



University of  
St Andrews

## UNIVERSITY OF ST ANDREWS

### REF 2021 CODE OF PRACTICE

Title	REF 2021 Code of Practice
Scope / audience	Applies to all staff involved in the institutional submission to the Research Excellence Framework 2021, including both those eligible for submission and those supporting the submission process
Related documents	University's policies on employment and Equality, Diversity & Inclusion
Owner	Vice-Principal (Research and Innovation)
Contact point	<a href="mailto:ris@st-andrews.ac.uk">ris@st-andrews.ac.uk</a>
Approver	University Court
Approved date	05 April 2019
Policy effective from date	16 August 2019 (SFC and EDAP approved date)
Frequency of review	N/A
Next formal review	N/A
Confidentiality	Public

Version Number	Purpose / Changes	Author	Date
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7.0	For University Court Approval (approved 05/04/19)	Professor Ruth Woodfield Professor Derek Woollins	29 March 2019
8.0	<p>IRED/REB approved minor changes as follows:</p> <p>Figures 2, 5, 9 and diagram in Appendix 4 updated.</p> <p>Minor text update to sections 3.10, 4.1 and 4.10</p> <p>Appendix 5 updated</p> <p>New appendix (7) added</p>	Professor Ruth Woodfield Professor Derek Woollins	30 April 2019
9.0	<p>Minor updates as follows:</p> <p>Policy effective date (16/08/19) added to title page.</p> <p>Section 3.2, page 13 minor text update inserted "(including UoA leads)"</p> <p>Section 3.3, figure 3 "UOA DoR" changed to "UOA leads"</p>	Professor Ruth Woodfield Professor Tom Brown and former VP Research and Innovation, Professor Derek Woollins	05 November 2019
10.0	<p>Minor updates as follows:</p> <p>Pages 5 sections REF and REF 2021 Submission deadline changed to 31 March 2021.</p> <p>Page 6 and 7 table 2 Impact assessment period end date changed to 31 December 2020.</p> <p>Page 9 Version no. and date updated.</p> <p>Page 14 figure 4 indicative timing update note added.</p> <p>Page 18, detailed process timeline updated for new submission date 31<sup>st</sup> March 2021.</p> <p>Page 20 figure 8 indicative timing update note added.</p> <p>Page 24 figure 10 indicative timing update note added.</p>	Professor Ruth Woodfield and Professor Tom Brown	31 July 2020
11.0	Minor Update: Page 18 updated staff notification date for list of outputs submitted to May 2022	Professor Ruth Woodfield and Professor Tom Brown	18 January 2021

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# Background to REF 2021

## REF

The REF (Research Excellence Framework) is the UK's system for assessing the quality of research in UK higher education institutions. The REF was first carried out in 2014, replacing the previous research assessment exercise. The next REF is planned for 2021, with UK HEIs submitting on 31 March 2021.

The key purposes of REF are:

- To provide accountability for public investment in research and produce evidence of the benefits of this investment.
- To provide benchmarking information and establish reputational yardsticks, for use within the HE sector and for public information.
- To inform Scottish Funding Council (SFC)'s selective allocation of funding for research through the Research Excellence Grant (REG).

## REF 2021

Submissions to REF 2021 can be made in 34 discipline-based 'units of assessment' (UOA). Expert sub-panels for each UOA, appointed by the funding bodies, will conduct a detailed assessment of submissions. The University of St Andrews will make an institutional submission to REF 2021, based on the appropriate subject-based UOAs for this institution. Table 1, below illustrates how the University of St Andrews submissions from each discipline will map onto the REF 2021 prescribed UOAs. The submission deadline is 31 March 2021.

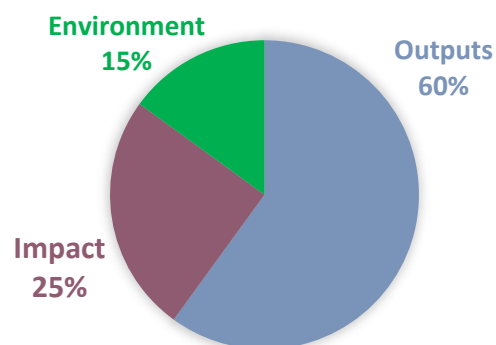


Figure 1 Weighting for REF 2021 outcomes

For each submission, as is shown in Figure 1, three distinct elements are assessed: **Outputs** (products of research produced by the institution during the assessment period), **Impact** (effects, changes and benefits resulting from the research) and **Environment** (the environment within the University of St Andrews supporting research) which make up 60%, 25% and 15% of the assessment respectively.

Each element submitted to the REF will be graded on a 5-point scale; from unclassified (did not meet REF criteria) to 4\* (world leading).

**Table 1 Current mapping of Units of Assessment to the University of St Andrews schools/departments**

Main Panel	Unit of assessment		University of St Andrews School/ Department
A	1	Clinical Medicine	School of Medicine
	4	Psychology, Psychiatry and Neuroscience	School of Psychology and Neuroscience
	5	Biological Sciences	School of Biology
B	7	Earth Systems and Environmental Sciences	School of Earth and Environmental Sciences
	8	Chemistry	School of Chemistry
	9	Physics	School of Physics and Astronomy
	10	Mathematical Sciences	School of Mathematics & Statistics
	11	Computer Science and Informatics	School of Computer Science
C	14	Geography and Environmental Studies	School of Geography and Sustainable Development
	16	Economics and Econometrics	School of Economics and Finance
	17	Business and Management Studies	School of Management
	19	Politics and International Studies	School of International Relations
	22	Anthropology and Development Studies	Department of Social Anthropology
D	26	Modern Languages and Linguistics	School of Modern Languages
	27	English Language and Literature	School of English
	28	History	School of History
	29	Classics	School of Classics
	30	Philosophy	Department of Philosophy
	31	Theology and Religious Studies	School of Divinity
	32	Art and Design: History, Practice and Theory	School of Art History
	33	Music, Drama, Dance, Performing Arts, Film and Screen Studies	Department of Film Studies

Outputs must be published during the publication period 1 January 2014 to 31 December 2020; i.e. the date at which the output first becomes publicly available should fall within this timeframe. The research environment and data about research income and research doctoral degrees awarded must fall within the assessment period. This will run from 1 August 2013 to 31 July 2020. The assessment period for research impact will be 1 August 2013 to 31 December 2020. Table 2 highlights the key dates for REF 2021.

**Table 2 Key dates for REF 2021**

Outputs	First published (made publicly available) between 01/01/2014 and 31/12/2020
Staff census date	Have an eligible (category-A) contract of employment on 31/07/2020
Impact	Impact to have occurred between 01/08/2013 and 31/12/2020.  The underpinning research first produced between 01/01/2000 and 31/12/2020
Environment data	Between 01/08/2013 and 31/07/2020

Details on eligible staff, output and impact requirements are outlined below.

**Staff:**

- All (100%) category A eligible staff are expected to be returned to the REF, provided they are independent researchers (See 'Part 3: Determining research independence' in the Code of Practice).
- Contractual status will identify the majority of academic staff who have a significant responsibility for research, particularly in research-intensive universities like St Andrews.
- **Category A eligible** staff: academic staff with a contract of employment of 0.2 full-time equivalent (FTE) or greater, on the payroll of the submitting institution on the census date, whose primary employment function is to undertake either 'research only' or 'teaching and research'
- For '**research only**' contracts, the eligible pool only includes those staff who meet the definition of research independence.

**Outputs:**

- The number of outputs required for each submission will be determined by the FTE of 'Category A' staff submitted.
- The **average number** of outputs required **per FTE** is **2.5**.
- A **minimum of one output** will be required for each eligible staff member with significant responsibility for research employed in the submitting unit on the census date.
- A **maximum of five outputs** may be attributed to individual staff members. Beyond this, individual staff members can be named as co-author on more than five outputs, although further outputs will not be attributable to them.
- **Output portability:** outputs may be submitted by **both** the institution employing the staff member on the census date **and** the originating institution where the staff member was previously employed as Category A eligible when the output was demonstrably generated/ first made publicly available.

- **Open Access (OA) policy:** The policy applies to **articles** in journals or conference proceedings with an ISSN, which are accepted for publication **from 1 April 2016**. To be eligible for submission, these outputs require a manuscript to be deposited in a repository (i.e. in Pure) as soon after the point of acceptance as possible, within three months of publication (up until 1 Apr 2018) and within three months of acceptance for articles accepted from 1 April 2018. (some exceptions apply)

**Impact:**

Table 3 The number of case studies required in submissions

Number of Category A submitted staff (FTE)	Required number of case studies
Up to 19.99	2
20 to 34.99	3
35 to 49.99	4
50 to 64.99	5
65 to 79.99	6
80 to 94.99	7
95 to 109.99	8
110 to 159.99	9
160 or more	10, plus one further case study per additional 50 FTE

- Submissions will therefore include **a minimum of two case studies**.

**Key University of St Andrews Contacts for REF 2021:**

- General REF enquires: [ris@st-andrews.ac.uk](mailto:ris@st-andrews.ac.uk)
- Equality and Diversity REF enquiries: [ired@st-andrews.ac.uk](mailto:ired@st-andrews.ac.uk)
- Support for Impact: [impact@st-andrews.ac.uk](mailto:impact@st-andrews.ac.uk)
- Support for Open Access: [openaccess@st-andrews.ac.uk](mailto:openaccess@st-andrews.ac.uk)
- Data Protection: [dataprot@st-andrews.ac.uk](mailto:dataprot@st-andrews.ac.uk)

If you are unsure how to direct your query, please send it to [ris@st-andrews.ac.uk](mailto:ris@st-andrews.ac.uk) in the first instance.

**REF 2021 Information Events**

The University is holding regular events to keep staff updated on REF 2021. These will be advertised on the internal REF 2021 webpages and via the Centre for Academic, Professional and Organisational Development (CAPOD).

Details on upcoming information events for REF 2021 at St Andrews can be booked via the personal development management system at: <https://www.st-andrews.ac.uk/pdms/>



## Part 1: Introduction

### 1.1 How this Code relates to broader institutional policies/strategies that promote and support Equality and Diversity (E&D).

This Code of Practice aims to ensure that all members of the University of St Andrews staff are informed of the processes that have been put in place for our preparation for the Research Excellence Framework (REF) 2021. This Code has been written to supplement the University's policies on employment and Equality, Diversity & Inclusion (ED&I) which reflect equality law, such as the Equality Act (2010) and Public Sector Equality Duty (2011), Scottish Specific Duties (2012), and to set them in the context of the REF. The Code of Practice also lays out the guidance for consistent and fair practice within individual Units of Assessment. The Code of Practice reflects and reinforces the University's commitment to equality of opportunity, fairness, diversity and inclusivity, as laid out in our Strategy (2018-2023) and its specific strategic theme of promoting *Diverse St Andrews* while also promoting the core value of *research and teaching of the highest quality and the pursuit of knowledge for the common good*. As a thematic priority, *Diverse St Andrews* commits to following and contributing to best practice, in order to support staff in all aspects of University life, and to provide an environment that supports well-being, is free from discrimination and where all can expect equal and fair treatment. With respect to research, our commitment to inclusivity means that the University values diverse contributions from a wide-range of staff and activities, including those generating high quality outputs, impact, a strong research environment and high quality, research-led teaching.

As stated in section 4.10 of the Strategy, *Diverse St Andrews* will:

- Enable the University of St Andrews to be identified in the next decade as an institution that is inclusive, inspirational, and incentivised to go on being so;
- Embed the structures that let students and staff develop their potential, in energising rather than bureaucratic ways;
- Work strategically to remove the gender pay gap;
- Improve provision for disabled staff and students, and involve all staff and students in so doing;
- Give focus to intersectionality and the promotion of a strongly diverse community;
- Develop a reward structure that values sustained commitment to diversity, inclusivity, fairness, and social responsibility.

This Code of Practice has been developed in accordance with the information provided in the REF 2021 Guidance on Submissions. The University is required to submit the Code of Practice to the UK REF team by 7 June 2019. The Principal will be required to confirm that the University has adhered to the institutional Code of Practice when making the University submission to REF 2021. Before submission to REF 2021 this Code will be made public online by the UK REF team. In addition, the University will publish a final Equality Impact Assessment for REF 2021, which will ensure that our REF policies and processes do not discriminate or disadvantage individuals or groups of staff, and in particular those who are protected in equality law. The Code will be developed during a wide consultation with staff members and key stakeholder groups, including trade unions, and awareness raised with staff diversity groups and networks.

## Equality Statement

The University of St Andrews is fully committed to respectful and fair treatment for everyone, eliminating discrimination and actively promoting equality of opportunity and delivering fairness to all. In addition to being compliant with the equality laws, public duties and human rights, a key strategic focus of the University is the promotion of diversity and equality of opportunity for all categories of staff, students and visitors regardless of their:

- Protected Characteristic' (Single Equality Act 2010)
  - Age
  - Disability
  - Gender Reassignment
  - Marriage and Civil partnership
  - Pregnancy and Maternity (including Paternity)
  - Race (colour, ethnic or national background)
  - Religion or Belief (including non-belief)
  - Sex/Gender
  - Sexual Orientation
- Caring responsibilities for a 'Protected Characteristic' including dependents
- Socio-economic background/grouping
- Union activity
- Unrelated spent criminal convictions

Appendix 1 provides a glossary of terms relevant to equality, diversity and inclusion issues.

The [University's Equality, Diversity & Inclusion Policy](#) (Appendix 2) outlines our responsibility to promote safe, fair and inclusive environments, which are free from discrimination for our national and international staff, students and anyone associated with the University (e.g. visitors, contractors and service providers).

### 1.2 An update of E&D actions taken since REF 2014.

Following the completion of the REF 2014 Equality Impact Assessment (EIA), an Action Plan was developed to track institutional progress in relation to equality, diversity and inclusion issues specifically related to the REF. This has been monitored by the University annually (Appendix 3). The plan consists of 20 commissioned actions from 2014, plus 14 new actions as the plan is a living progressive document. Advances on equalities since REF 2014, have been made in relation to the support the University provides to women and BME staff on leadership programmes; internal mentoring schemes; initiatives to encourage staff to feel comfortable disclosing diversity information and investigate possible barriers to disclosing information; and sector recognition on diversity awards, such as Athena SWAN, Carer Positive Employer Award, LGBT Charter and progress on the Stonewall Workplace Equality Index.

### 1.3 How St Andrews is addressing the principles of Transparency, Consistency, Accountability, and Inclusivity in demonstrating fairness.

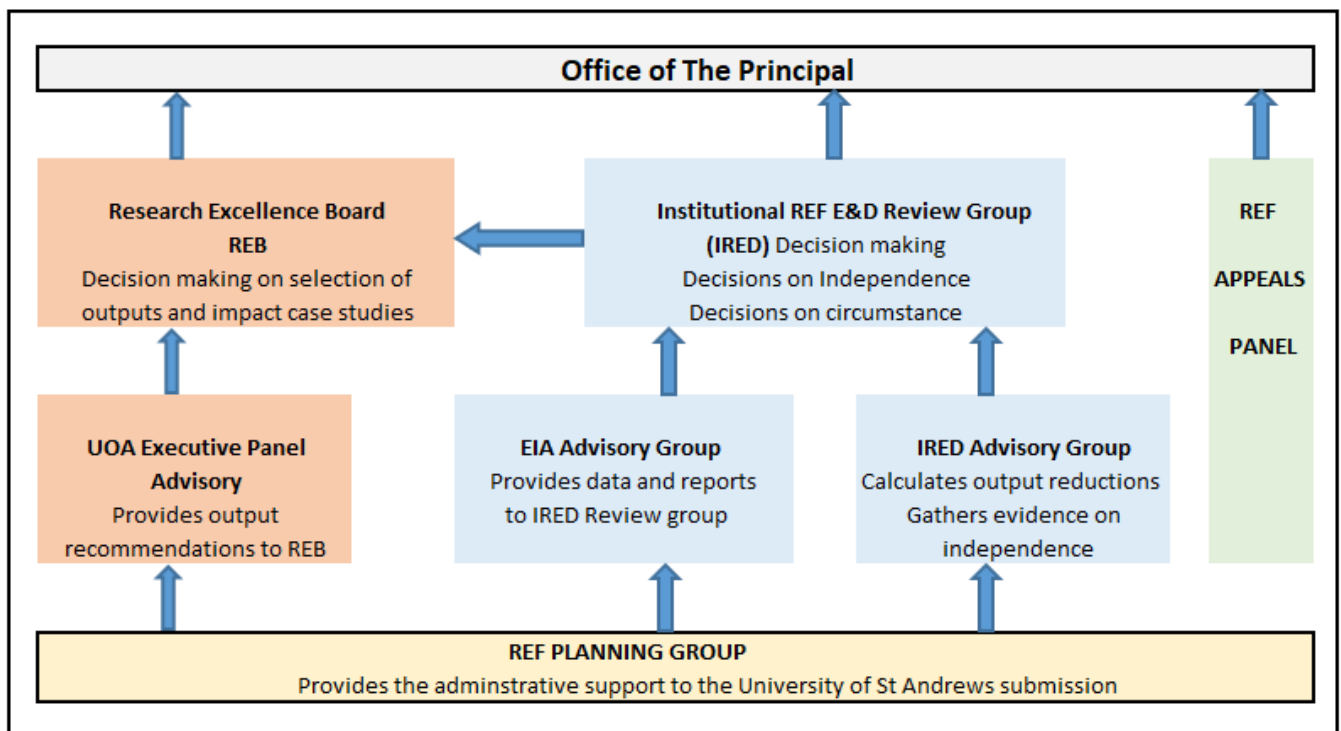
The REF exists to measure the quality of research in UK Higher Education Institutions, and it will be used to determine future quality-related research funding from the Funding Councils. Under the terms of the guidance from the UK REF team, every institution "will submit all eligible staff it employs with significant responsibility for Research" (REF 2021 Guidance on Submissions, paragraph 64). This Code of Practice aims to ensure that the University of St Andrews remains committed to the principles of transparency, consistency, accountability and inclusivity in its approach to preparations for REF 2021, and specifically avoids discrimination in relation to: the determination of who is an independent researcher; supporting staff whose circumstances have affected their ability to research productively throughout the period; and the processes involved in selecting outputs.

□ **Transparency:** The processes for identifying whether a member of staff is an independent researcher, assessing the impact of individual circumstances and the selection of outputs are detailed in this Code (Parts 3 and 4). Staff are made aware of this Code through multiple routes that are described below:

- An internal staff REF webpage with general information on REF and answers to Frequently Asked REF Questions, which will be updated regularly.
- Three Open Fora were held during development of the University’s Code of Practice for REF 2021 for all interested staff.
- General information sessions about REF 2021 have been made available to staff and students.
- Contacts for support and guidance for St Andrews REF processes outlined in this Code:
  - Any general enquiries on REF can be directed to the REF Institutional Contact ([ris@st-andrews.ac.uk](mailto:ris@st-andrews.ac.uk)).
  - Any REF related enquiries that relate specifically to equality, diversity and inclusion issues can be directed to the Institutional REF Equality and Diversity Review (IREDD) Group ([ired@st-andrews.ac.uk](mailto:ired@st-andrews.ac.uk)).

□ **Consistency:** The University is committed to a consistent approach to the selection of outputs for REF across the institution, the treatment of staff in relation to the identification of individual circumstances and the identification of who is an independent researcher. The University’s **Research Excellence Board (REB)** and its **Institutional REF Equality and Diversity (IREDD) Review Group** (Appendix 4) are developing centralised policy and processes at an institutional-level, thus ensuring that they are uniformly implemented across each Unit of Assessment. Training will be provided to staff members managing processes for individual Units of Assessment, and to School Equality and Diversity Directors, to ensure policy is implemented consistently.

**Figure 2 Institutional Decision and Advisory Groups for Independence, Outputs and Circumstances for REF2021**



□ **Accountability:** This Code describes in detail how decisions on output selection for REF will be made and describes the people and processes involved. Ultimately, the Principal is responsible for the submission to REF 2021. All staff with REF management responsibilities, as well as School E&D Directors, will receive equality, diversity and inclusion training, as well as REF-specific training (see Section 3.3 below). School E&D Directors will be a point of contact for staff with any concerns about equality and diversity processes in the University’s REF 2021 preparations. The IREDD Advisory Group

email ([ired@st-andrews.ac.uk](mailto:ired@st-andrews.ac.uk)) is also a dedicated point of contact for staff with any concerns about equality and diversity processes who wish to make contact at the institutional level.

□ **Inclusivity:** The University of St Andrews is firmly committed to fostering and promoting an inclusive environment. The University recognises that academic staff members contribute to the success of the University of St Andrews as a world-leading institution in many different, and highly-valued, ways such as producing and evidencing REF impact case studies. The University of St Andrews will submit 100 percent of staff meeting the definition of Category A eligible staff. It will apply this Code to ensure fair and consistent processes for identifying and selecting excellent research from all REF-eligible staff members.

#### 1.4 How this Code is being communicated to staff across the institution (including to those on leave of absence), through various mechanisms and channels, including the staff intranet.

During the development of the Code staff were consulted in three phases: **a development phase**, led by the Internal REF 2021 Equality and Diversity (IRED) Review Group involving all staff overseeing REF policy and processes. **An initial consultation** was held with key staff groups, including Heads of Schools, Directors of Research and Trades Union representatives. This phase included three Open Fora where staff were presented with the key principles and decisions underpinning the Code and given a chance to influence its further development. Subsequently, **a wider consultation phase** was then held where all staff were given the opportunity to comment on the draft Code in full prior to the submission of the draft Code to the University Court. The Code will be submitted for internal approval to the University Court on the 5 April 2019.

It is planned that from May 2019, the Code will be communicated to all eligible staff in direct, personalised emails and in staff briefings. In May 2019, the Code will be available on the [internal REF webpage](https://www.st-andrews.ac.uk/research/environment/ref-2021/staff-information/) for staff: <https://www.st-andrews.ac.uk/research/environment/ref-2021/staff-information/>. The Code will be submitted to the UK REF team on 7 June 2019 for the required external approval. If any changes are made to the Code following the external assessment and approval process, eligible staff will be notified by email and the Code will be updated on the internal REF page. New REF eligible staff joining the institution will be sent the Code by direct, personalised email. Staff on leave will be identified by the relevant Human Resources Business Partner and will be sent a hard copy of the Code and will be given the link to the internal REF web page. This Code will be available in alternative formats.

### Part 2: Identifying staff with significant responsibility for research

Part 2 need only be completed where the institution will not be submitting 100 per cent of Category A eligible staff in one or more UOA.

The University of St Andrews will submit 100% of staff meeting the definition of Category A eligible staff.

### Part 3: Determining research independence

#### Policies and procedures

##### 3.1 Criteria used for determining staff who meet the definition of an independent researcher, including information about how the criteria are being applied.

The University will submit 100% of its REF eligible staff. Staff on 'research and teaching' contracts are automatically considered eligible. Staff employed on 'research only' contracts must be independent researchers to meet the definition of Category A eligible staff. For the purposes of the REF, an independent researcher is defined as an individual who undertakes self-directed research, rather than carrying out another individual's research programme.

The University will use the following main indicators as a guide to determining independence:

- Leading or acting as Principal Investigator or equivalent on an externally funded research project

- Holding an independently won, competitively awarded fellowship where research independence is a requirement. An illustrative, but not exhaustive, list of independent fellowships can be found at [www.ref.ac.uk/guidance/additional-guidance/](http://www.ref.ac.uk/guidance/additional-guidance/).
- Leading a research group or a substantial or specialised work package.

In addition, the following attributes will inform decisions on research independence for 'research only' staff in disciplines falling under Main Panel C and D [social sciences, arts and humanities disciplines].

- Being named as a Co-Investigator on an externally funded research grant/award.
- Having significant input into the design, conduct and interpretation of the research.

A member of staff is not deemed to have undertaken independent research purely on the basis of their job title or on the basis that they are named on one or more research outputs.

For REF 2021, Early Career Researchers are defined as eligible staff who started their careers as independent researchers on or after 1<sup>st</sup> August 2016.

Research assistants (sometimes also described as postdoctoral research assistants, research associates or assistant researchers), are not eligible to be returned to the REF unless, exceptionally, they meet the definition of an independent researcher on the census date and satisfy the definition of Category A eligible staff. Research assistants are defined as academic staff whose primary employment function is 'research only', and they are employed to carry out another individual's research programme, rather than as independent researchers in their own right. They are usually funded from research grants or contracts from Research Councils, charities, the European Union (EU) or other overseas sources, industry, or other commercial enterprises, but they may also be funded from the institution's own funds.

#### **Process for declaring independence:**

A secure online survey is available to staff employed on 'research only' contracts to self-declare their indicators of independence. The survey is accessible via the staff intranet. Staff identified as research assistants, wholly employed to carry out another individual's research, are not asked to complete the survey but can opt into the process if they consider that they could be an independent researcher. In line with the principles of this Code, all 'research only' staff have access to the survey to self-declare and capture changes in employment contracts at any time during the eligible submission period. Routes to self-declare are as follows:

- Email invitation to complete the survey – sent to all 'research only' staff (excluding 'research assistants'). This email will include a copy of the Code of Practice.
- Staff intranet page – accessible to all St Andrews staff, advertised to schools via Heads of School and Directors of Research
- New staff welcome email – sent to all new 'research only' staff

Respondents are asked to declare against the indicators described above. All respondents are given the option to request a copy of their completed survey for their personal records. Data gathered from the survey will be held and disposed of as defined in the institutional REF Privacy notice (Appendix 5).

#### **3.2 How independence decisions are being made and communicated to staff, including timescale.**

The IRED Advisory Group (Appendix 4) is responsible for the collation and review of information gathered for determining who is an independent researcher. If further information is required, individuals will be contacted directly by the IRED Advisory Group.

An Independence Recommendation Report will be produced by the IRED Advisory Group, with personal data removed so that no member of staff is identifiable, before submission to the IRED Review Group, who will make decisions on whether the staff qualify or do not qualify as independent researchers. IRED Group members with conflicts of interest in relation to any decisions will be absented from discussions.

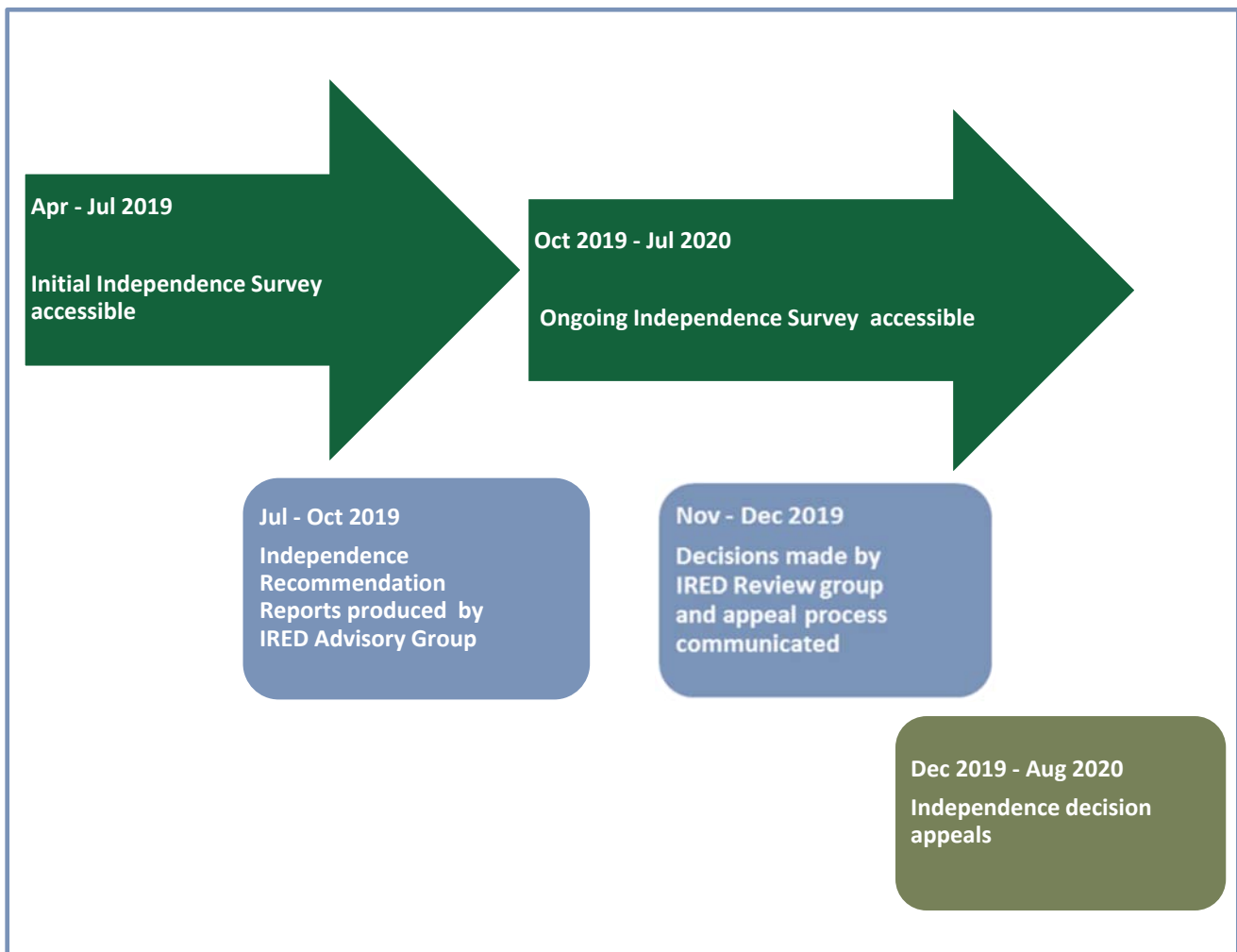
Where possible, all independence decisions will have been made and communicated in writing, to the staff members concerned (including: UOA leads), with an explanation of the decision and details of how to appeal, by end of December 2019. This centralised, institutional-level, process ensures consistency and that decisions are not made at Unit of Assessment level.

### 3.3 The stages involved in the independence approval process

**Figure 3 Independence Approval Flow**



**Figure 4 Independence Approval Process (indicative timings)**



**31 July 2020: Update to indicative timings shown above in figure 4. Survey will continue to be accessible till Sep 2020. Recommendations/Decisions will run till Sep 2020. Appeals decisions will run till Nov 2020.**

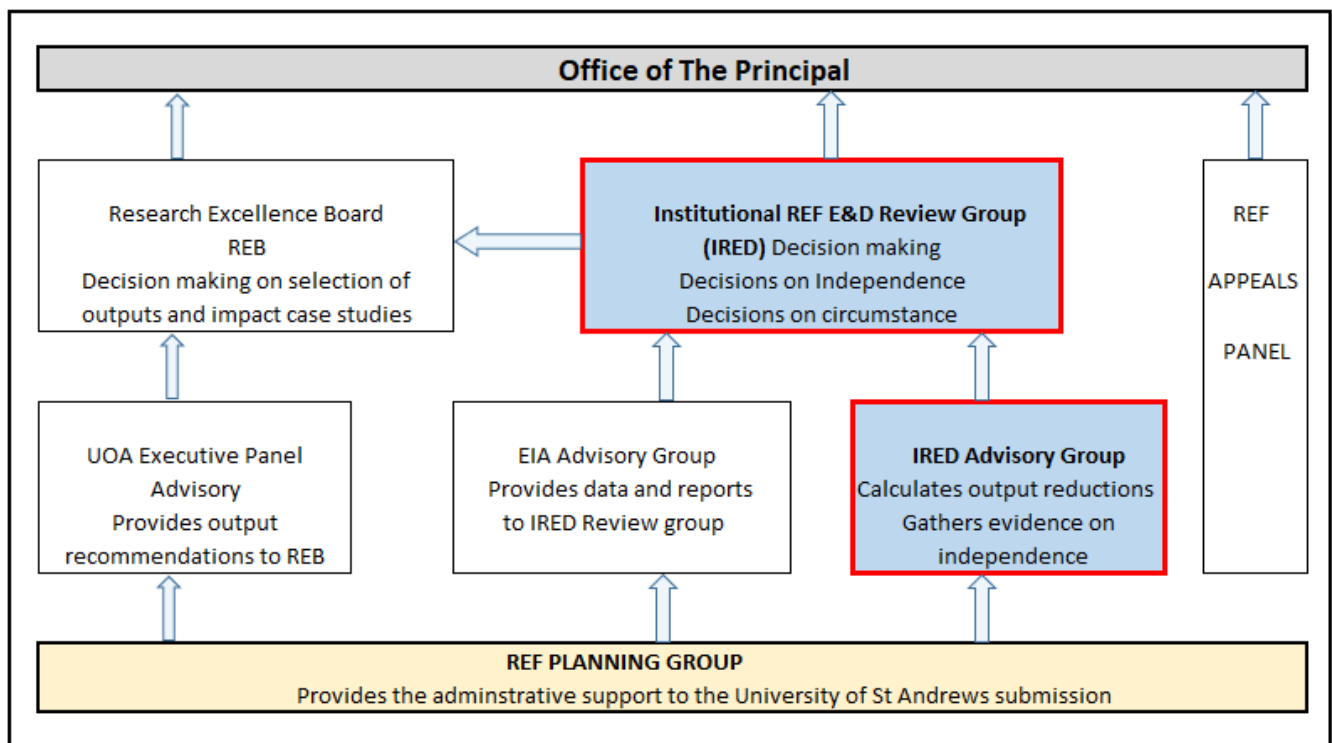
## Determining research independence: staff, committees and training

### 3.4 Procedures for identifying designated staff and committees/panels responsible for determining research independence

Procedures for identifying designated staff, including those with decision-making and advisory roles under the terms of reference for the IRED Review Group and IRED Advisory Group, are outlined in Appendix 4 Decision Making and Advisory groups.

### 3.5 Committees/panels responsible for determining research independence and their position within the wider institutional management structure.

**Figure 5 Institutional Decision and Advisory Groups for Research Independence**



Terms of reference, including modes of operation, and record-keeping procedures, as well as information about where these roles/committees/panels fit into the wider institutional management structure of the University of St Andrews are outlined for IRED Review group and IRED Advisory Group in Appendix 4. Decision Making and Advisory groups.

### 3.6 Details of training provided to individuals and committees involved in determining research independent staff, the timescale for delivery and content (including how it has been tailored to the REF).

All members of staff involved in the REF submission in an advisory or decision-making capacity (determining research independence, output selection, the assessment of individual circumstances), as well as those hearing appeals, must complete the University's updated online 'Information Security', 'Diversity in the Workplace' specific to the Equality Act (2010), and 'Unconscious Bias' training modules as a mandatory requirement; this is available online at <https://www.st-andrews.ac.uk/hr/edi/training/>. A record of staff members who undertake these training programmes is maintained centrally.

In addition, all staff involved in REF decision-making processes must undertake the bespoke 'Equalities in the REF' training in person to ensure that they are well informed about their own and the institution's legal obligations and commitments regarding equality and data protection. This includes School Equality & Diversity Directors.

All staff involved in either making recommendations, decisions or appeals on research independence will complete a tailored briefing session, to ensure a consistent, fair and transparent approach is adopted in all cases. This session will take place prior to any recommendations or decisions on independence being taken.

## **Appeals**

### [3.7 How the research independence appeals process is being communicated to staff.](#)

All decisions on research independence, when communicated to those staff members concerned, will include details of the process in place to appeal such decisions. In addition, the appeals process outlined in this Code will be emailed to all staff participating in the survey designed to assess research independence status, and to all REF eligible staff. REF information sessions will give researchers details on appeals processes and the internal REF 2021 webpage will have details of appeal processes as well as REF FAQs for staff.

### [3.8 Details of the appeals process, including how cases are submitted, eligible grounds for appeal.](#)

Appeals can be made against decisions:

- with respect to the identification of staff as independent researchers
- with respect to the consideration of the impact of individual circumstances
- on the grounds that such decision-making has not been properly or fairly carried out.

An appeal must be lodged in writing to the Director of Human Resources ([hrdirector@st-andrews.ac.uk](mailto:hrdirector@st-andrews.ac.uk)), outlining the areas of disagreement, within 10 working days of the decision being formally communicated in writing to the staff member. All such written communication of decisions to staff will include guidance on their right to appeal and will detail the process by which they can submit an appeal. The Appeals process will also be laid out in full on the University's internal REF 2021 webpages and will be communicated in REF information sessions.

### [3.9 Details of those involved in hearing any appeals, timescales and how decisions are being communicated to staff.](#)

Appeals will be considered by the Director of Human Resources and an Emeritus professor, who will not have been part of any previous REF 2021 decision-making. Members of the Appeals Panel must undertake the equality, diversity and inclusion training as described in Section 3.6. The staff member appealing may be accompanied to the meeting of the Appeals Panel by a member of University staff of their choosing. The accompanying staff member may be an official of the appropriate trade union. The Appeals Panel will make a recommendation to the Principal, who will make the final appeal decision in relation to the appeal. The appellant and their Head of School and Director of Research will be notified of the outcome of the appeal in writing. Where possible, all appeal decisions will have been made and communicated to the staff member by end of August 2020 and before the final REF submission is made for their Unit of Assessment.

## **Equality Impact Assessment**

### [3.10 How an EIA is being used to inform the St Andrews REF processes and make final decisions.](#)

The conducting of an Equality Impact Assessment (EIA) on this Code will help ensure that policies and practices in place at the University are protected characteristic inclusive, through the identification of negative or positive impact.

Baseline equality and diversity data on eligible staff taking part in REF will be collected and summary reports presented to the IRED Review Group and the group will reflect on the data provided prior to independence, output, impact case studies and circumstances decisions being taken. In addition, for research independence the 'research only' staff will be monitored in terms of the numbers of outputs reviewed and selected for REF. Recommendations may be made to the Research Excellence Board where the group has any concerns.

The version of the EIA form in place at the University to conduct institutional process, is in line with the categories and format utilised by the Scottish Funding Council. The protected characteristics data will be



analysed by the EIA Advisory Group. A revised action plan will be developed resulting from the outcomes of REF 2021, similar to that in place in Appendix 3 for REF 2014, and rigorously monitored for institutional progression.

The University Equality Policy can be found in Appendix 2.

## Part 4: Selection of outputs

### Policies and procedures

4.1 Details of procedures that have been developed to ensure the fair and transparent selection of outputs, including the approach to submitting outputs by former staff (including those made redundant).

#### Process for selection of outputs:

The initial recommendations and ultimate decisions for the selection of outputs will be based on the quality of the research, taking due consideration of the principles laid out earlier in this Code of Practice. The Research Excellence Board (REB) is responsible for overseeing the processes in place for output selection. In **Dec 2017** REB requested all staff, identified as eligible for REF 2021, propose up to five outputs they would like to be considered for the REF submission. Each UOA Director of Research is required to oversee a review of the proposed outputs and record a quality score for each of the outputs. The UOA Directors of Research responsible for overseeing the scoring of outputs have been supported and guided in this effort in multiple ways: undertaking an exercise to 'calibrate' the scoring process, in which UOA outputs eligible for REF 2021 were scored by both internal and external persons, and the rationales for scores were made explicit and compared; being required to complete the University's online training on Diversity in the Workplace and Unconscious Bias; attending orientation sessions on how to organise the collection of scores; and using a scoring scale that allowed uncertainties to be expressed. Furthermore, all those involved in the process of scoring outputs are bound by the University's Principles of Good Research Conduct, which relate to reviewing the work of other researchers, stating that such review should be fair, full, and unbiased. The process of scoring outputs was periodically scrutinised by the UOA Executive Panel, including consideration of the number, and gender balance, of persons involved in scoring. Anonymised reports are provided by the Secretariat to REB to review progress in output scoring. Specific training for handling output scoring with respect to equality and diversity is under taken by all UOA Directors of Research.

#### Detailed Process Timeline

<b>Dec 2017:</b>	<b>Individual researchers propose outputs for REF 2021</b>
<b>May 2018:</b>	<b>2018 Output Review</b>
<b>Jun 2018:</b>	Widening the output pool  All eligible staff were encouraged to continue to propose further outputs as appropriate. In tandem, the UOA Executive Panel continued to review the output pool and could also choose to review outputs that had not been proposed by an individual, including the outputs of former staff.
<b>Jan 2019:</b>	Identifying the highest quality within the pool  Each UOA is required to agree quality scores for all reviewed outputs. These scores are collated, and summary-level reports are prepared and used to discuss the output quality at UOA Executive Panel meetings. Any reports provided to REB are anonymised summary level information only
<b>May 2019:</b>	<b>2019 Output Review</b>
<b>Aug 2019:</b>	Ongoing review of output pool  All eligible staff are encouraged to continue to propose further outputs as they are produced. In tandem the UOA Executive Panels will continue to review the

	<p>output pool and may choose to review outputs that have not been proposed by an individual; this includes the output of former staff.</p> <p><b>Jan 2020:</b> REF Individual Check-ins</p> <p>Each Head of School and UOA Director of Research will meet confidentially, at least once between January 2020 and December 2020, with members of staff eligible to be submitted to the REF (referred to as 'REF Individual Check-ins'). An additional REF E&amp;D trained member of academic staff can also be present at the check-in if the member of staff feels that articulating their case would be improved by having a colleague present. One aspect of these meetings is to ensure there is an opportunity for UOAs to take into account any output reduction decisions, communicated by the IRED Review Group to the individual, in terms of expectation of the number of outputs to be attributed to the individual for REF.</p> <p><b>Apr 2020:</b> Indicative selection of highest quality outputs for submission.</p> <p>Each UOA Director of Research will report to their UOA Executive Panel their indicative selection of outputs to be submitted to REF. A summary report will be used to discuss the UOA's output quality at the Panel meeting. Reports provided to REB will be anonymised summary level information only.</p>
	<p><b>Jun 2020: Output Selection Review</b></p>
<p><b>Jul 2020 – Dec 2020</b></p>	<p>Move towards the final selection of outputs and attribution to authors. Note that all outputs submitted to REF 2021 require to be attributed, that is, linked in the submission to a member of staff. Staff may also be co-authors on outputs attributed to other staff. At this stage REF Team agreed approved individual and unit reductions on outputs can be taken into account.</p> <p>Each UOA Director of Research will be required to make recommendations to their UOA Executive Panel for outputs to be submitted to REF 2021, including the attribution of outputs to individuals. Decisions of the outputs to be included and the attribution to individuals will be made by the Research Excellence Board.</p>
	<p><b>Mar 2021: The University submits to REF 2021 (Deadline 31<sup>st</sup> March 2021)</b></p>
	<p><b>May 2022:</b> Individuals notified of the St Andrews pool of the outputs submitted for their UOA after the final submission.</p>

Ultimate responsibility for submission to REF 2021 lies with the Principal who is supported by the members of the Office of the Principal, the senior management group of the University.

For academic staff employed at the University of St Andrews, no direct link will be made between the number of outputs submitted to REF 2021 and future promotions (or salary reviews). The University recognises that the decoupling of staff and outputs in REF 2021 increases the flexibility for a UOA to build a portfolio of outputs for submission with no expectation that all staff members would be returned with the same number of outputs attributed to them. It is also recognised that outputs submitted to REF 2021 for any particular individual will not necessarily give a complete picture of an individual staff member's research portfolio.

**Former Staff:** UOA Executive Panels may consider outputs by former staff, excluding staff made redundant. Recommendations regarding outputs for former staff will be monitored by the IRED Advisory Group and referred to the IRED Review Group for possible equality and diversity issues. Where possible, former staff will be contacted to advise them of the inclusion of their output/s in the submission.

**Redundancy:** The University will consider including outputs in submissions to REF 2021 attributable to former staff who have been made redundant *only when requested to do so* by the former staff member. Requests for consideration of outputs should be submitted to [ired@st-andrews.ac.uk](mailto:ired@st-andrews.ac.uk).

Joint Submissions: The University will ensure that any joint-decision making across institutions does not compromise adherence to the terms of this Code and its overriding principles.

#### 4.2 How processes for selecting outputs have been developed and the rationale for adopted methods.

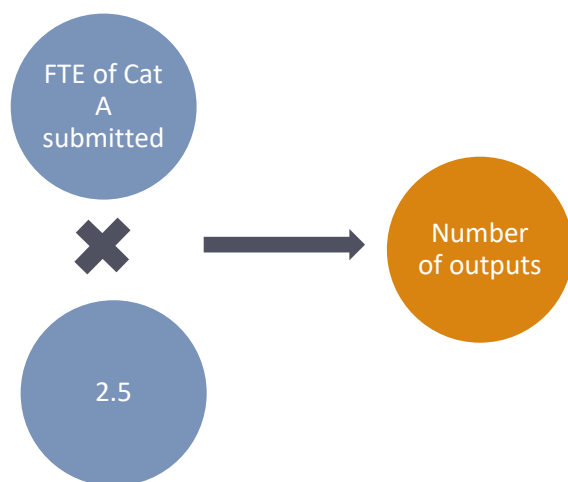
The University aims to ensure that the institutional submission to REF 2021 is made at the highest level achievable and submission decisions will be based on research quality. As background, the current model for funding of research in Scottish HEIs from the Scottish Funding Council, is in the form of the Research Excellence Grant (REG) and is based on performance in REF 2014. The resultant funding is weighted, so that research of quality rated 4\* attracts three times the level of funding of 3\* rated research. Research rated as 2\* and below attracts no REG funding at all. The final submission to REF 2021 will be a strategic decision. Decisions on inclusion of outputs to the submission will be based on the recommendations from the UOA Executive Panel feedback.

The initial recommendations and ultimate decisions for selection of outputs will be based on research quality but taking due consideration of the principles laid out in this Code of Practice. The criteria for output inclusion into REF 2021 are, first, an eligibility decision based on the REF guidance and then, a selection decision based on a University-wide policy to maximise the percentage of 3\* and 4\* outputs within the submission. This approach to output quality for submission to REF 2021 has been determined by the Research Excellence Board and will apply across all UOAs. It is based on the REF 2021 grading for research quality of publications in terms of their 'originality, significance and rigour', giving rise to starred levels of 4\*, 3\*, 2\*, 1\* and unclassified (as defined by the REF Panel criteria and working methods).

The Research Excellence Board has been transparent in their discussions with Heads of Schools and Directors of Research regarding the institutional expectations for maximizing the proportion of 3 and 4\* quality of outputs for submission and that this approach must be applied uniformly across the University. External advice may be sought on specific outputs as deemed necessary by the UOA Director of Research. Recommendations will take into account any reduction in outputs due to staff circumstances and any national REF Panel or UOA-specific definitions related to quality and output eligibility.

The submitted pool of outputs will include a set number of research outputs equal to 2.5 times the combined FTE of Category A eligible staff included in the UOA submission.

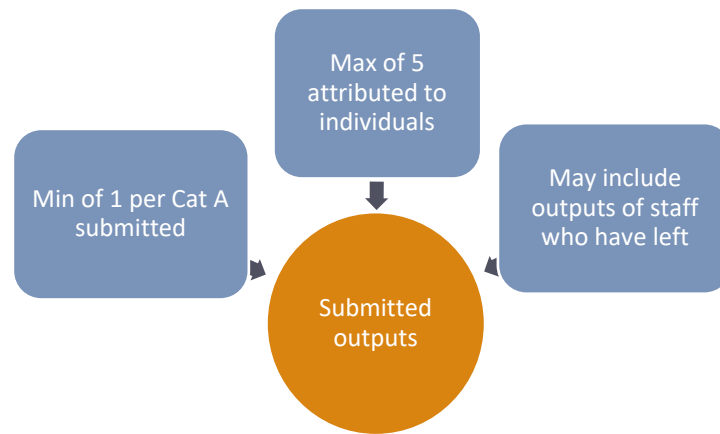
**Figure 6 The submitted pool of outputs**



The pool will be reviewed against the following requirements:

- A minimum of one output for each Category A submitted staff member (unless individual circumstances apply)
- A maximum of five outputs may be attributed to an individual staff member (both Category A submitted staff, as well as any former staff whose outputs are eligible for submission). The maximum number of outputs attributed to a staff member will not preclude the submission of further outputs on which that staff member is a co-author, where these are attributed to other eligible staff in the unit.

**Figure 7 Output Pool to Include**



Where possible, outputs to be submitted should maximise the 3\* and 4\* quality. If an individual’s only eligible output is not 3\* or above and reduction circumstances do not apply, an output of 2\* or below produced by the individual can be recommended for submission.

**4.3 Stages for selection of research outputs, including timeline.**

The following timetable is a guide to the stages in output review and selection.

**Figure 8 Indicative timeline for output review and selection**



**31 July 2020:** Update to indicative timings shown above in figure 8. Arrow 9 changed from Jun 20 to Oct 20, arrow 10 changed from Aug 20 to Dec 20 and arrow 11 changed from Nov 20 to Mar 21.

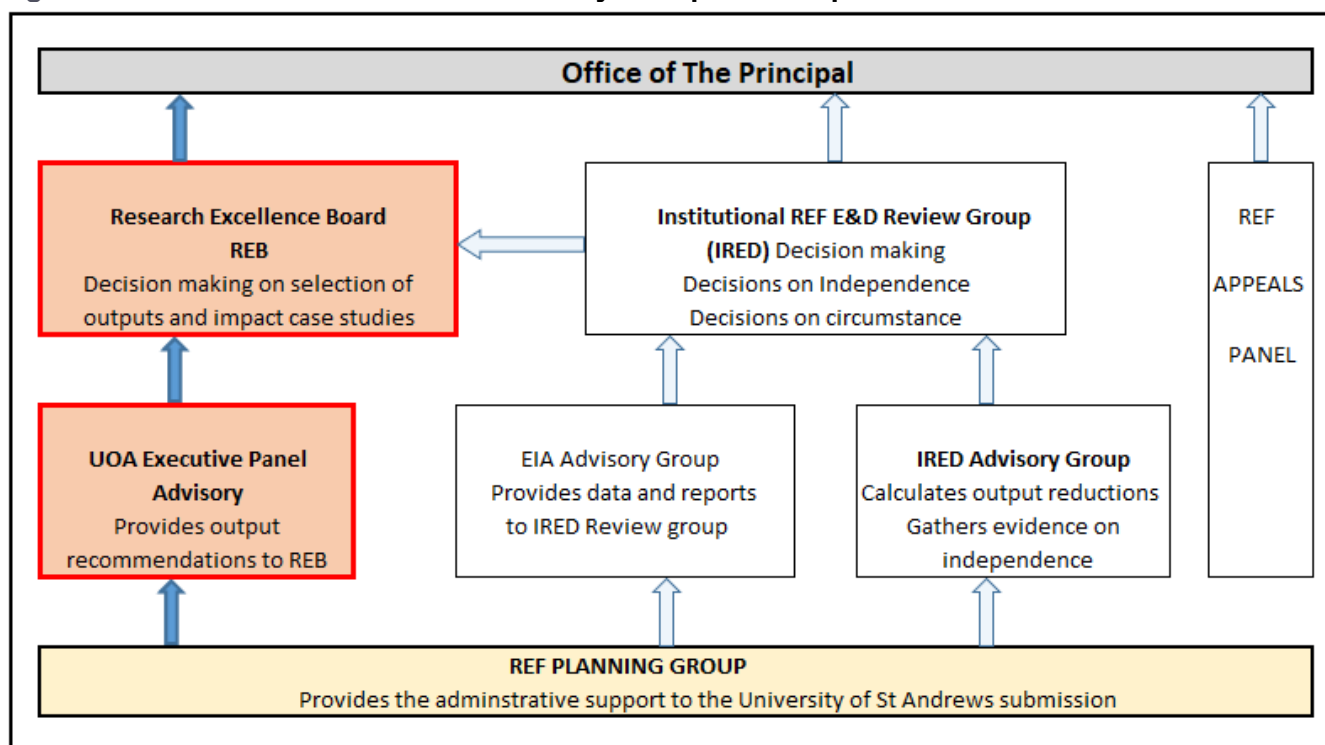
## Staff, committees and training

### 4.4 Procedures for identifying designated staff and committees/panels responsible for selecting outputs.

Procedures for identifying designated staff are outlined in Appendix 4. Decision Making and Advisory groups under the terms of reference for the Research Excellence Board and the UOA Executive Panel.

### 4.5 Committees/panels responsible for processes and decisions on selection of outputs and their position within the wider institutional management structure.

**Figure 9 Institutional Decision and Advisory Groups for Output Selection**



Terms of reference, including modes of operation, and record-keeping procedures, as well as information about where these roles/committees/panels fit into the wider institutional management structure are outlined for the Research Excellence Board and the UOA Executive Panel in Appendix 4. Decision Making and Advisory groups.

### 4.6 Details of training provided to individuals and committees involved in the output selection process, the timescale for delivery and content (including how it has been tailored to the REF).

All members of staff involved in the REF submission in an advisory or decision-making capacity (determining research independence, output selection, the assessment of individual circumstances), as well as those hearing appeals, must complete the University's updated online 'Information Security', 'Diversity in the Workplace' specific to the Equality Act (2010), and 'Unconscious Bias' training modules as a mandatory requirement; this is available online at <https://www.st-andrews.ac.uk/hr/edi/training/>. A record of staff members who undertake these training programmes is maintained centrally.

In addition, all staff involved in REF decision-making processes must undertake the bespoke 'Equalities in the REF' training in person to ensure that they are well informed about their own and the institution's legal obligations and commitments regarding equality and data protection. This includes School Equality & Diversity Directors.

All staff involved in either making recommendations, decisions or appeals on research independence will complete a tailored briefing session, to ensure a consistent, fair and transparent approach is adopted in all cases. This session will take place prior to any recommendations or decisions on independence being taken.

## Staff circumstances

### 4.7 Procedures for taking into account staff whose circumstances have affected their ability to research productively throughout the period in relation to the unit's total output requirement.

The REF 'Guidance on Submissions' sets out the measures that institutions are required to put in place to support staff with individual circumstances in recognition of the fact that such circumstances can limit research productivity. It is recognised that not all staff will be returned in the submission with the same number of outputs attributed to them, and this is particularly relevant to staff who have, or have had, exceptional circumstances during the assessment period. The decoupling of staff and outputs for REF 2021 allows for this flexibility and enables the University to reassure staff with declared circumstances that the number of outputs expected from them can be reduced by up to 1.5 outputs (from 2.5 to a minimum of 1).

Whilst the declaration of staff circumstances will enable each UOA to internally manage the process of selecting outputs fairly and effectively, it is the Funding Bodies' view, supported by advice from the Equality and Diversity Advisory Panel (EDAP), that institutions will not routinely need to request reductions to the overall number of outputs required by a UOA. It is expected that such requests will only be made where the cumulative effect of equality-related circumstances has disproportionately affected the UOA's potential output pool. The University's assessment of when it will consider applying for such a reduction will be determined by the IRED Review Group as described below. The assessment will be based on reports from the IRED Advisory Group with details of cumulative unit-level circumstances, accompanied by a commentary from the UOA Executive Panel on the effect of the cumulative reduction in outputs on the unit. The IRED Advisory Group will be responsible for making applications for unit reductions to the REF team.

#### **Applicable circumstances:**

The funding bodies, advised by EDAP, have identified the following equality-related circumstances that, in isolation or together, may significantly constrain the ability of submitted staff to produce outputs or to work productively throughout the assessment period:

- a. Qualifying as an Early Career Researcher
- b. Absence from work due to secondments or career breaks outside the HE sector.
- c. Qualifying periods of family-related leave.
- d. Other circumstances that apply in UOAs 1–6, as defined in paragraphs 162 to 163 in the Guidance on Submissions.
- e. Circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in outputs, which are:
  - i. Disability: as defined in Appendix 1.
  - ii. Ill health, injury, or mental health conditions.
  - iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances set out in Annex L of the Guidance on Submissions.
  - iv. Other caring responsibilities (such as caring for an elderly or disabled family member).
  - v. Gender reassignment.
  - vi. Other circumstances relating to the protected characteristics listed in Appendix 1 or relating to activities protected by employment legislation.

The University will adopt a centralised, consistent and inclusive approach to gathering the necessary information on staff circumstances. From April 2019, all REF-eligible staff will be requested to complete a questionnaire using a confidential online survey tool, detailing whether or not they have individual circumstances which should be taken into account for REF 2021. A link to this questionnaire will be emailed to staff and this link will be made available on the University's internal REF pages.

***Declaration of individual circumstances is completely voluntary and staff should not feel any pressure to declare them.***

If a member of staff has circumstances that enable a straightforward reduction calculation to be made, e.g. a period of maternity leave, ECR or a combination of both, the appropriate members of the IRED

Advisory Group will make the calculation before anonymising it and submitting the **Circumstances Recommendation Report** to the IRED Review Group for a final decision. The IRED Advisory Group will then communicate the reduction decision to the staff member, along with details of the appeals process.

When a member of staff has declared that they have circumstances that may require a judgement to be made, or have had an equivalent effect to absence, RIS will inform Human Resources. Human Resources will contact the staff member separately and request more detailed information by asking the individual to complete Form B (part 1) and attend a meeting with a HR Business Partner (HRBP). The meeting will ensure that all of the relevant information is gathered confidentially and verified to enable an appropriate assessment to be made on the nature, effect and timing of circumstances. The HRBP will then summarise the nature, effect and timing of circumstances in Form B (part 2) which will be signed off by the HRBP and the staff member and securely sent to the appropriate member of RIS. The IRED Advisory group will make a recommendation on a reduction and send the anonymised information to IRED for a final decision to be made. RIS will then communicate the reduction to the staff member.

If, after the above process has been completed, a staff member deems the decision on their reduction calculation is incorrect, they may appeal using the appeal procedure.

Heads of School and Directors of Research will be informed of the reductions awarded to staff but not the circumstances that have necessitated the reductions. Discussion on how reductions have adjusted the expectation regarding a staff member's contribution to the output pool will be discussed further at the REF interviews.

If it is determined by IRED that the staff member falls into the category of exceptional circumstances, which means they have been unable to produce the required minimum of one output, RIS will make an application to the UK REF team via the designated procedure requesting that the staff member be included in the submission without the requirement of one output. The information provided to the UK REF team will be kept to the minimum required and will be anonymised where possible. Once a decision has been received by RIS, the staff member and HoS/DoR will be informed.

Any personal information on circumstances will be stored securely with access limited to those who are legitimately required to access the information to enable appropriate decisions to be made and will be destroyed when the outcomes of REF 2021 are finalised. For academic staff employed at the University of St Andrews, no direct link will be made between the number of outputs submitted to REF 2021 and future promotions (and salary reviews). The University recognises that outputs submitted to REF 2021 for any particular individual will not necessarily give a complete picture of an individual staff member's research portfolio.

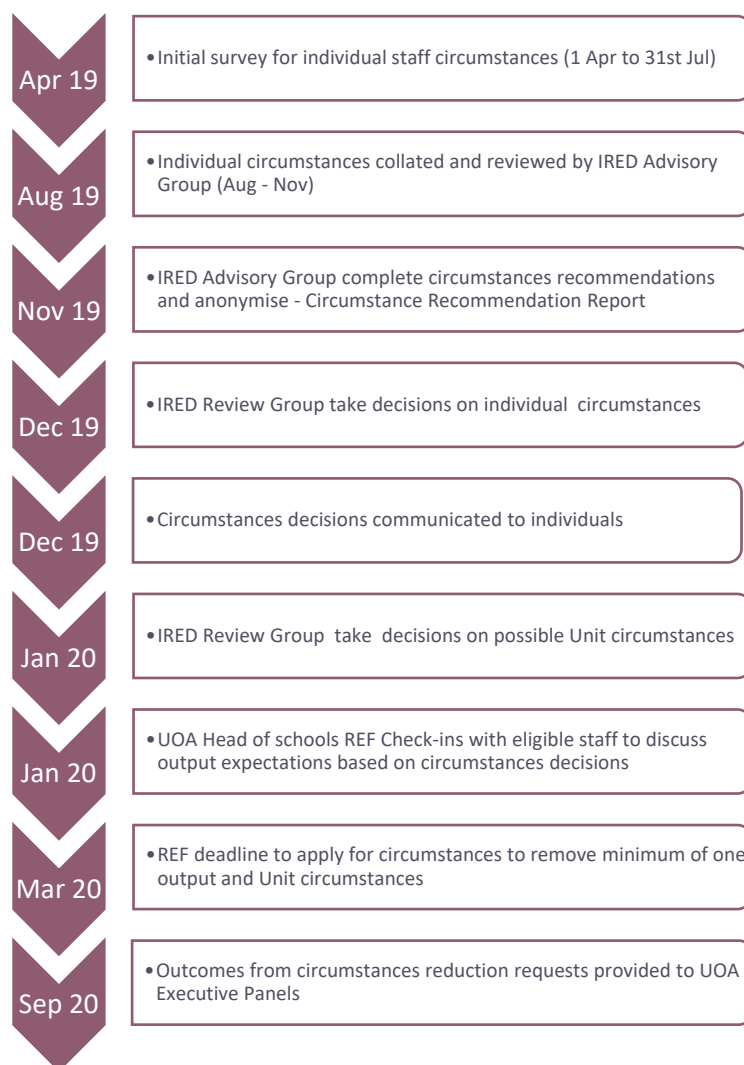
If any member of staff is unsure whether they have applicable circumstances or wish to discuss the matter confidentially, they should contact the School's HR Business Partner or Head of Equality and Diversity.

It is important to the University that members of staff who have circumstances receive ongoing support (if appropriate) to enable them to mitigate the effects of their circumstances and allow them to feel confident that they will not be unfairly treated. This support will be tailored to the particular needs of the individual and may consist of mentoring/coaching, interventions advised by a referral to Occupational Health, for example, counselling, or solutions like flexible working. As part of the confidential process for gathering the circumstances information, staff will be advised that this additional support will be available through contact, in the first instance, with their HRBP.

Information on reductions for staff circumstances is available at Annex L of the Guidance on Submissions.

The timetable for decision-making, shown in figure 10, is indicative only.

**Figure 10 Indicative Timeline for Individual and Unit Circumstances**



**31 July 2020:** Update to indicative timings shown above in figure 10. Arrow 9 changed from Jul 20 to Sep 20.

**Appeals on individual circumstances**

All decisions on individual circumstances, when communicated to staff members, will include details on the appeals process. In addition, the appeals process is outlined in the Code which will be emailed to all REF eligible staff. REF information sessions will give researchers details on appeals processes and the internal REF page will have details of appeal processes as well as REF FAQs for staff.

If, after a circumstances decision has been communicated, a staff member deems that the decision on their reduction calculation is incorrect, they may appeal using the appeal procedure outlined in sections 3.8-3.9.

**4.8 Procedures for taking into account the effect of circumstances that have had an exceptional effect on the ability of an individual staff member to research productively throughout the period so that they do not have the required minimum of one output.**

Where a member of staff's circumstances have had an exceptional effect on their ability to work productively during the assessment period so that they have been unable to produce the required minimum of one output, a request may be made to the external REF team to have the individual returned with no outputs attributed to them without penalty. The total outputs required by the UOA will be reduced by one.



#### 4.9 Procedures for staff to declare voluntarily circumstances in a confidential manner and units to adjust expectations about staff contribution to the output pool, as appropriate.

As described in section 4.7, the University will adopt a centralised, consistent and inclusive approach to gathering the necessary information on staff circumstances.

From April 2019, all REF-eligible staff will be requested to complete a questionnaire using a confidential online survey tool, detailing whether or not they have individual circumstances which should be taken into account for REF 2021. A link to this questionnaire will be emailed to staff and this link will be made available on the University's internal REF pages.

The REF individual check-in meetings with eligible staff, outlined in section 4.1, will provide a platform for Heads of School and UOA Directors of Research to meet confidentially with all their eligible members of staff and ensure there is an opportunity to communicate adjustments to output attribution expectations where circumstances have been declared.

### Equality Impact Assessment

#### 4.10 How an EIA on the spread of outputs across staff (in relation to their protected characteristics) has been used to inform the final selection of outputs to be submitted.

The conducting of an Equality Impact Assessment (EIA) on this Code will help ensure that policies and practices in place at the University are protected characteristic inclusive, through the identification of negative or positive impact.

Baseline equality and diversity data on eligible staff taking part in REF will be collected and summary reports presented to the IRED Review Group and the group will reflect on the data provided prior to independence, output, impact case studies and circumstances decisions being taken. In addition, for research independence the 'research only' staff will be monitored in terms of the numbers of outputs reviewed and selected for REF. Recommendations may be made to the Research Excellence Board where the group has any concerns.

The version of the EIA form in place at the University to conduct institutional process, is in line with the categories and format utilised by the Scottish Funding Council. The protected characteristics data will be analysed by the EIA Advisory Group. A revised action plan will be developed resulting from the outcomes of REF 2021, similar to that in place in Appendix 3 for REF 2014, and rigorously monitored for institutional progression.

The University Equality Policy can be found in Appendix 2.

## Part 5: Appendices

Appendix 1: Equality Act (2010) - Glossary of Terms

Appendix 2: University of St Andrews Equality and Diversity Inclusion Policy

Appendix 3: REF 2014 Equality Impact Assessment (EIA): Action Plan Progression

Appendix 4: Decision Making and Advisory groups

- Research Excellence Board (REB)
- UOA Executive Panel
- Institutional REF 2021 Equality & Diversity Review Group (IRED)
- Institutional REF 2021 Equality & Diversity Advisory Group (IRED Advisory Group)
- EIA Advisory Group
- REF Planning Group
- REF Appeals Panel

Appendix 5: REF Privacy Impact Statement

Appendix 6: List of abbreviations

Appendix 7: Reductions for staff circumstances (Guidance on Submissions: Annex L)

## Appendix 1: Equality Act (2010) - Glossary of Terms

(Inclusive of the 'REF 2021: Equality Briefing for Panels' guidance)

Terminology	Description or example
<b>Adverse impact:</b>	Identified where a University operation has a less favourable effect on one or more groups covered by equality law than it has on other groups.
<b>Age</b>	<p>Staff are protected from unlawful age discrimination and harassment in employment. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group. (The provisions in the Equality Act (2010) are partially in force, but should be fully in place by April 2012).</p> <p>Age discrimination can occur when people of a particular age group are treated less favourably than people in other age groups. An age group could be, for example, people of the same age, the under 30s or people aged 45-50. A person can belong to a number of different age groups.</p> <p>Age discrimination will not be unlawful if it is a proportionate means of achieving a legitimate aim. However, in the context of the REF, the view of the funding bodies is that if a researcher produces excellent research an HEI will not be able to justify not submitting them because of the researcher's age group.</p> <p>It is important to note that early career researchers are likely to come from a range of age groups. The definition of early career researcher used in the REF is not limited to young people.</p> <p>The University is the only HEI to have a Fixed Retirement Age policy applicable to all staff (<a href="https://www.st-andrews.ac.uk/media/human-resources/new-policy-section-documents/retirement-process/RetirementPolicy.pdf">https://www.st-andrews.ac.uk/media/human-resources/new-policy-section-documents/retirement-process/RetirementPolicy.pdf</a>) although it's not common knowledge across the sector.</p>
<b>Associated Discrimination:</b>	Where a victim of discrimination does not have a 'protected characteristic' but is discriminated against because of their association with someone who does e.g. the parent of a disabled child.
<b>Dependants:</b>	An employee's spouse, partner, child or parent, or anyone who lives in the same household (except employees, tenants, lodgers or boarders).
<b>Differential impact:</b>	Identified where a policy or practice affects a given group or groups in a different way to other groups. Unlike adverse impact, differential impact can be positive or negative.
<b>Direct Discrimination:</b>	Occurs where a person is treated less favourably, on the grounds of being a member of a particular group, than a person who is not from that group would be treated in the same or similar circumstances.
<b>Disability:</b>	Staff are protected from unlawful discrimination due to disability. Individuals are also protected if they are perceived to have a disability or if they are

	<p>associated with a person who is disabled. For example, if they are responsible for caring for a disabled family member.</p> <p>A person has a disability 'if they have a physical or mental impairment, and the impairment has a <b>substantial</b> (more than minor or trivial) and <b>long-term</b> adverse effect on his or her ability to carry out normal day-to-day activities'. An impairment is considered to have a long-term effect if:</p> <ul style="list-style-type: none"> <li>• it has lasted for at least 12 months;</li> <li>• it is likely to last for at least 12 months; or</li> <li>• it is likely to last for the rest of the life of the person</li> </ul> <p>Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities.</p> <p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p> <ul style="list-style-type: none"> <li>• sensory impairments</li> <li>• impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy</li> <li>• progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer</li> <li>• organ-specific impairments, including respiratory conditions and cardiovascular diseases</li> <li>• developmental impairments, such as autistic spectrum disorders and dyslexia</li> <li>• mental health conditions such as depression and eating disorders</li> <li>• impairments caused by injury to the body or brain.</li> </ul> <p>Equality law requires HEIs to anticipate the needs of disabled people and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a disabled researcher's impairment has affected the quantity of their research outputs, they may be submitted with a reduced number of outputs.</p> <p>For the purpose of the REF census period it is important to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.</p> <p>Refer to the online University guidance on disability that can be found at <a href="http://www.st-andrews.ac.uk/hr/edi/disability">www.st-andrews.ac.uk/hr/edi/disability</a>.</p>
<p><b>Diversity:</b></p>	<p>Diversity is about respecting and valuing the differences between people. It is also about recognising and understanding the mix of people and communities who use services and their different needs.</p>
<p><b>Equal Opportunities:</b></p>	<p>Equal opportunities, or equality of opportunity, may be defined as ensuring that everyone is entitled to freedom from discrimination. There are two main types of equality encompassed in equal opportunities. The term has mostly been replaced by Equality, Diversity and Inclusion (E,D&amp;I) in recent years.</p>

<b>Equality:</b>	Equality is about fairness, and not discriminating against individuals or groups because of peoples' backgrounds.
<b>Equality Impact Assessment (EIA):</b>	A detailed and systematic analysis of how a policy, practice, procedure or service potentially or actually has differential impact on people of different 'protected characteristics'. Refer to the online University guidance on EIA that can be found at <a href="http://www.st-andrews.ac.uk/hr/edi">www.st-andrews.ac.uk/hr/edi</a> .
<b>Equality strands:</b>	Different equality groups/communities in equal opportunities law, now replaced by the Equality Act (2010) - refer to 'Protected Characteristics'.
<b>Gender Reassignment/ Identity:</b>	<p>Process of transitioning from one gender to another (e.g. male to trans-female or female).</p> <p>Staff are protected from discrimination if they have proposed, started or completed a process to change their sex.</p> <p>Staff in HE do not have to be under medical supervision to be afforded protection because of gender reassignment and staff are protected if they are perceived to be undergoing or have undergone gender reassignment.</p> <p>They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.</p> <p>Trans people who undergo gender reassignment will need to take time off for appointments and in some cases, for medical assistance. The transition process is lengthy, often taking several years and it is likely to be a very difficult period for the trans person as they seek recognition from their family, friends, employer and society as a whole of their new gender.</p> <p>The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a transsexual may commit a criminal offence if they pass the information to a third party without consent. Consequently, panel members must ensure that information they may receive about gender reassignment is kept confidential.</p> <p>It is easy for people to change their names. While not all people undergoing gender reassignment will choose to change their name, where they do, panels should be aware that this may affect citation data.</p> <p>Staff whose ability to work productively throughout the REF assessment period has been constrained due to gender reassignment may be submitted with a reduced number of research outputs.</p> <p>Refer to the online University 'Policy and Guidance on Trans Staff' that can be found at <a href="https://www.st-andrews.ac.uk/staff/policy/hr/">https://www.st-andrews.ac.uk/staff/policy/hr/</a></p>
<b>Harassment:</b>	Unwanted behaviour that has the purpose or effect of violating a person's dignity or creates a degrading, humiliating, hostile, intimidating or offensive environment.

<b>Indirect Discrimination:</b>	Refers to applying University operations that disadvantages people of different 'protected characteristics'. Indirect discrimination is illegal if it cannot be justified as a proportionate means of achieving a legitimate aim.
<b>Marriage and Civil partnership:</b>	<p>Marriage is defined as a union either between a man and a woman or between partners of the same sex. Same-sex couples can have their relationships legally recognised as 'civil partnerships'. Civil partners must be treated the same as married couples on a wide range of legal matters.</p> <p>There is protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and treatment in employment.</p> <p>If REF panels use citation data it is important that they are aware that people entering a civil partnership or marriage may change their name, and this may affect the citation data associated with their research outputs.</p>
<b>Perceived Discrimination:</b>	Applicant/employee treated less favourably because it is perceived that the applicant/employee has a protected characteristic. Even though the employer may be mistaken it is still discriminatory.
<b>Prejudice:</b>	An adverse judgement, conviction or opinion formed beforehand or without knowledge or examination of the facts. It may be felt or expressed. It may be directed, without reason, toward a group or an individual of that group and may develop into an irrational suspicion or hatred.
<b>Pregnancy and Maternity:</b>	<p>Maternity refers to the statutory period of after the birth, which reflects the period of a woman's ordinary maternity leave entitlement in the employment context.</p> <p>Consequently, if a researcher has taken time out of work because of pregnancy and/or maternity this should be taken into consideration when deciding how many research outputs they are expected to contribute to the submission.</p> <p>In addition, researchers who are pregnant or on maternity leave should not be overlooked during an HEI's submissions process.</p> <p>Additional paternity and adoption leave should be taken into consideration when deciding how many outputs the partners of new mothers are expected to contribute to the submission.</p> <p>Also refer to Sex/Gender.</p>
<b>Protected Characteristics:</b>	<p>Gives legislative protection from discrimination to the following 'protected characteristics':</p> <ul style="list-style-type: none"> <li>• Age</li> <li>• Disability</li> <li>• Gender Reassignment</li> <li>• Marriage and Civil partnership</li> <li>• Pregnancy and Maternity (including Paternity)</li> </ul>

	<ul style="list-style-type: none"> <li>• Race (colour, ethnic or national background)</li> <li>• Religion or Belief (including non-belief)</li> <li>• Sex/Gender</li> <li>• Sexual Orientation</li> </ul>
<b>Public Sector Equality Duty (2011) and Scottish Specific Duties (2011):</b>	<p>Requires the University to:</p> <ul style="list-style-type: none"> <li>• Advance equality of opportunity between people who share a protected characteristic and those who do not.</li> <li>• Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.</li> </ul> <p>Foster good relations between people who share a protected characteristic and those who do not.</p>
<b>Qualitative Data:</b>	Information that is difficult to count measure or express in numerical terms (for example, feedback from focus groups or interviews).
<b>Quantitative Data:</b>	Information that can be expressed in numerical terms, counted or compared on a scale (for example, monitoring data).
<b>Race:</b>	<p>Refers to a group of people defined by their race, colour, and nationality (including citizenship) ethnic or national origins.</p> <p>Staff are protected from unlawful discrimination connected to race. Individuals are also protected if they are perceived to be or are associated with a person of a particular race.</p> <p>Panels should be aware of not making any judgements on the quality of outputs based on a researcher's race or assumed race (for example based on their name).</p> <p>Refer to the online University 'Equality Staff Briefing on Race, Religion and Belief' that can be found at <a href="http://www.st-andrews.ac.uk/hr/edi/race">www.st-andrews.ac.uk/hr/edi/race</a>.</p>
<b>Reasonable Adjustment:</b>	<p>Where a disabled person is at a substantial disadvantage in comparison with people who are not disabled, there is a duty to take reasonable steps to remove that disadvantage by:</p> <ul style="list-style-type: none"> <li>• Changing provisions, criteria or practices</li> <li>• Altering, removing or providing a reasonable alternative means of avoiding physical features</li> <li>• Providing auxiliary aids</li> </ul>
<b>Religion or Belief:</b>	Religion has the meaning usually given to it but belief includes religious and philosophical beliefs including non- belief (e.g. Atheism). Generally, a belief should affect your life choices or the way you live for it to be included in the definition.

	<p>Staff are protected from unlawful discrimination to do with religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief.</p> <p>Panels should be aware of not making any judgements on the quality of outputs based on a researcher's actual or perceived religion or belief, including non-belief.</p> <p>Refer to the online University 'Equality Staff Briefing on Race, Religion and Belief' that can be found at <a href="http://www.st-andrews.ac.uk/hr/edi/religionBelief">www.st-andrews.ac.uk/hr/edi/religionBelief</a>.</p>
<b>Screening:</b>	Involves identifying whether there is any risk that a policy or practice could result in adverse impact for people.
<b>Sex/Gender:</b>	<p>These terms are used interchangeably.</p> <p>Staff are protected from unlawful discrimination to do with sex. Staff are also protected because of their perceived sex or because of their association with someone of a particular sex.</p> <p>The sex discrimination provisions of the Act explicitly protect women from less favourable treatment because they are breastfeeding. Consequently the impact of breastfeeding on a women's ability to conduct research needs to be considered in the context of the REF.</p> <p>Additional paternity, adoption and shared parental leave should be taken into consideration when deciding how many outputs the partners of new mothers are expected to contribute to the submission.</p>
<b>Sexual orientation:</b>	<p>A person's sexual attraction is towards their own sex; the opposite sex; or to both sexes.</p> <p>Staff are protected from unlawful discrimination to do with their sexual orientation. Individuals are also protected if they are perceived to be or are associated with someone who is of a particular sexual orientation.</p> <p>Panels should be aware of not making any judgements on the quality of outputs based on a researcher's actual or perceived sexual orientation.</p> <p>Refer to the online University 'Equality Staff Briefing on Sexual orientation' that can be found at <a href="http://www.st-andrews.ac.uk/hr/edi/sexualOrientation">www.st-andrews.ac.uk/hr/edi/sexualOrientation</a>.</p>
<b>Unconscious Bias</b>	Unconscious bias is a term used to describe the associations that we hold which, despite being outside our conscious awareness, can have a significant influence on our attitudes and behaviour. Regardless of how fair minded we believe ourselves to be, most people have some degree of unconscious bias. This means that we automatically respond to others in positive or negative ways. These associations are difficult to override, regardless of whether we recognise them to be wrong, because they are deeply ingrained into our thinking and emotions.
<b>Victimisation:</b>	Subjecting a person to a detriment because they have done a protected act or there is a belief that they have done a protected act.



## Appendix 2: University of St Andrews Equality and Diversity Inclusion Policy

### 1. Introduction

The policy takes into account the updated approach to equality by the UK Government as outlined in the *Single Equality Act (2010)*, as well as the *General Duties of the Scottish Public Sector Equality Duty (2011)*, which requires the University to:

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

This policy outlines our commitment across all operations of the University with an internal and external focus. Internally we are creating an inclusive working, researching and studying environment where differences are valued and equality of opportunity is advanced. Externally our focus is on continuing to deliver a fair service to our students and visitors by meeting the changing needs of globally diverse communities.

### 2. Equality Statement

The University of St Andrews is fully committed to respect and fair treatment for everyone, eliminating discrimination and actively promoting equality of opportunity and delivering fairness to all.

In addition to being compliant with the equality laws, public duties, and Human Rights Acts (Universal and European), the University also supports diversity and promotes equality of opportunity for all staff, students and visitors regardless of their:

- Protected Characteristic (Single Equality Act):
  - Age
  - Disability
  - Gender Reassignment
  - Marriage and Civil partnership
  - Pregnancy and Maternity (including Paternity)
  - Race (colour, ethnic or national background)
  - Religion or Belief (including non-belief)
  - Sex/Gender
  - Sexual Orientation
- Caring responsibilities for a 'Protected Characteristic' including dependants
- Socio-economic background/grouping
- Union activity
- Unrelated spent criminal convictions

The Equality & Diversity Inclusion Policy outlines the responsibility for promoting inclusive environments, which are free from discrimination for our national and international staff; students; and anyone associated with the University (e.g. visitors, contractors and service providers).

### 3. Commitment to Equality

The University aims to ensure that equality is embedded into all its functions, operations and activities. Initiatives to support the embedding process are facilitated by the University's Equality & Diversity Officer.

### 4. Assessing the Equality of Opportunity and Fairness

Equality Impact Assessments (EIAs) are methods of self-assessment or auditing, which result in a detailed indicator of the University's performance with the *Single Equality Act* and the *Scottish Public Sector Equality Duty*. The University is committed to promoting and monitoring fairness and equality of opportunity through the conducting of EIAs.

### 5. Responsibilities and commitment

Each individual is responsible for their own behaviour and must accept the principle that there is equality of opportunity and fairness for all staff and students and anyone associated with the University (e.g. visitors, contractors and service providers), in all aspects of University life.

Individuals must ensure they do not support unfair behaviour by ignoring what is happening around them and must not incite or collude with unfair or unlawful discrimination.

The law stipulates that, any member of the University community found to be responsible for inciting, perpetrating or colluding with discrimination or harassment may face disciplinary action.

All staff, students and anyone associated with the University, have a responsibility to adhere to this statement and apply it in their day to day work. The specific responsibilities in relation to this statement are as follows:

1. The University Court, as the employer, is ultimately responsible for ensuring that the University fulfils its legal responsibilities for promoting equality and eliminating discrimination, and for making sure that the commitments within this statement are fulfilled.
2. The Principal's Office, having the overall leadership for running the University, has the responsibility to ensure that the legal responsibilities for promoting equality and eliminating discrimination, and for making sure that the commitments within this statement are fulfilled across the University.
3. The Director of Human Resources is responsible for implementation of this statement with respect to staff and also for implementing related policies and procedures. The Director of Human Resources will also ensure that all staff receive appropriate equality and diversity inclusion training.
4. The Director of Student Services is responsible for implementation of this statement with respect to students and also for implementing related policies and procedures.
5. Heads of School/Unit have a responsibility to raise the profile of the policy within their Schools/Units and ensure that all staff and students are aware of the commitments within the policy. They also have a responsibility to promote equality of opportunity and to eliminate discrimination within their Schools/Units.

6. All staff and students have a responsibility to promote equality and to eliminate discrimination on the grounds listed in section 2 and to adhere to the *Equality Statement*. Any act of discrimination or harassment by a member of staff or a student will be taken very seriously and may result in disciplinary action being taken.

## 6. Monitoring

Monitoring will be essential to ensure that the University's *Equality Statement* is working effectively. In order to achieve this, the University will monitor annually and publish details of:

- the profile of the staff and student population across the 'protected characteristics' (transgender profiles are not published)
- student applications, offers made, acceptances, assessment results, drop-out rates and awards of degrees
- recruitment and selection, leavers, promotion, re-grading and participation in training and development activities
- complaints including harassment and bullying complaints, grievances and disciplinary proceedings for staff and students

The University guarantees that information gathered for the purposes of monitoring will be used only for monitoring and to improve its equality performance and will be held and processed in accordance with the Data Protection Act (1998).

## 7. Complaints of Discrimination or Harassment

1. If a member of staff feels that they have been discriminated against, the complaint should be raised in accordance with the appropriate University *Grievance Procedure*.
2. If a student feels that they have been discriminated against, the complaint should be raised in accordance with the University's *Code of Practice on Complaints, Appeals and Discipline*.
3. If a member of staff or student feels that they are being bullied or harassed, the complaint should be raised in accordance with the University's *Harassment and Bullying at Work and Study Policy*.

Advice on the use of these procedures can be obtained from Human Resources and Student Services.

## 8. Supporting Policies & Guidance

The University has a range of policies and guidance that support the underlying principles of this policy. Further information can be obtained from Human Resources and Student Services.

## 9. Review

A review of the policy will be conducted once the Specific Duties of the *Scottish Public Sector Equality Duty (2011)* have been confirmed, in addition to the University feedback initiatives such as questionnaires and surveys.



**Appendix 3: REF 2014 Equality Impact Assessment (EIA): Action Plan Progression**

*Reviewed: 11 Feb 2019, Sukhi Bains (Head of E&D)*

Document Purpose:
To track the institutional commitments made in the 'REF EIA Key Stage 6' on the University's 'Code of Practice on Selecting Staff for Submission to REF 2014' document (submitted to the SFC) in preparation for the next REF (or equivalent) as good practice and also meeting institutional legislative requirements under the Scottish Specific Duties (2012) resulting from the Equality Act (2010). Note that the action plan is a living document.





✔ = action complete    ↻ = action in progress    Number of actions completed = (%)

Action Plan from EIA findings agreed by the Institutional REF E&D Review Group (20 Feb 2014) with progress updated by the Head of E&D					
No.		Strand/Point identified within EIA	Action recommended	Dates	Progress (latest)
1.1	↻	<b>Cross Strand</b> Historic incidents contributing to output reductions from staff could be better tracked for the next REF	Investigate good practice methods from ECU.	Mar 2019	Training to be provided by Advance HE (ECU).
1.2	✔		Include EIA actions in Equality Outcomes Scheme (University Strategy and Action Plan).	Apr 2017	Established within the University Equality Outcomes Action Plan, actions 4.7-4.9 ( <a href="https://www.st-andrews.ac.uk/media/human-resources/equality-and-diversity/reports/Equality-Mainstreaming-Report-27Apr17-Final.pdf">https://www.st-andrews.ac.uk/media/human-resources/equality-and-diversity/reports/Equality-Mainstreaming-Report-27Apr17-Final.pdf</a> )
1.3	↻		Attain feedback on a new draft Code of Practice as part of the EIA for the next REF.	Feb-Apr 2019	Engagement with staff has been built-into the consultation process.
1.4	↻		Identify ECU recognised training packages on equalities with sections on 'unconscious bias' to	Feb 2019	Requested ECU/Advance HE on training packages for REF 2021 regarding E&D or unconscious bias.








1.5			<p>train Principal Investigators in preparation for the next REF.</p> <p>Embed Unconscious Bias awareness across the institution.</p>	<p>Oct 2013 Nov 2013  Oct 2014  Nov 2014  Apr 2016  Jun 2016  Apr 2014</p>	<p>The Royal Society Unconscious Bias awareness video forms part of the online of the University's Unconscious Bias resources webpage.</p> <p>Hosted talk on implicit bias by York University Chemistry. New HR ED&amp;I Online Inclusive Recruitment Guide embeds EHRC + ECU good practice plus Unconscious Bias from ECU training.</p> <p>Attended ECU Unconscious Bias event, embedded materials in consultation with Prof Reicher (School of Psychology &amp; Neuroscience) provided expert academic input in terms of training content for the E&amp;D Officer to roll-out training sessions.</p> <p>Hosted awareness sessions on unconscious bias in the recruitment context by Equate Scotland.</p> <p>A new 'Online Unconscious Bias Training Module' was launched.</p> <p>(<a href="http://www.st-andrews.ac.uk/hr/edi/training/unconsciousbias/">www.st-andrews.ac.uk/hr/edi/training/unconsciousbias/</a>). Module promoted at Academic Council.</p> <p>As a Positive Action on the University Vacancies webpage the following statement was agreed by the HR Remuneration Committee to encourage wider diversity in recruitment in addition to visual images of diversity awards promoted: "The University of St Andrews is committed to promoting equality of opportunity for all, which is further demonstrated through its working on the Gender, LGBT and Race Equality Charter Marks in addition to the Athena SWAN award for women in science. We particularly welcome applications from traditionally under-represented groups of the community." (<a href="https://www.vacancies.st-andrews.ac.uk/welcome.aspx">https://www.vacancies.st-andrews.ac.uk/welcome.aspx</a>).</p>
1.5a <i>new</i>					

1.5b <i>new</i>	✓			Apr 2014	An institutional budget/code centre code specific to initiatives relating to Diversity was created and endorsed by the Principal's Office.	
1.5c <i>new</i>	✓			Oct 2016	Uploaded a message on the HR Self Service webpage encouraging self-online disclosure: <i>Equal Opportunities - Diversity Monitoring data: All Staff are sincerely invited to complete their Diversity Monitoring data confidentially using HR Self Service. To do so please sign in and select "Equal Opportunities".</i>	
2.1	✓	<b>Age</b> Monitor staff data in higher age bands	Provide monitoring reports to The Master and V-P Governance to identify any concerns across age-bands.	Feb 2014	EIA Age eligible/submitted data provided by age to feed into comparisons for REF 2021.	
3.1	✓	<b>Disability</b> Low Disability disclosure	Promote disability disclosure across Schools with Occupational Health on supporting staff via the 'Healthy Working Lives Award'.	May 2018	University awarded the Healthy Working Lives Award Gold.	
3.2	✓		Identify methods of staff recording periods of ill health and impact of disability on their research career, which is in addition to current methods (HR, Occupational Health and RPO).	May 2014	Updated disability guidance webpage 'Adjustments at Work' launching new sub-pages to help build confidence of staff to disclose their disability relating to visual and hearing impairments in addition to learning difficulties and disabilities ( <a href="http://www.st-andrews.ac.uk/hr/edi/disability/adjustments-at-work/">http://www.st-andrews.ac.uk/hr/edi/disability/adjustments-at-work/</a> ).	
3.3 <i>new</i>	✓				Oct 2016	Uploaded message on the HR Self Service webpage encouraging self-online disclosure: Refer to action 1.5c.
3.4 <i>new</i>	↻				Oct 2018 - Jun 2019	Creating a new Staff Disability Guidance as a sub-document under the overarching Equality Policy, guiding staff on



					adjustments. Two focus groups in Sep/Oct 2018 conducted with Trades Unions (UCU, UNITE, UNISON).
4.1		<b>Gender/Sex</b> Highlight the fact that there was no gender bias in inclusion to the REF	EIA findings to be presented and actioned at the 'Institutional Athena SWAN & Gender Equality Charter Mark Self-Assessment Team (SAT)'.	Apr 2014	Attaining Athena SWAN has become a Key Performance Indicators (KPI's) in the University's strategic documents such as the SFC Outcomes Agreement (2014/15).
4.2			Utilise 'Gender Pay Gap Analysis' format to ascertain pay gap (if any) specific to Female/Male staff who have been submitted in the REF.	Nov 2017 May 2018	RAE 2008 and REF 2014 eligible and submitted staff data by gender analysed by the Institutional Athena SWAN Self-Assessment Team. University awarded the Athena SWAN Bronze renewal. School Athena SWAN awards = 9
4.3			Investigate mentoring for senior female academics and all academics in decision making positions: <i>Internal</i> – Approach female academics in senior posts willing to informally mentor. <i>External</i> – Apply to the Leadership Foundation in HE's Aurora Programme.	Oct 2017 Nov 2018	Elizabeth Garrett Mentoring Programme launched for women in senior levels in academia, Senior Lecturer (or equivalent research grade) or above, including Professors, at the University of St Andrews. Since joining, the University has supported 49 women on the Aurora programme ( <a href="https://www.st-andrews.ac.uk/hr/edi/sex_gender/aurora/">https://www.st-andrews.ac.uk/hr/edi/sex_gender/aurora/</a> ): 2014/15 = 5 2015/16 cohort = 10 2016/17 cohort = 10 2017/18 cohort = 24 2017/18 cohort = 23
4.4 <i>new</i>					Feb 2018
5.1		<b>Gender Identity/ Reassignment</b>	Re-promote staff disclosure to academics using 'HR Self Service'.	Oct 2013	

5.2 <i>new</i>				Oct 2016	As part of 'National Coming Out Day' staff were invited via In the Loop staff newsletter to update their diversity monitoring data confidentially using HR Self Service ( <a href="http://www.st-andrews.ac.uk/hr/edi/sexualorientation/">http://www.st-andrews.ac.uk/hr/edi/sexualorientation/</a> ).
5.3 <i>new</i>				Oct 2017	Uploaded a message on the HR Self Service webpage encouraging self-online disclosure: Refer to action 1.5c.
				Nov 2018	The University successfully renewed the LGBT Charter with a presentation from LGBT Youth Scotland to the Principal on 15 Dec 2017 (the only HEI awarded as an organisation (Sep 2018)).
					For the PinkNews LGBT Public Sector Equality Award, the University was long-listed in May 2018, and short-listed in Sep 2018. Progressing onto the short-list, the University was the only Scottish organisation and one of only two UK universities to make it. For high visible presence, the University sponsored a table at the event attended by the Principal, Student President, and staff/student members.
6.1		<b>Pregnancy and Maternity</b> Highlight the fact that mat./pat. leave was not a barrier to inclusion in REF + sustain staff levels in the future REF on mat./pat. leave	EIA findings to be presented and actioned at the 'Institutional Athena SWAN & Gender Equality Charter Mark Self-Assessment Team (SAT)'.	May 2014	Outlined 'Race Equality Charter Mark (REM)' Self-Assessment Team (SAT) members, group chaired by V-P Governance, REF EIA was introduced and provided.
6.2			Plan to further promote pregnancy-friendly environments (mobility access, expressing of milk, etc.) using NHS, EHRC, ECU, ACAS guidance across the Schools via the 'Healthy Working Lives Award'.	Nov 2017	RAE 2008 and REF 2014 eligible and submitted staff data by gender analysed by the Institutional Athena SWAN Self-Assessment Team.
				Feb 2019	University awarded the Athena SWAN Bronze renewal. School Athena SWAN awards = 10
				Jun 2018	University awarded the Healthy Working Lives Award Gold.



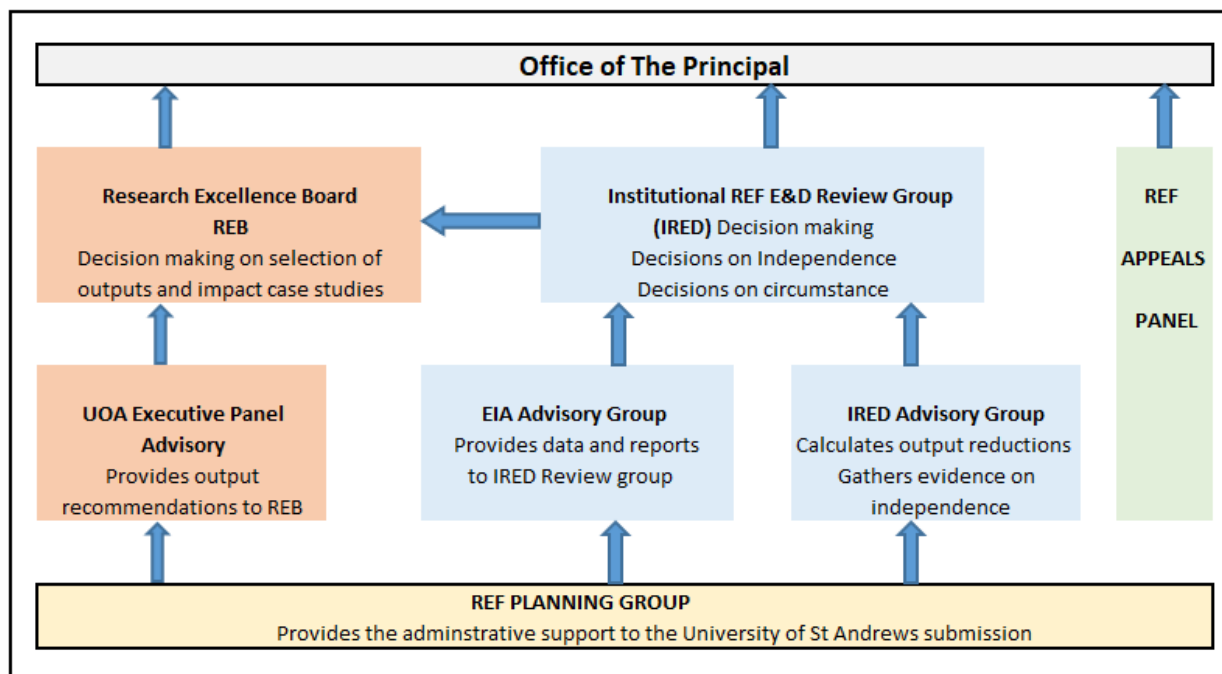
7.1		<b>Race</b> Highlight the fact that minority ethnicity was not a barrier to inclusion in REF + higher disclosure required	Present EIA findings to identify actions for academics as part of the ECU initiative 'Race Equality Charter Self-Assessment Team (SAT)'.	Apr 2014	Outlined 'Race Equality Charter' Self-Assessment Team (SAT) members, group chaired by V-P Governance, REF EIA was introduced and provided.
7.2			Re-promote staff disclosure to academics using 'HR Self Service'.	Oct 2016	Uploaded message on the HR Self Service webpage encouraging self-online disclosure: Refer to action 1.5c.
7.3			Work in collaboration with regional race equality organisations to deliver bespoke training on race equality in relation on staff selection and management.	Apr 2014	External race equality community agency 'FRAE Fife' agreed provided input on race relations good practice on University E&D training materials.
7.4 <i>new</i>			Investigate leadership initiatives for BAME staff: <i>External</i> – Apply to the Leadership Foundation in HE's BAME Programme.	Jun 2018 Feb 2017	Staff Black, Asian & Minority Ethnic (BAME) Network launched following online feedback (Jan 2018). University has supported 3 academics on the external LFHE Diversifying Leadership Programme for BAME staff (2017-2019).
8.1		<b>Religion or Belief</b> Low data rates	Present EIA findings to identify actions for academics as part of the ECU initiative 'Race Equality Charter Mark Self-Assessment Team (SAT)'.	Apr 2014	Outlined 'Race Equality Charter Mark (REM)' Self-Assessment Team (SAT) members, group chaired by V-P Governance, REF EIA was introduced and provided. Note: Low numbers of staff and sensitive data concerns mean that REF 2014 data cannot be presented for Religion or Belief.
8.2			Re-promote staff disclosure to academics using 'HR Self Service'.	Oct 2016	Uploaded message on the HR Self Service webpage encouraging self-online disclosure: Refer to action 1.5c
8.3			Re-promote staff disclosure to academics using 'HR Self Service'.	Sep 2018	University Religion & Belief guidance stated as good practice by ECU/Advance HE publication 'Religion and belief: Supporting inclusion of staff and students in higher education and colleges'.

9.1	N/A	<b>Sexual Orientation</b> Low data rates	Present EIA findings to identify actions in School Equality Committees.	Feb 2015	Low numbers of LGB+ staff and sensitive data concerns mean that REF 2014 data cannot be presented.
9.2			Re-promote staff disclosure to academics using 'HR Self Service'.	Oct 2013	As part of 'National Coming Out Day' staff were invited via In the Loop staff newsletter to update their diversity monitoring data confidentially using HR Self Service <a href="http://www.st-andrews.ac.uk/hr/edi/sexualorientation/">(http://www.st-andrews.ac.uk/hr/edi/sexualorientation/)</a> .
9.3			Investigate any barriers to self-disclosure.		
9.4 <i>new</i>				Oct 2016	Uploaded a daily message on the HR Self Service webpage encouraging self-online disclosure: Refer to action 1.5c.
9.5 <i>new</i>				Oct 2017	The University successfully renewed the LGBT Charter with a presentation from LGBT Youth Scotland to the Principal on 15 Dec 2017 (the only HEI awarded as an organisation (Sep 2018)).
9.6 <i>new</i>				Nov 2018	For the PinkNews LGBT Public Sector Equality Award, the University was long-listed in May 2018, and short-listed in Sep 2018. Progressing onto the short-list, the University was the only Scottish organisation and one of only two UK universities to make it. For high visible presence, the University sponsored a table at the event attended by the Principal, Student President, and staff/student members.
10.1		<b>Social Inclusion/Carer's</b>	Promote Care friendly attitudes and services via 'Healthy Working Lives Award'.	May 2018	University awarded the Healthy Working Lives Award Gold.
10.2			Examine staff policies and external services which could be modified or created to assist staff who have caring commitments to progress in their research careers.	Jul 2014  May 2016 Aug 2018	A sector leading 'Carers' Fund' was launched to help staff with care costs when travelling away on conferences up to £1k pa.  Staff Carers Statement published. Reviewed Staff Carers Statement published.

10.3 <i>new</i>				Aug 2016 Jun 2017	University awarded the 'Carer Positive Employer Award: Engaged' (level 1), presented to the Principal (Oct 2016). Renewed 'Carer Positive Employer Award: Engaged' (level 1).
10.4 <i>new</i>				Sep 2018 Jun 2018	University awarded the 'Carer Positive Employer Award: Established (level 2). Staff Carers Network launched following online feedback (Jan 2018).

## Appendix 4: Decision Making and Advisory groups

Below is a diagram summarising the committees involved in advisory and decision-making processes for REF 2021 in the University of St Andrews and fit into the wider institutional management structure. Following this are descriptions of the role and membership of each group.



## Research Excellence Board (REB)

### Terms of Reference

Remit - To broadly support Schools to nurture and progress their research excellence on an ongoing basis. To have over-arching responsibility for planning, managing and driving all aspects of the Institution's strategy, preparations and submissions to future research assessment exercises. The Board will report to the Principal through the Principal's Office meetings.

### Membership:

Members	Role	Headcount	Gender Feb 2019
Vice-Principal (Research & Innovation), Chair [Also Professor Science)	Decision making	1	1 M
Master of United College	Decision making	1	1 F
Professor	Decision making	6 (Sciences)	4 M 2 F
Professor	Decision making	6 (Social Science or Arts)	5 F 1M
Human Resources Key Representative	Advisory	n/a	1 F

Research & Innovation Services (Secretariat)	Advisory	n/a	5 F 2 M
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### **Procedures for appointing designated staff to the Research Excellence Board:**

New members to REB are proposed by the Vice Principal for Research and Innovation and approved by the Principal's office via the Principal's office meetings. Where changes are made to the Board composition efforts will be made to ensure both gender and faculty balance. The REB member will initially be appointed for a 1-year term. Advisory roles are determined by their management or administrative post.

### **Governance roles and responsibilities: Accountability**

The REB is accountable to the Principal's Office.

### **Relationship with other groups**

The REB will receive guidance and recommendations from the REF Planning Group and the UOA Executive Panel. They will also receive guidance on internal REF processes which have equality and diversity issues from the IRED Review and Advisory Groups to ensure all processes relating to REF are in line with the principles of the institutional Code of Practice.

### **Modes of operation**

The REB meets no less than 4 times a year. REB members are also expected to attend an average of 4-5 UOA Executive Panel meetings once every semester. Decisions will be made by a majority agreement.

### **Attendance**

It is recognised that members may not be able to attend all meetings. In these cases, involvement will be via email communications with the Chair and Secretariat.

It is expected that all standing members will attend scheduled meetings if possible and advisory members will attend when relevant or by special invitation.

### **Record-keeping and communications procedures**

It is the responsibility of the Secretariat to collate, circulate and archive meeting papers. All papers are held securely with limited access and are kept in line with the REF and Institutional Data Privacy statement. Knowledge will be shared through the attendance of meetings and the electronic circulation of minutes.

Routine communication will be through the generic email ris@st-andrews.ac.uk, owned by the Director or Research and Innovation services and/or the Chair's email vpres@st-andrews.ac.uk. Document sharing for collaboration will be via the generic email ris@st-andrews.ac.uk.

### **Sub-Groups**

Members of REB will form part of the UOA Executive panel.

### **Administration**

Research and Innovation Services provide a secretariat to REB. They are responsible for:

- Preparation of meeting agendas and Chair briefing
- Circulation of agendas and papers, where possible, no later than 4 days prior to scheduled meetings
- Circulation and archiving of approved records, where possible, no later than one week after each meeting

## Unit of Assessment (UOA) REF Executive Panel

### Terms of Reference

Remit - To manage the Unit of Assessment level REF processes in line with the institutional Code of Practice. To have over-arching responsibility for planning, managing and driving all aspects of the Unit of Assessment, preparations including assessment of research quality and identification of eligible staff. The Panel will report to the Research Excellence Board through the at least bi-annual meetings.

The composition of each UOA REF Executive Panel includes at least two members of the REB and the appropriate Head of School, Director of Research and Director of Impact for the UOA. When appropriate, the REB may approve the presence, at the UOA REF Executive Panel, of other members of staff with, for example, specific expertise. The Vice Principal (Research and Innovation) or a REB member alternate will chair the UOA REF Executive Panel.

### Membership:

Members	Role
Vice Principal (Research and Innovation) or REB alternate (Chair)	
UOA Head of School	Advisory
UOA Director of Research	Advisory
UOA Director of Impact	Advisory
REB representatives	Advisory
Research & Innovation Services (Secretariat)	Advisory

### Procedures for appointing designated staff to the UOA Executive panel:

Membership of the UOA Executive Panel is determined by role for school representatives, holding the posts Head of School, Director of Research or Director of Impact are automatically members of the panel. The REB members will rotate as dictated by their experience, expertise and availability.

### Governance roles and responsibilities: Accountability

The UOA Executive Panel is accountable to the REB.

### Relationship with other groups

The UOA Executive Panel will receive guidance from the REF Planning Group. They will also receive guidance on internal REF processes which have equality and diversity issues from the IRED Review and Advisory Groups to ensure all processes relating to REF are in line with the principles of the institutional Code of Practice.

### **Modes of operation**

The UOA Executive Panel will meet once every semester at the REF REB school meetings. Recommendations will be made to by the UOA Executive Panel at these meetings and the internal REF submission management system (PURE).

### **Attendance**

It is expected that members attend all meetings. In these cases, where this is not possible involvement will be sought prior to meetings via email communications with the other panel members and Secretariat.

### **Record-keeping and communications procedures**

It is the responsibility of the Secretariat to collate, circulate and archive meeting papers for the REF REB school meetings. All papers are held securely with limited access and are kept in line with the REF and Institutional Data Privacy statement. Knowledge will be shared through the attendance of meetings and the electronic circulation of papers.

Routine communications from the Secretariat will be through the generic email ris@st-andrews.ac.uk, owned by the Director or Research and Innovation services.

Document sharing for collaboration will be determined by the school members.

### **Sub-Groups**

The school members of the UOA Executive Panel will form the local REF management group for their Unit of Assessment.

### **Administration**

Research and Innovation Services provide a secretariat to UOA Executive Panel meetings.

They are responsible for:

- Preparation of meeting agendas
- Circulation of agendas and papers, where possible, no later than 1 week prior to scheduled meetings
- Circulation and archiving of approved records, where possible, no later than one week after each meeting

## Institutional REF Equality and Diversity (IRED) Review Group

### Terms of Reference

The Institutional REF 2021 Equality and Diversity Review Group chaired by the Assistant Vice-Principal (Diversity), will consider and make recommendations on REF decisions or processes that may have equality and diversity implications for staff. In particular the group will consider and provide advice to the Research Excellence Board and to the Principal's Office on the following key areas:

- Internal processes and communications around REF 2021
- Development of the University's Code of Practice for REF 2021
- REF specific training, particularly for staff involved in REF decision making
- Handling of staff circumstances for REF 2021 including overseeing the disclosure processes and communication of decisions
- Handling of the decision making processes for independence determination
- Ensuring REF appeal processes are clear and independent from the REB
- Overseeing the development of the institutional Equality Impact Assessment for REF 2021

### Membership:

Member	Role	Faculty	Gender (Feb 2019)
Assistant Vice-Principal (Diversity) (Chair)	Decision making	Arts	F
The Dean of Science	Decision making	Science	M
The Dean of Arts	Decision making	Arts	M
Academic Representative	Decision making	Science	F
Academic Representative	Decision making	Arts	F
Head of Equality & Diversity	Advisory	n/a	M
Human Resources Key Representative	Advisory	n/a	F
Planning Representative	Advisory	n/a	F
Research & Innovation Services (Secretariat)	Advisory	n/a	F x 3

### Procedures for appointing designated staff to the Institutional REF Equality and Diversity (IRED) Review Group:



New decision making members to the IRED Review Group are appointed by the Assistant Vice Principal for Equality and Diversity on the basis of their experience and expertise. The Review Group composition is both gender mixed and faculty balanced. Advisory roles are determined by their management or administrative post.

### **Governance roles and responsibilities: Accountability**

The IRED Review Group is accountable to the Principal's Office.

### **Relationship with other groups**

The IRED Review Group will work closely with and receive recommendations from the IRED Advisory Group. They will also receive guidance from the REF Planning Group.

### **Modes of operation**

The IRED Review Group will meet at least once every 3 months during the REF submission period.

### **Attendance**

It is expected that members attend all meetings. In cases where this is not possible involvement will be sought prior to meetings via email communications with the Assistant Vice Principal for Equality and Diversity and the Secretariat.

### **Record-keeping and communications procedures**

It is the responsibility of the Secretariat to collate, circulate and archive meeting papers. All papers are held securely with limited access and are kept in line with the REF and Institutional Data Privacy statement (Appendix 5). Knowledge will be shared through the attendance of meetings and the electronic circulation of papers. Confidential records of the Group's discussions will be kept, and this approach should ensure a consistent basis for judgement across all UOAs

Routine communications from the Secretariat will be through the generic email ris@st-andrews.ac.uk, owned by the Director or Research and Innovation Services.

Document sharing for collaboration will be via a limited group shared drive with access controlled by the Secretariat.

### **Sub-Groups**

Advisory Members of the IRED Review Group may also be members of the IRED Advisory Group and the EIA Advisory Group.

### **Administration**

Research and Innovation Services provide a secretariat the IRED Review Group.

They are responsible for:

- Preparation of meeting agendas
- Circulation of agendas and papers, where possible, no later than 1 week prior to scheduled meetings
- Circulation and archiving of approved records, where possible, no later than one week after each meeting

## Institutional REF 2021 Equality and Diversity Advisory Group

### Terms of Reference

The Institutional REF 2021 Equality and Diversity Advisory Group chaired by the Director of Research and Innovation Services, will collate, review and make recommendations to the IRED Review Group to inform the decisions that may have equality and diversity implications for staff. In particular the group will manage the processing of independence and circumstances declarations for REF. They will provide advice and recommendations to the IRED Review Group on the following key areas:

- Internal processes and communications around independence and staff circumstances
- Guidance on the University's Code of Practice for REF 2021
- Collating staff circumstances for IRED Review Group reduction decisions including handling of the disclosure processes and communications
- Handling of the review and evidence gathering processes for independence recommendations

### Membership

Members	Role	Gender Feb 2019
Director of Research and Innovation Services (Chair)	Advisory	F
Human Resources Key Representative	Advisory	F
UOA Human Resources Business Partner	Advisory	(UOA dependent)
Research & Innovation Services (Secretariat)	Advisory	F

### Procedures for appointing designated staff to the (IRED) Advisory Group:

Members of the IRED Advisory Group are determined by their management or administrative post and their experience with REF, equality & diversity issues and institutional data responsibilities.

### Governance roles and responsibilities: Accountability

The IRED Advisory Group is accountable to the IRED Review Group.

### Relationship with other groups

The IRED Advisory Group will work closely with and provide recommendations to the IRED Review Group. They will also receive guidance and collaborate on REF processes with the REF Planning Group.

### Modes of operation

The IRED Advisory Group will meet at least once every month during the REF submission period and will have additional ad hoc meetings as and when they are required.

### Attendance

It is expected that members attend monthly meetings. In cases, where this is not possible involvement will be sought prior to meetings via email communications with the Secretariat.

### **Record-keeping and communications procedures**

It is the responsibility of the Secretariat to collate, circulate and archive meeting papers. All papers are held securely with limited access and are kept in line with the REF and Institutional Data Privacy statement (Appendix 5). Knowledge will be shared through the attendance of meetings and the electronic circulation of papers.

Routine communications from the Secretariat will be through the generic email [ired@st-andrews.ac.uk](mailto:ired@st-andrews.ac.uk) owned by the Director or Research and Innovation Services.

Document sharing for collaboration will be via a limited group shared drive with access controlled by the Secretariat.

### **Sub-Groups**

Members of the IRED Advisory Group may also be members of the EIA Advisory Group.

### **Administration**

Research and Innovation Services provide a secretariat the IRED Advisory Group.

They are responsible for:

- Preparation of meeting agendas
- Circulation of agendas and papers, where possible, no later than 1 week prior to scheduled meetings
- Circulation and archiving of approved records, where possible, no later than one week after each meeting

## Equality Impact Assessment (EIA) Advisory Group

### Terms of Reference

The EIA Advisory Group chaired by the Head of Equality and Diversity, will collate, review and report on equality and diversity information required for REF 2021. In particular, the group will be responsible for the production of the Equality Impact Assessment documents. They will provide advice and recommendations to the IRED Review Group on the following key areas:

- Possible impact of internal processes and communications for REF on particular groups by reference to protected characteristics
- Collation of Equality and Diversity data for the EIA
- Analysis of data with respect to all declared protected characteristics

### Membership

Members	Role	Gender
Head of Equality & Diversity (Chair)	Advisory	M
Human Resources Key Representatives	Advisory	F
Planning Representative	Advisory	F
Research & Innovation Services	Advisory	F

### Procedures for appointing designated staff to the EIA Advisory Group:

Members of the EIA Advisory Group are determined by their management or administrative post and their experience with REF, equality & diversity issues and institutional data responsibilities.

### Governance roles and responsibilities: Accountability

The EIA Advisory Group is accountable to the IRED Review Group.

### Relationship with other groups

The EIA Advisory Group will work closely with and provide recommendations to the IRED Advisory and Review Groups. They will also receive guidance and collaborate on REF processes with the REF Planning Group.

### Modes of operation

The EIA Advisory Group will meet at least once every month during the REF submission period and will have additional ad hoc meetings as and when they are required.

### Attendance

It is expected that members attend monthly meetings. In cases, where this is not possible involvement will be sought prior to meetings via email communications with the Secretariat.

### Record-keeping and communications procedures

It is the responsibility of the Secretariat to collate, circulate and archive meeting papers. All papers are held securely with limited access and are kept in line with the REF and Institutional

Data Privacy statement (Appendix 5). Knowledge will be shared through the attendance of meetings and the electronic circulation of papers.

Routine communications from the Head of Equality and Diversity will be through email: [sb104@st-andrews.ac.uk](mailto:sb104@st-andrews.ac.uk) with the group.

Document sharing for collaboration will be via a limited group shared drive with access controlled by the Head of Equality and Diversity.

### **Sub-Groups**

Members of the EIA Advisory Group may also be members of the IRED Advisory Group.

### **Administration**

The Head of Equality and Diversity is responsible for:

- Preparation of meeting agendas
- Circulation of agendas and papers, where possible, no later than 1 week prior to scheduled meetings
- Circulation and archiving of approved records, where possible, no later than one week after each meeting
- Minutes of meeting and communication facilitated by the ED&I Team
- Conduct a check of the REF 2014 EIA Action Plan
- Create a new REF 2021 EIA Action Plan based on REF 2021 findings to advance equality where required

## REF Appeals Panel

### Terms of Reference

The REF Appeals Panel chaired by an Emeritus Professor will consider and make decisions, to be approved by the Principal on REF appeals in the following areas:

- Decisions made on independence where the individual has appealed
- Decisions made on staff circumstances where the individual has appealed the reduction in outputs

### Membership

Members	Role
Emeritus Professor (Chair)	Decision
Director of Human Resources	Decision
Human Resources (Secretariat)	Advisory

### Procedures for appointing designated staff to the REF Appeals Panel:

The REF Appeals Panel will be convened by a University Emeritus Professor from within a gender mixed membership of Emeritus staff. Member of the pool will be approved by the Office of the Principal. Where possible members will have management experience of a previous research assessment exercise.

Members will not be or have been part of any REF 2021 decision-making.

### Governance roles and responsibilities: Accountability

The REF Appeals Panel is accountable to the Principal.

### Relationship with other groups

The REF Appeals Panel will work with the Human Resources office and will operate independently from the IRED Review Group and Research Excellence Board.

### Modes of operation

The REF Appeals panel will meet as appropriate for the number of appeals lodged and will have additional ad hoc meetings as and when they are required.

### Record-keeping and communications procedures

Human Resources will operate as the secretariat and will handle all communication confidentiality.

### Sub-Groups

Not applicable.

### Administration

Human Resources operate as the secretariat of the REF Appeals Panel.

They are responsible for:

- Preparation of meeting agendas
- Circulation of agendas and papers, where possible, no later than 1 week prior to scheduled meetings
- Circulation and archiving of approved records, where possible, no later than one week after each meeting
- Co-ordination of collaborative process developments for REF
- Compliance with REF and Institutional Data Privacy statements

## REF Planning Group

### Terms of Reference

The REF Planning Group chaired by the Research Policy Officer (Research and Innovation Services), will manage the development of REF processes for the institution. The group is responsible for the support of the institutional REF planning including maintenance of the submission timeline, development of institutional communications and guidance to the REB, IRED Review Group, Schools and individuals. In particular the group will be responsible for the administrative processes which support the UOA Executive Panels in the development of their REF submission. They will provide advice and recommendations to REB and the IRED Review Group on the following key areas:

- REF submission guidance and data requirements
- Timescales for submission development
- Communications to the wider institutional REF community, including the other groups listed in this appendix and the Principal's Office
- Analysis, data management and reporting on information submitted by the UOA Executive Panels to REB

### Membership

Members	Role
Research Policy Officer, Research and Innovation Services (Chair)	Advisory
Director of Research and Innovation Services	Advisory
Assistant Director (Digital Research), Library	Advisory
Repository & Open Access Services Manager, Library	Advisory
Research Information Management Team (Pure)	Advisory
Policy Team, Research & Innovation Services	Advisory
Research Impact team, Research & Innovation Services	Advisory
Research Integrity team, Research & Innovation Services	Advisory

### Procedures for appointing designated staff to the REF Planning Group:

Members of the REF Planning Group are determined by their management or administrative post, their experience with REF and institutional data responsibilities.

### Governance roles and responsibilities: Accountability

The REF Planning Group is accountable to REB.

### Relationship with other groups



The REF Planning Group will work closely with and provide recommendations to REB and the IRED Review and Advisory Groups. They will support reporting requirements for the UOA Executive Panels.

### **Modes of operation**

The REF Planning Group will meet at least once every month during the REF submission period and will have additional ad hoc meetings as and when they are required.

### **Attendance**

It is expected that members attend monthly meetings. In cases, where this is not possible involvement will be sought prior to meetings via email communications with the Secretariat.

### **Record-keeping and communications procedures**

It is the responsibility of the Secretariat to collate, circulate and archive meeting papers. All papers are held securely with limited access and are kept in line with the REF and Institutional Data Privacy statement (Appendix 5). Knowledge will be shared through the attendance of meetings and the electronic circulation of papers.

Routine communications from the Secretariat will be through the generic email ris@st-andrews.ac.uk, owned by the Director or Research and Innovation services.

Document sharing for collaboration will be via a limited group shared drive with access controlled by the Secretariat.

### **Sub-Groups**

Sub groups of the REF Planning Group will address the more detailed management of the REF data processes, including but not limited to Open Access compliance, meta-data validation, Environment HESA data and Impact.

### **Administration**

Research and Innovation Services operate as the secretariat to the REF Planning Group.

They are responsible for:

- Preparation of meeting agendas
- Circulation of agendas and papers, where possible, no later than 1 week prior to scheduled meetings
- Circulation and archiving of approved records, where possible, no later than one week after each meeting
- Co-ordination of collaborative process developments for REF
- Compliance with REF and Institutional Data Privacy statements
- Management of the institutional timeline for compiling the REF submission

## Appendix 5: The REF Privacy Impact Statement

### Supplementary Privacy notice - University Research Excellence Framework 2021 ("REF")

#### Introduction

This privacy notice introduces how the University gathers, shares and makes use of information that about individuals when preparing for and making a submission to the REF. This privacy notice should be read in conjunction with the University privacy notice: collection and use of University employee personal data<sup>1</sup>

#### How we gather personal data

Individuals with research work to be considered for the University's REF submission may be asked to pass some details to the University via calls for information (e.g. surveys), in other instances information will be gathered from the staff record such as job title, contract type, research outputs, as documented and held in the University research repository (PURE) and from individuals tasked with assessing the suitability of research work for inclusion in the University's submission.

#### How we use your personal data

Your personal data is used by the University to plan, prepare for and make the institutions submission to the REF exercise 2021.

#### The legal basis for the use of your personal data for REF

Contract and what Data Protection law refers to as public task, are the conditions from the legislation, which the University will rely on to make use of personal data for REF 2021. In some instances, individuals may opt to provide the University with sensitive details, such as health and/or carers details that explain a period of absence. In those instances, the legal basis will be explicit consent. Providing those details is an individual choice; if a person chooses to withdraw their consent - consent can be withdrawn at any time, then no further use of the details provided will be made; sensitive details that were volunteered will be destroyed. Withdrawing consent will mean that the University's ability to make some decisions will be limited.

#### Sharing and transferring your personal data

Where the University is making a joint REF submission with another institution, personal data of the relevant staff will be shared with that partner. Personal data will also be shared across the University with Research and Innovation Services, Human Resource Services and the committees established to oversee and coordinate the University's REF activities.

<sup>1</sup> Available online: <https://www.st-andrews.ac.uk/assets/university/data-protection/employee-privacy-notice.pdf>, accessed 06 February 2019.

## Individual clearly defined and complex circumstances

Where individuals opt to disclose 'clearly defined circumstances' such information will be made available to relevant colleagues in Research and Innovation Services (RIS) and the HR Business Partner team to enable the calculation of output reductions.

Where individuals opt to disclose 'complex circumstances' relevant members of RIS will have access to only information required to calculate an output reduction. Complex circumstances information will be available in full to the HR business partners.

The UOA Executive Panel, Heads of School and Directors of Research (DoRs) will have access to the reduction decisions but not the details of what necessitated the reduction unless, exceptionally, certain information must be confirmed by the Heads or DoRs. The Institutional REF Equality and Diversity Review Group will be given details of circumstances to make and monitor decisions on output reductions, but such details will be anonymised.

Information provided on individual clearly defined and complex circumstances may be shared externally for the purposes of evidencing any reduction requested in the number of research outputs for a UOA or in, exceptional circumstances, for an individual. Such information is likely to be seen by the UK REF team, the Equality and Diversity Panel and the Main Panel Chairs and possibly UKRI. All these bodies are subject to confidentiality agreements. The UK REF team will destroy submitted data about circumstances once the assessment phase is complete. The information submitted by the University externally will be anonymised as far as allowed by REF rules.

## Keeping your personal data

Information produced for the REF submission will be held for a period of between 12 and 24 months following the conclusion of the REF exercise 2021, after which it will be destroyed. Information about you sourced from other University records e.g. PURE will not be destroyed.

## Your privacy rights

These vary, depending on the legal basis used by the University to make use of personal data. Rights may be restricted where one of the exemptions from the Data Protection Act 2018 is engaged. For example, where the University is making use of personal data for planning and/or forecasting purposes, and releasing personal data used to support decision making would undermine that process, there will be no right for an individual to seek a copy of associated personal data. Information on data protection rights is available from the University website: <https://www.st-andrews.ac.uk/terms/data-protection/rights/>, or by contacting the University Data Protection Officer: email [dataprot@st-andrews.ac.uk](mailto:dataprot@st-andrews.ac.uk).

In addition, you have a right to complain to us and to the data protection regulator. The University Data Protection Officer can provide more details.

## Contact

You can get in touch with the University Data Protection Officer: Christopher Milne, Head of Information Assurance and Governance by email [dataprot@st-andrews.ac.uk](mailto:dataprot@st-andrews.ac.uk), if you have any questions about how the University makes use of your personal data.

## Revisions to this notice

Revisions may be made from time-to-time, where guidance from the REF is updated, which have an impact on how personal data are used and/or where University REF processes/procedures change.

This notice will be available on the University's website: <https://www.st-andrews.ac.uk/terms/data-protection/>. Supplementary Privacy notice - University Research Excellence Framework 2021 ("REF")

## Appendix 6: List of abbreviations

<b>ECR</b>	Early career researcher
<b>EDAP</b>	Equality and Diversity Advisory Panel
<b>ED&amp;I</b>	Equality, Diversity and Inclusion
<b>EIA</b>	Equality impact assessment
<b>EU</b>	European Union
<b>FTE</b>	Full-time equivalent
<b>HEI</b>	Higher education institution
<b>HESA</b>	Higher Education Statistics Agency
<b>IRED</b>	Institutional REF Equality and Diversity
<b>RAE</b>	Research Assessment Exercise
<b>RE</b>	Research England
<b>REB</b>	Research Excellence Board
<b>REF</b>	Research Excellence Framework
<b>REG</b>	Research Excellence Grant
<b>SFC</b>	Scottish Funding Council
<b>UOA</b>	Unit of assessment

## Appendix 7: Reductions for staff circumstances (Guidance on Submissions: Annex L)

1. Given the reduced output requirement for 2021, the tariffs for the defined reductions differ from those set in REF 2014. This is to ensure that a broadly equivalent reduction is given in the context of the submitted output pool, and to ensure that panels receive a sufficient selection of research outputs from each submitted unit upon which to base judgements about the quality of that unit's outputs.

### Early career researchers

2. ECRs are defined in the 'Guidance on submissions' (paragraph 148). Table L1 sets out the permitted reduction in outputs without penalty in the assessment that HEIs may request for ECRs who meet this definition.

**Table L1: Early career researchers: Permitted reduction in outputs**

Date at which the individual first met the REF definition of an ECR:	Output pool may be reduced by up to:
On or before 31 July 2016	0
Between 1 August 2016 and 31 July 2017 inclusive	0.5
Between 1 August 2017 and 31 July 2018 inclusive	1
On or after 1 August 2018	1.5

### Absence from work due to secondments or career breaks

3. Table L2 sets out the permitted reduction in outputs without penalty in the assessment that HEIs may request for absence from work due to secondments or career breaks outside of the HE sector, and in which the individual did not undertake academic research.

**Table L2: Secondments or career breaks: Permitted reduction in outputs**

Total months absent between 1 January 2014 and 31 July 2020 due to a staff member's secondment or career break:	Output pool may be reduced by up to:
Fewer than 12 calendar months	0
At least 12 calendar months but less than 28	0.5
At least 28 calendar months but less than 46	1
46 calendar months or more	1.5

4. The allowances in Table L2 are based on the length of the individual's absence or time away from working in HE. They are defined in terms of total months absent from work.

5. As part-time working is taken account of within the calculation for the overall number of outputs required for the unit (which is determined by multiplying the unit's FTE by 2.5), reduction requests on the basis of part-time working hours should only be made exceptionally. For example, where the FTE of a staff member late in the assessment period does not reflect their average FTE over the period as a whole.

### **Qualifying periods of family-related leave**

6. The total output pool may be reduced by 0.5 for each discrete period of:

- a. Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2014 to 31 July 2020, regardless of the length of the leave.
- b. Additional paternity or adoption leave<sup>22</sup>, or shared parental leave<sup>23</sup> lasting for four months or more, taken substantially during the period 1 January 2014 to 31 July 2020.

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

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

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

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

### **Combining circumstances**

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

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22. 'Additional paternity or adoption leave' refers to leave of up to 26 weeks which is taken to care for a child where the person's spouse, partner or civil partner was entitled to statutory maternity leave or statutory adoption leave, and has since returned to work. The term 'additional paternity leave' is often used to describe this type of leave although it

may be taken by parents of either gender. For the purposes of the REF, we refer to this leave as 'additional paternity or adoption leave'.

23. 'Shared parental leave' refers to leave of up to 50 weeks which can be shared by parents having a baby or adopting a child. This can be taken in blocks, or all in one go.