



**Code of Practice
on the fair and transparent
identification of staff and outputs
for submission to the 2021 Research
Excellence Framework (REF 2021)**

<u>Contents</u>		
Part 1: Introduction		
1.1	Introduction from Vice-Chancellor	5
1.2	Purpose and aim of code of practice	5
1.3	Scope of code of practice	6
1.4	The promotion and support of Equality and Diversity at Bath Spa University	7
1.5	Update of Actions taken since REF 2014	8
1.6	Roles and responsibilities in respect of REF 2021	12
1.7	Principles	15
1.8	Communication strategies	17
Part 2: Identifying staff with significant responsibility for research		
2.1	Principles and procedures	21
2.2	Development of processes	21
2.3	Criteria and process for the identification of staff with significant responsibility for research	22
2.4	Staff, committees and training	24
2.5	Appeals	25
2.6	Equality Impact Assessment (EIA)	25

Part 3: Determining research independence		
3.1	Principles and procedures	27
3.2	Development of process	27
3.3	Criteria for and process for determining research independence	25
3.4	Staff, committees and training	29
3.5	Appeals	30
3.6	Equality Impact Assessment (EIA)	30
Part 4: Identification of outputs to be submitted		
4.1	Policies and procedures	32
4.2	Procedure for the identification of outputs to be submitted	34
4.3	Staff, committees and training	35
4.4	Definitions of individual staff circumstances	36
4.5	Equality Impact Assessment (EIA)	40
Part 5: REF 2021 Development Timetable		
5.1	REF 2021: Development of Submission Timetable	41

Part 6: Appendices		
Appendix A	Definitions of academic, research, full time, part time, permanent, fixed-term staff	46
Appendix B	University Equality and Diversity Policy	47
Appendix C	University committee structure for the management of REF2021	52
Appendix D	Terms of Reference for Research, Knowledge Exchange and Consultancy Committee (RKECC)	53
Appendix E	Terms of Reference for REF Steering Group	55
Appendix F	Terms of Reference for Impact Working Group	56
Appendix G	Terms of Reference for Unit of Assessment Advisory Groups	57
Appendix H	REF External Assessors	59
Appendix I	Unit of Assessment Leaders: Roles and Responsibilities	60
Appendix J	Terms of Reference for Individual Staff Circumstances Disclosure Panel (ISCD)	61
Appendix K	Terms of Reference for Equality and Diversity Steering Group	63

Appendix L	Terms of Reference for REF Equality and Diversity Working Group	64
Appendix M	University Data Protection Policy	65
Appendix N	REF Data Collection Statement	70
Appendix O	SRR/HESA form and Guidance Document	75
Appendix P	Template Letter for SRR decision	81
Appendix Q	Appeals process	84
Appendix R	Equality Impact Assessment	86
Appendix S	Template Letter for Independent Researcher decision	108
Appendix T	Permitted reductions of outputs	110
Appendix U	Individual Staff Circumstances Disclosure Policy (ISCD)	114

Part 1: Introduction

1.1 Introduction from the Vice-Chancellor

We are very proud of the range and quality of research undertaken at Bath Spa University, and we have invested a lot of energy in developing our research culture. Much of our work crosses between traditional disciplines. We strongly value making, and exploring the links between thinking and doing, and are on an exciting journey to embed research into all that we do.

We have an ambitious approach to REF 2021. We aim to achieve results in 2021 that will demonstrate a significant improvement in the quality of our research and its impact since REF 2014 in all the units of assessment to which we are submitting.

This document is the result of an iterative and consultative process. Drafts were developed by a working group with representatives from HR, academic staff and management, and through consultation with the University and College Union (UCU). Issues relating to how we best identify staff that are significantly responsible for research were debated across our academic and research leadership community, and a process was identified that is inclusive and recognises the breadth of expertise across our whole academic staff community.

Details of this process, and the University's approach to the identification of staff and their research outputs for REF 2021 are set out below.

1.2 Purpose and aim of code of practice

- 1.2.1 As set out in the Guidance on the Codes of Practice for REF 2021, each higher education institution making a submission to REF 2021 is required to develop, document and apply a code of practice on the fair and transparent identification of staff with significant responsibility for research (where an institution is not submitting 100 per cent of Category A eligible staff), determining who is an independent researcher, and the identification of outputs to be submitted, including approaches to supporting staff with circumstances.
- 1.2.2 Both as employers and as public bodies, higher education institutions need to ensure that their REF procedures do not discriminate unlawfully against - or otherwise have the effect of harassing or victimising - individuals because of age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex or sexual orientation, or because they are pregnant or have recently given birth.
- 1.2.3 In developing and implementing their codes of practice, institutions need to bear in mind the principles behind the key policy decisions regarding staff, and in particular, the requirement that higher education institutions submit all staff with significant responsibility for research. This change was introduced in response to concerns that

selecting staff in previous assessment exercises had potentially deleterious effects on individuals, their career choices, progression and morale.

1.2.4 The REF Equality and Diversity Advisory Panel (EDAP) will examine the codes of practice and will advise the UK funding bodies on their adherence to the guidance, prior to approval and publication. All submitted and approved codes of practice will be published before the REF submission deadline. The provisional publication date is December 2019.

1.2.5 The purpose and aim of Bath Spa University's REF 2021 code of practice is to demonstrate:

- Open, transparent, consistent and inclusive processes connected to REF 2021. This includes all aspects/stages of the planning and implementation of the University's submission including the identification of staff and outputs for submission; and
- Bath Spa University's REF submission operates within the context of the University's policies for Equality, Data Protection and relevant employment legislation.

1.2.6 This code of practice sets out a process for the identification of staff to be submitted to REF 2021 that is open, consistent, transparent, inclusive and consultative and the University's Criteria and Process for the identification of staff and outputs that have been selected for REF as set out in Parts 2-4 of this document below.

1.3 Scope of code of practice

1.3.1 This code of practice applies to:

- All staff involved in the preparation and identification of staff and outputs eligible for the REF process through the development of our REF 2021 submissions
- All staff eligible to submit their research for REF 2021. This includes academic, research, full-time, part-time, permanent and fixed-term staff
- All external advisers involved in REF 2021.

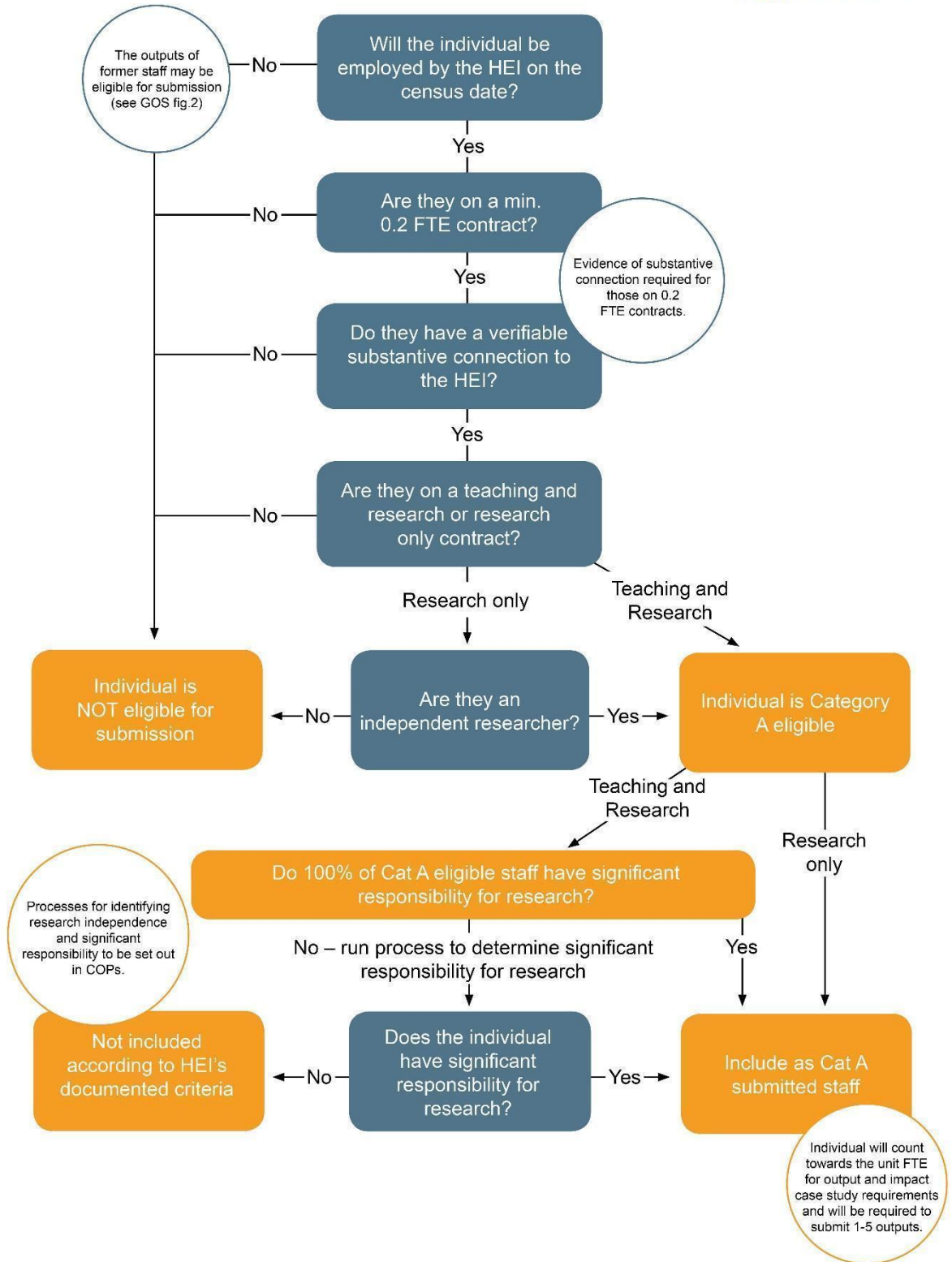
1.3.2 Definitions of academic, research, full-time, part-time, permanent and fixed-term staff for the purposes of REF 2021 are available in Appendix A.

1.3.3 The University will select for submission staff who meet the REF 2021 definitions of Category A submitted staff, defined as:

- Category A eligible staff who have been identified as having significant responsibility for research on the census date.
- Staff on 'research only' contracts who have been assessed as independent researchers.

1.3.4 The processes for determining staff who are 'significantly responsible for research' and 'independent researchers' are set out in Part 2 of this document.

1.3.5 See below for a map for staff eligibility in REF 2021.



1.4 The promotion and support of equality and diversity at Bath Spa University

- 1.4.1 The University Equality and Diversity Policy (Appendix B) details the University's commitment to matters of equality and diversity, and indicates its plans for further action in this area.
- 1.4.2 This policy has been developed in conjunction with the Equality and Diversity Steering Group (EDSG) and representatives from the University and College Union (UCU).
- 1.4.3 In updating and reviewing this policy, consideration has been given to the Public Sector Equality Duty and specifically the requirement to meet the General Equality Duty and the specific duties that have been designed to support and aid compliance with the general duty.
- 1.4.4 The University will have due regard to the need to:
- Eliminate unlawful discrimination, harassment and victimisation
 - Advance equality of opportunity between those who share a relevant protected characteristic and those who do not; and
 - Foster good relations between those who share a relevant protected characteristic and those who do not.
 - In addition the University will meet the requirement of the specific duties designed to support and aid compliance with the general duty, by:
 - Publishing information annually from 31 January 2012 that demonstrates our compliance with the General Equality Duty; and
 - Prepare and publish, at least every four years from 6 April 2012, one or more objectives we consider we should achieve to meet the aims of the General Equality Duty.
- 1.4.5 An Equality Impact Assessment (EIA) process has been put in place for REF 2021, and an initial EIA undertaken for all eligible staff which can be found in Appendix R. Equality Impact Assessments will be undertaken at key stages of the process, as set out in sections 2-4 below, and in Appendix R.
- 1.4.6 The University has a commitment to ensuring that fixed-term and part-time employees are not treated less favourably in line with relevant legislation. Throughout this process, all eligible staff are treated equally, and have the same opportunities for presenting their research within the REF as full-time and open contract/permanent staff.

1.5 Update of Actions taken since REF 2014

- 1.5.1 The University agreed a 2020 Strategy in 2013. Research targets set and progress against them since REF 2014 is as follows:

1.5.2 *Significantly enhance the amount of world leading work submitted to REF 2021*

- An annual review of outputs process was put in place by the Research, Knowledge Exchange and Consultancy Committee (RKECC), informed by External Advisors appointed to support Units of Assessment submitted in REF 2014, and a range of discipline areas with emerging research.
- Resources were secured to appoint a REF Manager to manage our preparations for REF 2021, and an Impact Officer to work with Unit of Assessment Leaders and academic staff on the development of Impact Case Studies.
- The University invested in a Impact Tracker system (Vertigo Ventures), maintained its support for the institutional repository (ResearchSPace), invested in a Figshare hosted repository to store research data and to develop e-portfolios for REF. Resources were also secured to employ an additional Research Publications Librarian to support open access compliance and research data management.
- The University has signed up to the Concordat on Open Research Data, and is working towards alignment with San Francisco Declaration on Research Assessment. Procedures are in place to ensure compliance with UKRI and funder policies on Open Research, and to meet REF requirements for Open Access for REF 2021. The University also received its first block grant for Open Access in 2018/19, and has used this resource to support Open Access publications of outputs associated with UKRI funded projects.

1.5.3 *Increase our research and enterprise income, in particular as part of research networks with other UK and international HEIs*

- The University has been successful in increasing our research income since REF 2014 and has used ring-fenced Global Challenges Research Fund HEQR to support a strategy for the development of international research collaborations.

Two large scale collaborative projects have been awarded in the area of the Creative Industries, and collaborations with other UK HEIs are actively encouraged.

1.5.4 *Create research themes that shape and inform the work of our researchers – including Environmental humanities (art, science, culture and environment), Transnational creativity and education, and Creative and cultural industries*

- The Research, Knowledge Exchange and Consultancy Committee (RKECC) undertook a review of all Research Centres and Groups in the 2016/17 academic year, and three new strategic centres were put in place in the areas above. Their remit is to support and develop inter- and multi-disciplinary research collaboration across the institution.

1.5.5 *Be a collaborative, entrepreneurial partner in the UK's creative and cultural economy our research creates impact by shaping practice, triggering innovation and informing policy*

- An enterprise strategy has been developed, and the University has invested in an enterprise hub in the centre of Bath.
- An active impact culture is being developed across the University, led by the new Impact Officer.

1.5.6 *Be the UK gateway to a global network of partner research institutions working in our fields of professional, creative and critical practice*

- GALA (Global Academy of Liberal Arts) was set up in 2014. GALA is a select international community of institutions that seeks to develop new kinds of research and teaching collaboration, to support enhanced international mobility among staff and students, and to reimagine liberal arts education for the twenty-first century.

1.5.7 *Be a university of choice for early stage research staff (ESR) and postgraduate research in our research specialisms*

- The University achieved HR Excellence in Research accreditation in January 2012. Since that date, we have been successful in our 2 year, 4 year and 6 year reviews in retaining our accreditation, and our HR Excellence in Research Working Group regularly reviews our Action Plan to meet the requirements of the Concordat for Research Staff Development.
- A Research Development Manager was recruited in 2013, and a comprehensive Researcher Development Programme has been put in place that aligns with the Vitae Researcher Development Framework.

1.5.8 *Progress in relation to equality and diversity*

- The University has a serious commitment to ensuring equal opportunities for all staff and to ensuring a fair and equal work environment for all.
- The University appointed a University Equalities Project officer in 2017. The new Equalities Officer has an active equality agenda which aims to develop and support women in education. It launched a Women's Leadership Network in the 2017/18 academic year and ran an Equalities week in September 2017.
- On International Women's Day (8 March 2018), the Vice-Chancellor wrote to all academic staff highlighting how the University is celebrating and supporting women at Bath Spa through a series of events. As part of this process the results of the Gender Pay Gap data were released and shared with the Bath Spa community. The review found that the pay gap is mostly due to a higher proportion of female staff occupying more junior roles within the University, as well as the large number of female casual staff who are mainly Bath Spa University students. If this last group were excluded from the calculations above, the mean average gender pay gap at Bath Spa would be 12.1% and the median would be 8.5%. However, we are proud to employ our students and offer them development opportunities, and so will continue to do so in spite of the impact on our gender pay gap figures. Equality is key to the success story of Bath Spa University. In fact, before the new legislation came into place that required the publication of gender pay gap calculations, we had taken it upon ourselves to produce our own reports about Equal Pay every other year since 2011.
- The Gender Pay Gap Report is a measure of the difference in pay between the average hourly earnings of male and female staff. Our Equal Pay Review on the other hand compares the pay of male and female employees who are doing equal work and checks to see if there are any differences and inequalities. Over a number of years, we have worked hard to introduce measures that aim to reduce the gender pay gap at Bath Spa including diversity and unconscious bias training and our Developing Leaders Programme.
- As well as these measures, we have also undertaken the following:
 - Revising the University's Equality Objectives for 2018 to bring to the forefront the recruitment, inclusion and retainment of women and BME staff and students
 - Actively supporting our female staff in their professional development via in-house initiatives such as Imposter Syndrome and Leadership workshops
 - Continuing to monitor and address both the strengths and weaknesses of our university culture through our regular Staff Surveys

- Reviewing the use of positive action statements in recruitment advertisements
- Committed to completing the institutional application to the Athena SWAN Charter and external accreditation, which provides dedicated support and development for female staff
- The establishment of the Women's Leadership Network at Bath Spa.
- Ongoing Equal Pay Reviews and gender pay gap reviews
- Continued transparency and communication of gender pay gap information.
- The University achieved Stonewall recognition in 2014 and is working towards Bronze Athena Swan accreditation.
- As well as the BSU Women's Leadership Network, the University has a LGBTQ+ Staff Network (SONDER) and a Disabled Staff Network, all of which hold regular meetings and events.
- The University's Equality and Diversity Plan was updated in July 2017 (Appendix B)
- Following completion of the equality action plan 2016-17, the following four strategic equality objectives have been identified:
 - We will secure Athena Swan (AS) bronze level accreditation by 2020
 - We will develop female staff at all leadership levels in order to ensure that female representation at this level is within a 5% variation of the percentage of all female staff at BSU
 - We will increase the recruitment of BME staff from 7% of all of those staff appointed to 15% of all of all of those staff appointed in a year by 2021
 - We will reduce the discrepancy in attainment between BME/International students and white students from 18% (2017) to less than 10% (2021) of students achieving a 1st or 2:1 degree.

1.6 Roles and responsibilities in respect of REF 2021

1.6.1 The University's Equality Policy sets out our responsibilities under the Equality Act 2010: 'Promoting and maintaining equality is the responsibility of everyone, although it is recognised that management have additional responsibilities to ensure that the policy is carried out. The Board of Governors and the Vice-Chancellor have overall responsibility for ensuring that the University meets its obligations with regard to the Equality Act 2010.' (See Appendix B) This code of practice has been designed to ensure that the REF 2021 submission process is conducted with reference to the University's Equality Policy and the Equality Act 2010.

1.6.2 The overall conduct and management of the REF 2021 submission process, and institutional adherence to this code of practice, is the responsibility of the Deputy Vice-Chancellor and the Pro Vice-Chancellor (Research and Enterprise). They take

advice from the University's REF Steering Group in formulating matters of institutional strategy and when scrutinising draft submissions for final approval. Advice has also been taken from Human Resources regarding legislative requirements.

1.6.3 A copy of the overall REF 2021 Committee Structure and the University's Research Support Structure can be found in Appendix C.

1.6.4 Responsibilities of Staff and Committees/Groups:

The **Vice-Chancellor** has responsibility for:

- overall ownership of this code of practice and ensuring it is applied equitably
- ensuring that appeals are held and completed according to this code of practice
- submission of this code of practice to Research England with a covering letter of support

The **Director of Human Resources** has responsibility for:

- overview of the Individual Staff Circumstances Disclosure (ISCD) process to ensure transparency and fairness
- consideration of the Appeals on the grounds of an ISCD outcome.

The **Deputy Vice-Chancellor** has responsibility for:

- chairing the University's REF Steering Group, which maintains oversight of the REF 2021 preparations
- strategic management of the University's REF 2021 submission process

A **member of the Vice-Chancellor's Executive Group** not involved in the REF 2021 process at Bath Spa University will have responsibility for:

- consideration of the Appeals in conjunction with the Pro Vice-Chancellor (Research and Graduate Affairs).
- Chair of ISCD panel.

The **Pro-Vice-Chancellor (Research and Enterprise)** has responsibility for:

- overall operational management of the University's REF 2021 submission process

The **Assistant Pro-Vice-Chancellor (Research and Enterprise)** has responsibility for:

- supporting the Pro-Vice-Chancellor (Research and Enterprise) (PVCRE), Heads of School, and the University's Research, Knowledge Exchange and Consultancy Committee (RKECC) in ensuring that the University further develops its reputation for world leading REF research
- working on detailed REF preparations with the Units of Assessment
- the Impact Case Studies submitted to REF 2021

The **REF Manager** has responsibility for:

- operational project management of REF dry run and subsequent actions
- providing strategic advice and support to the Pro-Vice-Chancellor (Research and Enterprise) and Assistant Pro-Vice-Chancellor (Research and Enterprise) in the day to day operational management of the REF 2021 submission process.

Research, Knowledge Exchange and Consultancy Committee (RKECC) has responsibility for:

- undertaking REF 2021 on behalf of Academic Board. Terms of Reference for this Committee are in Appendix D.

The University's **REF Steering Group (RSG)** - chaired by the Deputy Vice-Chancellor - has responsibility for:

- the overall conduct and management of the REF 2021 submission process, and institutional adherence to the code of practice
- the role of the group is to monitor, evaluate and review the identification of staff and outputs procedures and practices of the School level groups, to include their feedback and the appeals processes. Terms of Reference are available in Appendix E.

The University's **REF Impact Working Group (IWG)** - Chaired by a senior professor nominated by the PVCRE - has responsibility for:

- the development of Impact Case Studies for REF 2021. Terms of Reference are available in Appendix F.

Assistant PVC/Deans/Heads of Schools have responsibility for:

- ensuring that the Unit of Assessment Advisory Groups carry out their responsibilities in accordance with their Terms of Reference as set out in Appendix G.
- recommendations to REF Steering Group in respect of the inclusion of individual staff and Unit of Assessment submissions within their discipline areas to REF 2021.

Unit of Assessment Advisory Groups have responsibility for

- considering submissions for inclusion in REF 2021 submission.
- ensuring transparency, consistency, accountability and inclusivity in this process.
- Terms of Reference for the Unit of Assessment Advisory Groups are in Appendix G.

External REF Advisors are responsible for advising the UoA Advisory Groups. Details of their role are in Appendix H.

Unit of Assessment Leaders are available for informal advice on potential submissions on a without prejudice basis. Details of named individuals and of their roles and responsibilities are in Appendix I.

The **Individual Staff Circumstances Disclosure Panel (ISCD)** will be responsible for making judgements on reductions in outputs related to individual staff circumstances. Terms of Reference for this Panel are in Appendix J.

Human Resources (HR) are responsible for:

- ensuring that the code of practice complies with all relevant Equality, Employment and other related legislation
- delivery of REF 2021-specific Equality training
- managing consultation with recognised Trade Unions
- managing the administration of the Individual Staff Circumstances Disclosure Forms and supporting the ISCD Panel
- The Director of Human Resources will have responsibility for supporting the ISCD Appeals process.

The **Equality and Diversity Steering Group** is responsible for:

- ensuring that the code of practice complies with University Equality policies. Terms of Reference for this Group are in Appendix K.

The **Equality and Diversity REF Working Group** is responsible for:

- reviewing all Equality Impact Assessments and making recommendations on any actions to be taken to the REF Steering Group. Terms of reference for this group are in Appendix L.

1.7 Principles

The University is committed to demonstrating fairness to its staff by following the following principles:

1.7.1 Transparency

All processes for the identification of eligible staff who have significant responsibility for research, determining who are independent researchers, and for identifying research outputs for inclusion in the REF 2021 submission, will be transparent through the following means:

- Formal presentation of this code of practice at the University's Academic Board
- Consultation with recognised Trade Unions
- Making this code of practice available to all members of academic and research, full and part-time, permanent and fixed-term contract staff in the following ways:
 - REF Unit of Assessment Leader to take a proactive approach to ensure that all staff are aware of the process.
 - A series of consultations, school meetings and departmental level meetings. Town Hall meetings are open to all staff, with the facility to view and engage from a remote location and to ask questions via Slido. Hard copies of the code of practice (as well as copies via email) will be sent to any staff on maternity/paternity/adoption leave and long term sickness absence.

- Ensuring that all staff involved in REF 2021 complete online equality training (Marshall ACM Equality and Diversity in the Workplace and Unconscious Bias) and, where appropriate, receive REF 2021 specific training on Equality which has been tailored to REF 2021 processes.

Draft versions of the code of practice were developed through a consultative process. Plans for the code of practice were discussed by a number of groups, including the REF Steering Group, Unit of Assessment Leaders, and Research Leaders. Draft versions of the code of practice were shared on Google Drive with University management and all Unit of Assessment Leads.

Further details of the communication strategy can be found in section 1.8 below.

1.7.2 Consistency

The REF Steering Group will take responsibility for ensuring that the criteria and process for the identification of staff and outputs is consistent across the University and that this code of practice is implemented uniformly. The principles to be applied to all aspects/stages of the process at all levels within the University where decisions will be made are set out in Parts 2-4 of this document.

The consistency of decision making by the Unit of Assessment Advisory Groups will be ensured through monitoring by the REF Steering Group (RSG) and the Research, Knowledge Exchange and Consultancy Committee (RKECC). The consistency of the ISCD Panel is the responsibility of the Director of Human Resources.

1.7.3 Accountability

Responsibilities have been clearly defined and individuals and groups involved in the identification of staff for the REF 2021 submissions are identified by name and role. Operating criteria and terms of reference for individuals, committees, advisory groups and any other bodies concerned with the identification of staff to be submitted have been published on the University's website and publicised to all staff through the means set out above. All papers (including records of discussions) related to the identification of staff to be submitted through these groups (with the exception of confidential information on individual staff circumstances, and discussions relating to named individual members of staff) will be published on the University's website.

1.7.4 Inclusivity

All Category A academic staff are eligible for inclusion in the REF 2021 submission. All staff are required to provide through the University's repositories - ResearchSPAcE and BathSPAdata - a full and accurate record of activities within the reporting period,

including copies of research outputs in designated formats. All staff engage in discussions at least annually with Line Managers and Directors of Research (as appropriate) on whether they meet the University's definition of 'actively engaging in independent research' and/or 'independent researcher' and are therefore classed as Significantly Responsible for Research (SRR) for REF 2021 purposes, through the processes set out in Part 2 below. Staff are encouraged to discuss their research development on a regular basis to assess whether or not they meet this definition, so that appropriate workload allocations can be provided to them to develop their research activities.

1.7.5 Data Protection

All records relating to REF 2021 will be processed in accordance with the principles of the EU General Data Protection Regulation (GDPR). Individual personal data submitted for the purposes of determining individual staff circumstances will be retained securely and separately by Human Resources. All personal data will be destroyed once the outcomes of REF 2021 have been published by Research England.

The University will also act in accordance with its published Data Protection Policy. Details of the Policy are available on our website and in Appendix M.

Due care will be taken in record-keeping during REF 2021 preparations to ensure that what is recorded is accurate and defensible, particularly with regard to any matters of opinion rather than fact. All staff will be sent a REF Data Collection Statements for HEIs which gives details of how data will be managed by the University for the purposes of REF 2021 (see Appendix N).

1.8 Communication strategies

1.8.1 The development of the Bath Spa University code of practice has been communicated in a variety of ways:

- Town Hall consultations (all staff invited; events streamed live online, and recorded)
- Code of Practice Working Group
- Emails from the Pro-Vice-Chancellor for Research and Enterprise
- Unit of Assessment Leaders meeting - every 2 months
- REF Manager discussions and one-to-one consultations
- Impact Officer meetings with Impact Case Study leaders
- Human Resources will contact all staff on extended leave of absence, e.g. maternity, adoption and shared-parental leave and long-term sick.

1.8.2 The code of practice will be submitted to Research England before noon on 7 June 2019, after which it will be disseminated to staff through a wide variety of means

during Summer and Autumn 2019. Any amendments required by Research England will be circulated as appropriate.

1.8.3 The timetable for consultation and the process in relation to developing the criteria and definition of Staff with Significant Responsibility for Research , and the development of and consultation on the Code of Practice are as follows:

Date	Details of development and Consultation Process
Sept 2017	<ul style="list-style-type: none"> ● REF Initial decisions ● REF Steering Group discussions
Nov 2017	<ul style="list-style-type: none"> ● REF published Decisions on Staff and Outputs – disseminated to staff ● REF Steering Group discussions ● Unit of Assessment Leader discussions
June 2018	<ul style="list-style-type: none"> ● Town Hall consultation meeting
July 2018	<ul style="list-style-type: none"> ● Consultation on Draft Guidance on Submissions ● REF Steering Group discussions ● Draft code of practice development by Code of Practice Working Group ● Unit of Assessment Leaders discussions
18 Sept 2018	<ul style="list-style-type: none"> ● Meeting with University & Colleges Union (UCU) representatives
31 Jan 2019	<ul style="list-style-type: none"> ● Final REF 2021 guidance published and disseminated
11 Feb 2019	<ul style="list-style-type: none"> ● Code of Practice Working Group met to discuss final REF guidelines
14 Feb 2019	<ul style="list-style-type: none"> ● RKECC considered code of practice discussion paper on SRR criteria

11 March 2019	<ul style="list-style-type: none"> ● REF Steering Group met to agree SRR final draft and identification of outputs process
14 March - 29 March 2019	<ul style="list-style-type: none"> ● Consultation with Unions
1 April 2019	<ul style="list-style-type: none"> ● REF Steering Group agrees SRR strategy and identification of outputs process
April 2019	<ul style="list-style-type: none"> ● Code of Practice Working Group continues to draft code of practice
30 April 2019	<ul style="list-style-type: none"> ● Town Hall code of practice consultation meeting
1 May 2019	<ul style="list-style-type: none"> ● Town Hall code of practice consultation meeting
8 May 2019	<ul style="list-style-type: none"> ● Town Hall code of practice consultation meeting
9 May 2019	<ul style="list-style-type: none"> ● REF Steering Group considers code of practice draft
16 May 2019	<ul style="list-style-type: none"> ● Consultation with Disabled Staff Network
21 May 2019	<ul style="list-style-type: none"> ● Consideration of final draft by Academic Board
21 May 2019	<ul style="list-style-type: none"> ● Final consultation with the Union
21 May - 6 June	<ul style="list-style-type: none"> ● Final amendments made
6 June 2019	<ul style="list-style-type: none"> ● REF Steering Group approves final draft of code of practice
6 June 2019	<ul style="list-style-type: none"> ● Approval by VC ● Qualified approval by UCU branch
7 June 2019	<ul style="list-style-type: none"> ● Submission of code of practice to Research England

- 1.8.4 The final draft of the code of practice, and in particular processes in relation to: the identification of SRR staff and independent researchers; identification of outputs; ISCD; and Equality Impact Assessment review were considered by Academic Board on 21 May 2019 and formally approved.
- 1.8.5 Discussions have been held with the University and College Union (UCU) representatives, and they suggested a number of changes to this document that have been incorporated. The Union representatives offered qualified support of the contents of the code of practice on 6 June 2019.

Part 2: identifying staff with significant responsibility for research

2.1 Principles and procedures

- 2.1.1 The funding bodies require higher education institutions to submit all eligible staff with 'significant responsibility for research' (SRR). Staff with significant responsibility for research are those for whom explicit time and resources are made available to engage actively in independent research, and that is an expectation of their job role.
- 2.1.2 At Bath Spa University, staff classed as having 'significant responsibility for research' will be expected to produce a body of research within the REF cycle. SRR status is monitored on an annual basis through the completion of the SRR/HESA form (Appendix O), which is signed off by Unit of Assessment Leads and Deans/Heads of School (or equivalent). Dry run REF exercises allow management to monitor the research of staff with significant responsibility for research.
- 2.1.3 Staff classed as SRR will be able to use all allocated Research & Scholarly Activity (RSA) time within the Workload Planning Tool to develop their own personal research activities. This could include the continued development of research outputs (including primary research to underpin these activities), development of research bids, and research impact activities. 180 hours (pro-rata) is a minimum allocation, which can be increased for a Reader or Research Professor with other research responsibilities, or for staff engaged to work on externally funded projects.
- 2.1.4 At Bath Spa University we take an inclusive approach to research development and aim to encourage all staff to develop research outputs and undertake independent research activities that will lead to the designation of 'significant responsibility for research' in a timeframe that suits their own professional development. Criteria for designation of 'staff with significant responsibility for research' are set out in 2.3 below.

2.2 Development of processes

- 2.2.1 As set out in section 1.8 above, there has been a wide consultation process in relation to defining and developing our processes for identifying staff with significant responsibility for research.
- 2.2.2 The SRR/HESA form will be sent to staff with accompanying guidance by the PVCRE, and staff will have the opportunity to discuss their research with the appropriate Unit of Assessment Leader as part of this process before final submission.
- 2.2.3 The timetable for the identification of staff with significant responsibility for research

is as follows:

- 7 June 2019 - SRR/HESA form e-mailed to all academic and research staff
- 28 June 2019 - deadline for completion and submission of SRR form
- July 2019 - Dean/Head of School (or equivalent) reviews evidence of research and seeks further clarification where appropriate
- By 31 July 2019 - confirmation of whether or not member of staff is SRR for REF purposes
- August 2019 - appeals process
- September 2019 - confirmation of SRR staff submitted to Human Resources for HESA staffing return.
- August 2020 - October 2020 - audit of all academic staff to confirm whether or not each member of staff continues to be SRR for REF purposes, followed by confirmation to all staff and appeals process, to inform the 2019/20 HESA staff return.

2.3 Criteria and Process for identification of staff with significant responsibility for research

- 2.3.1 All academic staff eligible for REF will be required to complete an SRR/HESA form on an annual basis (in June) which will ask them to indicate the main focus of their research and scholarly activities (see Appendix O).
- 2.3.2 For the purposes of the REF, research is defined as ‘a process of investigation leading to new insights, effectively shared.’
- 2.3.3 Staff will have the opportunity through this process of indicating whether or not they are actively engaged in independent research activities eligible as outputs for the current REF period (1 January 2014 - 31 December 2020). This will need to be evidenced through publications and material in either of our two research repositories - ResearchSPAce and BathSPAdata, - and through material provided to Unit of Assessment Leaders. Inclusion of independent research supporting REF 2021 draft Impact Case Studies is also a criteria for ‘Significantly Responsible for Research’ (SRR) status.
- 2.3.4 According to published REF guidelines (REF 2019/01), independent research activities could include the following:
- evidence of producing outputs such as journal articles, monographs, creative publications, exhibitions, performances, artefacts
 - impact activities which are underpinned by original research,
 - evidence of producing outputs such as scholarly editions in forms such as dictionaries, scholarly editions, catalogues and contributions to major databases.

Staff who are not clear about whether or not they have sufficient evidence to meet the criteria for SRR should discuss this with their Unit of Assessment Leader before submitting the form.

- 2.3.5 Responses to this SRR/HESA form will be reviewed by the Dean/Head of School (or equivalent), and Unit of Assessment Leaders will be asked to confirm that all staff who have indicated that they are actively engaged in independent research have sufficient evidence to support this. Staff will be required to produce evidence of actively producing outputs such as journal articles, monographs, exhibitions, artefacts, performances, which are underpinned by original research, or other original research activities (e.g. impact), or evidence of external research grants and contracts.
- 2.3.6 Where there is insufficient evidence at the current time to support a claim for SRR, the Unit of Assessment Leader will discuss this with the member of staff concerned, and recommend to the Dean/Head of School (or equivalent) whether or not the claim can be substantiated. The Assistant PVCRE (Research and Enterprise) is available to support these discussions. The Dean/Head of School (or equivalent) will make a final judgement based on the evidence provided, and the member of staff concerned will be informed as to whether their designation as SRR can be confirmed. An appeals process will be put in place (chaired by a member of Vice-Chancellor's Advisory Group who is not involved in the REF process).
- 2.3.7 Staff who make a valid case that they are SRR but have been unable to engage actively with research during the REF period due to particular circumstances will be advised to apply through the ISCD process to be considered for submission to REF without the required minimum of one output.
- 2.3.8 Final decisions will be confirmed to all academic staff on their status in relation to SRR by the end of September to meet the timetable for HESA (and the REF census date for REF 2021). Template letters advising staff of these decisions are set out in Appendices P1 and P2.
- 2.3.9 In July 2019, and again in July 2020, Deans/Heads of School (or equivalent) will be invited to confirm to the REF Steering Group lists of staff in their areas designated as 'Significant Responsibility for Research' (SRR) for REF 2021, as a result of consultations and discussions with Unit of Assessment Leaders in Schools.
- 2.3.10 Staff who have been designated as 'SRR' will be allocated the minimum of 180 hours institutionally supported research time in the Workload Planning Tool for 2019/10.
- 2.3.11 Consideration of research outputs and their inclusion in each Unit of Assessment will be undertaken by the Unit of Assessment Advisory Groups over the 2019/20 and

2020/21 academic years, informed by External Advisors and the ISCD process. Details of this process are set out in Part 4 of this document.

2.4 Staff, Committees and Training

- 2.4.1 Roles and responsibilities in respect of identifying staff who have significant responsibility for research are set out in section 1.6 above. Specifically:
- PVCRE will issue online form and guidance to all eligible staff
 - Human Resources will issue the online form and guidance to all staff on extended leave of absence, e.g. maternity, adoption and shared-parental leave and long-term sick.
 - Deans/Heads of School (or equivalent) will make final decisions on SRR status and will confirm these decisions to individual members of staff.
 - Unit of Assessment Leaders will consult with all eligible staff on criteria and definitions for SRR.
 - A member of the Vice-Chancellor's Executive Group not involved in the REF 2021 submission process will manage the appeals process.
 - Equality & Diversity REF Working Group will make recommendations to REF Steering Group on any issues arising from the Equality Impact Assessment of SRR/Independent Researchers.
- 2.4.2 Unit of Assessment Leaders have a defined role descriptor as set out in Appendix I. Unit of Assessment Leaders were initially recommended to REF Steering Group by the Deans/Heads of School on grounds of subject expertise and research experience in their discipline area. These are annual appointments which are reconfirmed at the start of each academic year by the PVCRE on behalf of REF Steering Group. Unit of Assessment Leaders have regular meetings with the PVCRE and REF Manager where issues relating to REF are discussed and considered. Unit of Assessment Leaders are expected to take day-to-day responsibility for the management of the process in their Unit of Assessment areas, and this forum is an opportunity to discuss and resolve any issues and processes.
- 2.4.3 The University Research, Knowledge Exchange and Consultancy Committee (RKECC) put an annual review of outputs process in place in 2014/15. As part of this process, REF External Advisors were appointed with the remit as set out in Appendix H to undertake quality reviews of outputs available in each academic year, and these quality reviews have been used to inform preparation for REF 2021 at Bath Spa University. All eligible staff are able to draw on the results of the annual quality review of outputs as part of the process of providing evidence of independent research for meeting the criteria and definition of SRR in the annual review process. Outcomes of the annual review of research outputs are reviewed each year by the Research, Knowledge Exchange and Consultancy Committee (RKECC).
- 2.4.4 A Dry Run REF which took place in February 2019 facilitated the review of staff research outputs within the contexts of specific units of assessment. This process was managed by the REF Manager, working with the Unit of Assessment Leaders, and the

REF Impact Officer. A series of Dry Run REF review meetings, chaired by the Deputy Vice-Chancellor, examined the data produced by the Dry Run. The results of the Dry Run were discussed at REF Steering Group, and a series of Action Points agreed for all Unit of Assessment areas. Additional Dry Run exercises, following the same process, took place in January 2020, July 2020. A final Dry Run review of all documentation will take place in October 2020.

2.4.5 All staff involved in the process of making decisions on SRR are required to take the following online training modules:

- University's Diversity in the Workplace
- Unconscious Bias
- Information Security Awareness and Introduction to GDPR e-learning training.
- Please note the latter 2 e-learning modules are due to be replaced with a single Information Security Awareness version 2 module in the very near future.

2.5 Appeals

2.5.1 Appeals against decisions relating to identification of staff who are significantly responsible for research, including timetable and process, have been put in place as part of the SRR process described in section 2.3 above. The appeals process is set out in Appendix Q.

2.5.2 The appeals process will be made clear to all staff when they are advised of the decisions made in relation to SRR in the letter sent to them by their Dean/Head of School (or equivalent):

- Appendix P.1 - Decision letter confirming designated as staff member with 'significant responsibility for research'
- Appendix P.2 - Decision letter confirming that they have not been designated as staff member with 'significant responsibility for research'.

2.6 Equality Impact Assessment (EIA)

2.6.1 An Equality Impact Assessment will be undertaken by all staff designated as SRR after the Appeals process is completed as part of the 2018/19 identification, and 2019/20 confirmation of SRR processes.

2.6.2 The Equality Impact Assessment will be reviewed by the Equality and Diversity REF Working Group against the initial Equality Impact Assessment on all eligible staff (Appendix R). Recommendations for actions will be submitted to the REF Steering Group. These will be taken into account when finalising the HESA staff submission each academic year.

2.6.3 An initial Dry Run exercise took place in Spring 2019 to assess preparations for REF 2021 to date. This process modelled potential scenarios for REF 2021, but did not include the formal identification staff that had been identified as SRR or independent researchers, or make decisions on the identification of outputs to be submitted. An

Equality Impact Assessment was therefore not put in place to review the first Dry Run process.

Part 3: Determining research independence.

3.1 Principles and procedures

- 3.1.1 Staff employed on 'research only' contracts must be independent researchers to meet the REF definition of Category A eligible. All staff on 'research only' contracts who are independent researchers will have significant responsibility for research and should be returned as Category A submitted staff.
- 3.1.2 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. They must not be listed as Category A submitted staff purely on the basis that they are named on one or more research outputs.
- 3.1.3 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 (except in the circumstances described in paragraph 129 of REF 2019/01). They are usually funded by 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.
- 3.1.4 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.

3.2 Development of process

The process for consultation and development is as set out in Section 2.2 above.

3.3 Criteria for and process for determining research independence

- 3.3.1 All staff on research contracts will be required to discuss their research with the relevant Unit of Assessment Leader on at least an annual basis to indicate the main focus of their research and activities. Meetings will be arranged with all staff on research only contracts to determine whether or not they meet the criteria for 'independent research' as set out below:
- 3.3.2 Indicators of research independence:
- Leading or acting as principal investigator or equivalent on an externally funded research project
 - Holding an independently won, competitively awarded fellowship where research independence is a requirement
 - Leading externally funded research groups or a substantial or specialised work

- package linked to a research project
- 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
 - Actively engaged in independent research activities for the current REF period (1 January 2014 - 31 December 2020) evidenced through publications and material in ResearchSPAce and BathSPAdata, and through material provided to Unit of Assessment Leaders (see list in the REF guidance document - REF 2019/01)
 - A member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs.
- 3.3.3 Outcomes of these discussions will be reviewed by the Dean/Head of School (or equivalent), and Unit of Assessment Leaders will be asked to confirm that all staff who have indicated that they are actively engaged in independent research have sufficient evidence to support this. Staff will be required to produce evidence of actively producing outputs such as journal articles, monographs, exhibitions, artefacts, performances, which are underpinned by original research, or other original research activities (e.g. impact), or evidence of external research grants and contracts.
- 3.3.4 Where there is insufficient evidence at the current time to support a claim for independent research, the Unit of Assessment Leader will discuss this with the member of staff concerned, and recommend to the Dean/Head of School (or equivalent) whether or not the claim can be substantiated. The Assistant PVCRE is available to support these discussions. The Dean/Head of School (or equivalent) will make a final judgement based on the evidence provided, and the member of staff concerned will be informed as to whether their designation as Independent Researcher can be confirmed. An appeals process will be put in place (chaired by a member of Vice-Chancellor's Advisory Group not involved in the REF process).
- 3.3.5 Staff who make a valid case that they are independent researchers but have been unable to engage actively with research during the REF period due to particular circumstances will be advised to apply through the ISCD process to be considered for submission to REF without the required minimum of one output.
- 3.3.6 Final decisions will be confirmed to all research staff on their status in relation to 'independent research' by 31 July to meet the timetable for HESA (and the REF census date for REF 2021). Template letters advising staff of these decisions are set out in Appendices P1 and P2.
- 3.3.7 In July 2019 and July 2020, Deans/Heads of School (or equivalent) will be invited to confirm to the REF Steering Group lists of research staff in their areas that have been designated as 'Independent Researchers' for REF 2021, as a result of consultations and discussions with Unit of Assessment Leaders.

3.3.8 Consideration of research outputs and their inclusion in each Unit of Assessment will be taken forward by the Unit of Assessment Advisory Groups over the 2019/20 and 2020/21 academic year, informed by External Advisors and the ISCD process. Details of this process are set out in Part 4 of this document.

3.4 Staff, committees and training

3.4.1 Roles and Responsibilities in respect of identifying staff who will be designated 'independent researchers' are set out in section 1.6 above. Specifically:

- Unit of Assessment Leaders will undertake individual meetings with all research contract staff and discuss whether or not they meet the definitions of 'Independent Research' as set out in section 3.3 above
- Human Resources will facilitate discussions with all staff on extended leave of absence, e.g. maternity, adoption and shared-parental leave and long-term sick
- Deans/Heads of School (or equivalent) will make final decisions on 'independent researcher' status and will confirm these decisions to individual members of staff
- A member of the Vice-Chancellor's Executive Group not involved in the REF 2021 identification of staff and outputs process will manage the appeals process
- Equality & Diversity REF Working Group will make recommendations to REF Steering Group about any issues arising from the Equality Impact Assessment (EIA) of designated SRR/Independent Researchers.

3.4.2 Unit of Assessment Leaders have a defined role descriptor as set out in Appendix I. Unit of Assessment Leaders were initially recommended to REF Steering Group by the Deans/Heads of School on grounds of subject expertise and research experience in their discipline area. These are annual appointments, which are reconfirmed at the start of each academic year by the PVCRE on behalf of REF Steering Group. Unit of Assessment Leaders have regular meetings with the PVCRE and REF Manager where issues relating to REF are discussed and considered. Unit of Assessment Leaders are expected to take day-to-day responsibility for the management of the process in their unit of assessment areas, and this forum is an opportunity to discuss and resolve any issues and processes.

3.4.3 The University Research, Knowledge Exchange and Consultancy Committee (RKECC) put an annual review of outputs process in place in 2014/15. As part of this process, REF External Advisors were appointed with the remit as set out in Appendix H to undertake quality reviews of outputs available in each academic year, and these quality reviews have been used to inform preparation for REF 2021 at Bath Spa University. All eligible staff are able to draw on the results of the annual quality review of outputs as part of the process of providing evidence of independent research for meeting the criteria and definition of SRR in the annual review process. Outcomes of the annual review of research outputs are reviewed each year by the University Research, Knowledge Exchange and Consultancy Committee (RKECC).

3.4.4 A Dry Run REF which took place in February 2019 facilitated the review of staff research outputs within the contexts of specific units of assessment. This process was

managed by the REF Manager, working with the Unit of Assessment Leaders, and the REF Impact Officer. A series of Dry Run REF review meetings, chaired by the Deputy Vice-Chancellor, examined the data produced by the Dry Run. The results of the Dry Run were discussed at REF Steering Group on a series of Action Points agreed for all Unit of Assessment areas.

3.4.5 All staff involved in the process of making decisions on independent research' are required to take the following online training modules:

- University's Diversity in the Workplace
- Unconscious Bias
- Information Security Awareness and Introduction to GDPR e-learning training.
- Please note the latter 2 e-learning modules are due to be replaced with a single Information Security Awareness version 2 module in the very near future.

3.5 Appeals

3.5.1 Appeals against decisions relating to identification of staff who are classed as an 'Independent Researcher', including timetable and process has been put in place as part of the process described in section 3.3 above. The appeals process is set out in Appendix Q.

3.5.2 The appeals process will be made clear to all staff when they are advised of the decisions made in relation to 'Independent Research' in the letter sent to them by their Dean/Head of School (or equivalent):

- Appendix S.1 - Decision letter confirming designated as staff member acting as an independent researcher for REF purposes
- Appendix S.2 - Decision letter confirming that has not been designated as staff member acting as an independent researcher for REF purposes.

3.6 Equality Impact Assessment (EIA)

3.6.1 The population of Research Contract staff at Bath Spa University eligible is currently 12 FTE. It is therefore not possible to undertake a separate Equality Impact Assessment (EIA) on these staff as sensitive individual characteristics would be able to be determined for individuals in this small group.

3.6.2 As a result of this, these staff will be included as part of the Equality Impact Assessment of all staff designated as SRR and 'independent researchers' after the Appeals Process is completed.

3.6.3 The Equality Impact Assessment (EIA) will be reviewed by the Equality and Diversity REF Working Group against the initial Equality Impact Assessment (EIA) on all eligible staff (Appendix R). Recommendations for actions will be submitted to the REF Steering Group. These will be taken into account when finalising the HESA staff submission each academic year. Full details of the Equality Impact Assessment process are set out in Appendix R.

3.6.4 An initial Dry Run exercise took place in Spring 2019 to assess preparations for REF 2021 to date. This process modelled potential scenarios for REF 2021, but did not include the formal identification staff that had been identified as SRR or independent researchers, or make decisions on the identification of outputs to be submitted. An Equality Impact Assessment was therefore not put in place to review the first Dry Run.

Part 4: Identification of outputs to be submitted to REF

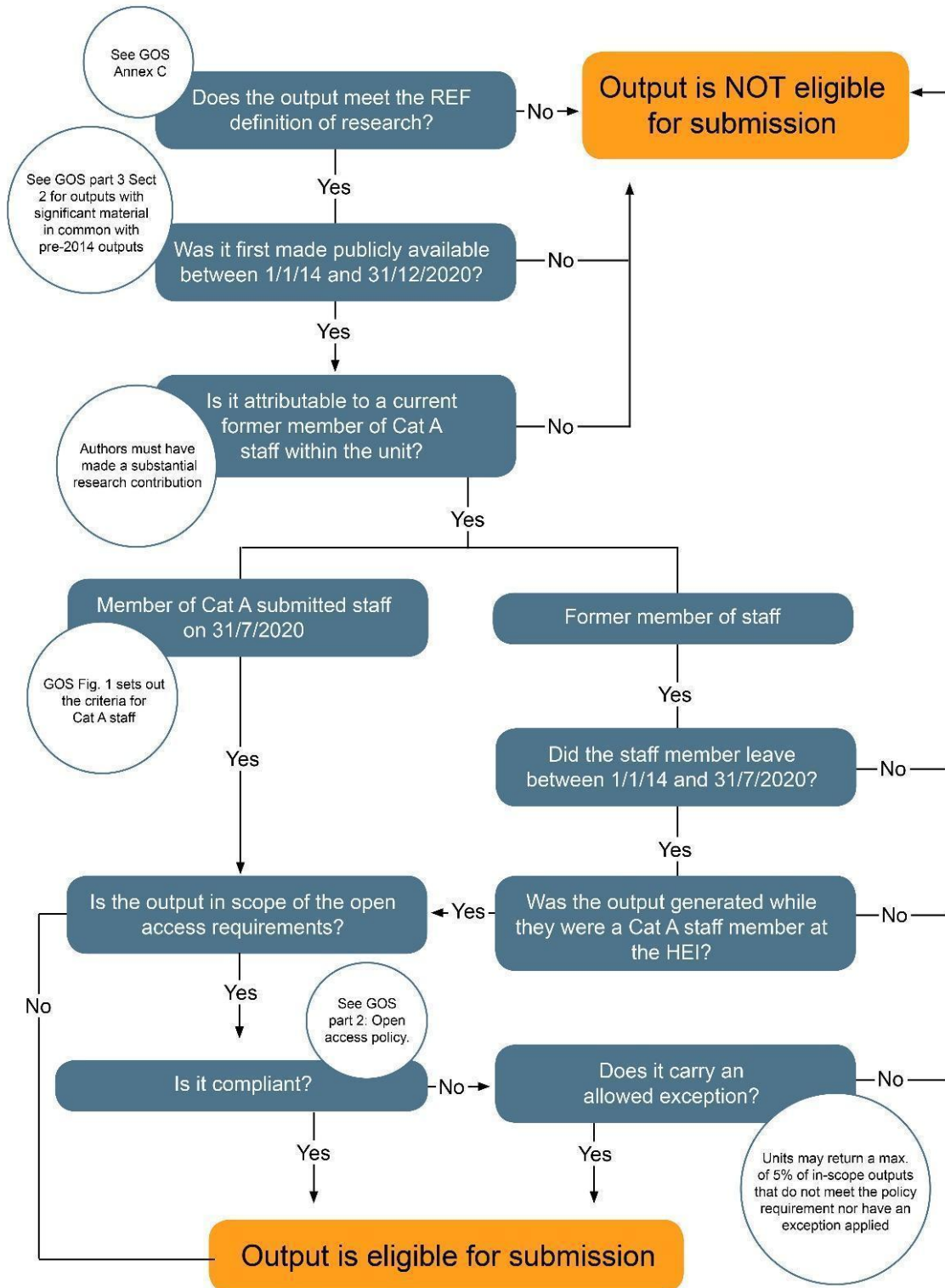
4.1 Policies and procedures

- 4.1.1 Once decisions on designations of SRR have been made, the Chairs of Unit of Assessment Advisory Groups and Deans/Heads of School (or equivalent) will confirm the total FTE of submitted staff in each Unit of Assessment. For each Unit of Assessment, the number of outputs required will be calculated, and the Unit of Assessment Advisory Groups will determine which outputs for those available should be selected for submission, based on input from External Advisors.
- 4.1.2 Research outputs will not be submitted for assessment unless Open Access requirements have been met, and copies and/or portfolios are available for submission to panels.
- 4.1.3 Outputs will be selected on the basis of the three standard measures of quality put forward by Research England for the REF 2021: 'originality', 'significance' and 'rigour', with reference to international research quality standards.
- 4.1.4 In addition to the above, the Psychology Unit of Assessment Advisory Group will also take into account citation data and journal impact factors as set out in the published REF Panel Criteria and Working Methods Guidance (2019/02).
- 4.1.5 Bath Spa University may wish to include outputs of staff who have taken voluntary severance. In these cases we have opted to provide notification to former staff if we have chosen to include their outputs rather than seek proactive consent.

In the case of redundancy, Bath Spa University will seek consent from members of staff and from former members of staff to include their outputs in our REF submission.

Bath Spa University will consider requests to be included or excluded from REF from members of staff and former members of staff who meet the SSR definition and who have taken voluntary severance or whose posts are made redundant. The UoA Advisory Groups will consider these outputs for inclusion in the final submission and will take a strategic view on whether or not these outputs are beneficial to the final UoA submission.

- 4.1.6 See below for the REF output eligibility table:



4.2 Procedure for the identification of outputs to be submitted

4.2.1 Unit of Assessment Leaders will ask each member of SRR staff within their Unit of Assessment to confirm and rank their strongest outputs that meet the eligibility criteria for REF 2021.

4.2.2 Unit of Assessment Advisory Groups will then review these and agree by mutual consent which are of strongest quality. Outputs to be submitted will be selected on the following basis until the 2.5/FTE threshold has been reached:

- 4* outputs - selected to reflect the range of research across the Unit of Assessment
- 3* outputs - selected to reflect the range of research across the Unit of Assessment
- 2* outputs - selected to reflect the range of research across the Unit of Assessment
- 1* outputs - selected to reflect the range of research across the Unit of Assessment

The process of review will be informed by Unit of Assessment Leader training and development. This will take place before the Unit of Assessment Advisory Groups are convened after the initial identification of Category A submitted staff is complete.

If outputs are identified which have not been put forward by the individual concerned (as set out in 4.2.1 above), a discussion will be held with the Unit of Assessment Leader to explain the rationale behind these decisions.

4.2.3 Unit of Assessment Advisory Groups will make final decisions based on the quality of each research output available, seeking external verification where applicable. The Unit of Assessment Advisory Group will also take into account staff circumstances, double-weighting, and potential reductions in outputs where appropriate.

4.2.4 Unit of Assessment Advisory Groups will take into account the spread of outputs across the submitted staff group, with due consideration of Equality & Diversity issues, informed by the recommendations arising out of the initial Equality Impact Assessment of staff designated as SRR across the University.

4.2.5 The REF 2021 criteria (REF 2019/02 Panel criteria and working methods) state that panels will not normally accept the submission of duplicate research outputs within a single Unit of Assessment. This will only be permitted under exceptional circumstances for highly significant research outputs. In the case that this may necessitate the identification of, for example, only one output co-authored by two submitted staff in the same Unit of Assessment, this will be done in such a way so as not to disadvantage staff due to any individual circumstances listed below.

4.2.6 Once the above process has been completed, the Unit of Assessment Advisory Groups will make recommendations on outputs to be selected to REF Steering Group.

4.2.7 An independent Equality & Diversity REF Working Group will be responsible for reviewing all Unit of Assessment Equality Impact Assessments and for making recommendations to panels for changes. Membership and Terms of Reference for the Equality & Diversity REF Working Group are set out in Appendix L.

4.3 Staff, committees and training

4.3.1 Roles and Responsibilities in respect of selecting staff outputs are set out in section 1.6 above. Specifically:

- Unit of Assessment Leaders will contact each member of SRR/Independent Researcher designated staff to determine which outputs they consider to be the strongest in relation to REF output criteria
- Human Resources will facilitate discussions with all staff on extended leave of absence, e.g. maternity, adoption and shared-parental leave and long-term sick.
- Unit of Assessment Advisory Groups will then review these preferences, and make final decisions based on the quality for each research output available, seeking external verification where applicable. Unit of Assessment Advisory Groups will make recommendations on identification of outputs to be submitted to REF Steering Group
- REF Steering Group (RSG) will make final decisions on the identification of outputs to be submitted
- Equality & Diversity REF Working Group will make recommendations to REF Steering Group in any issues arising from the Equality Impact Assessment (EIA) of outputs selected.

4.3.2 Unit of Assessment Leaders have a defined role descriptor as set out in Appendix I. Unit of Assessment Leaders were initially recommended to REF Steering Group by the Deans/Heads of School on grounds of subject expertise and research experience in their discipline area. These are annual appointments which are reconfirmed at the start of each academic year by the PVCRE on behalf of REF Steering Group. Unit of Assessment Leaders have regular meetings with the PVCRE and REF Manager where issues relating to REF are discussed and considered. Unit of Assessment Leaders are expected to take day-to-day responsibility for the management of the process in their Unit of Assessment areas, and this forum is an opportunity to discuss and resolve any issues and processes.

4.3.3 The University Research, Knowledge Exchange and Consultancy Committee (RKECC) put an annual review of outputs process in place in 2014/15. As part of this process, REF External Assessors were appointed with the remit as set out in Appendix H to undertake quality reviews of outputs available in each academic year, and these quality reviews have been used to inform preparation for REF 2021 at Bath Spa University.

4.3.4 Unit of Assessment Advisory Groups will draw on the results of the annual quality review of outputs and the Dry Run REF which took place in February 2019 which facilitated the review of staff research outputs within the contexts of specific units of

assessment. This process was managed by the REF Manager, working with the Unit of Assessment Leaders, and the REF Impact Officer. A series of Dry Run REF review meetings, chaired by the Deputy Vice-Chancellor, examined the data produced by the Dry Run. The results of the Dry Run were discussed at REF Steering Group and a series of Action Points were agreed.

- 4.3.5 All staff involved in the process of making decisions on the identification of outputs to be submitted are required to take the following online training modules:
- University's Diversity in the Workplace
 - Unconscious Bias
 - Information Security Awareness and Introduction to GDPR e-learning training.
 - Please note the latter 2 e-learning modules are due to be replaced with a single Information Security Awareness version 2 module in the very near future.
- 4.3.6 In addition, members of Unit of Assessment Advisory Groups, REF Steering Group, ISCD panel, and the Equality and Diversity REF Working Group will be required to undertake specific REF related Equality & Diversity training provided by Human Resources. This is based on the material prepared by AdvanceHE which builds on the REF 2014 Equality and Diversity training delivered by the Equality Challenge Unit.
- 4.3.7 In line with the principles of transparency, consistency, accountability and inclusivity, the training courses set out in 4.3.6 above will be open to all academic staff.

4.4 Definitions of individual staff circumstances

- 4.4.1 A minimum of one output is required for each Category A submitted staff member. Staff identified as SRR/Independent Researcher may be returned, at their request, with fewer outputs without penalty in the assessment, if one or more of the following circumstances significantly constrained their ability to produce outputs or to work productively throughout the assessment period. Details of the permitted reductions of outputs for REF 2021 are in Appendix T.
- 4.4.2 Staff circumstances that qualify for a reduction in outputs
- Qualifying as an early career researcher
 - Absence from work due to secondments or career breaks outside HE lasting at least 12 months
 - Qualifying periods of family-related leave
 - Circumstances equivalent to absence.
- 4.4.3 All staff identified as SRR/Independent Researcher will be provided with the means to make a request to have their outputs reduced.
- 4.4.4 A policy and procedure for the disclosure and consideration of individual staff circumstances was approved for REF 2014 which set out how staff disclosures will be considered, in confidence, by a separate panel. The way requests will be dealt with by

the University for REF 2021 is unchanged. There is one key difference in REF 2021, in that all equality related requests for reductions in outputs must solely be at the request of the individual. The University will not induce staff to make requests for a reduction in outputs. The University will not use staff circumstances to support requests for Unit of Assessment reductions without the permission of the individual making the request.

- 4.4.5 Requests for initial individual staff circumstances disclosure to be taken into account should be submitted by a set deadline of which will be circulated to all staff, with a confirmed date by which staff will be informed of decisions. Further opportunities to disclose individual circumstances for consideration will be open throughout the process if required. Dean/Heads of Schools (or equivalent) will only be informed of the names of staff who qualify for reduced outputs as a result of individual staff circumstances - documentation will remain confidential to ISCD Panel. Appeals against these decisions should follow the procedure set out in the approved REF 2021 Appeals process (See Appendix Q).

4.4.6 Disclosure of circumstances

All SRR/Independent Researcher staff whose outputs are eligible for submission to REF 2021 will be sent information on how to make a claim for a reduction in outputs in relation to equality-related circumstances. Staff will be advised that they are not compelled to make a request, but should they wish to do so, this request will be treated in a supportive way, and all data will be managed confidentially.

The form will be submitted through Bath Spa University's Liquid Office system to designated Human Resources staff who will prepare it for the Individual Staff Circumstances Disclosure (ISCD) Panel's consideration. All data will be anonymised, and every effort will be made to ensure that individuals are not identifiable. It is recognised that Bath Spa University is a small institution and as such it may not be possible to ensure complete anonymity.

All members of the ISCD Panel will be given REF 2021 specific training and will also have completed the University's Diversity in the Workplace, Unconscious Bias, Information Security Awareness and Introduction to GDPR e-learning training. (Please note the latter 2 e-learning modules are due to be replaced with a single Information Security Awareness version 2 module in the very near future).

Staff will be informed of the outcomes from the ISCD Panel and will be given an opportunity to appeal the decision before the Dean/Head of School (or equivalent) is informed of the reduction.

Staff may be returned with reduced outputs without penalty in the assessment if one

or more of the following circumstances significantly constrained their ability to produce outputs or to work productively throughout the assessment period.

4.4.7 Circumstances with a **clearly defined** reduction in outputs, which are:

- Qualifying as an Early Career Researcher (started career as an independent researcher on or after 1 August 2016)
- Absence from work due to secondments or career breaks outside of HE
- Qualifying periods of maternity, paternity or adoption leave.

4.4.8 **Circumstances equivalent to absence** that require a judgement about the appropriate reduction in outputs, are:

- Disability (including chronic conditions)
- Ill health or injury
- Mental health conditions
- Constraints relating to family leave that fall outside of standard allowance (these may include but are not limited to: medical issues associated with pregnancy or maternity; health and safety restrictions in laboratory or field work during pregnancy or breastfeeding; constraints on the ability to travel to undertake fieldwork due to pregnancy or breastfeeding)
- Caring responsibilities (such as caring for an elderly or disabled family member)
- Gender reassignment
- Other circumstances relating to the protected characteristics, or to activities protected by employment.

4.4.9 Where an individual has one or more circumstances with a clearly defined reduction in outputs, the number of outputs that may be reduced will be determined according to Annex L of the published REF Guidance on Submissions REF 2019/01 (pp.113-6). For clearly defined circumstances the ISCD Panel will assess the reduction in outputs in accordance with this guidance and advise the relevant Deans/Heads of School (or equivalent) of the reduced outputs.

4.4.10 Where there is a combination of clearly defined circumstances the ISCD Panel will consider whether they can be accumulated up to a maximum reduction of 1.5 outputs in accordance with the REF Guidance on submissions (REF 2019/01 January 2019), Annex L.

4.4.11 Where staff have had one or more complex circumstances – including a combination with any clearly defined circumstances - the ISCD Panel will make a judgement on the appropriate reduction of the number of outputs submitted and provide a rationale for this judgement. This rationale will be shared with the staff member and ultimately via form REF6a with EDAP. Please note that the submissions to EDAP are expected to

be no more than 200 words and therefore the rationale provided to staff may be shortened when added to form REF6a.

4.4.12 Circumstances relating to the Covid-19 Pandemic

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

1. Output(s) in the process of being produced have been affected by COVID-19 during the assessment period (1 January 2014 to 31 July 2020). This includes effects due to applicable circumstances (such as ill health, caring responsibilities); other personal circumstances related to COVID-19 (such as furloughed staff, health-related or clinical staff diverted to frontline services, staff resource diverted to other priority areas within the HEI in response to COVID-19); and/or external factors related to COVID-19 (for example, restricted access to research facilities)
2. The overall impact of the COVID-19 effects, combined with other applicable circumstances affecting the staff member's ability to research productively during the assessment period, is deemed similar to the impact of the circumstances cases set out at paragraph 179a. to c. of the 'Guidance on submissions'. For example, where a staff member is an early career researcher, or has held a fractional contract for a significant proportion of the assessment period, and has experienced COVID-19 related disruption to the production of an eligible output.

4.4.13 Units of Assessments may optionally request Unit reductions where staff circumstances have disproportionately affected the potential output pool. Reduction requests may be made, without penalty:

1. Where there are very high proportions of staff in the unit whose individual circumstances have affected their productivity; or
2. Where disciplinary publishing norms make it likely that an individual will have generated a smaller number of outputs.

4.4.14 As stated above, Individual Staff Circumstances disclosures will be the responsibility of the ISCD Panel. All staff potentially eligible for submission will be advised that they can complete an online form about their individual staff circumstances. This form will be generated using Liquid Office, and the content will be based on the [template published by REF 2021](#) and the University's Disclosure of Individual Staff Circumstances Policy, Individual Staff Circumstances Disclosure Form and memorandum inviting staff to complete the form are available in Appendix U. All completed Liquid Office forms will be sent to the nominated Human Resources representatives who will be responsible for the safekeeping of this information and providing it to the ISCD Panel. Human Resources will ensure their safekeeping in

accordance with the records retention and Data Protection statement as in Section 2.

4.5 Equality Impact Assessment (EIA)

- 4.5.1 An Equality Impact Assessment will be completed on the identification of outputs across each of the quality bandings.
- 4.5.2 The Equality & Diversity REF working group will review across each of the 4*/3*/2*/1* bandings against the SRR benchmark Equality Impact Assessment to determine whether or not there are discrepancies and, if so, if these can be justified. A report will be submitted with recommendations to the REF Steering Group.
- 4.5.3 The REF Steering Group will review the spread of outputs across each Unit of Assessment and the Equality Impact Assessment (EIA) report, and will make final decisions on the identification of outputs informed by these processes. Any changes will be discussed with the Unit of Assessment Leader and with the member of staff concerned.
- 4.5.4 The Equality Impact Assessment will be reviewed by the Equality and Diversity REF Working Group, and recommendations for actions submitted to the REF Steering Group. These will be taken into account when finalising the HESA staff submission each academic year. Full details of the Equality Impact Assessment process are set out in Appendix R.

Part 5:

REF 2021 Development of Submission Timetable

- 5.1 A timetable for the development of Bath Spa University's submission to REF 2021 was approved by the REF Steering Group at the start of the 2017/18 academic year. The timetable has been revised to reflect the delay to the REF 2021 submission timetable due to the effects of the Covid-19 pandemic.

This is an iterative document, but it gives a comprehensive overview of the decision making processes we have adopted in our approach to REF 2021.

Date	ACTION IDENTIFIED
<i>Sept 2017</i>	<i>Stage 1 REF guidance on submissions published</i> <i>Research England Invites nominations for panel members and sub-panel chairs</i>
<i>Sept 2017 - Oct 2017</i>	<i>Research England consultation on submission of staff and outputs</i>
Sept 2017 - Oct 2017	Impact Working Group invites staff to submit details of potential impact that could form the basis of ICS and agrees development plan IWG - 5/10/2017
Sept 2017 - Oct 2017	RSG considers response to consultation on <i>Research England</i> consultation of staff and outputs RSG - 30/10/17
Nov 2017	Research England publishes further guidance on staff and outputs
Jan 2018	RSG 11/01/2018 Consideration of establishment of Code of Practice Sub-Group to determine how the university will approach the identification of staff and outputs for REF 2021
Oct 2017 - May 2018	Workshops on development of 300 word statements, identifying REF-able outputs and developing and evidencing impact
Jan-Feb 2018	External review of REF-able outputs

March 2018	<p>RSG - 8 March 2018</p> <ul style="list-style-type: none"> - RSG considers definitions of 'significantly responsible for research' and potential audit trails to support this (informed by CoP Sub-Group) - RSG considers outcomes of 2018 review of outputs
March 2018 RKECC	15 March - Quality Review of REF-able outputs
March 2018 - June 2018	UoA Leaders and Deans draw up long-list of potential outputs and potential staff for REF 2021 and proposed potential UoAs for submission
April 2018	Impact Working Group considers long-list of Impact Case Studies and map them against potential UoAs
April - July 2018	Consultation and individual meetings with academic staff to determine 'significantly responsible for research' status
RSG 2/5/18 RSG July 18	<p>RSG 2/5/18 considers:</p> <ul style="list-style-type: none"> - Eligible Staff mapped against UoAs and associated outputs <p>RSG July 18</p> <ul style="list-style-type: none"> - Potential Impact Case Studies mapped against UoAs
By 31 July 2018	Indicated lists of staff with potential to be designated as SRR/Independent Researchers for all UoAs
By 31 July 2018	Potential ICSs and ICS leads identified for all UoAs
July - 2018	Research England publishes draft guidance, and consultation on panel criteria
By 7 September 2018	REF 2021 guidance disseminated to all UoA Leaders and REF management teams
By 31 October 2018	All existing research outputs metadata included in research SPACe – Publications Librarian to work with UoA Leaders to send outputs for review
Aug 2018 – Dec 2018	ICS Working Group continues to develop ICS with ICS leaders

	Code of Practice Working Group develops draft Code of Practice documentation with definitions for staff designated as 'SRR' and as 'independent researcher'
Aug 2018 – Jan 2019	1st Dry Run Exercise Deadline for Dry Run submissions – 21 December 2018
Jan 2019	Research England publishes final guidance and criteria
Feb 2019	REF Dry Run review
Feb-June 2019	Further consultation and discussions to inform development of Code of Practice documentation
Feb – July 2019	Further discussions with individual members of academic staff on whether or not they are designated as SRR for REF purposes. Deans will make recommendations to RSG informed by discussions with Directors of Research and REF Manager on which staff will be confirmed as SRR for submission in REF 2021
March 2019 - June 2019	Ongoing External Reviews of REF-able outputs
21 May 2019	Code of Practice considered by Academic Board and UCU representatives
6 June 2019	REF Steering Group approves final draft of CoP for approval by VC RSG 6/6/2019
7 June 2019	Submission of Code of Practice to REF 2021
27 June 2019	2nd draft of REF UoA Environment Templates considered by RKECC RKECC 27/06/2019
June-August 2019	SRR/Independent Researcher designation process and appeals process
March 2019 – June 2019	Schools prepare second drafts of Environment templates
31 July 2019	Deans/Heads of School (or equivalent) confirm designations of SRR/Independent Researcher

July/August 2019	SRR/independent researcher appeals process
September 2019	Confirmation of SRR/independent researcher staff to HR for HESA purposes
Nov 2019 – Feb 2020	Impact Working Group works with ICS leaders to review documentation and audit evidence of underpinning research
Nov 2019 - Feb 2020	UoA Advisory Groups develop final drafts of environment template and reviews environment data and requirements for reduced outputs
Oct 2019 – Dec 2019	Ongoing External review of REF-able outputs SRR staff requested to highlight their highest quality outputs for review by UoA Advisory Groups
By end December 2019 *Decision*	Deans of School advise Deputy Vice-Chancellor on UoAs and estimated numbers of outputs to be included for the HEFCE survey of submission intentions.
Jan - February 2020	Further work on staff output selection
March 2020 Wc 2/3/20 and 9/3/20)	REF Dry Run meetings with each UoA to review: <ul style="list-style-type: none"> • Environment statements • Impact Case Studies • Outputs
April – June 2020	Further work on UoA Submissions by UoA Leaders: <ul style="list-style-type: none"> • Final output selection • Revisions of UoA environment statements Further work on Impact Case Studies: <ul style="list-style-type: none"> • External reviews • Evidence gathering supported by Research Assistants • Redrafts of documents supported by Impact Research fellow Further work on outputs: <ul style="list-style-type: none"> • Ongoing external review of all newly published outputs • Development of e-portfolios supported by Research Assistants and the Repository Manager (Library) • Ongoing development and review of 300 word statements

June 2020 Wc 22/6/20 and 29/6/20	REF Dry Run meetings with each UoA to review: <ul style="list-style-type: none"> • Staff designated as SRR • Outputs
By end June 2020	Confirmation of status of staff that are 'Significantly Responsible for Research' and selection of outputs for REF with estimated GPA for outputs
July 2020 – Oct 2020	Confirmation of SRR status and appeals process
31 July 2020	REF2021 data census date: <ul style="list-style-type: none"> • SRR staff • PGR completions • Research Grants and income data
August/Sept 2020	Revisions to UoA Submissions <ul style="list-style-type: none"> • Environment statements • Impact Case Studies
25th Sept 2020	Deadline for providing draft submissions to the Research Support Office <ul style="list-style-type: none"> • Uo A Environment statements • UoA Impact Case Studies • Outputs including 300 word statements and details of e-portfolios
Sept 2020	Review of Equality & Diversity data on SRR staff and outputs for analysis by REF E&D Working Group
Oct 2020 – Feb 2021	Consideration of Individual Staff Circumstances Disclosure applications, and appeals process
By end Oct 2020	Dry Run 4 - dates to be confirmed
Nov 2020	REF steering group to review draft submissions to REF2021.
18 Dec 2020	Deadline for revised environment statements and impact case studies
Jan 2021	RSG reviews final drafts of submissions
31 March 2021	REF 2021 deadline
April 2022	HEQR allocations announced for 2022/23 onwards

Appendix A

Definitions of academic, research, full-time, part-time, permanent and fixed-term staff for the purposes of REF 2021

- Academic: A member of staff employed on an academic contract of employment and their duties include teaching and research.
- Research: A member of staff employed on a research contract of employment and their duties are independent research.
- Permanent: A member of staff with a substantive contract of employment which does not include an end date.
- Fixed term: A member of staff with a contract of employment which has an end date. Staff with fixed term contracts who will be in post on 31 July 2020 (REF 2021 census date) will be treated the same as staff on substantive contracts, as per the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations 2002.
- Full time: A member of staff with a FTE of 1.0, either academic or research, permanent or fixed term.
- Part time: A member of staff with a FTE of less than 1.0, either academic or research, permanent or fixed term.

Appendix B

Bath Spa University Equality and Diversity Policy

This policy details the University's commitment to matters of equality and diversity and indicates its plans for further action in this area.

This policy has been developed in conjunction with the Equality and Diversity Steering Group (EDSG) and representatives from the recognised Trade Unions.

In updating and reviewing this policy, consideration has been given to the Public Sector Equality Duty and specifically the requirement to meet the General Equality Duty and the specific duties that have been designed to support and aid compliance with the general duty.

The University will have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation;
- Advance equality of opportunity between those who share a relevant protected characteristic and those who do not; and
- Foster good relations between those who share a relevant protected characteristic and those who do not.
- In addition the University will meet the requirement of the specific duties designed to support and aid compliance with the general duty, by:
 - Publishing information annually from 31st January 2012 that demonstrates our compliance with the General Equality Duty; and
 - Prepare and publish, at least every four years from 6th April 2012, one or more objectives we consider we should achieve to meet the aims of the General Equality Duty.

Scope of Policy

This policy applies to all staff and students of the University and its activities.

Bath Spa University is fully committed to providing equality of opportunity for all its staff and students, applicants and visitors. The University will not tolerate unfair or unlawful discrimination on the grounds of any of the nine protected characteristics or any distinction which is not relevant to the employee/employer relationship or its student body.

This policy will be published by the University and drawn to the attention of all staff, students and other interested parties. Copies will be available from the Human Resources Department,

the Student's Union and the University's website. Breaches of this policy by staff or students will be investigated and dealt with through the disciplinary or complaints procedure.

Customers, suppliers and other people not employed by the University

The University has an important role to play in promoting good relations between people with protected characteristics and will work in partnership with the local community and other agencies to develop and promote positive attitudes to equality and diversity. As part of its commitment the University will continue to deliver an Equality Forum which is accessible to local communities.

The University will seek to secure the confidence, involvement and participation of underrepresented groups and sections of the community as students, staff, governors, goods and service providers.

The University will not discriminate unlawfully against customers using or seeking to use facilities or services provided by the University. Staff and students should report any bullying or harassment by customers, suppliers, visitors or others to their manager, student union representative or student services (as appropriate) who will take appropriate action.

The University will ensure that its tendering, contract and procurement arrangements with external organisation are fair and are not discriminatory under the protected characteristics. It will regularly review the criteria used for awarding contracts and the methods of assessing and monitoring individual operators' own employment and service delivery packages.

Suppliers of goods and services who exercise public functions on behalf of the University will be expected to have due regard for the General Equality Duty.

Responsibilities

Promoting and maintaining equality is the responsibility of everyone, although it is recognised that management have additional responsibilities to ensure that the policy is carried out. The Board of Governors and the Vice-Chancellor have overall responsibility for ensuring that the University meets its obligations with regard to the Equality Act 2010.

A Deputy Vice-Chancellor has specific responsibility for ensuring compliance with the policy and the promotion of good practice in relation to matters of equality and diversity.

The Equality and Diversity Steering Group meets regularly to discuss and review matters and make recommendations to the Vice-Chancellor.

The Director of Human Resources also has specific responsibility for assisting with the implementation and monitoring of equality.

The University Management will ensure that:

- All staff and students are aware of the equality policy and our procedures for making a complaint;
- The implementation of equality is effectively monitored;
- An Equality Action Plan is produced and reviewed;
- Staff, Students and Union representatives are provided with appropriate forums to discuss and deal with equality issues;
- All staff are provided with appropriate equality training;
- A network of trained Harassment Advisors is available to provide advice and guidance;
- Procedures are in place for the fair appointment, promotion and development of staff, the fair selection and teaching of students, free from unjustifiable discrimination.

All staff and students are expected to:

- Support and implement the equality policy; and
- Ensure that their behaviour and/or actions do not amount to discrimination or harassment.

Staff and students of the University are expected to comply with this policy and are expected to promote a culture free of unfair discrimination, prejudice and all forms of harassment and bullying. Any incidents of discrimination, harassment or bullying will be investigated and may be grounds for dismissal or expulsion.

Implementation, monitoring and review

The Deputy Vice-Chancellor together with EDSG, will review the policy regularly, summarise the findings and make recommendations to the Vice-Chancellor for any necessary changes.

The Director of Human Resources will monitor the effectiveness of the policy.

Advice and information on equality related implementation and problems can be sought from:

- Human Resources,
- the Students' Union,
- Student Support Services, or
- a member of EDSG.

The Deputy Vice-Chancellor will ensure that the University has due regard for the General Equality Duty and is complying with the Public Sector Equality Duty and any other statutory duties under existing equalities legislation and/or relevant codes of practice.

Human Resources will lead on the gathering and analysing of data relating to staff.

The Director of Student Services will lead on the gathering and analysing of data relating to students.

Annual reports will be provided to the Vice-Chancellor and EDSG and information will be published annually.

Language

Prejudice and discrimination can arise and be reinforced by our use of language, which often may not be completely neutral and value-free. Words and phrases can be associated with negative attitudes and may give offence to people including members of groups that are subject to prejudice, harassment or discrimination.

Everyone is expected to ensure that their written and spoken material, including all materials used in teaching, do not contain racist or sexist language or any other language that may cause unreasonable offence to others. In particular, you should be aware of inappropriate references to any of the protected characteristics.

Publicity

University publications and advertisements for staff and student recruitment will state the University's commitment to equality. Recruitment practices will not justifiably exclude any appropriately qualified applicants. Every effort will be made to assess the equivalency and look positively on qualifications from other countries. Language and images used in all publications and written material will be anti-discriminatory. The Student prospectus will show clear requirements for courses and detail facilities available to students.

Information regarding staff vacancies will be circulated throughout the University and posts will be advertised externally in all but exceptional circumstances.

All new staff, as part of their induction process, will be made aware of the University's Equality Policy.

Facilities and Support

The University will, wherever reasonably practicable, provide facilities and specialised equipment, to allow equal access by all staff, students and applicants to the education and employment it provides.

Staff

BSU will work to avoid unlawful discrimination in all aspects of employment including recruitment, promotion, opportunities for training, pay & benefits, discipline & selection for redundancy.

Recruitment and selection

All applicants and staff will be given equal consideration for selection, promotion and training. A recruitment monitoring form will be sent with all application forms. Information gathered on this form will not be used in the selection process and will only be used for monitoring purposes by the Human Resources Department.

Selection criteria for all posts will be clearly defined and reflected in the Job Description and Person Specification. Short listing and interviewing processes will be thorough, carried out objectively and without bias. Staff involved in these processes should have been appropriately trained in recruitment and selection training and be aware of relevant employment legislation. Interview panels should include both genders where appropriate. Where applicants declare that they have a disability, appropriate arrangements will be made wherever possible to enable them to compete on an equal basis.

Working Conditions

The University will take account of the needs of individual members of staff and, wherever reasonably practicable, use flexitime and/or special contractual arrangements e.g. job share, term time working, and annualised hours, to assist with issues such as disabilities, religious observance and caring for dependants. The University recognises its legal obligation to consider making reasonable adjustments to the workplace and working arrangements to accommodate suitably qualified people with disabilities.

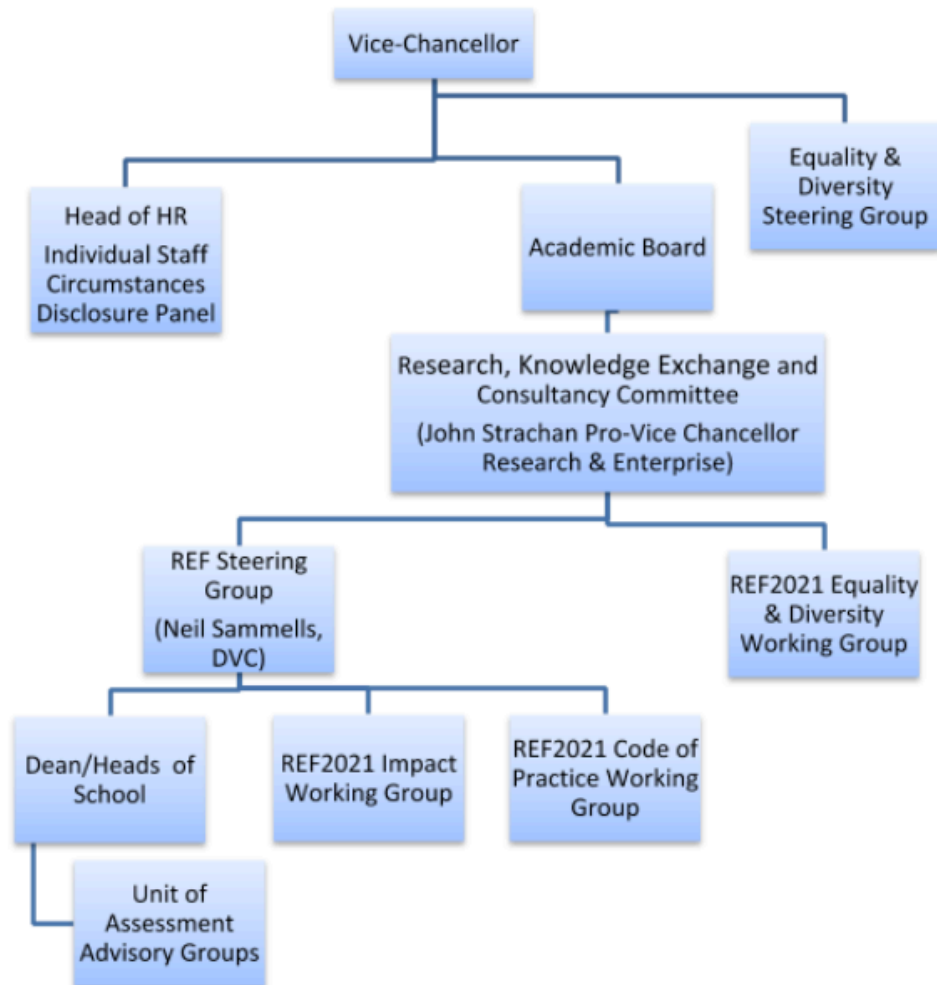
Learning and Development

The University will not discriminate on any grounds in the provision of learning and development to assist staff, either part time, full time, fixed term or permanent, to perform their jobs more effectively and to achieve their development goals. Learning and development of staff will be recorded and monitored.

Appendix C

**University Committee Structure
for the management of REF2021**

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Appendix D

Terms of Reference: Research, Knowledge Exchange and Consultancy Committee (RKECC)

Membership

- DVC Academic & Provost - ex officio
- External appointed by Academic Board
- Vice Provost Research & Enterprise - Chair - ex officio
- Five elected members from the following groups of research staff (2 year terms):
 - Research Professors
 - Readers
 - Mid-Career Researchers (Lecturers/Senior Lecturers)
 - Early Stage Researchers (as defined by REF)
 - Contract Researchers
- PGR student representative (1 year term)
- 3 x School Research Coordinators - ex officio
- 3 x Strategic Research Theme Leaders – ex officio
- Secretary: Research Officer

In attendance

- HR Manager
- Research Office team
- Head of Enterprise & Local Partnerships
- Head of Development Office
- Graduate Affairs Manager
- Deputy Director of Library & Learning Services
- GALA representative

Terms of Reference

The purpose of the Research, Knowledge Exchange and Consultancy Committee is:

- To develop, consider and implement policy and strategy for research, knowledge exchange and consultancy for the University within strategic plans agreed by Academic Board from time to time.
- To advise the Vice-Chancellor and the Academic Board on the provision of resources necessary to fulfil the requirements of strategy for research, knowledge exchange and consultancy.

One of the main tasks of RKECC is to monitor the progress of the University's research, knowledge exchange and consultancy.

It does this as follows:

General Business (all members)

- i. monitoring and advising Academic Board on the development of staff research activity and researcher development.
- ii. promoting innovation and good practice in research and monitoring and evaluating research initiatives across the University.
- iii. undertaking regular reviews of all Research Centres and Knowledge Exchange Hubs on behalf of the University, in conjunction with appropriate external assessors as appropriate.
- iv. promoting the continuing alignment and integration of the University's knowledge exchange efforts with its commitment to research excellence, by encouraging the use, application and awareness of BSU research in pursuit of impact and to ensure the Academic Board has oversight of the work of the Knowledge Exchange hubs which report to the RCSC annually.

Closed Business – staff members

- v. Considering reports and evaluations from external agencies and stakeholders regarding the University's research provision and performance, and then advising the Vice Chancellor & Academic Board on responses to them.
- vi. The Committee takes overall responsibility for ensuring that research undertaken by members of the University is conducted in an ethically sound manner, in accordance with the BSU policy on research ethics and research misconduct. Operational responsibility for research ethics will be discharged via School committees as appropriate.

Appendix E

Terms of Reference: REF 2021 Steering Group

Name:	REF Steering Group (RSG)
Provenance:	Set up by Chair of Research, Consultancy and Scholarship Committee to manage and overview the University's preparation for REF2014
Membership:	<ul style="list-style-type: none"> • Chair: Professor Neil Sammells (Deputy Vice-Chancellor Provost) • Professor John Strachan (Vice-Provost (Research and Enterprise)) • Professor Andy Salmon – Dean, College of Liberal Arts • Professor Kate Reynolds – Dean, Institute for Education • Professor Anita Taylor – Dean, Bath School of Art & Design • Professor Kate Rigby - Centre for Environmental Humanities • Ms Sarah Priston (Research Support Officer) • Dr Paul Newland (REF Manager) • Secretary: Mrs Marije Gent (Research Administrator)
Operating Structure:	Working Group of and reporting directly into the Research, Knowledge Exchange and Consultancy (RKECC) Committee of Academic Board
Equality Framework:	<p>As part of the University's Equality Policy all staff are expected to:</p> <ul style="list-style-type: none"> • Support and implement the Equality Policy; and • Ensure that their behaviour and/or actions do not amount to discrimination or harassment. <p>All members will also receive specific Equality and Diversity training in relation to REF 2021</p>
Operating Criteria:	<p>The overall conduct and management of the REF 2021 submission process, and institutional adherence to the Code of Practice, under the responsibility of the Deputy Vice-Chancellor Provost.</p> <p>The group will report to and take advice from RKECC in formulating matters of institutional strategy and when scrutinising draft submissions from UoAs for final approval.</p>
Dissemination Strategy:	<p>The group will report formally to RKECC.</p> <p>Agendas and action points arising from meetings will be made available to staff through the designated REF 2021 website</p>

Appendix F

REF 2021 Impact Working Group - Membership and Terms of Reference

Name:	Impact Working Group
Provenance:	Set up by the REF Steering Group (RSG) to manage the development of Impact Case Studies, and Impact Statements
Membership:	<ul style="list-style-type: none"> • Chair: Professor Bambo Soyinka (Head, Strategic Research Centre in Transnational Creativity and Education) • REF Impact Champions from each School • Dr Paul Newland - REF Manager • Dr Astrid Breel - Communications and Impact Officer
Operating Structure:	Working Group of RSG, reporting first to RSG and through RSG into RKECC
Equality Framework:	<p>As part of the University's Equality Policy all staff are expected to:</p> <ul style="list-style-type: none"> • Support and implement the Equality Policy; and • Ensure that their behaviour and/or actions do not amount to discrimination or harassment. <p>All members will also receive specific Equality and Diversity training in relation to REF 2021</p>
Operating Criteria:	<ul style="list-style-type: none"> • To manage the development of Impact Case Studies for REF • To advise Schools and UoA Chairs on the content and quality of impact case studies • To develop the Institutional level Impact Case Studies in line with REF 2021 guidelines
Dissemination Strategy:	<p>The group will report formally to RSG</p> <p>Agendas and action points arising from meetings will be made available to staff through the designated REF 2021 website</p>

Appendix G

Terms of Reference: REF 2021 Unit of Assessment Advisory Groups

Name:	Unit of Assessment Advisory Group
Provenance:	<p>Set up by Deputy Vice-Chancellor to take specific responsibilities with respect to REF 2021 decision-making at School level.</p> <p>Membership and terms of reference for the group have been approved by the University’s Research, Knowledge Exchange and Consultancy Committee.</p>
Membership:	<ul style="list-style-type: none"> • Deputy Pro-Vice-Chancellor (Research & Enterprise) - Chair • REF Manager (Officer) • UoA Leader • Academic staff representatives (membership to be agreed with due consideration to equality and diversity) • External Advisor (as required)
Operating Structure:	The group reports formally to the REF Steering Group, which in turn reports to the University Research, Knowledge Exchange and Consultancy Committee (RKECC) of Academic Board
Equality Framework:	<p>As part of the University’s Equality Policy all staff are expected to:</p> <ul style="list-style-type: none"> • Support and implement the Equality Policy; and • Ensure that their behaviour and/or actions do not amount to discrimination or harassment. <p>All members will also receive specific Equality and Diversity training in relation to REF 2021</p>
Operating Criteria:	<p>The identification of research outputs to be submitted in the Unit of Assessment.</p> <p>The quality of the research produced in the reporting period of REF 2021 will be assessed on the basis of the standard measures of quality put forward by Research England for REF 2021 below, with reference to international research quality standards and the specific guidelines and rules associated with the relevant Unit of Assessment in the REF 2021 “Panel Criteria and working methods”:</p> <ul style="list-style-type: none"> • Research outputs - ‘Originality, Significance and Rigour’ • Research impact - ‘Reach and Significance’ • Research environment – ‘Vitality and Sustainability’

	<p>Consideration will also be given to the cohesiveness and balance of each of our UoA submissions, and equality & diversity actions recommended to the REF Steering Group (RSG) by the REF 2021 Equality & Diversity Working Group.</p> <p>Decisions on the inclusion of Unit of Assessments within the University's overall submission will be made by the Vice-Chancellor whose decision will be final.</p> <p>The group will report to and take advice from RSG in formulating matters of institutional strategy and when scrutinising draft submissions from UoAs for final approval.</p>
<p>Dissemination Strategy:</p>	<p>The group will formally report to REF Steering Group.</p> <p>Full records of all discussions will be kept. These will be made available on request, and anonymised where appropriate, in line with GDPR legislation.</p> <p>Items of meetings relating to named members of staff will be treated as closed business, with records kept securely and confidentially by the appropriate Dean of School/Head of School or equivalent.</p> <p>Records of meetings relating to individual staff circumstances will be kept securely and confidentially by the Human Resource Department.</p> <p>The University will adhere to its Data Protection policy in respect of the retention of confidential records, and these will be destroyed once the outcomes of the REF 2021 process have been published.</p>

Appendix H

Overview of role of REF External Advisors

- To consult with the Unit of Assessment (UoA) Leaders on the standing and perceived quality of staff outputs, to ensure that they are in line with REF panel criteria and the three standard measures of quality put forward for the REF 2021: '**Originality, Significance and Rigour**' with reference to international research quality standards.
- To advise the UoA Leaders where they are unclear how particular research outputs meet REF criteria, or that sit on the margins of quality rankings
- To advise the UoA Leaders on issues relating to research outputs arising out of the consultation for the next REF.

Operating Criteria for External Advisors

- External Advisors' reference points will be their experience at other HEIs and their knowledge and experience of working at national and international level within their discipline area
- We anticipate that the role will take up to 5 days over the 2018-19 academic year, and that the majority of the work could be done at a distance, or through skype and/or conference calls
- Reasonable travelling expenses to attend meetings at Bath Spa University will be reimbursed as set out in clause 5 of the contract.

The External Advisors will be contracted through one of the following routes, according to their preference:

1. A consultancy contract if the External Advisor is set up as a sole supplier and can be registered as such on the University system
2. A consultancy contract with the External Advisor's home institution
3. A specialist advisor employment contract with Bath Spa University

Appendix I

REF Unit of Assessment Leader: Roles and Responsibilities

Each School/Institute/College is asked to identify a REF Unit of Assessment Leader to manage the process of supporting the REF submission for units. REF Unit of Assessment Leaders will play a vital role in driving and delivering a successful REF 2021 submission for Bath Spa University.

REF Unit of Assessment Leaders are responsible for:

- Providing leadership of preparations for their unit of assessments' return at REF 2021
- working with the REF Manager and Impact Officer to facilitate the development of Impact Case Studies
- ensuring that research outputs are rigorously reviewed and graded (internally and externally)
- ensuring staff keep their details on ResearchSPAcE up to date
- ensuring that environment statements are drafted
- ensuring that units maintain an institutional outlook (i.e. aiming to optimise Bath Spa University's overall performance at REF)
- ensuring that units meet deadlines set by REF Steering Group
- recommending staff for SRR status and appropriate outputs and impact case studies to Deans/Heads of School (or equivalent)

REF Unit of Assessment Leaders are required to liaise closely with the Directors of any associated Research Centres.

REF Unit of Assessment Leaders should liaise with other relevant REF Unit of Assessment Champions as required.

REF Unit of Assessment Leaders should work with the REF Manager to provide staff with guidance on all aspects of REF and facilitate preparations for REF 2021.

REF Unit of Assessment Leaders serve a term up to December 2020 but may step down during this period if an appropriate replacement is agreed with the relevant Dean/Head of School (or equivalent).

REF Unit of Assessment Leaders report to Deans/Heads of School (or equivalent) and the REF Steering Group.

Appendix J

Terms of Reference for Individual Staff Circumstances Disclosure Panel (ISCD)

Name:	Individual Staff Circumstances Disclosure Panel (ISCD)
Provenance:	Set up by the REF Steering Group (RSG) to consider all individual staff circumstances disclosure forms, in order to enable individuals to disclose circumstances in confidence, in line with HEFCE recommendations.
Membership:	Chair - members of VCEG not involved in the REF Selection Process Representative of HR: (Secretary) Nominated Member of Equality & Diversity Steering Group Paul Newland (REF Manager) - ex officio
Operating Structure:	Working Group of reporting directly to the Head of HR, who reports directly to the Vice Chancellor
Equality Framework:	All part of the University's Equality Policy all staff are expected to: support and implement the Equality Policy; and ensure that their behaviour and/or actions do not amount to discrimination or harassment. All members will also receive specific Equality and Diversity training in relation to REF 2021
Operating Criteria:	consider all individual staff circumstance disclosure forms submitted through the REF 2021 selection of staff process ensure that all decisions on a reduction of outputs are made based on REF 2021 guidance and with reference to examples of complex staff circumstances available through ECU ensure that all submissions and records of meetings are held securely and that safeguards are put in place to ensure staff members' confidentiality and privacy advise Dean/Heads of Schools on the appropriate reduction of outputs for staff that have been selected for inclusion in submissions. provide confidential information to the Deputy Vice-Chancellor Provost staff with reduced outputs for inclusion in REF sections of the relevant A submission.

<p>Dissemination Strategy:</p>	<p>The group will report formally to the Vice-Chancellor. All documentation and minutes of meetings will be held securely in the Human Resources Department until the conclusion of the REF 2021 process, at which time it will be securely destroyed, in line with University Data Protection procedures.</p>
<p>Procedures for the Selection of Staff:</p>	<p>The role of the group will be to consider all individual staff circumstance disclosure forms submitted through the REF 2021 staff selection process, and to advise Deans of School on the appropriate reduction of outputs for staff that have been selected for inclusion in submissions.</p>

Appendix K

Terms of Reference for Equality and Diversity Steering Group

- To monitor, write and assist in the implementation of Equality and Diversity Policies throughout the University.
- To formulate and submit policy documents, reports and information on equality and promoting diversity, making recommendations to the Vice-Chancellor and (with the Vice-Chancellors' agreement) to other relevant bodies and persons in the University, such as the Board of Governors, the Academic Board, Head of Schools and School Boards and Course Directors.
- To promote staff development on Equality and Diversity in the form of training and raise awareness of equality issues.
- To encourage and participate actively in the formation, maintenance and strengthening of relationships between the University and organisations and individuals associated with the promotion of equality.
- To identify resources needed to implement Equality and Diversity Policies.
- To advise the University of national changes that will impact on Equality and Diversity, through the use of the University's Diversity Champions and specialists within the subject area.
- To meet four times a year, plus additionally when necessary.

Appendix L

Equality & Diversity REF Working Group - Membership and Terms of Reference

Name:	Equality & Diversity REF Working Group
Provenance:	Set up by the REF Steering Group (RSG)
Membership:	<ul style="list-style-type: none"> • Chair: member of VCAG not involved in the REF Selection Process • Member of Equality & Diversity Steering Group • Member of Disability Advisory Network Group
Operating Structure:	Working Group of REF Steering Group (RSG), reporting first to RSG and through RSG into Research, Knowledge Exchange and Consultancy Committee
Equality Framework:	<p>As part of the University's Equality Policy all staff are expected to:</p> <ul style="list-style-type: none"> • Support and implement the Equality Policy; and • Ensure that their behaviour and/or actions do not amount to discrimination or harassment. <p>All members will also receive specific Equality and Diversity training in relation to REF 2021</p>
Operating Criteria:	<ul style="list-style-type: none"> • To review Equality Impact Assessments and make recommendations for action to the REF Steering Group
Dissemination Strategy:	<p>The group will report formally to RSG</p> <p>Agendas and action points arising from meetings will be made available to staff through the designated REF 2021 website</p>

Appendix M

Bath Spa University Data Protection Policy

About this policy

- 1.1 The types of personal data that Bath Spa University (hereafter referred to as 'we') may be required to handle include information about current, past and prospective students, employees, officers, governors, suppliers and others that we communicate with. The personal data, which may be held on paper or on a computer or other media, are subject to certain legal safeguards specified in the General Data Protection Regulations (GDPR) and the UK Data Protection Act 2017-19 and associated legislation.
- 1.2 This policy and any other documents referred to in it set out the basis on which we will process any personal data we collect, or that is provided to us by data subjects or other sources.
- 1.3 This policy does not form part of any employee's contract of employment and may be amended at any time.
- 1.4 This policy sets out rules on data protection and the legal conditions that must be satisfied when we process personal data.
- 1.5 This policy is not the University's Privacy Notice (our statements informing data subjects how their personal data is used by the University) and it should be read and complied with in conjunction with the University's Information Governance Policy and associated information security and IT acceptable uses policies, the University Records management policy and the University's Privacy Notices.

Policy statement

- 2.1. The University is committed to adhering to Data Protection law and associated Regulations as part of working practices.
- 2.2. During the course of our activities we process personal data about our students, prospective students, staff, suppliers and other third parties as laid out in our Privacy Notices. We recognise that the correct and lawful treatment of this data will maintain confidence in the University and will provide for successful academic and business operations.
- 2.3. This policy applies to all data users, processing data on behalf of the University. All staff must comply with this policy where the term 'staff' means anyone working in any context within the University at whatever level or grade and whether permanent, fixed term or temporary, including but not limited to employees, retired but active research staff, other visiting research

or teaching staff, workers, agency staff, agents, volunteers, and external members of committees.

- 2.4. This policy applies to students of the University when processing personal data on behalf of the University whether as part of research activities, group study, performance, experiments, fieldwork and case studies. It does not apply when acting in a private or non-University capacity.

Adhering to Data Protection law at the University is summarised (but not restricted to) as the below:

The application of the data protection principles for all processing; lawfulness, fairness and transparency; purpose limitation; data minimisation; accuracy; storage limitation; and integrity and confidentiality.

An understanding and the enablement of data subject rights as outlined within the law: to be informed; access; rectification; erasure; restriction; data portability; and objection (including in relation to automated decision-making).

Ensuring the implementation of the University's accountability obligations under data protection law, including: implementing appropriate data protection policies; implementing data protection by design and default in projects, procurement and systems; using appropriate contracts with third party data controllers and data processors; holding relevant records about personal data processing; implementing appropriate technical and organisational security measures to protect personal data; reporting certain personal data breaches to the Information Commissioner's Office; conducting Data Protection Impact Assessments where required; and ensuring adequate levels of protection when transferring personal data outside the European Economic Area.

Cooperating, responding to and taking guidance and advisory actions (where relevant) with the Information Commissioner's Office (ICO).

Roles and responsibilities

- 3.1. The University has the duty as a Data Controller (or when acting as a joint controller or processor) for complying with data protection law in a demonstrable manner, including resourcing adequate controls for the security of processing, maintaining records of processing activities and all activities as laid out within this policy.

The Data Protection Officer

- 3.2. In line with relevant articles of the GDPR and associated data protection law the post of Data Protection Officer is an independent role, separate from areas where they may be exposed to a conflict of interest in determining the means of processing at the University. The DPO is

responsible for ensuring compliance with GDPR and the Act and with this policy. They can be contacted on data-protection@bathspa.ac.uk and hold the following principle responsibilities

Supported by the University's Secretariat, they will be responsible for monitoring and auditing the University's compliance with data protection law, advising senior management of risks and potential breaches as and when they may occur, and reporting to the Board of Governors on the overall risk profile on at least an annual basis.

Advising the University, principally via the University Secretariat and IT Services, on all aspects of its compliance with data protection law, including an active role within the University's Information Governance Board and advising on Data Protection Impact Assessments.

Acting as the University's point of contact with the ICO with regard to data protection and breach notification.

Acting as an available point of contact for complaints from data subjects.

Information Governance Board

- 3.3. The board is responsible for ensuring that appropriate processes are implemented and communicated to enable data assets containing personal data within their departments to be included in the University's Data Asset Registers.
- 3.4. The board has additional responsibilities and scope as laid out in the University's Information Governance Policy.
- 3.5. A subgroup of this board will be responsible for managing and/or handling Data Protection Impact Assessments and liaising with the Data Protection Officer where appropriate.
- 3.6. The Information Governance Board papers will include a record of DPIAs conducted, and will provide a risk statement on at least an annual basis to be circulated to senior management.

The Secretariat

- 3.7. The compliance team with the University's Secretariat are responsible for:

Providing advice, guidance, training and tools/methods, in accordance with the University's overall risk profile and having taken into account the advice of the Data Protection Officer, relevant case law and ICO/other regulatory guidance, to help University departments, schools and staff comply with this policy;

Publishing and maintaining core privacy notices and other relevant University-wide data protection documents (with the exclusion of those maintained via the Information governance protocols);

Handling data subject rights requests.

IT Services

- 3.8. The Information Security Manager and associated relevant personnel within IT Services are responsible for:

The review and adequacy assessments of security configurations in relation to Data Protection Impact Assessments and software implementation, maintenance and projects.

Providing advice, guidance, training and tools/methods, in relation to the University's Information Governance Policy and associated data management and governance protocols.

Senior Management, Heads of Department, Line Managers

- 3.9. In addition to the individual responsibilities laid out for individual staff below, management staff are expected to:

Make all staff within their areas aware of this policy as necessary;

Ensure that appropriate processes and training (Information Governance, E-learning modules etc.) are engaged with to enable compliance with data protection law; and

Ensure that appropriate processes are implemented within their areas to enable data assets containing personal data within their area are included in the University's Data Asset Registers.

Individual Staff

- 3.10. Each data user at the University hold the following responsibilities relating to data protection laws, where reasonable the below also applies to students:

Completing relevant data protection training

Following relevant advice, guidance and tools/methods provided by Information Governance and the Secretariat depending on their role, regardless of whether access to and processing of personal data is through University-owned and managed systems, or through their own or a third party's systems and devices

When processing personal data on behalf of the University, only using it as necessary for their contractual duties and/or other University roles, in line with the purposes and practices illustrated to data subjects via the privacy notice and associated statements during data collection and not disclosing it unnecessarily or inappropriately

Recognising, reporting internally via the information governance protocols, and cooperating with any remedial work arising from personal data breaches

Cooperating with the fulfilment of data subject rights requests

When engaging with students who are using personal data in their studies and research, advising those students of relevant advice, guidance and tools/methods to enable them to handle such personal data in accordance with this policy

Changes to this policy

We reserve the right to amend this policy at any time. Where appropriate, we will notify data subjects of those changes by mail or e-mail. This policy will be reviewed on an annual basis by the Data Protection Officer in conjunction with the Secretariat.

Subject access requests

In line with data subject rights you are entitled to make a request for the data we hold.

To make a Subject Access Request please contact the Data Protection Officer via the Compliance team on data-protection@bathspa.ac.uk

Appendix N

Bath Spa University REF Data Collection Statement

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

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

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

Sharing information about you

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

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

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

UKRI and the organisations listed above will use the information to analyse and monitor the REF2021. This may result in information being released to other users including academic researchers or consultants (commissioned by the funding bodies), to carry out research or analysis, in accordance with the Data Protection Act 2018 and the General Data Protection

Regulation (GDPR) (Regulation (EU) 2016/679). Where information not previously published is released to third parties, this will be anonymised where practicable.

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

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

Publishing information about your part in our submission

The results of the assessment exercise will be published by UKRI, on behalf of the four UK higher education funding bodies, in December 2021. The published results will not be based on individual performance nor identify individuals.

Those parts of submissions that contain factual data and textual information about research activity will also be published by UKRI, on behalf of the four UK higher education funding bodies, and will be made available online. Published information is likely to include **textual information including impact case studies in which you may be referenced**. Your name and job title may be included in this textual information. Other personal and contractual details, including your date of birth and all information about individual staff circumstances will be removed.

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

Data about personal circumstances

You may voluntarily disclose personal circumstances to your submitting unit, which could permit us to submit your information to the REF without the 'minimum of one' requirement (without penalty), or to submit a reduced number of outputs without penalty. If (and only if) we apply either form of reduction of outputs, we will need to provide UKRI with data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see the 'Guidance on submissions' document (paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted, and the Bath Spa University Code of Practice for the selection of Staff and Outputs which can be found on our REF2021 website.

Submitted data will be kept confidential to the REF team, the Equalities and Diversity Advisory Panel, and main panel chairs. All these bodies are subject to confidentiality arrangements.

The HR department will anonymise data submitted to the REF team on circumstances provided in REF6, and all details will be shared with you for approval prior to this process.

The REF team will destroy the submitted data about individuals' circumstances on completion of the assessment phase.

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

Accessing your personal data

Under the Data Protection Act 2018 and the GDPR, you have the right to see and receive a copy of any personal information that UKRI holds about you. Further information about the Act and GRPR, and guidance on making a subject access request, can be found on the RE website at <https://re.ukri.org/about-us/policies-standards/foi-data-protection/>

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

The University's Data Protection policy is set out in Appendix M of the Code of Practice document, and privacy statements can be found on the University's website.

Model Data Collection Statement for the REF 2021 – Non-Staff

About the REF

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

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

Impact is assessed through the submission of case studies, which describe the changes or benefits brought about by research undertaken by researchers at the institution. Impressive impacts were found across all disciplines, with 44 per cent of submissions judged to be outstanding. A database of case studies submitted in 2014 can be found here: <https://impact.ref.ac.uk/>.

Data collection

The REF is managed by the REF team, based at Research England (RE), on behalf of the four UK higher education funding bodies. RE is part of UK Research and Innovation (UKRI), and

under this arrangement UKRI has the role of 'data controller' for personal data submitted by us to the REF.

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

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

Sharing information about you

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

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

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

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

Parts of your data will be passed to the REF expert panels and the Equality and Diversity Advisory Panel (whose members are independent of UKRI) for the purpose of conducting a systematic evaluation of submissions, in accordance with predetermined criteria and methods. All panel members are bound by confidentiality arrangements.

Publishing information about your part in our submission

The results of the assessment exercise will be published by UKRI, on behalf of the four UK higher education funding bodies, in December 2021.

Those parts of submissions that contain factual data and textual information about research activity will also be published by UKRI, on behalf of the four UK higher education funding bodies, and will be made available online. Published information is likely to include **textual**

information including impact case studies in which you may be referenced. Your name and job title may be included in this textual information. Other personal details will normally be removed.

Accessing your personal data

Under the Data Protection Act 2018 and the GDPR, you have the right to see and receive a copy of any personal information that UKRI holds about you. Further information about the Act and GRPR, and guidance on making a subject access request, can be found on the RE website at <https://re.ukri.org/about-us/policies-standards/foi-data-protection/>

The University's Data Protection policy is set out in Appendix M of the Code of Practice document, and privacy statements can be found on the University's website.

Appendix O

Staff with Significant Responsibility for Research (SRR) HESA Review Form

Name:

School:

All academic staff on teaching and research contracts (0.2 FTE or above) are required to complete this form. Staff should read the accompanying guidance and refer to the University's Code of Practice on the on the fair and transparent identification of staff and outputs for submission to the 2021 Research Excellence Framework (REF 2021), which can be found on our REF 2021 website.

The University only intends to use 'Significantly Responsible for Research' (SRR) designation to inform decision-making processes for the REF2021 submission. The designation of SRR for REF2021 purposes will not be used by the University as a measure of research performance of an individual member of staff. Staff who are not designated as SRR for REF2021 purposes will not be disadvantaged in relation to their career progression as a result of this process.

Please indicate in the form the research and scholarly activities with which you are currently engaged at Bath Spa (**you can indicate 'yes' or 'no' in more than one box**):

<p>Actively engaged in independent research activities eligible as outputs for the current REF period (1 January 2014 - 31 December 2020). These should be evidenced through publications and material in ResearchSPace and BathSPadata, and through material provided to your UoA Leader.</p> <p>A full list of the type of outputs that can be submitted to REF can be found in the REF guidance documents.</p> <p>Independent Research activities could include the following:</p> <ul style="list-style-type: none">evidence of producing outputs such as journal articles, monographs, creative publications, book chapters, exhibitions, performances, artefacts, producing outputs such as scholarly editions in forms such as dictionaries, scholarly editions, catalogues and contributions to major databases. <p><i>Note: For the purposes of the REF, research is defined as 'a process of investigation leading to new insights, effectively shared.'</i></p>	Y/N
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If you have indicated that you are actively engaged in independent research activities above, please select below which of put potential Unit of Assessment areas your research best maps against:

- Art & Design: History, Practice and Theory
 - Business and Management Studies
 - Communication, Cultural and Media Studies, Library and Information Management (includes film and screen studies)
 - Education
 - English Language and Literature (includes Creative Writing)
 - Geography and Environmental Studies
 - History
 - Music, Drama, Dance, Performing Arts
 - Psychology
 - Theology and Religious Studies
 - If your research does not map against any of the above areas, please indicate the discipline which best describes your research:
-

Scholarly Activity/Professional Development	Y/N
<p>Includes maintenance and advancement of own personal knowledge and skills (reading literature, attending professional conferences, maintaining professional or clinical skills, acquiring new skills etc.) Includes scholarship as research to support teaching programmes, maintaining and acquiring professional skills, including research skills etc.</p> <p><i>Note: Scholarship for the REF excludes the development of teaching materials that do not embody original research.</i></p>	

Professional Practice	Y/N
<p>Includes practice underpinned by scholarship and existing knowledge (rather than original research)</p> <p><i>Note: For the purposes of the REF, research is defined as ‘a process of investigation leading to new insights, effectively shared.’</i></p>	

<p>Enterprise Activities</p> <p>This could include industry activity/professional practice, commercial and business services/consultancy, knowledge and technology transfer, short course activity, other enterprise activities</p>	<p>Y/N</p>
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If you have indicated that you are actively engaged in independent research activities, the Dean/Head of School (or equivalent) will confirm whether or not you are deemed to be ‘Significantly Responsible for Research’ (SRR) for REF 2021 purposes in consultation with the Unit of Assessment Leader. As part of this process, you will be invited to discuss your research activities with your UoA Leaders and the Assistant PVC (Research & Enterprise) to inform this decision.

A letter will be sent to you to confirm whether or not you have been designated as ‘staff with significant responsibility for research’, with details of the appeals process. If SRR status is confirmed, you will be expected to engage in independent research activities in the RSA time you have been allocated for the next academic year.

If you feel that you are actively engaged in research activities, but have been unable through special circumstances to produce any evidenced outputs of research in the REF audit period, you should indicate ‘Yes’ in the SRR box and confirm to your Dean/Head of School (or equivalent) that you will be applying for a reduction of outputs to zero through the Individual Staff Circumstances Disclosure (ISCD) procedure. Full details of the ISCD process can be found in the Code of Practice on the selection of staff and outputs on the University REF 2021 website.

An appeals process has been put in place for staff who wish to challenge decisions on SRR. Full details of the Appeals process can be found in the Code of Practice on the selection of staff and outputs on the University REF 2021 website.

Staff with Significant Responsibility for Research (SRR) HESA Review Form

Guidance Document

The purpose of this form is to facilitate the management and audit of BSU’s submission to the Research Excellence Framework (REF) 2021.

We are required to provide evidence of how we make decisions on staff submitted to REF with ‘significant responsibility for research’ (SRR). The information you provide in this form will allow you to indicate whether or not you think you are actively engaging in ‘independent research’ and qualify as ‘staff with significant responsibility for research’ (SRR) - as set out in the University’s Research Excellence Framework (REF) Code of Practice. 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.’

Process and Timetable

June 2019 - complete form by end June 2019

July 2019 - Dean/Head of School (or equivalent) reviews evidence of research and seeks further clarification where appropriate

End July 2019 - confirmation of whether or not member of staff is SRR for REF purposes

August 2019 - appeal process

September 2019 - HESA staffing return

June – August 2020 – SRR audit for 2020/21 academic year

If you are not currently actively engaged in independent research, and would like to develop your research career in this way and progress towards SRR designation, you should agree a research development plan with your appropriate research leader and discuss this with your Line Manager. If you would like to meet with an independent research mentor to help facilitate this process, this can be arranged for you by the Research Support Office.

This form should be completed by all academic staff on teaching and research contracts (0.2 FTE and above) and submitted to the Research Support Office by 5pm on 28 June 2019 the end of June. The summary of responses will be shared with the Deans/Heads of School (or equivalent). Individual form submissions will be held confidentially and shared with Deans/Heads of School (or equivalent) on an individual basis, where discussions are required.

If you would like to discuss the form in advance of this deadline please contact your Unit of Assessment Leader as appropriate. A list of UoA leaders is available at the end of this document. The Assistant PVC (Research & Enterprise) - Dr Mark Loon - is available to support this process.

If you would like to discuss any aspect of REF please contact the REF Manager, Dr Paul Newland (p.newland@bathspa.ac.uk)

If an agreement on SRR status cannot be reached you should follow the formal appeals process for arbitration by a member of VCAG not involved in the REF selection process.

Research and Scholarly Activity allowance (RSA)

The Workload Planning tariff guidance clearly sets out that the maximum teaching allocation (pro-rata) for all academic staff is 550 hours. The remaining time is allocated in discussion with Line Managers, and this includes as RSA allocation as defined below.

All academic staff have an RSA allowance of 180 hours (pro-rata) and are expected to engage in research and scholarly activities to inform their teaching.

There is an expectation that staff who are designated as 'significantly responsible for research' for REF purposes are spending the majority of this time on their independent research activities.

SRR staff may also be engaged in the following activities for which there are additional allocations above and beyond the 180 RSA allocation:

- Research Reader or Research Professors: the expectation is that sufficient time is allocated to enable the staff member concerned to continue to perform at this level, and to engage in mentoring and supporting staff in their areas in their research development
- Research Leadership: additional time may be allocated to facilitate managing Research Centres or Research Groups, or to perform the role of Unit of Assessment Leader.
- Specific Research Projects: time may be allocated to achieve the objectives, outputs and requirements of a specific research project (which may be internally or externally funded)

Where agreed with their Line Manager, staff may also be allocated additional hours beyond the 180 hours RSA to enable them to fulfil duties relating to professional practice, teaching and learning scholarship, research development and enterprise and consultancy activities.

The University currently has promotion pathways in relation to both research and learning and teaching. Promotion pathways in relation to enterprise and professional practice are currently being developed. All of these career pathways are equally valued by the University.

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.

- Staff who are not designated as 'Significantly responsible for Research; will be expected to spend their 180 hours (pro-rata) RSA allocation on non-research activities such as scholarship, enterprise activities and professional development.

Across all main panels, the following indicators would normally identify research independence:

- leading or acting as principal investigator or equivalent on an externally funded research project

- holding an independently won, competitively awarded fellowship where research independence is a requirement. An illustrative, but not exhaustive, list of independent fellowships can be found at www.ref.ac.uk, under Guidance
- leading a research group or a substantial or specialised work package.

Main Panels C and D supplementary criteria (applies to all UoAs except Psychology)

In addition to the generic criteria specified in the 'Guidance on submissions', Main Panels C and D also consider that the following attributes may generally indicate research independence in their disciplines:

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

Unit of Assessment Leaders

UoA 32: Art and Design: History, Practice and Theory

Professor Stephen Dutton, Professor Hilary French

UoA 23: Education

Professor Charlotte Chadderton

UoA 4: Psychology, Psychiatry and Neuroscience

Dr Jermaine Ravalier

UoA 14: Geography and Environmental Studies

Dr Richard Johnson

UoA 17: Business and Management

Professor Allyson Macvean

UoA 27: English Language and Literature

Mr Richard Kerridge, Professor Ian Gadd

UoA 28: History

Professor Astrid Swenson

UoA 31: Theology and Religious Studies

Dr Russell Re Manning

UoA 33: Music, Drama, Dance, Performing Arts, Film and Screen Studies

Professor James Saunders, Dr Laura Purcell-Gates

UoA 34: Communication, Cultural and Media Studies

Dr Matthew Freeman

Appendix P

P.1 Template Letter to Staff confirming they meet the University's criteria for staff who have 'significant responsibility for research' for REF 2021

Private and Confidential

Dear XXXXXXXXXXXX

On 27 November 2020 the University will make a submission to the 2021 Research Excellence Framework (REF 2021).

In line with Research England guidance, the University has been engaged in a consultation process to develop processes to be followed in identifying who among those meeting the definition of 'Category A eligible' staff have significant responsibility for research (SRR), and are therefore in scope for submission.

Full details of our approach to REF 2021 and our criteria for the staff that have 'significant responsibility for research' may be accessed on the University's website at: xxx

After a careful review and consideration of your research activity over the assessment period, the University has accepted my recommendation that you meet the University's criteria for 'Significantly Responsible for Research' and you will be included in the University's submission to REF 2021 in UoA XXX.

As a result of this decision, and as detailed in our REF2021 Code of Practice documentation, you will be allocated a minimum of 180 hours (pro-rata) for research and scholarly activities in the University's Workload Planning system. The allocation of these hours will continue to be discussed at your Staff Development Review in the normal way. You will be expected to spend these hours on independent research activities.

Work will now progress to refine submissions, and you are invited to work with Unit of Assessment Advisory Groups to ensure that all material is presented to best advantage.

Details of ongoing REF preparations will be published on the University's REF 2021 web pages at: <https://www.bathspa.ac.uk/research-and-enterprise/research-strategy/ref-2021/>

Yours sincerely

Dean/Head of School
cc Line Manager

Appendix P 2

Template Letter to Staff confirming decision that they do not meet the University's criteria for staff who have 'significant responsibility for research' for REF 2021

Private and Confidential

Dear XXXXXXXXXXXX

On 27 November 2020 the University will make a submission to the 2021 Research Excellence Framework (REF 2021).

In line with Research England guidance, the University has been engaged in a consultation process to develop processes to be followed in identifying who among those meeting the definition of 'Category A eligible' staff have significant responsibility for research, and are therefore in scope for submission.

Full details of our approach to REF 2021 and our criteria for the staff that have 'significant responsibility for research' may be accessed on the University's website at: xxx

After a careful review and consideration of your research activity over the assessment period, the University has accepted my recommendation that you do not currently meet the University's criteria for having 'Significant Responsibility for Research' and will not be included in the University's submission to REF 2021.

I realise this decision may come as a disappointment to you. Academic staff whose work is not included in REF 2021 remain free to develop their research careers alongside other duties in discussion with their Line Manager. The allocation of your 180 hours (pro-rata) Research and Scholarly Activity hours within the Workload Planner will continue to be discussed at your Staff Development Review in the normal way. You will be expected to spend this time on non-research activities such as scholarship, enterprise activities and professional development.

If you are not currently actively engaged in independent research, and would like to develop your research career in this way you should agree a research development plan with your appropriate research leader and discuss this with your Line Manager. If you would like to meet with an independent research mentor to help facilitate this process, this can be arranged for you by the Research Support Office.

If, after further discussion and consultation, you remain dissatisfied on the grounds of decisions made solely on the basis of your active engagement in independent research and hence designation as 'SRR', you may lodge an appeal following the appeal process set out in the University's published Code of Practice document which is published on the University's website at: <https://www.bathspa.ac.uk/research-and-enterprise/research-strategy/ref-2021/>

Yours sincerely

Dean/Head of School (cc Line Manager)

Appendix Q

REF Appeals Process

The appeals process documented here relates to procedures related to the following aspects of the University's REF 2021 Submission:

- Designation of Category A eligible staff who have 'Significant Responsibility for Research'
- Designation of 'Research Only' contract staff as independent researchers
- Individual Staff Circumstances Disclosure Process (ISCD)

1. Appeals relating to the inclusion of staff in the University's REF 2021 submission as having 'Significant Responsibility for Research'

1.1 Designation of teaching and research contract staff who have 'Significant Responsibility for Research' (SRR)

If, after further discussion and consultation, the decision from the Dean/Head of School (or equivalent) on the original recommendation stands, anyone dissatisfied on the grounds of decisions made solely on the basis of their contribution to independent research and hence designation as 'SRR' may lodge an appeal following the appeal process set out below.

1.2 Designation of research only contract staff as 'independent researchers'

If, after further discussion and consultation, the decision from the Dean/Head of School (or equivalent) on the original recommendation stands, anyone dissatisfied on the grounds of decisions made solely on the basis of their contribution to independent research may lodge an appeal following the appeal process set out below.

1.3 Appeals Process

1.3.1 An appeal must be made in writing to a member of the University's Vice Chancellor's Advisory Group (VCAG) independent of the selection of staff and outputs process for REF 2021. The designated senior manager will draw on the advice of the Pro-Vice Chancellor (Research and Enterprise) and external advisor(s) if appropriate.

1.3.2 Any such appeals should be lodged within 10 working days of confirmation of 'Category A submitted staff' status.

1.3.3 The appellant will be able to invite a representative to attend the appeals meeting with them. If a member of UCU, this can be a UCU representative.

- 1.3.4 The appellant and his/her Dean/Head of School (or equivalent) will be notified by within 10 working days of receipt of the appeal letter on the outcome of his/her appeal.
- 1.3.5 There will be no further right of appeal under this REF 2021 Appeals Process against the decision taken by the VCAG representative.

2. Appeals relating to Individual Staff Circumstances

- 2.1 Anyone who is dissatisfied on the decision made by the Individual Staff Circumstances Disclosure Panel (ISCD) in relation to a reduction in outputs, may lodge an appeal in writing to the Director of HR setting out the case for dissatisfaction. The Vice-Chancellor and Director of HR will consider this appeal. All discussions will remain confidential and take into account data protection issues.
- 2.2 Appeals Process
 - 2.2.1 Appeals should be made in writing to Director of HR within 10 working days of the date of the letter advising of the decision of the ISCD Panel.
 - 2.2.2 The appellant will be able to invite a representative to attend the appeals meeting with them. If a member of UCU, this can be a UCU representative.
 - 2.2.3 The appellant will be notified within 10 working days of the receipt of the appeal letter on the outcome of his/her appeal.
 - 2.2.4 There will be no further right of appeal under this REF 2021 Appeals Process against the decision taken by the Vice-Chancellor.

Appendix R

Equality Impact Assessments

A baseline Equality Impact Assessment of all Category A eligible staff is set out below.

A second EIA will be done once SRR/Independent Researcher decisions have been made - the breakdown of SRR/Independent Researcher selected staff will be compared against the baseline EIA of all academic staff.

A third EIA will be done on the output selection process for each of the quality bandings. These will be compared against the EIA of all SRR/Independent Researcher designated staff.

An EIA will be undertaken on the second Dry Run process in Spring 2020 as part of this process.

An Equality & Diversity REF Working Group has been put in place to review all EIAs and make appropriate recommendations to the REF Steering Group. This will inform the final outputs selection process.

An initial Dry Run exercise took place in Spring 2019 to assess preparations for REF2021 to date. This process modelled potential scenarios for REF2021, but did not include the formal identification staff that had been identified as SRR or independent researchers, or make decisions on the identification of outputs to be submitted. An EIA was therefore not put in place to review the first Dry Run process.

1. Proposed Activity (change, refresh, policy, project, event, process or practice) being analysed

The Research Excellence Framework (REF) is an exercise undertaken on behalf of the UK's HE Funding Bodies to: provide accountability for public investment in research and produce evidence of the benefits of this investment; provide benchmarking information and establish reputational yardsticks, for use within the HE sector and for public information; inform the selective allocation of funding for research. It is a process of expert review, carried out at national level, by expert panels for each of the 34 subject-based units of assessment (UOAs), under the guidance of four main panels. Expert panels are made up of senior academics, international members, and research users.

Three distinct elements are assessed:

- 1. Quality of outputs (e.g. publications, performances, and exhibitions)**
- 2. Their impact beyond academia, and**
- 3. The environment that supports research**

All Higher Education Institutions (HEIs) submitting to REF 2021 must produce and implement a Code of Practice on the fair and transparent identification of staff with significant responsibility for research; determining who is an independent researcher; and the selection of outputs. Codes must be agreed by the HEI and submitted for examination by the national REF Equality and Diversity Advisory Panel (EDAP).

Bath Spa University's Code of Conduct will be submitted for approval to the REF Steering Group and to Research England in June 2019.

The criteria for identifying staff with significant responsibility for research must be agreed with staff, through appropriate staff representation mechanisms within the HEI.

This EIA considers the three distinct strands of the Code of Practice as required in the REF guidance documentation (<https://www.ref.ac.uk/guidance/key-documents/>):

- A. Identifying staff with significant responsibility for research**
- B. Determining research independence**
- C. Selecting outputs for the REF**

At this stage in the REF 2021 process, Bath Spa University is conducting this initial EIA based upon the assessment of all Category A eligible staff.

A second EIA will be included once SRR/Independent Researcher decisions have been made - the breakdown of SRR/Independent Researcher selected staff will be compared against the baseline EIA of all academic staff.

A third EIA will be included on the output selection process for each of the quality bandings. These will be compared against the EIA of all SRR/Independent Researcher designated staff.

An Equality & Diversity working Group has been put in place to review all EIAs and make appropriate recommendations to the REF Steering Group. This will inform the final outputs selection process.

Equality Impact Assessment

This form enables you to reflect on your proposed activity, and to assess the potential positive and negative impacts it might have on different members of the community. The Equality Impact Assessment is designed to help you ensure your activities are meaningfully considered and not spending your time on an activity that will later need to be changed or disbanded due to not thinking about the practical needs of diverse communities who we are required to protect.

Activity Title	Research Excellence Framework REF 2021 - Code of Practice Equality Impact Assessment
Project Manager and Contact	Cerian Jenkins (Equality Projects Officer)

2. What sources of information/data, or who have you identified to help explore potential equalities impacts?

The Equality and Diversity Steering Group (EDSG) monitors equality and diversity statistics across the University which are collected by HR as part of the recruitment process, and this information has informed this EIA. The REF Equality & Diversity Working Group membership will include an HR representative, a member of EDSG and a members of the Disability Advisory Network Group and will review subsequent EIAs which have been put in place as part of the REF 2021 submission process, as set out in the Code of Practice.

The REF Equality & Diversity Working Group will make recommendations of actions arising from the EIAs to the REF Steering Group to inform the submission process, and more generally, to EDSG for the University to consider and take forward.

All staff involved in the REF identification of staff and outputs process will receive equality and diversity training, which should impact positively on the equality and impact culture across the University.

3. Assessing the activity from different perspectives

3.1 Identifying staff with significant responsibility for research

	Possible Negative (-) or Positive (+) Impact on Groups Include relevant data if possible.	Action Planning: how will you mitigate negative and maximise positive outcomes? Please feed information from this action plan to your activity's own planning documents e.g. action plans, risk registers, benefits maps				
		Actions Required	Responsible Person	Target date	Success indicators	Progress to date
All (possible impacts affecting many groups)	(a) Changes to the REF for 2021 submission are designed to make the process more inclusive by including all staff with significant responsibility for research, and by partially de-coupling outputs from individuals	(a) Bath Spa University will adhere to the set of Equity, Equality and Transparency principles governing REF 2021 (www.ref.ac.uk/media/1092/ref-2019_01-guidance-on-submissions.pdf Paragraph 20)	DVC Neil Sammells	Nov 2020	Positive actions taken forward with respect to E&D culture arising out of EIA evaluations	Consultations on Code of Practice and SRR
	(b) Select Bath Spa University staff have attended the REF 2021	(b) Equality training sessions will be organised and widely advertised to all staff. In addition,	Elaine Orchard	31/12/19	Awareness raising amongst staff	Attendance at Advance HE training sessions and

	<p>Equality Training and will disseminate this knowledge via training to the wider BSU community</p> <p>(c) Bath Spa University has implemented a process for any staff who have individual circumstances which may have impacted their ability to generate research outputs over the assessment to raise the issue and have this taken into account</p> <p>(d) Staff could be concerned that their career progression may be impeded if their outputs are not included in BSU's REF 2021 submission</p>	<p>all Bath Spa University staff must complete mandatory online Equality and Diversity training. This training is mandatory and its completion is monitored</p> <p>(c) Throughout the REF 2021 process BSU staff will be encouraged to voluntarily declare any circumstances which may have affected their ability to be productive, and have this taken into account</p> <p>(d) The four Funding Bodies have been sure to confirm that the names of submitted staff will not be published. BSU will need to actively reassure staff that submission for REF2021 is based on status, and not on quality of output</p>	<p>DVC Neil Sammells</p> <p>DVC Neil Sammells</p>	<p>Nov 2020</p> <p>9 June 2019</p>	<p>Positive evaluation of BSU's Staff Circumstances Report</p> <p>UCU sign off of 'no detriment' statement in CoP</p>	<p>development of REF 2021 bespoke training materials</p> <p>CoP development</p> <p>UCU agreement of statement to this effect in the CoP</p>
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	<p>(e) Staff may feel as though they have not had their best interests represented. That they should or should not have been submitted to REF2021</p> <p>(f) With the rules surrounding research allowance (rather than role) staff may face stressful uncertainty</p>	<p>(e) All staff will be provided with details of the appeals procedure as part of the process of informing staff of their submission status</p> <p>(f) BSU need to be clear on both the timescale and criteria for REF2021 submission, including making clear the process for selection, submission and appeal</p>	<p>DVC Neil Sammells</p> <p>DVC Neil Sammells</p>	<p>Nov 2020</p> <p>Nov 2020</p>	<p>Appeals are managed with successful outcomes</p> <p>Workload Planner accurately represents time allocation for research for all staff</p>	<p>All staff have been offered guidance and support throughout this process. Appeals process is clearly set out in CoP</p> <p>Time for research set out in CoP</p>
<p>Age (older people, younger people)</p>	<p>(a) Younger staff may feel at a disadvantage if they have not had sufficient opportunity to undertake research which would make them submittable to REF2021</p> <p>(b) Early Career Researchers (of any age) may feel at a disadvantage if they have not had sufficient</p>	<p>(a) Younger staff are clearly covered by REF2021 guidance as Early Career Researchers. See (b) below.</p> <p>(b) Early Career Researchers are clearly covered by REF2021 guidance. This must be clearly communicated to ECRs.</p>	<p>DVC Neil Sammells</p>	<p>Nov 2020</p>	<p>No. of ISCD applications is monitored and evaluated for ECR staff</p>	<p>Development of CoP</p>

	opportunity to undertake research which would make them submittable to REF 2021					
Disability, including mental health and non-visible disabilities	<ul style="list-style-type: none"> (a) Disabled staff may have had extended or multiple instances of absence due to their conditions and/or medical appointments. This, in turn, may have impacted their career trajectory such that they are not in a position to gain submitted status for REF 2021 	(a) As previously mentioned, staff have the opportunity to voluntarily declare any circumstances which may have impacted their ability to work productively during the assessment period, and this process includes the option to waive the minimum output submittment requirement.	DVC Neil Sammells	Nov 2020	ISCD monitors no. of ISCD applications related to disability ad reports to REF E&D Working Group	Development of CoP
	<ul style="list-style-type: none"> (b) REF 2021, and the pressures associated with it, may be an exacerbator of mental illness 	(b) BSU provide a number of mental health support resources for staff, including wellbeing workshops, online mental health resources, awareness campaigns and the inclusion of mental health wellbeing reviews for managers.	DVC Neil Sammells	Nov 2020	ISCD monitors no. of ISCD applications related to mental health and reports to REF E&D Working Group	Development of CoP

	(beyond generally work related stress)	These must be clearly communicated during the REF 2021 period.				
Women and men	<ul style="list-style-type: none"> (a) As at 31 October 2013 the BSU gender academic population, eligible for inclusive in REF 2014, was 50:50 compared to 51% male and 49% female for staff submitted in REF 2014. These percentages compare positively with the BSU submitted RAE2008 staff figures of 63% male and 37% female. 	(a) There must be continued engagement with the Athena SWAN process, as well as with the BSU Women’s Leadership Network and the BSU Women’s Mentoring Scheme, ensuring that these address and support women researchers.	DVC Neil Sammells	Nov 2020	REF E&D Working Group monitors updated EIAs and recommend as actions to be taken forward	Development of CoP

<p>Trans and non-binary people, including gender reassignment</p>	<ul style="list-style-type: none"> (a) Some staff may have had extended periods of absence due to medical appointments related to transitioning. This may, in turn, have impacted or slowed their career trajectory such that they are not in a position to gain submitted status to the REF2021 	<p>(a) Staff have the opportunity to voluntarily declare any circumstances which may have impacted their ability to work productively during the assessment period, and this process includes the option to waive the minimum output submittment requirement.</p>	<p>DVC Neil Sammells</p>	<p>Nov 2020</p>	<p>ISCD monitors no. of ISCD applications related to trans and non-binary people and reports to REF E&D Working Group</p>	<p>Development of CoP</p>
<p>Marriage and/or civil partnership</p>	<p>Not known</p>	<p>No implications identified - all academic staff are eligible irrespective of marriage/civil partnership status</p>				
<p>Pregnancy and/or maternity, including Adoption</p>	<ul style="list-style-type: none"> (a) Staff currently on maternity (or other family-related) leave may be concerned about the impact of their prolonged leave on their ability to gain submitted status to the REF 2021. They may also 	<p>(a) Departments and Schools need to ensure that all staff, including those on extended leave, me or absent from work for extended periods, are kept informed and are considered during the REF 2021 process.</p>	<p>DVC Neil Sammells</p>	<p>Nov 2020</p>	<p>ISCD monitors no. of ISCD applications related to family related issues and reports to REF E&D Working Group</p>	<p>Development of CoP</p>

	be concerned about their workload.					
Race , including ethnicity and citizenship	Not known	No implications identified - all academic staff are eligible irrespective of race	DVC Neil Sammells	Nov 2020	REF E&D Working Group monitors updated EIAs and recommend as actions to be taken forward	Development of CoP
Religion and/or belief , including those without religion and/or belief	Not known	No implications identified - all academic staff are eligible irrespective of religion and/or belief	DVC Neil Sammells	Nov 2020	REF E&D Working Group monitors updated EIAs and recommend as actions to be taken forward	Development of CoP
Sexual orientation	Not known	No implications identified - all academic staff are eligible irrespective of sexual orientation	DVC Neil Sammells	Nov 2020	REF E&D Working Group monitors updated EIAs and recommend as actions to	Development of CoP

					be taken forward	
Other specific group (e.g. International or Access)	<ul style="list-style-type: none"> (a) Citizens of EU countries other than the UK may have concerns over their status given the implications and uncertainty of Brexit 	No implications identified - all academic staff are eligible irrespective of whether or not they are UK citizens	DVC Neil Sammells	Nov 2020	REF E&D Working Group monitors updated EIAs and recommend as actions to be taken forward	Development of CoP

3.2 Determining Research Independence

	Possible Negative (-) or Positive (+) Impact on Groups ⁱ Include relevant data if possible.	<p>Action Planning: how will you mitigate negative and maximise positive outcomes?</p> <p>Please feed information from this action plan to your activity's own planning documents e.g. action plans, risk registers, benefits maps</p>				
		Actions Required	Responsible Person	Target date	Success indicators	Progress to date
All (possible impacts affecting many groups)	<p>(a) Changes to the REF for 2021 submission are designed to make the process more inclusive by including all independent researchers, and by partially de-coupling outputs from individuals</p> <p>(b) Select Bath Spa University staff have attended the REF 2021 Equality Training and will disseminate this knowledge via training</p>	<p>(a) Bath Spa University will adhere to the set of Equity, Equality and Transparency principles governing REF 2021 (www.ref.ac.uk/media/1092/ref-2019_01-guidance-on-submissions.pdf Paragraph 20)</p> <p>(b) Equality training sessions will be organised and widely advertised to all staff. In addition, all Bath Spa University staff must complete mandatory online Equality and Diversity training. This training is mandatory and its completion is monitored</p>	DVC Neil Sammells	Nov 2020	<p>Positive actions taken forward with respect to E&D culture arising out of EIA evaluations</p> <p>Awareness raising amongst staff</p>	Consultations on Code of Practice and SRR

	<p>to the wider BSU community</p> <p>(c) Bath Spa University has implemented a process for any staff who have individual circumstances which may have impacted their ability to generate research outputs over the assessment to raise the issue and have this taken into account</p> <p>(d) Staff could be concerned that their career progression may be impeded if their outputs are not included in BSU's REF 2021 submission</p> <p>(e) Staff may feel as though they have not had their best interests represented. That they should or should not have been submitted to REF 2021</p>	<p>(c) Throughout the REF 2021 process BSU staff will be encouraged to voluntarily declare any circumstances which may have affected their ability to be productive, and have this taken into account</p> <p>(d) The four Funding Bodies have been sure to confirm that the names of submitted staff will not be published. BSU will need to actively reassure staff that submission for REF 2021 is based on status, and not on quality of output</p> <p>(e) All staff will be provided with details of the appeals procedure as part of the process of informing staff of their submission status</p>			<p>Positive evaluation of BSU's Staff Circumstances Report</p> <p>UCU sign off of 'no detriment' statement in CoP</p> <p>Appeals are managed with successful outcomes</p>	
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	(f) With the rules surrounding research allowance (rather than role) staff may face stressful uncertainty	(f) BSU need to be clear on both the timescale and criteria for REF 2021 submission, including making clear the process for selection, submission and appeal			Workload Planner accurately represents time allocation for research for all staff	
Age (older people, younger people)	(a) Younger staff may feel at a disadvantage if they have not had sufficient opportunity to undertake research which would make them submittable to REF 2021	(a) Younger staff as Early Career Researchers are clearly covered by REF 2021 guidance. This must be clearly communicated to ECRs.	DVC Neil Sammells	Nov 2020	No. of ISCD applications is monitored and evaluated for ECR staff	Development of CoP
Disability , including mental health and non-visible disabilities	(a) Disabled staff may have had extended or multiple instances of absence due to their conditions and/or medical appointments. This, in turn, may have impacted their career trajectory such that they are not in a position to gain submitted status for REF 2021	a) As previously mentioned, staff have the opportunity to voluntarily declare any circumstances which may have impacted their ability to work productively during the assessment period, and this process includes the option to waive the minimum output submittment requirement.	DVC Neil Sammells	Nov 2020	ISCD monitors no. of ISCD applications related to disability ad reports to REF E&D Working Group	Development of CoP

	<ul style="list-style-type: none"> (b) REF 2021, and the pressures associated with it, may be an exacerbator of mental illness (beyond generally work related stress) 	(b) BSU provide a number of mental health support resources for staff, including wellbeing workshops, online mental health resources, awareness campaigns and the inclusion of mental health wellbeing reviews for managers. These must be clearly communicated during the REF 2021 period.				
Women and men	(a) As at 31 October 2013 the BSU gender academic population, eligible for inclusive in REF 2014, was 50:50 compared to 51% male and 49% female for staff submitted in REF 2014. These percentages compare positively with the BSU submitted RAE2008 staff figures of 63% male and 37% female.	(a) There must be continued engagement with the Athena SWAN process, as well as with the BSU Women's Leadership Network and the BSU Women's Mentoring Scheme, ensuring that these address and support women researchers.	DVC Neil Sammells	Nov 2020	REF E&D Working Group monitors updated EIAs and recommend as actions to be taken forward	Development of CoP
Trans and non-binary people, including gender reassignment	(a) Some staff may have had extended periods of absence due to medical appointments related to transitioning. This may, in turn, have	(a) Staff have the opportunity to voluntarily declare any circumstances which may have impacted their ability to work productively during the assessment period, and this process includes the option to waive the	DVC Neil Sammells	Nov 2020	ISCD monitors no. of ISCD applications related to trans and non-binary people and reports to REF	Development of CoP

	impacted or slowed their career trajectory such that they are not in a position to gain submitted status to REF 2021	minimum output submittment requirement.			E&D Working Group	
Marriage and/or civil partnership	Not known	No implications identified - all academic staff are eligible irrespective of marriage/civil partnership status	DVC Neil Sammells	Nov 2020		Development of CoP
Pregnancy and/or maternity, including Adoption	(a) Staff currently on maternity (or other family-related) leave may be concerned about the impact of their prolonged leave on their ability to gain submitted status to the REF 2021. They may also be concerned about their workload.	(a) Departments and Schools need to ensure that all staff, including those on extended leave, me or absent from work for extended periods, are kept informed and are considered during the REF 2021 process.	DVC Neil Sammells	Nov 2020	ISCD monitors no. of ISCD applications related to family related issues and reports to REF E&D Working Group	Development of CoP
Race, including ethnicity and citizenship	Not known	No implications identified - all academic staff are eligible irrespective of race	DVC Neil Sammells	Nov 2020	REF E&D Working Group monitors updated EIAs and recommend as actions to be taken forward	Development of CoP

Religion and/or belief, including those without religion and/or belief	Not known	No implications identified - all academic staff are eligible irrespective of religion and/or belief	DVC Neil Sammells	Nov 2020	REF E&D Working Group monitors updated EIAs and recommend as actions to be taken forward	Development of CoP
Sexual orientation	Not known	No implications identified - all academic staff are eligible irrespective of sexual orientation	DVC Neil Sammells	Nov 2020	REF E&D Working Group monitors updated EIAs and recommend as actions to be taken forward	Development of CoP
Other specific group (e.g. International or Access)	(a) Citizens of EU countries other than the UK may have concerns over their status given the implications and uncertainty of Brexit	No implications identified - all academic staff are eligible irrespective of whether or not they are UK citizens	DVC Neil Sammells	Nov 2020	REF E&D Working Group monitors updated EIAs and recommend as actions to be taken forward	Development of CoP

3.3 Selection of Outputs

	Possible Negative (-) or Positive (+) Impact on Groups ⁱ Include relevant data if possible.	Action Planning: how will you mitigate negative and maximise positive outcomes? Please feed information from this action plan to your activity's own planning documents e.g. action plans, risk registers, benefits maps				
		Actions Required	Responsible Person	Target date	Success indicators	Progress to date
All (possible impacts affecting many groups)	No impact identified, outputs will be selected on the basis of quality and best fit with UoA	EIAs to be undertaken once outputs have been selected - both at 2nd Dry Run and at final submission stage	DVC Neil Sammells	Nov 2020	Lack of significant actions identified from EIA review	Development of CoP
Age (older people, younger people)	No impact identified, outputs will be selected on the basis of quality and best fit with UoA	EIAs to be undertaken once outputs have been selected - both at 2nd Dry Run and at final submission stage	DVC Neil Sammells	Nov 2020	Lack of significant actions identified from EIA review	Development of CoP
Disability , including mental health and non-visible disabilities	No impact identified, outputs will be selected on the basis of quality and best fit with UoA	EIAs to be undertaken once outputs have been selected - both at 2nd Dry Run and at final submission stage	DVC Neil Sammells	Nov 2020	Lack of significant actions identified from EIA review	Development of CoP
Women and men	No impact identified, outputs will be selected on the basis of quality and best fit with UoA	EIAs to be undertaken once outputs have been selected - both at 2nd Dry Run and at final submission stage	DVC Neil Sammells	Nov 2020	Lack of significant actions identified from EIA review	Development of CoP
Trans and non-binary people,	No impact identified, outputs will be selected	EIAs to be undertaken once outputs have been selected	DVC Neil Sammells	Nov 2020	Lack of significant actions identified from EIA review	Development of CoP

including gender reassignment	on the basis of quality and best fit with UoA	- both at 2nd Dry Run and at final submission stage				
Marriage and/or civil partnership	No impact identified, outputs will be selected on the basis of quality and best fit with UoA	EIAs to be undertaken once outputs have been selected - both at 2nd Dry Run and at final submission stage	DVC Neil Sammells	Nov 2020	Lack of significant actions identified from EIA review	Development of CoP
Pregnancy and/or maternity, including Adoption	No impact identified, outputs will be selected on the basis of quality and best fit with UoA	EIAs to be undertaken once outputs have been selected - both at 2nd Dry Run and at final submission stage	DVC Neil Sammells	Nov 2020	Lack of significant actions identified from EIA review	Development of CoP
Race, including ethnicity and citizenship	No impact identified, outputs will be selected on the basis of quality and best fit with UoA	EIAs to be undertaken once outputs have been selected - both at 2nd Dry Run and at final submission stage	DVC Neil Sammells	Nov 2020	Lack of significant actions identified from EIA review	Development of CoP
Religion and/or belief, including those without religion and/or belief	No impact identified, outputs will be selected on the basis of quality and best fit with UoA	EIAs to be undertaken once outputs have been selected - both at 2nd Dry Run and at final submission stage	DVC Neil Sammells	Nov 2020	Lack of significant actions identified from EIA review	Development of CoP
Sexual orientation	No impact identified, outputs will be selected on the basis of quality and best fit with UoA	EIAs to be undertaken once outputs have been selected - both at 2nd Dry Run and at final submission stage	DVC Neil Sammells	Nov 2020	Lack of significant actions identified from EIA review	Development of CoP
Other specific group (e.g. International or Access)	No impact identified, outputs will be selected on the basis of quality and best fit with UoA	EIAs to be undertaken once outputs have been selected - both at 2nd Dry Run and at final submission stage	DVC Neil Sammells	Nov 2020	Lack of significant actions identified from EIA review	Development of CoP

ⁱ A **positive outcome** or impact is where a person or people may experience an advantage or benefit as a result of the proposed change. This includes positive action to overcome a disadvantage, meet different needs or encourage participation. For example, increasing lighting in public spaces of campus, which increases personal safety, particularly for people from protected groups. A **negative outcome** or impact is where a person or people may experience a disadvantage compared with others, or compared with what was previously available, or planned. For example a new bus service is set up to help all students travel between campuses, but no drop kerbs or accessible buses are available. Bear in mind that some negative outcomes may be justified on the basis of a legal requirement or applicable exemption including use of positive action or where the outcome would conflict with other legislation, e.g. Health & Safety. If a negative outcome can not be mitigated due to a legal requirement, identify the legislation and considerations you have considered to reduce the negative impact and/or rationale for the decision.

4. Project Manager Next Steps	Delete or complete as appropriate	
Does this Equality Analysis require consultation? If so, what will be the consultation duration?		No
Is further monitoring or engagement required? (in addition to the formal Equality Impact Assessment, e.g. with the Students' Union, Disability Services, relevant staff groups)		No
What measure / statistic / data will you use to check if the activity has had a positive, negative or neutral outcome?	This EIA will be used as a benchmark against which further EIAs will be evaluated as set out in the CoP documentation	
When will you review this Equality Impact Assessment?	September 2019 (after SRR process), April 2020 (After Dry Run 2), Dec 2020 (after final submission)	

5. Final Review			
The Equality and Diversity Officer or Nominated Individual/Group has reviewed this Equality Impact Assessment and is satisfied that it is ready for formal consultation.			
Equality and Diversity representative/s	Arlene Stone	Date	7 June 2019

6. Faculty/Service/ Departmental Sign off	
I am satisfied with the results from investigation, consultation and analysis. The progression of this EIA will continue to throughout the activity/project and I will ensure that a review is undertaken following the final implementation of the proposal, to assess its actual impact. Any actions or feedback that results as a consequence of ongoing project changes will be monitored and incorporated within the stated processes. Any negative outcomes will be resolved with the appropriate stakeholders identified.	
Faculty Dean / Head of Department / Head of Service	Sue Rigby
Faculty / Department / Service	Vice Chancellor
Date	6 June 2019

Appendix S

S1

Template Letter to Staff confirming they meet the University's criteria for staff who have 'Independent Research' for REF 2021

Private and Confidential

Dear XXXXXXXXXXX

On 27 November 2020 the University will make a submission to the 2021 Research Excellence Framework (REF 2021).

In line with Research England guidance, the University has been engaged in a consultation process to develop processes to be followed in identifying who among those meeting the definition of 'Category A eligible' research staff who meet the Bath Spa University definition of 'Independent Researcher' and are therefore in scope for submission.

Full details of our approach to REF 2021 and our criteria for the staff that are undertaking 'Independent Research' may be accessed on the University's website at: xxx

After a careful review and consideration of your research activity over the assessment period, the University has accepted my recommendation that you meet the University's criteria for 'Independent Research' and you will be included in the University's submission to REF 2021 in UoA XXX.

Work will now progress to refine submissions, and you are invited to work with Unit of Assessment Advisory Groups to ensure that all material is presented to best advantage.

Details of ongoing REF preparations will be published on the University's REF 2021 web pages at:

Yours sincerely

Dean/Head of School

cc Line Manager

S2

Template Letter to Staff confirming decision that they do not meet the University's criteria for staff who do not have 'Independent Research' for REF 2021

Private and Confidential

Dear XXXXXXXXXXX

On 27 November 2020 the University will make a submission to the 2021 Research Excellence Framework (REF 2021).

In line with Research England guidance, the University has been engaged in a consultation process to develop processes to be followed in identifying who among those meeting the definition of 'Category A eligible' research staff who meet the Bath Spa University definition of 'Independent Researcher' and are therefore in scope for submission.

Full details of our approach to REF 2021 and our criteria for the staff that are undertaking 'Independent Research' may be accessed on the University's website at: xxx

After a careful review and consideration of your research activity over the assessment period, the University has accepted my recommendation that you do not currently meet the University's criteria for undertaking 'Independent Research' and will not be included in the University's submission to REF 2021.

I realise this decision may come as a disappointment to you. Research staff whose work is not included in REF 2021 remain free to develop their research careers alongside other duties.

If, after further discussion and consultation, you remain dissatisfied on the grounds of decisions made solely on the basis of your active engagement in independent research, you may lodge an appeal following the appeal process set out in the University's published Code of Practice document which is published on the University's website at: xxxx

Yours sincerely

Dean/Head of School

cc Line Manager

Appendix T

Reductions for staff circumstances

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

Early career researchers

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

Table L1: Early career researchers: Permitted reduction in outputs

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

Absence from work due to secondments or career breaks

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

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

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

At least 28 calendar months but less than 46	
46 calendar months or more	.5

4. The allowances in Table L2 are based on the length of the individual's absence or time away from working in HE. They are defined in terms of total months absent from work.
5. As part-time working is taken account of within the calculation for the overall number of outputs required for the unit (which is determined by multiplying the unit's FTE by 2.5), reduction requests on the basis of part-time working hours should only be made exceptionally. For example, where the FTE of a staff member late in the assessment period does not reflect their average FTE over the period as a whole.

Qualifying periods of family-related leave

6. The total output pool may be reduced by 0.5 for each discrete period of:
 - a. Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2014 to 31 July 2020, regardless of the length of the leave.
 - b. Additional paternity or adoption leave²², or shared parental leave²³ lasting for four months or more, taken substantially during the period 1 January 2014 to 31 July 2020.
7. This approach to reductions for qualifying periods of family-related leave is based on the funding bodies' considered judgement following consultation in the previous REF exercise that the impact of such a period of leave and the arrival of a new child into a family is generally sufficiently disruptive of an individual's research work to justify the specified reduction.
8. While the above reduction of outputs due to additional paternity or adoption leave is subject to a minimum period of four months, shorter periods of such leave could be taken into account as follows:
 - a. By applying a reduction in outputs where there are additional circumstances, for example where the period of leave had an impact in combination with other factors such as ongoing childcare responsibilities.
 - b. By combining the number of months for shorter periods of such leave in combination with other circumstances, according to Table L2.
9. Any period of maternity, adoption, paternity or shared parental leave that qualifies for the reduction of an output under the provisions in paragraph 6 above may in individual cases be associated with prolonged constraints on work

that justify more than the defined reduction set out. In such cases, the circumstances should be explained in the request.

Combining circumstances

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

Note: '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'.

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

11. Where Table L1 is combined with Table L2, the period of time since 1 January 2014 up until the individual met the definition of an ECR should be calculated in months, and Table L2 should be applied.
12. When combining circumstances, only one circumstance should be taken into account for any period of time during which they took place simultaneously.
13. Where an individual has a combination of circumstances with a defined reduction in outputs **and** additional circumstances that require a judgement, the institution should explain this in the reduction request so that a single judgement can be made about the appropriate reduction in outputs, taking into account all the circumstances. The circumstances with a defined reduction in outputs to be requested should be calculated according to the guidance above (paragraphs 2 to 10).

Other circumstances that apply in UOAs 1–6

14. In UOAs 1–6, the number of outputs may be reduced by up to one, without penalty in the assessment, for Category A submitted staff who are junior clinical academics. These are defined as clinically qualified academics who are still completing their clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or its equivalent prior to 31 July 2020.
15. This allowance is made on the basis that the staff concerned are normally significantly constrained in the time they have available to undertake research during the assessment period. Where the individual meets the criteria in paragraph 14, and has had significant

additional circumstances – for any of the other reasons set out in the ‘Guidance on submissions’ in paragraph [160](#) – the institution can make a case for further reductions in the unit reduction request.

Circumstances requiring a judgement about reductions

16. Where staff have had other circumstances during the period (see paragraph [160e](#). in the ‘Guidance on submissions’ document) – including in combination with any circumstances with a defined reduction in outputs – the institution will need to make a judgement about the effect of the circumstances in terms of the equivalent period of time absent, apply the reductions as set out in Table L2 by analogy, and provide a brief rationale for this judgement.

Appendix U

U 1

Individual Staff Circumstances Disclosure Policy

Introduction

For REF2014 the four UK funding bodies recommend that higher education institutions (HEIs) submitting to the Research Excellence Framework (REF) develop robust procedures to enable staff to disclose, with an appropriate degree of confidentiality, individual circumstances that may impact on the number of research outputs that they have produced. In REF2021 the UK funding bodies remain committed to supporting and promoting equality and diversity in research careers, see paragraphs 151 to 155 of the Guidance on Submissions. In REF2014 HEIs were encouraged to take a proactive approach to encourage staff to disclose their circumstances to justify a reduced number of outputs. It has been recognised by the UK bodies that in some cases this may have put undue pressure to disclose circumstances when an individual did not wish to do so. In REF2021 outputs have been decoupled from staff, which is intended to eliminate any incentive to induce staff to disclose individual circumstances that may have had an effect on their ability to research productively.

Therefore, all eligible staff will be made aware that they can complete a form about their individual circumstances. It will be made clear that completion of the form is voluntary and no inducement will be made to encourage completion.

Data protection and confidentiality

The Data Protection Act 1998 requires HEIs to comply with a number of important principles regarding privacy and disclosure when handling personal data. These principles include ensuring such data are processed and used for limited purposes, and that the data are accurate and up-to-date. The Data Protection Act categorises certain types of data, including some of the data that HEIs may be given for REF2021 purposes on individual staff circumstances, as sensitive personal data. Sensitive personal data are subject to stricter forms of processing and the University has consulted their HR Department on requirements for storing and handling such data. Further information can also be found on the website of the Information Commissioner's Office www.ico.gov.uk/

Most importantly, if a member of staff informs someone of their personal circumstances their permission must be sought before the information is passed on or stored. Where staff do not provide permission for information to be passed on or stored, the University may be limited in the actions it can take. Staff cannot be compelled to provide information about their circumstances or to give permission for it to be stored or passed on.

Individual Staff Circumstances Disclosure

All staff will be sent an email setting out the following details:

- The web link to the Liquid Office Individual Staff Circumstances Disclosure form (see Appendix U2 Individual Staff Circumstances Disclosure Form)
- The reasons why this information is being collected.
- The circumstances which can be taken into account in determining whether eligible staff may be submitted to the REF2021 with reduced number of research outputs.
- Information on who will see the information that they provide
- Information on the way in which the data will be stored
- Information on safeguards that will exist to protect staff members' confidentiality and privacy
- Information on how we will support staff who disclose individual circumstances that we were previously unaware of.

Consideration of the Disclosure of Individual Staff Circumstances

The Individual Staff Circumstances Disclosure (ICSD) Panel (see Appendix J) will be set up to consider all individual staff circumstances disclosure forms, and to make appropriate recommendations to the Deans of Schools on the reduction in the number of outputs that the Unit of Assessment may make in relation to Individual staff member.

Decisions will be made based on REF2021 guidance and with reference to examples of complex staff circumstances available through AdvanceHE. All members of the ISCD Panel will receive specific training in relation to REF2021 equality issues.

Formal documentation recording this decision will be held confidentially in the Human Resources Department, and individual feedback made available through the HR representative on the ISCD panel.

Appeal Process

The decision of the ISCD panel in relation to the details that staff have submitted on individual staff circumstances disclosure forms will be sent in the form of a letter setting out:

- Details of a reduction in outputs
- OR
- Reasons why a reduction in outputs has not been recommended

If the member of staff wishes to appeal against this decision, an appeal can be made to the Director of HR. In line with University policy, the Vice-Chancellor will be the final arbitrator (see Appendix Q for Appeals Process for REF2021.)



Appendix U 2

Individual staff circumstances disclosure form

Name	
School	
Unit of Assessment	

Section one:

Please select one of the following:

- I have no individual circumstances that I wish to be taken into consideration for the purposes of the Research Excellence Framework (REF).
- I have individual circumstances that I wish to make known but I am not seeking a reduction in outputs. (Please complete sections two and three)
- In completing this form I am asking the University to recognise the effect equality-related circumstances have had on my ability to research productively. (Please complete sections 2 and 3)

Effect on Research

When asked to provide information on how the equality related circumstance has affected your research, give details of the effect of the complex circumstances on your ability to work productively on research throughout the assessment period. In some cases this will be giving specific periods of absence or if you are an early career researcher dates of commencement. In other cases it may be that the circumstances that affected your ability to research-productively did not lead to absence from work but prevented you from focussing on your research. Your information needs to be clear and concise, but sufficient to enable the ISCD Panel to make a judgement, as the University can only submit a maximum of 200 words to the UKRI REF team, and/or the Equality and Diversity Advisory Panel.

If you are unable to complete this form and need further assistance please contact Laura Collins or Elizabeth Pridmore.

Section two:

Please select as appropriate:

I wish to make the University aware of the following circumstances which have had an effect on my ability to research productively between 1 January 2014 and 31 July 2020.

Circumstance	Information required
Early career researcher (started career as an independent researcher on or after 1 August 2016)	Date on which became an independent researcher
Career break or secondment outside of the higher education sector	Give brief details of career break / secondment and start and end dates
Family-related leave <ul style="list-style-type: none">• Statutory maternity leave,• Statutory adoption leave, or• Additional paternity leave or shared parental leave lasting for four months or more	Enter start and end dates and state which type of leave was taken and the dates and duration in months
Disability (including conditions such as cancer and chronic fatigue)	Give brief details include: nature / name of condition, periods of absence from work, and periods when at work when unable to research productively. Total duration in months
Mental health condition	Give brief details include: nature / name of condition, periods of absence from work, and periods when at

	work when unable to research productively. Total duration in months
Ill health or injury	Give brief details include: nature / name of condition, periods of absence from work, and periods when at work when unable to research productively. Total duration in months
Constraints relating to family leave that fall outside of standard allowance	Give brief details, include: type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.
Caring responsibilities (including caring for an elderly and disabled relative)	Give brief details, include: nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months
Gender reassignment	Give brief details, include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.
Any other exceptional reasons e.g. bereavement	details, include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months

Section three:

I would like to be contacted by a member of human resources staff to discuss my circumstances and requirements and/or the support provided by the University. My contact details for this purpose are:

Email	
Telephone	
Preferred method of communication	

By signing this form you are agreeing to the following (please confirm your agreement by ticking the boxes):

I confirm that the information provided is a true and accurate description of my circumstances.

I recognise that the information provided will be used for REF purposes in the following ways:

- By the Individual Staff Circumstances Disclosure (ISCD) Panel to determine the amount of output reductions based on individual circumstances that are allowed within the Unit of Assessment. The information provided to the ISCD Panel will be anonymised.
- To inform the Unit of Assessment Groups of the number of reductions in outputs due to individual staff circumstances.
- To inform the Dean of School and REF Steering Group of the number of individual reductions in outputs should they wish to request a reduction of outputs for the unit.
- To notify UKRI REF team and Equality and Diversity Advisory Panel (EDAP) via the completion of forms REF 6a and REF 6b. This information may also be made available to REF panel chairs, members and secretaries.

I give my explicit written consent that the University may use the personal data as described above. You may withdraw permission at any time up to the date of submission of data (27 November 2020). Where permission is not provided Bath Spa University will be limited in the action it can take.

Signature: _____

Date: _____

(Staff member)

Appendix U 3

Individual Staff Disclosure email

Dear Colleague

Bath Spa University is committed to ensure that decisions about selecting staff for the Research Excellence Framework (REF2021) are made in a fair, transparent and consistent manner. Information on how eligible staff will be selected to REF2021 can be found in the Bath Spa University's Code of Practice can be found at link

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

- To enable staff who have not been able to produce a REF-eligible output during the assessment period to be entered into REF where they have;
 - Circumstances that have resulted in an overall period of 46 months or more absence from research during the assessment period, due to equality-related circumstances (see below)
 - Circumstances equivalent to 46 months or more absence from research due to equality-related circumstances
 - Two or more qualifying periods of family-related leave.
- To recognise the effect of equality-related circumstances can have on an individual's ability to research productively, and to adjust expectations in terms of expected workload / production of research outputs.
- To establish whether there are any Units of Assessment where the proportion of declared circumstances is sufficiently high to warrant a request to the higher education funding bodies for a reduced required number of outputs to be submitted.

Applicable circumstances

- Qualifying as an ECR (started as an independent researcher on or after 1 August 2016)
- Absence from work due to secondments or career breaks outside the HE sector
- Qualifying periods of family-related leave
- Disability (including chronic conditions)
- Ill health, injury or mental health conditions

- Constraints relating to family leave that fall outside of the standard allowance
- Caring responsibilities
- Gender reassignment

If your ability to research productively during the assessment period has been constrained due to one or more of the above circumstances, you are requested to click on this link to the Individual Staff Circumstances Declaration form. Further information can be found paragraph 160 of the Guidance on Submissions (REF2019/01). Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. The ISCD form is the only means by which the University will be gathering this information; we will not be consulting HR records, contract start dates, etc. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

Ensuring Confidentiality

The form is processed through Liquid Office, once completed it is sent to the HR Business Partner supporting the process to ensure that you have provided sufficient information to support your request for a reduction in outputs. If they consider more information is needed to support your application they will contact you. Once the form is ready to be submitted to the ISCD Panel the HR Business Partner will print the form (redact any identifying information and provide copies to members of the panel. If the ISCD Panel consider there is insufficient information for them to make a decision they will inform the HR Business Partner who will contact you. Once a decision has been made the copies will be destroyed by the HR Business Partner and you will be informed of the Panel's decision. The form will be retained during the REF2021 process only and destroyed at the completion of REF2021.

If the University decides to apply to the funding bodies for either form of reduction of outputs (removal of a 'minimum of one' requirement or unit circumstances) we will need to provide the UKRI with data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the outputs. Submitted data will be kept confidential to the REF team, the Equality and Diversity Advisory Panel and main panel chairs. All of these bodies are subject to confidentiality arrangements. The REF team will destroy the submitted data about individuals' circumstances on completion of the assessment phase.

Attached to this email is a more detailed explanation of how the University will deal with information provided.

Appendix U 4

ISCD Details

Staff identified as SRR may be returned, at their request, with fewer outputs without penalty in the assessment, if one or more of the following circumstances significantly constrained their ability to produce outputs or to work productively throughout the assessment period.

The Individual Staff Circumstances Disclosure (ISCD) Panel will take the following circumstances into consideration:

Circumstances with a **clearly defined** reduction in outputs, which are:

- Qualifying as an Early Career Researcher (started career as an independent researcher on or after 1 August 2016)
- Absence from work due to secondments or career breaks outside of HE
- Qualifying periods of maternity, paternity or adoption leave.

Circumstances equivalent to absence that require a judgement about the appropriate reduction in outputs, are:

- Disability (including chronic conditions)
- Ill health or injury
- Mental health conditions
- Constraints relating to family leave that fall outside of standard allowance (These may include but are not limited to: medical issues associated with pregnancy or maternity; health and safety restrictions in laboratory or field work during pregnancy or breastfeeding; constraints on the ability to travel to undertake fieldwork due to pregnancy or breastfeeding)
- Caring responsibilities (such as caring for an elderly or disabled family member)
- Gender reassignment
- Other circumstances relating to the protected characteristics, or to activities protected by employment.

Where an individual has one or more circumstances with a clearly defined reduction in outputs, the number of outputs that may be reduced will be determined according to Annex L of the Guidance on Submission which can be found at Appendix ?? Reductions for Staff Circumstances. For clearly defined circumstances the ISCD Panel will assess the reduction in outputs in accordance with this guidance and advise the relevant Deans of Schools of the reduced outputs.

Where there is a combination of clearly defined circumstances the ISCD Panel will consider whether they can be accumulated up to a maximum reduction of 1.5 outputs in accordance with the guidance in Annex L.

Where staff have had one or more complex circumstances – including a combination with any clearly defined circumstances, the ISCD Panel will make a judgement on the appropriate reduction of the number of outputs submitted and provide a rationale for this judgement. This rationale will be shared with the staff member and ultimately via form REF6a with EDAP. Please note the submissions to EDAP are expected to be no more than 200 words and therefore the rationale provided to staff may be shortened when added to form REF6a.

UoAs may optionally request Unit reductions where staff circumstances have disproportionately affected the potential output pool. Reduction requests may be made, without penalty:

1. Where there are very high proportions of staff in the unit whose individual circumstances have affected their productivity; or
2. Where disciplinary publishing norms make it likely that an individual will have generated a smaller number of outputs

Who will see the information that I provide?

Within the University, the information that you provide will be seen by the HR REF2021 representatives and the Individual Staff Circumstances Disclosure (ISCD) Panel. Members of ICSD handling individual staff circumstances will observe confidentiality and information will be stored securely. Individual personal data submitted for the purposes of determining individual staff circumstances will be retained securely and separately by Human Resources. All personal data will be destroyed once the outcomes of the REF2021 have been published by HEFCE.

Deans of Schools and Unit of Assessment Leaders will be provide with notifications of the reductions in outputs only.

If you disclose information that the University was previously unaware of and you would like further support the HR REF2021 representatives will contact you.

If the University decides to apply to the funding bodies for either form of reduction of outputs (removal of 'minimum of one' requirement or unit circumstances), the information provided on the form will be shared externally with UKRI. Submitted data will be kept confidential to the REF team, the REF Equality and Diversity Advisory Panel and main panel chairs. All these bodies are subject to confidentiality arrangements. The REF team will destroy the submitted data about individuals' circumstances on completion of the assessment phase.

All REF2014 panel members, chairs and secretaries are bound by confidentiality requirements, and acceptance of the confidentiality requirements is a condition of their appointment to the

role. No information relating to identifiable individuals' circumstances will be published by the funding bodies REF2014 Team. All data collected, stored and processed by the UK funding bodies REF Team will be handled in accordance with the Data Protection Act 1998.

What if my circumstances change?

The University recognises that staff circumstances may change between completion of the declaration form and census date (31 July 2020). If your circumstances change and you have already submitted a form please contact your HR REF2021 representatives, if you have not yet submitted a form please do so.

Process Consideration of Individual Staff Circumstance Disclosures

Prior to the Meeting

- On receipt of the ISCD Form HR will check the form has been completed with all the information necessary to enable the ISCD Panel to make a decision based on Annex L of the Guidance on Submissions. If the ISCD Form needs further information the HR representative will contact you.
- The HR representative will print the papers and redact all personal information before providing the forms to the ISCD Panel.
- Five days before ISCD Panel meets Panel members receive a pack of papers.
- The Research Office representative will calculate the clearly defined output reductions in advance of the meeting
- ISCD Panel members prepare a view on the complex circumstances to be considered.

At the meeting

- ISCD Panel will discuss each ISCD and make a judgement, based on the guidance in Annex L of the Guidance on Submissions.
- ISCD Panel to complete record of decision on each ISCD at the time of the meeting which the chair will sign.
- HR to collect all papers.

After the meeting

- HR to send letters to members of staff with signed record of decision.
- HR to inform relevant Dean of School of staff with reduced outputs.
- HR to ensure that all papers are securely stored in accordance with Data Protection.
- HR to contact any member of staff who has given permission for their data to be used for other purposes.



Individual staff circumstances disclosure outcome form

ISCD reference	
-----------------------	--

After consideration of the evidence presented in the ISCD form the following decisions have been made:

Circumstance	Output reduction	No.
Early career researcher (started career as an independent researcher on or after 1 August 2014)	On or before 31 July	
	Between 1 August 2016 and 31 July 2017 inclusive	
	Between 1 August 2017 and 31 July 2018 inclusive	
	On or after 1 August 2018	
Career break or secondment outside of the higher education sector	Fewer than 12 calendar months	
	At least 12 calendar months but less than 28	
	At least 28 calendar months but less than 46	
	46 calendar months or more	

Family-related leave	Statutory maternity leave or statutory adoption leave taken during 1 January 2014 and 31 July 2020	
	Additional paternity or adoption leave, or shared parental leave lasting for four months or more, taken substantially during 1 January 2014 to 31 July 2020	
Complex circumstances equivalent to a period of absence	Fewer than 12 calendar months	
	At least 12 calendar months but less than 28	
	At least 28 calendar months but less than 46	
	46 calendar months or more	
RR Reason for decision. NB this information will be used to complete forms REF6a and (where applicable) REF6b		
The ISCD Panel requires further information on the circumstances to enable them to make a decision		
In Information required e.g. further information on the duration of months unable to research productively		
T The ISCD Panel does not feel that the staff member meets the criteria for a reduction in outputs		
Re Reason for decision		

For official use only

Following consideration of the personal circumstances described above, the BSU REF 2014 ICSP

- Will progress the staff member's inclusion in the REF submission with [insert number] of research outputs. . Rationale for the proposed number of outputs:

e.g. this decision is based on the tariffs outlined in the panel criteria.

- Requires further information of the circumstances described as follows:

e.g. please provide information from your occupational health assessment on the effectiveness of reasonable adjustments provided.

- Does not feel that the staff member meets the criteria outlined within the REF 'Panel criteria and working methods' for submitting fewer than four research outputs. The reason(s) for this decision are:

e.g. circumstances detailed are not recognised within the assessment framework and guidance on submissions.

If [insert name of staff member] wishes to appeal against the decision of the BSU REF 2014 ICSP they will need to do so by [insert date] and details of the appeals process can be found at [insert web address].

Signature: _____ Date: _____

([insert name of person/chair of committee responsible for decision])



TEMPLATE: General Letter to Staff related to individual mitigating circumstances meeting criteria

Dear

The Individual Staff Circumstance Disclosure Panel has considered your request for a reduction in outputs for REF2021. I am writing to inform you of the decision of the panel in relation to the details that you provided as part of this process.

Following a careful review and consideration of your circumstances, the panel does feel that you meet the criteria for a reduction in research outputs. The ISCD Panel is recommending that the output pool for your Unit of Assessment be reduced by ... based on your individual staff circumstances. Enclosed with this letter is the Individual Staff Circumstances Disclosure Outcome Form signed by the Chair of the ISCD Panel, which provides the reasons for the decision.

The result of your application will be sent to the Dean of School for inclusion in REF2021

If you wish to appeal against this decision, or to provide additional information that has not yet been taken into account, please provide a written submission to the Director of HR as set out in the formal appeal process described in Appendix xxx of the Code of Practice by [insert date 10 days hence].

Yours sincerely

HR REF2021 Representative on behalf of the
Chair of Panel for the Consideration of Individual Staff Circumstances



TEMPLATE: General Letter to Staff related to individual mitigating circumstances meeting criteria

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Yours sincerely

HR REF2021 Representative on behalf of the
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