	58.3%	12
20	22	44.9%	27	55.1%	49	7	30.4%	16	69.6%	23
23	37	69.8%	16	30.2%	53	9	52.9%	8	47.1%	17
24	70	38.5%	112	61.5%	182	24	32.9%	49	67.1%	73
27	10	55.6%	8	44.4%	18	9	60.0%	6	40.0%	15
28	7	58.3%	5	41.7%	12	7	58.3%	5	41.7%	12
32	26	48.1%	28	51.9%	54	15	42.9%	20	57.1%	35
33	20	32.3%	42	67.7%	62	15	45.5%	18	54.5%	33
34	5	50.0%	5	50.0%	10	5	62.5%	<5	37.5%	8
XX	12	80.0%	<5	20.0%	15					
Total	428	46.3%	497	53.7%	925	173	44.4%	217	55.6%	390

UoA	Unit Population					Audit Population				
	Female		Male		Unit	Female		Male		Audit
	n	%	n	%	Total	n	%	n	%	Total
3	81	63.3%	47	36.7%	128	24	63.2%	14	36.8%	38
4	36	76.6%	11	23.4%	47	23	74.2%	8	25.8%	31
11	15	25.0%	45	75.0%	60	3	25.0%	9	75.0%	12
13	19	25.3%	56	74.7%	75	9	28.1%	23	71.9%	32
17	49	40.5%	72	59.5%	121	14	35.0%	26	65.0%	40
18	13	52.0%	12	48.0%	25	4	44.4%	5	55.6%	9
19	6	42.9%	8	57.1%	14	5	41.7%	7	58.3%	12
20	22	44.9%	27	55.1%	49	7	30.4%	16	69.6%	23
23	37	69.8%	16	30.2%	53	9	52.9%	8	47.1%	17
24	70	38.5%	112	61.5%	182	24	32.9%	49	67.1%	73
27	10	55.6%	8	44.4%	18	9	60.0%	6	40.0%	15
28	7	58.3%	5	41.7%	12	7	58.3%	5	41.7%	12
32	26	48.1%	28	51.9%	54	15	42.9%	20	57.1%	35
33	20	32.3%	42	67.7%	62	15	45.5%	18	54.5%	33
34	5	50.0%	5	50.0%	10	5	62.5%	3	37.5%	8
XX	12	80.0%	3	20.0%	15					
Total	428	46.3%	497	53.7%	925	173	44.4%	217	55.6%	390

On an aggregated basis women are slightly under-represented within the Audit population (44.4% compared with 46.3% in the Unit total). At UoA level there is greater disproportionality both positive and negative, again affected more obviously by the smaller numbers.

In units 3, 11, 19 and 28 the audit population is proportional to the unit population and any impact is minimal.

In units 4, 17, 18, 20, 23, 24 and 32 women are slightly under-represented in the audit population

In units 13, 27, 33 and 34 women are slightly over-represented in the audit population

The level of disproportionality is slight and is also affected by the overall Unit size and the proportion of the Unit likely to be included.

It would be useful to review the original assessments and establish whether there are any underlying reasons for the disproportionality and report back through the CoP Working Group. If the impact can be linked to particular instances/initiatives and is positive these may benefit other areas and could be shared.

The audit data is indicative only however these results could inform discussions with colleagues at Unit level to ensure that all understand how the self-selection process will work.

Sexual Orientation

For the purposes of this analysis LGBT+ includes anyone who identifies as Lesbian or Gay, Bisexual or who selects other sexual orientation.

Sexual Orientation Profile for Aggregated Unit and Audit Population							
Sexual Orientation	LGBT+		Heterosexual		Unknown		Total
	n	%	n	%	n	%	n
Unit Population	43	4.6%	586	63.4%	296	32.0%	925
Audit Population	24	6.2%	258	66.2%	108	27.7%	390

There is a slight over-representation of LGBT+ colleagues within the Audit population. Analysis at UoA level indicates there are only two units where there is a degree of under-representation and in both cases this is because of the very low numbers involved.

The degree of disproportionality is so low that further analysis is not advised.

Race (Ethnicity)

| | Unit Population | | | | | | | Audit Population | | | | | | |
| | BAME | | White | | Not Known | | Unit Total | BAME | | White | | Not Known | | Audit Total |
UoA	n	%	n	%	n	%	Total	n	%	n	%	n	%	Total
3	7	5.5%	118	92.2%	<5	2.3%	128	<5	10.5%	32	84.2%	<5	5.3%	38
4	<5	8.5%	42	89.4%	<5	2.1%	47	<5	9.7%	27	87.1%	<5	3.2%	31
11	18	30.0%	41	68.3%	<5	0.0%	60	7	58.3%	5	41.7%		0.0%	12
13	16	21.3%	56	74.7%	<5	4.0%	75	9	28.1%	23	71.9%		0.0%	32
17	32	26.4%	88	72.7%	<5	0.8%	121	12	30.0%	27	67.5%	<5	2.5%	40
18	<5	4.0%	24	96.0%		0.0%	25		0.0%	9	100.0%		0.0%	9
19		0.0%	14	100.0%		0.0%	14		0.0%	12	100.0%		0.0%	12
20	7	14.3%	40	81.6%	<5	4.1%	49	<5	17.4%	18	78.3%	<5	4.3%	23
23	6	11.3%	46	86.8%	<5	1.9%	53	<5	11.8%	15	88.2%		0.0%	17
24	7	3.8%	167	91.8%	8	3.8%	182	<5	4.1%	67	91.8%	<5	4.1%	73
27	<5	11.1%	16	88.9%		0.0%	18	<5	13.3%	13	86.7%		0.0%	15
28	<5	8.3%	10	83.3%	<5	8.3%	12	<5	8.3%	10	83.3%	<5	8.3%	12
32	<5	5.6%	50	92.6%	<5	0.0%	54	<5	8.6%	32	91.4%		0.0%	35
33	<5	3.2%	58	93.5%	<5	1.6%	62		0.0%	33	100.0%		0.0%	33
34		0.0%	10	100.0%		0.0%	10		0.0%	8	100.0%		0.0%	8
XX	<5	20.0%	12	80.0%		0.0%	15							
Total	109	11.8%	792	85.6%	24	2.2%	925	50	12.8%	331	84.9%	9	2.3%	390

| | Unit Population | | | | | | | Audit Population | | | | | | |
| | BAME | | White | | Not Known | | Unit Total | BAME | | White | | Not Known | | Audit Total |
UoA	n	%	n	%	n	%	Total	n	%	n	%	n	%	Total
3	7	5.5%	118	92.2%	3	2.3%	128	4	10.5%	32	84.2%	2	5.3%	38
4	4	8.5%	42	89.4%	1	2.1%	47	3	9.7%	27	87.1%	1	3.2%	31
11	18	30.0%	41	68.3%	1	0.0%	60	7	58.3%	5	41.7%		0.0%	12
13	16	21.3%	56	74.7%	3	4.0%	75	9	28.1%	23	71.9%		0.0%	32
17	32	26.4%	88	72.7%	1	0.8%	121	12	30.0%	27	67.5%	1	2.5%	40
18	1	4.0%	24	96.0%		0.0%	25	0	0.0%	9	100.0%		0.0%	9
19		0.0%	14	100.0%		0.0%	14		0.0%	12	100.0%		0.0%	12
20	7	14.3%	40	81.6%	2	4.1%	49	4	17.4%	18	78.3%	1	4.3%	23
23	6	11.3%	46	86.8%	1	1.9%	53	2	11.8%	15	88.2%		0.0%	17
24	7	3.8%	167	91.8%	8	3.8%	182	3	4.1%	67	91.8%	3	4.1%	73
27	2	11.1%	16	88.9%		0.0%	18	2	13.3%	13	86.7%		0.0%	15
28	1	8.3%	10	83.3%	1	8.3%	12	1	8.3%	10	83.3%	1	8.3%	12
32	3	5.6%	50	92.6%	1	0.0%	54	3	8.6%	32	91.4%		0.0%	35
33	2	3.2%	58	93.5%	2	1.6%	62	0	0.0%	33	100.0%		0.0%	33
34		0.0%	10	100.0%		0.0%	10		0.0%	8	100.0%		0.0%	8
XX	3	20.0%	12	80.0%		0.0%	15							
Grand T	109	11.8%	792	85.6%	24	2.2%	925	50	12.8%	331	84.9%	9	2.3%	390

On an aggregated basis BAME colleagues are slightly over-represented within the Audit population (12.8% compared with 11.8% in the Unit total).

In units 4, 19, 23, 24, 28 and 34 the audit population is proportional to the unit population and any impact is minimal. It should be noted that Units 19 and 34 have no BAME representation and this lack of diversity is an issue which is reflected in the ongoing work around the Race Equality Charter.

In units 18, and 32 BAME colleagues are under-represented in the audit population but the number of BAME individuals is very low (1 and 3 respectively)

In units 3, 11, 13, 17, 20, 27 and 32 BAME colleagues are slightly over-represented in the audit population. Again, the smaller numbers skew the percentages but the trend is clear that BAME colleagues have significant representation within the audit population.

As with gender it would be beneficial to understand more about the data generally and whether or not this reflects other trends within the University e.g. the increased representation of BAME colleagues within the professoriate or any correlation with academic promotion rounds.

Contract Type

For this analysis the 7 individuals on temporary contracts have been included within the fixed-term group as the contract is time dependent.

Contract Type for Aggregated Unit and Audit Population					
Contract Type	Fixed Term		Permanent		Total
	n	%	n	%	n
Unit Population	55	5.9%	870	94.1%	925
Audit Population	17	4.4%	373	95.6%	390

The number of colleagues on a fixed-term contract is very low at 55 individuals (5.9%). It is therefore difficult to make any meaningful comment on the numbers beyond the fact that our Audit population numbers 17 and at 4.4% is broadly comparable with the lower starting base.

Working Pattern

UoA	Unit Population					Audit Population				
	Full-Time		Part-Time		Unit	Full-Time		Part-Time		Audit
	n	%	n	%	Total	n	%	n	%	Total
3	102	79.7%	26	20.3%	128	32	84.2%	6	15.8%	38
4	39	83.0%	8	17.0%	47	29	93.5%	<5	6.5%	31
11	52	86.7%	8	13.3%	60	12	100.0%		0.0%	12
13	61	81.3%	14	18.7%	75	26	81.3%	6	18.8%	32
17	98	81.0%	23	19.0%	121	34	85.0%	6	15.0%	40
18	23	92.0%	<5	8.0%	25	9	100.0%		0.0%	9
19	13	92.9%	<5	7.1%	14	11	91.7%	<5	8.3%	12
20	42	85.7%	7	14.3%	49	22	95.7%	<5	4.3%	23
23	48	90.6%	5	9.4%	53	17	100.0%		0.0%	17
24	157	86.3%	25	13.7%	182	63	86.3%	10	13.7%	73
27	15	83.3%	<5	16.7%	18	14	93.3%	<5	6.7%	15
28	11	91.7%	<5	8.3%	12	11	91.7%	<5	8.3%	12
32	23	42.6%	31	57.4%	54	10	28.6%	25	71.4%	35
33	48	77.4%	14	22.6%	62	27	81.8%	<5	18.2%	33
34	10	100.0%		0.0%	10	8	100.0%		0.0%	8
XX	9	60.0%	6	40.0%	15					
Total	751	81.2%	174	18.8%	925	325	83.3%	65	16.7%	390

| UoA | Unit Population | | | | | Audit Population | | | | |
| | Full-Time | | Part-Time | | Unit | Full-Time | | Part-Time | | Audit |
	n	%	n	%	Total	n	%	n	%	Total
3	102	79.7%	26	20.3%	128	32	84.2%	6	15.8%	38
4	39	83.0%	8	17.0%	47	29	93.5%	2	6.5%	31
11	52	86.7%	8	13.3%	60	12	100.0%		0.0%	12
13	61	81.3%	14	18.7%	75	26	81.3%	6	18.8%	32
17	98	81.0%	23	19.0%	121	34	85.0%	6	15.0%	40
18	23	92.0%	2	8.0%	25	9	100.0%		0.0%	9
19	13	92.9%	1	7.1%	14	11	91.7%	1	8.3%	12
20	42	85.7%	7	14.3%	49	22	95.7%	1	4.3%	23
23	48	90.6%	5	9.4%	53	17	100.0%		0.0%	17
24	157	86.3%	25	13.7%	182	63	86.3%	10	13.7%	73
27	15	83.3%	3	16.7%	18	14	93.3%	1	6.7%	15
28	11	91.7%	1	8.3%	12	11	91.7%	1	8.3%	12
32	23	42.6%	31	57.4%	54	10	28.6%	25	71.4%	35
33	48	77.4%	14	22.6%	62	27	81.8%	6	18.2%	33
34	10	100.0%		0.0%	10	8	100.0%		0.0%	8
XX	9	60.0%	6	40.0%	15					
Total	751	81.2%	174	18.8%	925	325	83.3%	65	16.7%	390

On an aggregated basis part-time colleagues are under-represented within the Audit population (16.7% compared with 18.8% in the Unit total). This is amplified at Unit of Assessment level with the exception of Unit 32 where part-time colleagues are significantly over-represented. The unit is a reasonable size (54) of whom 35 are included in the audit. Given the overall trend it would be useful to understand what the underlying reasons are for this and whether this might benefit other areas

Section 4: Progressing the Equality Duty

Is there an opportunity to use this policy, practice or procedure to advance the core aims of the Equality Act at our University?

Eliminate unlawful discrimination, harassment and victimisation	☒ Yes	☐ No
Advance equality of opportunity between different protected groups	☒ Yes	☐ No
Foster good relations between different protected groups	☒ Yes	☐ No

Section 5: Action planning

Please describe what actions you will take because of undertaking this impact assessment – what is the timescale for each and who is responsible (add more rows if necessary).

#	Action	Timescale	Responsibility
1	Review the original audit assessments and establish whether there are any underlying reasons for the disproportionality and report back through the CoP Working Group. If the impact can be linked to particular instances/initiatives and is positive these may benefit other areas and could be shared.	30 June 2019	Directors of Research
2	Ensure that DoRs receive the equality impact assessment outcomes and are aware of these in their discussions with	30 June 2019	Directors of Research

	colleagues at Unit level, ensuring that all understand how the self-selection process will work.		
3	As with gender it would be beneficial to understand more about the data generally and whether this reflects other trends within the University e.g. the increased representation of BAME colleagues within the professoriate or any correlation with academic promotion rounds.	30 June 2019	E&D Manager

Appendix L: Privacy Notice

The Data Protection Act 2018 and the General Data Protection Regulation (GDPR) require institutions to inform their staff and other stakeholders as to how data about them that are submitted to the REF will be used. Please see below for the (1) Staff and (2) Non staff data collection statements.

(1) Staff Data Collection Statement for the REF2021

The purpose of the Research Excellence Framework 2021 (REF2021) is to assess the quality of UK research and to inform the selective distribution of public funds for research by the four UK higher education funding bodies. The REF is managed by the REF team, based at Research England (RE), on behalf of the four UK higher education funding bodies. RE is part of UK Research and Innovation (UKRI), and under this arrangement UKRI has the role of 'data controller' for personal data submitted by Leeds Beckett University to the REF.

If you are an eligible researcher who has been included as part of our submission to the REF 2021, in 2020 we will send some of the information we hold about you to UKRI for the purpose of the REF2021. The information will not be in coded form and your name and details such as your date of birth, research groups, and contract dates will be provided along with details of your research. If you are submitted with *individual circumstances* that allow a reduction in the number of outputs submitted, without penalty, some details of your personal circumstances will also be provided.

You can find further information about what data are being collected on the REF website, in particular publication 2019/01, 'Guidance on submissions'.

Sharing information about you

UKRI may pass your data, or parts of it, to any of the following organisations that need it to inform the selective distribution of public funds for research and to carry out their statutory functions connected with funding higher education:

- Department for the Economy, Northern Ireland (DfE)
- Higher Education Funding Council for Wales (HEFCW)
- Scottish Funding Council (SFC)

Some of your data (UoA, HESA staff identifier code and date of birth) will also be passed to the Higher Education Statistics Agency (HESA) to enable it to verify coded data returned to it as part of our HESA staff return (see www.hesa.ac.uk). Data returned to the REF will be linked to that held on the HESA staff record to allow UKRI and the organisations listed above to conduct additional analysis into the REF and fulfil their statutory duties under the Equality Act 2010 (England, Wales and Scotland) or the Northern Ireland Act 1998 (Northern Ireland).

UKRI and the organisations listed above will use the information to analyse and monitor the REF2021. This may result in information being released to other users including academic researchers or consultants (commissioned by the funding bodies), to carry out research or analysis, in accordance with the Data Protection Act 2018 and the General Data Protection Regulation (GDPR) (Regulation (EU) 2016/679). Where information not previously published is released to third parties, this will be anonymised where practicable.

UKRI will require that anyone who has access to your data, held in UKRI's records, paper or electronic, will respect its confidentiality and will only process it in accordance with instructions issued for the purposes specified by UKRI.

Parts of your data will be passed to the REF expert panels and the Equality and Diversity Advisory Panel (whose members are independent of UKRI) for the purpose of conducting a systematic evaluation of submissions, in accordance with predetermined criteria and methods. Panels will make judgments about the material contained in submissions and will not form quality judgments about individuals. All panel members are bound by confidentiality arrangements.

Publishing information about your part in our submission

The results of the assessment exercise will be published by UKRI, on behalf of the four UK higher education funding bodies, in December 2021. The published results will not be based on individual performance nor identify individuals. Those parts of submissions that contain factual data and textual information about research activity will also be published by UKRI, on behalf of the four UK higher education funding bodies, and will be made available online.

Published information is likely to include textual information including impact case studies in which you may be referenced. Your name and job title may be included in this textual information. Impact case studies, environment statements and other textual information will not normally be submitted with personal information, other than names and job titles, and any personal information, again other than names and job titles, will be removed in the version(s) that are submitted. Other personal and contractual details, including your date of birth and all information about individual staff circumstances will be removed.

UKRI will also publish a list of the outputs submitted by us in each UOA. This list will not be listed by author name.

Data about personal circumstances

You may voluntarily disclose personal circumstances via the University *Equality REF Panel* and your submitting Unit of Assessment, which could permit us to submit your information to the REF without the 'minimum of one' output requirement (without penalty), or to submit a reduced number of outputs (without penalty). If (and only if) we apply either form of reduction of outputs, 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. *Details of the University Equality REF Panel requirements and process for dealing with individual staff circumstances are set out in the University Code of Practice (paragraphs 133-156 and Appendix H).* 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 Equalities and Diversity Advisory Panel, and main panel chairs. The REF team will destroy the submitted data about individuals' circumstances 6 months following approval by Research England.

As set out above, unless redacted, the information to be published by UKRI, on behalf of the four UK higher education funding bodies, will include a single list of all the outputs submitted by us. The list of outputs will include standard bibliographic data (including the author name) for each output, but will not be listed by author name.

Accessing your personal data

Under the Data Protection Act 2018 and the GDPR, you have the right to see and receive a copy of any personal information that UKRI holds about you. Further information about the Act and GRPR, and

guidance on making a subject access request, can be found on the RE web-site at https://re.ukri.org/about-us/policies-standards/foi-data-protection/

If you have any concerns about your information being used for these purposes, please contact:

Data Protection Officer
UK Research and Innovation
Polaris House
Swindon, SN2 1FL
Email: *dataprotection@ukri.org*

The University's own Privacy Notice(s) available at:
https://www.leedsbeckett.ac.uk/partners/compliance-legal/data-protection/

(2) Non-Staff Data Collection Statement for the REF2021

The purpose of the Research Excellence Framework 2021 (REF2021) is to assess the quality of UK research and to inform the selective distribution of public funds for research by the four UK higher education funding bodies. The REF outcomes are used to calculate about £2 billion per year of public funding for universities' research, and affect their international reputations. The results also inform strategic decisions about national research priorities. The next REF will be undertaken in 2021, with our submission made in November 2020.

The REF was first carried out in 2014, replacing the previous Research Assessment Exercise (RAE). REF included for the first time an assessment of the broader impact of universities' research beyond academia: on the economy, society, culture, public policy and services, health, the environment and quality of life – within the UK and internationally.

Impact is assessed through the submission of case studies, which describe the changes or benefits brought about by research undertaken by researchers at the institution. Impressive impacts were found across all disciplines, with 44 per cent of submissions judged to be outstanding. A database of case studies submitted for REF2014 can be found here: https://impact.ref.ac.uk/.

Data collection

The REF is managed by the REF team, based at Research England (RE), on behalf of the four UK higher education funding bodies. RE is part of UK Research and Innovation (UKRI), and under this arrangement UKRI has the role of 'data controller' for personal data submitted by us to the REF.

You may have provided information for one or more impact case studies or environment statements as part of our submission to the REF 2021. In 2020 we will send information about impact case studies and environment statements to UKRI for the purpose of the REF2021. The information will not be in coded form and your name - and details such as your job title and organisational affiliation - may be provided in these narrative statements. We refer to this information about you as 'your data'.

You can find further information about what data are being collected on the REF website in particular publication 2019/01, 'Guidance on submissions'. Annex G of that document sets out the data that we will be required to share with UKRI.

Sharing information about you

UKRI may pass your data, or parts of it, to any of the following organisations that need it to inform the selective distribution of public funds for research and to carry out their statutory functions connected with funding higher education:

- Department for the Economy, Northern Ireland (DfE)
- Higher Education Funding Council for Wales (HEFCW)
- Scottish Funding Council (SFC)

UKRI and the organisations listed above will use the information to analyse and monitor the REF2021. This may result in information being released to other users including academic researchers or consultants (commissioned by the funding bodies), to carry out research or analysis, in accordance with the Data Protection Act 2018 and the General Data Protection Regulation (GDPR) (Regulation (EU) 2016/679). Where information not previously published is released to third parties, this will be anonymised where practicable.

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