Research Excellence Framework 2021: Code of Practice

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Part 1: Introduction

1.1 This Code of Practice establishes the principles, policies and procedures adopted by the University of Worcester for the Research Excellence Framework 2021 (REF 2021) with regard to:

- the fair and transparent identification of staff with *significant responsibility for research*
- determining who is an independent researcher
- the selection of outputs
- support for staff with individual circumstances which may have impacted on their ability to engage in research

1.2 As an employer and public body, under the Equality Act 2010, the University must ensure its policies and 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.

1.3 In addition, under the Part-time Workers Part-time Workers (Prevention of Less Favourable Treatment) Regulations 2000 and Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002, the University must be mindful that fixed-term employees and part-time workers have the right not to be treated by an employer any less favourably than the employer treats comparable employees on open contracts or full-time workers.

1.4 This Code has been developed in accordance with these legal requirements. A summary of the equality legislation is included as Appendix 1.[1]

Principles underpinning the Code of Practice

1.5 The Code has been developed to demonstrate fairness to our staff by embedding the following principles throughout:

(a) **Transparency**: We have developed our processes for identifying staff with significant responsibility for research, determining research independence, and selecting outputs for inclusion in REF submissions to be transparent at all stages of development. The Code in its draft and subsequent agreed versions has been made available to all staff including those on sick leave, parental leave, a career break or absent for other reasons in accessible formats on request. The processes (including timelines) set out in the Code have been and will continue to be clearly communicated to staff including to those on leave or absent for other reasons. The version of the Code approved by EDAP will be made available on our external webpages by Autumn 2019.

(b) **Consistency**: We have developed the processes set out in the Code to be consistent both in principle and in practice for all staff. Criteria for identifying significant responsibility for research and for identifying research independence, and for the selection of outputs apply to all eligible staff with only limited variation at UoA level deriving from REF 2021 *Panel Criteria and Working Methods*.[2]

[1] See also Guidance on Codes of Practice paragraphs 18-32 for an overview of the legislation.

[2] Specifically, in relation to how research independence is determined (Panel Criteria and Working Methods 188-9) and the use of citations to inform quality assessment (Panel Criteria and Working Methods 274-82).

(c) **Accountability**: We set out clearly below the roles and responsibilities of the individuals, groups and panels involved in a decision-making and advisory capacity for REF 2021, including the membership and terms of reference for all REF Committees and the descriptors for key REF 2021 roles. We also provide detail of the support and training provided for individuals, groups and panels in relation to REF 2021.

(d) **Inclusivity**: We have developed the processes set out in this Code, in keeping with our University ethos, to promote an inclusive environment, enabling us to identify all staff who have significant responsibility for research, all staff who are independent researchers, and the excellent research of all staff.

Institutional Context

1.6 The University is committed to promoting equality, diversity and inclusion in its policies and processes but more fundamentally in its culture. We pride ourselves on our inclusive approach to education and as an employer.

1.7 Equality, diversity and inclusion (EDI) is an issue for everyone and hence we adopt a whole University approach to EDI, embedding its principles in all our policies and processes and in the work of our committees. We have received recognition of our efforts in the renewal of our HR Excellence in Research award in June 2018 and an Athena SWAN institutional Bronze award in April 2018.

1.8 Oversight of EDI for staff falls under HR and specifically to the Head of Organisational Development.

1.9 This Code of Practice builds on our REF 2014 Code that adopted a strongly inclusive approach (Appendix 2). It should be noted that we did not adopt a quality threshold for the submission of staff in REF 2014 and this aligns well with the approach now required of the sector.

1.10 The University undertook an EIA of its REF 2014 submission (Appendix 3) and was satisfied that its staff selection policy did not have a differential impact on any group. However, it noted that just 25% of female staff were submitted compared with 37% of male staff. Further analysis showed that female staff were 'overrepresented' in some subject areas when compared to the population as a whole (e.g. 72% of staff allocated to UoA25 were female) and that the percentage of staff submitted to REF 2014 in these areas was comparatively low: just 18% of staff who could have been submitted to UoA25 were returned. This is a pattern repeated at national level: at 27%, UoA25 had the lowest staff return rate of any UoA in REF 2014 with UoA3 next lowest at 30%. This suggests that the variation between the percentage of female staff submitted and the percentage of females in the overall staff population could be explained by the larger number of female staff in areas where a lower than average percentage of staff have been submitted to REF.

1.11 To address this issue, the University has established a programme of development for "Emerging Researchers" with a strong focus on second-career academics (at UW the significant majority of such staff are located in our Schools of Education, Nursing & Midwifery and Allied Health & Community and are female). This was an explicit action in our Athena SWAN Institutional Bronze application.

Institutional roles and Responsibilities for REF 2021

1.12 Diagram 1 (below) sets out the institutional structures established for the oversight and development of our submission to REF 2021 and how these structures feed into existing Committee/Board structures.[3]

1.13 Six REF decision-making and advisory bodies have been established within this structure:

- REF Strategy Group
- REF Strategy Implementation Group (REF SIG)
- REF Equality, Diversity & Inclusion Panel (REF EDIP)
- 3 x College REF Panels

1.14 The overall structure (and the membership and terms of reference of the REF bodies) was approved by the Vice-Chancellor's Executive Board.

1.15 The REF Strategy Group (see Appendix 4 for Membership and ToRs) is the University's primary decision-making REF body, setting the University's REF strategy, and approving the final REF 2021 submissions. It does not, however, have a direct role in the processes set out in Parts 2-4 of this Code.

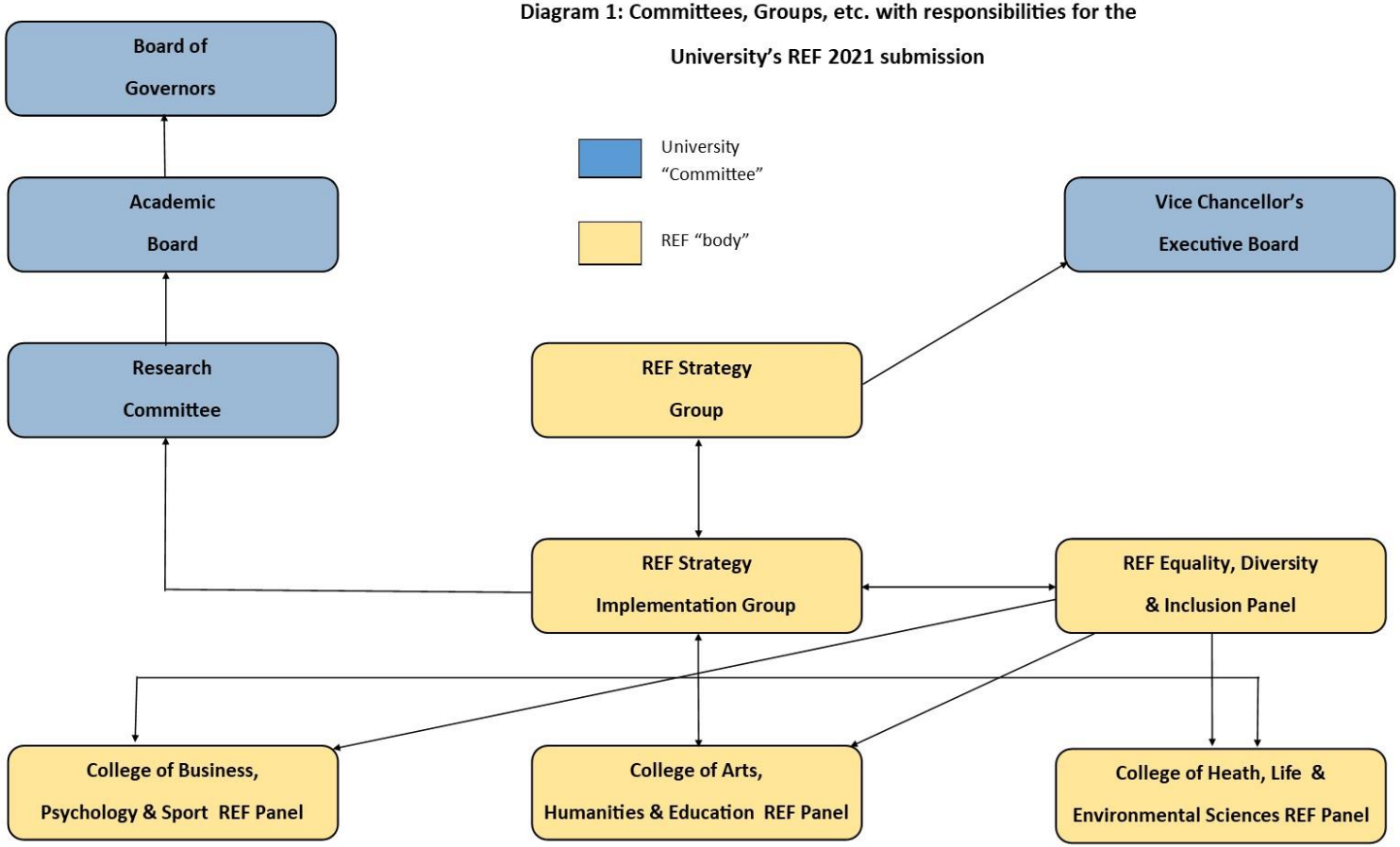
1.16 The REF Strategy Implementation Group (see Appendix 5 for Membership and ToRs) functions to implement the University's REF strategy. It advises the REF Strategy Group on key matters relating to REF 2021 (e.g. consultations), develops REF policies and processes, including this Code of Practice, and recommends these to the REF Strategy Group. It acts in a decision-making capacity around Significant Responsibility for Research, Research Independence and Selection of Outputs, receiving recommendations on these matters from the College REF Panels.

1.17 The REF Equality, Diversity & Inclusion Panel (see Appendix 6 for Membership and ToRs) has two main roles. Firstly, to develop this Code of Practice in collaboration with the REF SIG; and, secondly, to receive all claims for individual staff circumstances and to make recommendations accordingly on how these circumstances should be taken into account in establishing significant responsibility for research and in the selection of outputs. Its membership is led by HR, with the Head of Organisational Development (who is responsible for the University's policy on Equality, Diversity and Inclusion) acting as chair. Academic staff representation was sought from each of its three colleges; this was established through an Expression of Interest approach with an emphasis on staff "applying" who have a clear commitment to EDI.

1.18 The College REF Panels (see Appendix 7 for Membership and ToRs) have the primary responsibility for developing UoA submissions and as such play a key role in identifying staff with a significant responsibility for research and research independence and for implementing processes for the selection of outputs. They have a recommending role in these respects, however, and are not a decision-making body. The Panels are chaired by the College Director

[3] It is noted that the University engaged in an academic restructure in 2018. This led to replacing a single REF Working Group with three College REF Panels to reflect this new structure.

Diagram 1: Committees, Groups, etc. with responsibilities for the University's REF 2021 submission



of Research & Knowledge Exchange (RKE). Their membership consists of REF UoA Coordinators in the College plus representation from HR.

1.19 REF UoA Coordinators (see Appendix 8 for role descriptor) are designated by Schools within which the UoA wholly or primarily sits. Schools have adopted different approaches to selecting REF UoA Coordinators; some retained continuity with REF 2014; others sought Expressions of Interest and had an "interview" process where two or more staff expressed an interest.

Training for Staff with REF Roles and Responsibilities

1.20 All staff involved in decision-making and advisory roles in relation to REF 2021 at the University must undertake training around equality and diversity. This is layered to reflect the different level of responsibility:

(a) Those with a specific role in assessing staff circumstances must complete external REF-specific Equality and Diversity training.

(b) Those with a role in identifying significant responsibility for research, determining research independence and selecting outputs must complete an online REF-specific Equality and Diversity module developed by the University.

(c) Those with a limited role in decision-making in relation to REF 2021 (e.g. existing University Committees/Boards through which REF policies and processes are approved or noted) must complete an online Equality and Diversity module offered as part of the University's standard training and development package.

1.21 Outputs Reviewers (see 4.10) are provided with guidance relating to equality legislation in advance of undertaking their review and their responsibilities under this legislation.

1.22 Appendix 9 sets out the training to be undertaken by each REF body and relevant University committee.

Development of the Code of Practice

1.23 This Code of Practice, and its core processes, have been developed by the REF SIG working with input from the REF EDIP. There has been consultation with academic staff on the Code and the processes it sets out at all key stages.

1.24 Following the publication of Decisions on Staff and Outputs in November 2017, the REF SIG determined potential criteria for identifying significant responsibility for research and REF UoA Coordinators collected data against these criteria in Spring 2018.

1.25 An EIA was undertaken on this data (see Appendix 10). The EIA did not suggest that the criteria disadvantaged particular groups. Nevertheless, it did highlight some issues for consideration, in particular the smaller proportion of part-time staff (particularly female) represented in the SRR category than in the overall staff population. This in particular has fed into the development of the SRR criteria through the extension of timescales for the criteria to recognise the impact of part-time working.

1.26 Meetings were held with each academic school to discuss the criteria and the data in Spring and Summer 2018. Comments were invited at this stage on the appropriateness of the criteria. Feedback was broadly positive.

1.27 The Code of Practice itself was developed in February and March 2019 following the publication of the funding councils' final guidance at the end of January 2019. The Code was discussed in its draft from by the REF SIG (14th March 2019) and subsequently Research Committee (20th March 2019).

1.28 Staff Briefings on the Code of Practice were held in the first week of April 2019. Recordings of these briefings were made available electronically.

1.29 A formal consultation on the Code ran from 8th April to 22nd April 2019. Staff were contacted about the consultation via email and the weekly news blog.

1.30 The draft Code was made available on the University's dedicated REF 2021 pages (located on its Virtual Learning Environment), in paper form on request and in appropriate format for staff with visual impairments on request.

1.31 Comments on the Code could be submitted by email or by telephone to the Chair of the REF SIG or through an anonymous online form. All comments were treated confidentially.

1.32 Following the consultation, some revisions were made to the Code in light of the consultation and a finalised draft was submitted to Academic Board (1st May 2019) and to the Vice-Chancellor's Executive Board (8th May 2019) both of which gave approval.

1.33 The Code, and specifically the processes for identifying significant responsibility for research, were submitted to the Joint Consultative Committee (23rd May 2019) for consideration by the University and College Union. Subsequent to the meeting of JCC the University and College Union confirmed their agreement of the processes for identifying significant responsibility for research.

Part 2: Identifying staff with significant responsibility for research

2.1 As stated in the REF 2021 *Guidance on* Submissions, each Higher Education Institution participating in REF 2021 "must return all eligible staff with significant responsibility for research. Such staff will normally be identified by the core eligibility criteria, as set out for 'Category A eligible staff'; however, where these criteria will also identify staff who do not have significant responsibility for research, the institution may develop and apply an agreed process to identify who among their staff meeting the core eligibility criteria have significant responsibility for research".

2.2 Category A eligible staff are defined as:

- academic staff with a contract of employment of 0.2 FTE or greater, on the payroll of the submitting institution on the census date of 31st July 2020
- whose primary employment function is to undertake either 'research only' or 'teaching and research'
- and whom in the case of 'research only' staff should also meet the definition of an independent researcher (see Part 3 of the Code)

2.3 It should be noted that staff whose primary function is to undertake 'teaching' **are not eligible** for submission to REF 2021. Nor are those staff whose primary function is not academic, e.g. management or professional support staff.

2.4 The REF 2021 *Guidance on Submissions* defines staff with significant responsibility for research as those for whom: **'Explicit time and resources are made available to engage actively in independent research and that it is an expectation of their job role'.**

2.5 At the University of Worcester eligibility ***does not*** align with significant responsibility for research. Not all Category A staff whose primary function is 'teaching and research' have significant responsibility for research.

2.6 We have therefore established criteria appropriate to the Worcester context set out below that identify those staff with a significant responsibility for research; articulated how we support these staff; and set out the processes for assessing which staff meet these criteria.

2.7 It should be noted that the criteria and processes described in Part 2 relate to staff whose primary function is "teaching and research". Staff whose primary function is "research only" are assumed to have a significant responsibility for research where they can be demonstrated to be independent; our processes for identifying independence are set out in Part 3.

Expectations of Staff with a Significant Responsibility for Research (SRR)

2.8 We expect those with a significant responsibility for research to be actively engaged in the following activities: producing outputs from their research appropriate to their discipline, regularly disseminating their research through seminars and conferences, engaging in doctoral supervision and examination, mentoring less experienced or emerging researchers, bidding for external research funding, acting as an investigator on externally-funded projects, enabling the impact of their research, undertaking research roles externally in support of the academic infrastructure of their discipline.

2.9 The scale and diversity of their activities will be dependent on their career stage, e.g. we would usually expect Professors to be engaged in the full range of activities described above and to be producing multiple outputs over a given time period, whilst we might expect less senior researchers to be engaged in only some of these activities and to produce only a small number of outputs in the same period.

2.10 We will identify Category A eligible staff with a primary responsibility for "teaching and research" as having a significant responsibility for research when they meet two or more of the following criteria:

(a) They have presented their research at one or more external conference, exhibition or event of at least national standing in their discipline in the last 24 months
(b) They are actively engaged in doctoral supervision or have actively made themselves available for doctoral supervision by inclusion on the Register for Approved Supervisors
(c) They are acting as a Research Mentor
(d) They have acted as an investigator on an externally funded research project in the last 36 months
(e) They have submitted at least one application for external research funding in the last 24 months
(f) They have acted in a research leadership, management or coordination role in the last 36 months
(g) They have received funding from the University to engage in their research in the last 36 months
(h) They are leading a research group or centre
(i) They are authoring an Impact Case Study for REF 2021
(j) They have undertaken one or more of the following activities in the last 36 months:
    - external examiner for a research degree;
    - editor or member of an editorial panel for a journal or publisher;
    - reviewer or referee for a funding body;
    - research role for a learned society, subject association or professional body such as sitting on a research committee or advisory panel

2.11 Where a member of staff wishes to identify individual circumstances that have constrained their ability to engage actively in research (see Part 4) such that they are unable to meet the criteria set out in 2.10 they may submit a Staff Circumstances Form outlining these circumstances under the processes described in Part 4 of this Code.

2.12 In addition, staff identified as having a significant responsibility for research will be expected, as part of their annual appraisal, to submit a three-year research plan with objectives that engage with the criteria set out above and which are reflective of their career stage.

2.13 It is not expected that all staff whose primary function is "teaching and research" will have a **significant** responsibility for research. It is recognised that some staff whose primary function is "teaching and research" will have significant responsibilities in other areas such as leadership & management, teaching & learning, scholarship & professional practice or Knowledge Exchange**.**

2.14 However, where a member of staff does not meet the criteria for significant responsibility for research but wishes to emphasise their commitment to develop as a researcher they may seek recognition as an Emerging Researcher where they meet one or more of the following criteria:

(a) They meet the REF 2021 definition for an ECR (see Part 4.20a for definition)
(b) They have completed their doctoral study in the last 24 months
(c) The University is currently supporting them to undertake doctoral study
(d) Their line manager has agreed at appraisal that the University will support them to undertake doctoral study
(e) They are academic staff whose primary function is "research only" but they are not "independent" as set out in Part 3 of this Code of Practice.

2.15 In addition, staff identified as an Emerging Researcher will be expected, as part of their annual appraisal, to submit a three-year research plan with objectives that set out their plans for their development as a researcher.

Support for Staff identified as having Significant Responsibility for Research (SRR)

Time

2.16 Staff with SRR who are Lecturers, Senior Lecturers, Principal Lecturers or Associate Professors will:
(a) Be allocated a minimum 20 days for research as set out in the standard academic contract
(b) Be eligible to apply for a period of research leave through our "Supporting Research Excellence Scheme" which equates to one semester (5 months) in a five-year period
(c) Receive additional time explicitly allocated in their workload for the following activities:
i. Acting as an investigator on an externally funded project
ii. Acting as a doctoral supervisor
iii. Acting as a research mentor
iv. Leading a research group or centre
v. Authoring a REF 2021 Impact Case Study

2.17 Staff with SRR who are Professors will be allocated up to 50% of their workload for research.

Resource

2.18 Only staff with SRR will be eligible for the following University- and School-level research support schemes:
(a) University-funded PhD Studentship scheme (including co-funded PhD Studentships)
(b) Supporting Research Excellence Scheme
(c) Facilitating International Research Collaboration Scheme
(d) Open Access Funding Scheme
(e) School Research Output Facilitation Fund

2.19 Staff with SRR will also be eligible to apply for the University's Vacation Research Assistantship Scheme.

Support for Staff identified as Emerging Researchers

2.20 Emerging Researchers will:
(a) Receive appropriate time and support time to engage in relevant development activities as identified through appraisal

(b) Receive financial support for doctoral study, where appropriate, in line with the University's Staff Development Policy[4]
(c) Be allocated a research mentor
(d) Be eligible to apply for the University's Vacation Research Assistantship Scheme

Processes for identifying Staff with SRR

2.21 Staff will be asked initially to self-identify as having significant responsibility for research by completing an SRR form (see Appendix 11). The form asks staff to provide evidence of how they meet the criteria set out in 2.10.

2.22 Where a member of staff feels that their individual circumstances have constrained them from meeting the criteria but wish to be considered as having SRR then they should submit to the processes as set out in Part 4.

2.23 Claims for SRR will be considered by the relevant College REF Panel.

2.24 The role of the College REF Panels is to review staff claims for SRR and to make recommendations to the REF SIG as to which staff have SRR. If the information in an SRR form is incomplete or insufficient to make a judgment (e.g. key dates are missing), the Panel should seek additional information from the applicant and set a timescale for receipt of this information.

2.25 Where the College REF Panel does not accept a claim, it must provide a full and reasoned decision for this. Reasons for not accepting a claim include, but are not limited to:
(a) The staff member is not Category A eligible
(b) Evidence does not fall within the stated timeframes
(c) Outputs do not meet the definition of research as defined in REF 2021
(d) Insufficient evidence was provided to support the initial claim and no further evidence was provided by the applicant in the agreed timescales

2.26 The College REF Panels will receive a report from the REF EDIP identifying staff with individual circumstances who should be identified as having SRR regardless of whether they meet the criteria in full. No detail of individual circumstances will be included in this report.

2.27 Staff will be required to make a claim for SRR on an annual basis within the REF 2021 cycle. It is anticipated that there will be some fluidity in staff identified as having SRR from year to year but for the most part this should reflect staff moving from the Emerging Researcher category into the SRR category.

2.28 When new staff are appointed to Category A eligible posts, a decision on whether they meet the criteria for SRR will be part of the appointment process.

Processes for identifying Emerging Researchers

2.29 Staff who wish to identify as Emerging Researchers must complete the Emerging Researcher form (see Appendix 12). The form asks staff to provide evidence of how they meet the criteria

[4] Under the terms of the Staff Development policy academic staff, where the subject content of the proposed programme is directly related to the future development of the department, will fund up to a maximum of 50% of the programme fees for a period of six years for doctoral level study subject to satisfactory progress.

set out in 2.14. Staff should not submit a claim both for SRR *and* to be an Emerging Researcher at the same time. Where staff member believes they meet the criteria for being an Emerging Researcher but also believes they meet the criteria for SRR, they are advised to submit a claim for SRR. If they subsequently are deemed not to meet the criteria for SRR they may then make a claim to be considered as an Emerging Researcher.

2.30 Claims to be Emerging Researcher will be considered by the relevant College REF Panel.

2.31 The role of the College REF Panels is to review staff claims to be an Emerging Researcher and to make recommendations to the REF SIG as to which staff are Emerging Researchers. If the information in an Emerging Researcher form is incomplete or insufficient to make a judgment (e.g. key dates are missing), the Panel should seek additional information from the applicant and set a timescale for receipt of this information.

2.32 Where the College REF Panel does not accept a claim, it must provide a full and reasoned decision for this. Reasons for not accepting a claim include, but are not limited to:

(a) Evidence does not fall within the relevant timeframes
(b) Insufficient evidence was provided to support the initial claim and no further evidence was provided by the applicant in the agreed timescales

2.33 Staff will be required to make a claim to be an Emerging Researcher on annual basis within the REF 2021 cycle.

2.34 When new staff are appointed to Category A eligible posts, a decision on whether they meet the criteria for Emerging Researcher will be part of the appointment process.

Communication of decisions on Staff with SRR and Emerging Researchers

2.35 The REF SIG will receive a list from the College REF Panels as to which staff have made a claim for SRR and to be an Emerging Researcher, identifying which claims are recommended for approval and which claims are not recommended for approval with the rationale for this set out for each staff member.

2.36 The REF SIG will consider these recommendations. It may seek further information from the College REF Panels in relation to claims that *have not* been accepted.

2.37 When the REF SIG has sufficient information to do so, it will approve a list of staff with SRR and Emerging Researchers.

2.38 A list will be provided to each Head of School of those staff within their school identified as having SRR or as Emerging Researchers (and of those who applied but were deemed not to meet the relevant criteria). Heads of School or relevant staff within their Senior Leadership Team will communicate directly with staff on the list and their line manager as to the outcomes of the process.

2.39 Were a member of staff has made a successful claim for SRR or to be an Emerging Researcher, they and their line manager must ensure that they engage fully with the requirements of this Code of Practice.

2.40 Where a member of staff has made an unsuccessful claim for SRR or to be an Emerging Researcher, this should first be a matter for discussion with their line manager but they may

also request a meeting with the College Director of RKE who will provide an explanation of the decision and provide advice and guidance on appropriate development opportunities.

Appeals against decisions on Staff with SRR and Emerging Researchers

2.41 If a member of staff disagrees with the decision, they are encouraged to address this informally, in the first instance, with their line manager who may seek guidance from the relevant College Director of RKE. It is hoped that any disagreement can be resolved through this mechanism.

2.42 If it cannot be resolved, a member of staff may make a formal appeal against a decision within 14 working days of being informed of the decision on the following grounds:
(a) There is evidence the procedure was not properly followed by the College REF Panel or the REF SIG
(b) There is evidence of factual error in the decision of the College REF Panel or REF SIG

2.43 The member of staff should submit a short statement outlining their reasons for their appeal and any supporting evidence to the email REF2021appeal@worc.ac.uk within the stated timeframes.

2.44 The appeal will be considered by a panel whose members are independent of the decision-making process for SRR and Emerging Researchers, specifically who do not sit on either a College REF Panel or the REF SIG. The Panel will consist of:
- The Deputy Vice Chancellor
- The Director of Human Resources
- An elected academic representative on Academic Board

2.45 The panel will receive training relating to REF 2021 and to Equality and Diversity (generally and specific to REF 2021) as set out in Appendix 9.

2.46 The appeal will be considered and the decision communicated to the appellant within 14 working days of receipt of the appeal documentation.

2.47 Possible outcomes of the appeal are:
(a) Initial decision is upheld
(b) Initial decision is overturned and the staff member is identified as having SRR or as an Emerging Researcher
(c) The matter is referred back to the College REF Panel for further consideration

2.48 No appeal can be made against the decision of this panel.

Communicating the process to staff

2.49 The process for identifying as having SRR or as an Emerging Researcher will be communicated to staff in the following ways:
- Via email from their line manager or where a member of staff is on sick leave, family-related leave, a career break or secondment outside the organisation via a letter to their home address from their line manager
- Via the weekly communications Blog
- Via Staff REF briefings

- Via a dedicated REF 2021 internal website (on the University's Blackboard system)

2.50 Staff will receive specific communication about the appeals process set out at 2.40-48 as follows

- Where a staff member has been unsuccessful in their claim for SRR or to be an Emerging Researcher, via an email from their line manager or where a member of staff is on sick leave, family-related leave, a career break or secondment outside the organisation via a letter to their home address from their line manager
- Via the weekly communications Blog
- Via a dedicated REF 2021 internal website (on the University's Blackboard system)

Equality Impact Assessment of this process

2.51 Building on the earlier EIA (see Appendix 10), the University (led by the REF EDIP) will undertake an EIA on the process for identifying significant responsibility for research set out above at the end of the process. This will be a thorough and systematic analysis to determine whether the institution's processes have a differential impact on particular groups by reference to one or more protected characteristic(s).

2.52 The EIA will be considered by the REF SIG and the outcomes will be used to revise the process if necessary and proportionate.

Part 3: Determining research independence

3.1 The REF 2021 *Guidance on Submissions* states that "staff employed on 'research only' contracts must be independent researchers to meet the definition of Category A eligible". Part 3 of this Code identifies criteria for independence *only* for staff employed on "research only" contracts.

3.2 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.

3.3 Some 'research only' staff are employed to carry out another individual's or group's research programme rather than as independent researchers in their own right. Such staff may be funded from research grants or contracts but may also be funded directly by the University. Such staff will not normally meet the criteria for independence set out below and will thus not be Category A eligible.

Criteria for research independence

3.4 A member of staff will normally be deemed to be an independent researcher where they meet one or more of the following criteria:

(a) They are acting or have acted as an Investigator on an externally funded research project. For staff being submitted to Units of Assessment in Panels A and B, this must be as Principal Investigator; for staff being submitted to Units of Assessment in Panels C and D, this may also be as Co-Investigator.
(b) They hold an independently won, competitively awarded fellowship where research independence is a requirement.
(c) They are leading a research group.
(d) They are leading a substantial or specialised work package in a programme of research.
(e) For staff being submitted to Units of Assessment in Panels C and D, they have had a significant input into the design, conduct and interpretation of a programme of research.

3.5 However, it is important to recognise any claim for research independence will be considered holistically and meeting just one of the criteria above may not always be judged sufficient in its own right, e.g. acting as a Principal Investigator for a small scale and/or short term project may not be deemed a sufficient indicator of independence; or there may be differing views on what constitutes a "substantial work package".

3.6 The following criteria are not seen as indicators in their own right but will be used to inform any decision on research independence:

(a) They are acting as a Director of Studies for a doctoral student.
(b) They have submitted one or more application for external funding in the last 24 months where they are named as the Principal Investigator.
(c) They are sole, first or corresponding author on two or more outputs from research produced in the period from January 1st 2014 to the present.

Processes for identifying research independence

3.7 Research Only staff will be asked initially to self-identify as Independent Researchers by completing the Research Independence form (see Appendix 13) in June 2019. The form asks staff to provide evidence of how they meet the criteria set out in 3.4-6.

3.8 Claims for research independence will be considered by the relevant College REF Panel.

3.9 The role of the College REF Panels is to review staff claims for research independence and to make recommendations to the REF SIG as to which research only staff are independent researchers. If the information in a Research Independence form is incomplete or insufficient to make a judgment (e.g. key dates are missing), the Panel should seek additional information from the applicant and set a timescale for receipt of this information.

3.10 Where the College REF Panel does not accept a claim, it must provide a full and reasoned decision for this. Reasons for not accepting a claim include, but are not limited to:

(a) Evidence was insufficient to demonstrate independence
(b) Evidence does not fall within the stated timeframes
(c) Insufficient evidence was provided to support the initial claim and no further evidence was provided by the applicant in the agreed timescales

3.11 Once a member of staff has been identified as an independent researcher they will not be required to make such a claim again. However, the process will be repeated in June 2020.

Communication of decisions on Staff with research independence

3.12 The REF SIG will receive a list from the College REF Panel as to which staff have made a claim for research independence, identifying which claims are recommended for approval and which claims are not recommended for approval with the rationale for this set out for each staff member.

3.13 The REF SIG will consider these recommendations. It may seek further information from the College REF Panels in relation to claims that *have not* been accepted.

3.14 When the REF SIG has sufficient information to do so, it will approve a list of staff with research independence.

3.15 A list will be provided to each Head of School of those staff within their school identified as Independent Researchers (and of those who applied but were adjudged not to meet the relevant criteria). Heads of School or relevant staff within their Senior Leadership Team will communicate directly with staff on the list and their line manager as to the outcomes of the process.

3.16 Where a member of staff has made an unsuccessful claim for research independence, this should first be a matter for discussion with their line manager but they may also request a meeting with the College Director of RKE who will provide an explanation of the decision and provide advice and guidance on appropriate development opportunities.

3.17 It should be noted that research only staff who are not deemed independent meet one of the relevant criteria for Emerging Researcher set out in 2.14 and may make a claim for such.

Appeals against decisions on research independence

3.18 If a member of staff disagrees with the decision, they are encouraged to address this informally, in the first instance, with their line manager who may seek guidance from the relevant College Director of Research & KE. It is anticipated that any disagreement can be resolved through this informal mechanism.

3.19 If it cannot be resolved, a member of staff may make a formal appeal against a decision within 14 working days of being informed of the decision on the following grounds:
(a) There is evidence the procedure was not properly followed by the College REF Panel or the REF SIG
(b) There is evidence of factual error in the decision of the College REF Panel or REF SIG

3.20 The member of staff should submit a short statement outlining their reasons for their appeal and any supporting evidence to the email REF2021appeal@worc.ac.uk within the stated timeframes.

3.21 The appeal will be considered by a panel whose members are independent of the decision-making process for SRR and Emerging Researchers, specifically who do not sit on either a College REF Panel or the REF SIG. The Panel will consist of:
- The Deputy Vice Chancellor
- The Director of Human Resources
- A Head of School who does not sit on a College REF Panel

3.22 The panel will receive training relating to REF 2021 and to Equality and Diversity (generally and specific to REF 2021) as set out in Appendix 9.

3.23 The appeal will be considered and the decision communicated to the appellant within 14 working days of receipt of the appeal documentation.

3.24 Possible outcomes of the appeal are:
(a) Initial decision is upheld
(b) Initial decision is overturned and the staff member is identified as an independent researcher
(c) The matter is referred back to the College REF Panel for further consideration

3.25 No appeal can be made against the decision of the panel.

Communicating the process to staff

3.26 The process for identifying research independence will be communicated to staff in the following ways:
- Via email from their line manager or where a member of staff is on sick leave, family-related leave, a career break or secondment outside the organisation via a letter to their home address from their line manager
- Via the weekly communications Blog
- Via Staff REF briefings
- Via a dedicated REF 2021 internal website (on the University's Blackboard system)

3.27 Staff will receive specific communication about the appeals process set out at 3.18-25 as follows

- Where a staff member has been unsuccessful in their claim for research independence, via an email from their line manager or where a member of staff is on sick leave, family-related leave, a career break or secondment outside the organisation via a letter to their home address from their line manager
- Via the weekly communications Blog
- Via a dedicated REF 2021 internal website (on the University's Blackboard system)

Equality Impact Assessment of this process

3.27.1 The University (led by the REF EDIP) will undertake an EIA on the process for identifying research independence set out above at the end of the process. This will be a thorough and systematic analysis to determine whether the institution's processes have a differential impact on particular groups by reference to one or more protected characteristic(s).

3.28 The EIA will be considered by the REF SIG and the outcomes will be used to revise the process if necessary and proportionate.

Part 4: Selection of outputs

4.1 The University will adopt an approach to selecting outputs that is transparent, consistent and inclusive and for which there is clear accountability. Fundamental to the process is peer review and decisions will be based on the outcomes of that review.

Peer Review Process

4.2 The process outlined here is a continuous one, i.e. review will continue during the REF period as staff produce new outputs. However, it should be noted that an initial review of outputs formed part of a REF Review process in 2018/19.

4.3 Staff will be assigned to UoAs by the REF Strategy Implementation Group. In some instances, the decision may be taken to assign staff to two or more UoAs for the purposes of the review process.

4.4 Category A eligible staff will be asked by the relevant REF UoA Coordinator to select up to 5 of their outputs from the REF 2021 assessment period for review.[5] They will be able to identify replacement outputs across the REF submission period as and when new outputs are "published" where they believe these new outputs are of higher quality than those initially selected.

4.5 REF UoA Coordinators will also select up to 5 outputs of former Category A eligible staff who have left the University during the REF assessment period for consideration in the review.[6]

4.6 Where two or more staff identify the same output in their selection (i.e. they are "co-authors" of an output), for the purposes of the review the output will be assigned based on author order except in the following circumstances:

(a) Where one staff member (A) is current and the other staff member (B) is former, the output will be assigned to staff member A.
(b) Where one staff member (A) has selected only 1 output and the other staff member (B) 2 or more, the outputs will be assigned to staff member A.

4.7 In the assignment of outputs to staff, no judgment is made about the contribution of the individuals to the output beyond that reflected in the author order. Nor is any judgment made based on the number of outputs assigned to an individual recognising that this may be a reflection of a range of circumstances (see below) or other factors.

4.8 HR will provide the list of Category A eligible staff, current and former, for the review. It is the University's policy to include in this list, in accordance with the REF Guidance, staff who were made redundant where they have chosen to take voluntary severance or where they are technically redundant, because their fixed-term contract has ended. However, the University will not include staff who were made redundant from a permanent contract of employment.

4.9 Where possible and appropriate, outputs will be assessed by two reviewers with expertise in relevant subject areas within the UoA. Where possible, one external reviewer will be used.

[5] Where a staff member and the REF UoA Coordinator feel unable to make a judgment about the staff member's 5 best outputs, the decision may be taken to submit more than 5 outputs to the review process.

[6] Where the REF UoA Coordinator feel unable to make a judgment about the staff member's 5 best outputs, the decision may be taken to submit more than 5 outputs to the review process.

4.10 As noted in 1.18, reviewers will be made fully aware of their responsibility under equality legislation and as set out in this Code of Practice.

4.11 Reviewers are asked to assess the item against the REF 2021 criteria and to "score" it according to the starred levels providing a short rationale for the score based on the criteria.

4.12 Each output will be assigned an overall "score" based on an average of the two reviews.

4.13 Staff will be provided with the score and feedback from reviewers by the relevant College Director of RKE who will also provide guidance and support to the staff member as appropriate.

Process for Selecting Outputs

4.14 Following the review, the *College REF Panel* will make a selection on the following basis:

(a) All reviewed outputs will be assigned to a staff member as set out above including eligible former staff (no staff member will have more than 5 outputs assigned to them) and ranked in quality order. This will represent the "total output pool".

(b) Outputs will be selected up to the required number for the submission based on this quality ranking, ensuring the following submission requirements are met:

i. No staff member has more than 5 outputs assigned to them

ii. No current staff member (unless exceptional circumstances apply – see 4.18-21) has less than 1 output assigned to them

(c) It is likely, following this process, that a selection decision will need to be made between 2 or more outputs of equal "score". The Panel will be asked to make a judgment on the ranking of these outputs taking into account the following information:

i. Citation data (where this is to be used by the relevant UoA).

ii. Other external information such as book or other reviews, journal prizes or awards.

iii. The detail of the reviews, in particular the Panel may consider whether the score for one or other review is justified by the associated rationale; it may also take into account significant differences between review scores (i.e. of 2 or more) and may consider one or other review to make a clearer case for its score.

(d) If, following its deliberation, the Panel is able to rank the outputs of equal score, outputs will be selected up to the number required for the submission following this ranking.

(e) If the Panel is not able to rank the outputs of equal score, the Panel may seek additional review of these outputs.

4.15 Staff will be informed which of their outputs have been selected through this process and which have been assigned to them for the purposes of the submission. Staff who are unhappy with this process may arrange an appointment with the College Director of RKE to discuss the reasons for the decision.

Equality Impact Assessment of this process

4.16 The University (led by the REF EDIP) will undertake an EIA on the process for peer review and selection set out above at the end of its mock exercise in September 2019. This will be a thorough and systematic analysis to determine whether the institution's processes have a differential impact on particular groups by reference to one or more protected characteristic(s).

4.17 The EIA will be considered by the REF SIG and the outcomes will be used to revise the process if necessary and proportionate.

Staff Circumstances

4.18 As part of the university's commitment to supporting equality and diversity in REF, we have put in place safe and supportive structures for staff to declare information about any equality-related circumstances that may have affected their ability to research productively during the REF assessment period. This will include a declaration about their ability to produce research outputs at the same rate as staff not affected by circumstances.

4.19 The purpose of collecting this information is threefold:

(a) To enable staff who have not been able to produce any REF-eligible outputs during the assessment period to be entered into REF where they have
    i. Equality-related circumstances that have resulted in an overall period of 46 months or more absence from research during the assessment period
    ii. Equality-related circumstances *equivalent* to 46 months or more absence from research due to equality-related circumstances
    iii. two or more qualifying periods of family-related leave

(b) To recognise the effect that equality-related circumstances can have on an individual's ability to research productively, and to adjust expectations in terms of expected workload/production of research outputs and specifically as this relates to significant responsibility for research as set out in 2.10.

(c) 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 reduction in the required number of outputs to be submitted.

4.20 The following are applicable circumstances

(a) Qualifying as an Early Career Researcher (ECR) under the REF 2021 definition. ECRs are defined as members of staff who meet the definition of Category A eligible on the census date, and who started their careers as independent researchers on or after 1 August 2016. For the purposes of the REF, an individual is deemed to have started their career as an independent researcher from the point at which:
    i. they held a contract of employment of 0.2 FTE or greater, which included a primary employment function of undertaking 'research' or 'teaching and research', with any HEI or other organisation, whether in the UK or overseas, and
    ii. they first met the definition of an independent researcher

(b) Absence from work due to secondments or career breaks outside the HE sector

(c) Qualifying periods of family-related leave

(d) Junior clinical academics who have not gained a Certificate of Completion of training by 31 July 2020

(e) Disability (including chronic conditions)

(f) Ill heath, injury or mental health conditions

(g) Constraints relating to family leave that fall outside of the standard allowances

(h) Caring responsibilities

(i) Gender reassignment

4.21 If your ability to research productively during the assessment period has been constrained due to one or more of the above circumstances, you may choose to engage in the processes set out below.

Process for identifying staff circumstances

4.22 All Category A eligible staff will be invited to complete a Staff Circumstances Form (Appendix 14) in June 2019 by email and via the staff communications Blog. Relevant information and a copy of the form will also be made available through our REF 2021 Blackboard site. We will contact staff on sick leave, family-related leave, secondment, a career break or other form of leave at their home address with the relevant information and a copy of the form.

4.23 The form will be available electronically, in a paper version and in other appropriate formats on request.

4.24 The completed form can be submitted by email to the confidential email address REF2021EDI@worc.ac.uk or sent to the Head of Organisational Development, Human Resources, University of Worcester, Henwick Grove, Worcester WR2 6AJ.

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

4.26 If a member of staff feels they have been put under pressure to disclose their circumstances they should contact the HR Business Partner for their School.

4.27 It is the role of the REF EDIP to consider all Staff Circumstances. There are three distinct aspects to this role:

(a) To identify where staff circumstances have impacted on the ability of an individual to meet the University's own SRR criteria and to inform the relevant College REF Panel of how these should be taken into account in the SRR processes.
(b) To identify where an individual's circumstances are sufficiently exceptional to require the waiver of the "minimum of one" output requirement.
(c) To make a judgment on whether a request for "unit circumstances" should be made for a UoA and to identify the scale of that reduction.

Staff Circumstances and SRR

4.28 The REF EDIP will make a judgment on whether individual circumstances may have impacted on the ability of the staff member to meet SRR criteria set out at 2.10.

4.29 It will provide reports by UoA to relevant College REF Panels as to which staff should be identified as having SRR regardless of whether they meet the necessary criteria.

Exceptional Circumstances and the waiver of the minimum of one

4.30 Where a Category A eligible staff member has not been able to produce any REF-eligible outputs over the assessment period, REF EDIP may determine that a request be made to the funding council for the minimum of one requirement to be removed where the staff member meets one of the following:

(a) They have had an overall period of 46 months or more absence from research during the assessment period, due to one of more of the circumstances set out in 4.20(a)-(i) or due to part-time working.
(b) They have had circumstances equivalent to 46 months or more absence from research, due to one of more of the circumstances set out in 4.20(a)-(i).
(c) They have had two or more periods of qualifying family-related leave (as set out in 4.28 (c)-(d)).

4.31 In such an instance, the REF EDIP will also report to the relevant College REF Panel that the staff member should be identified as having SRR regardless of whether they fully meet the criteria.

Appeals against decisions of REF EDIP on individual circumstances

4.32 Decisions of the REF EDIP on individual circumstances will be communicated by the Chair to members of staff with an explanation for the decision.

4.33 If a member of staff disagrees with the decision, they are encouraged to address this informally, in the first instance, with the Chair. It is anticipated that any disagreement can be resolved through this informal mechanism.

4.34 If it cannot be resolved, a member of staff may make a formal appeal against a decision within 14 working days of being informed of the decision on the following grounds:

(a) There is evidence the procedure was not properly followed by the REF EDIP
(b) There is evidence of factual error in the decision of the REF EDIP

4.35 The member of staff should submit a short statement outlining their reasons for their appeal and any supporting evidence to the email REF2021appeal@worc.ac.uk within the stated timeframes.

4.36 The appeal will be considered by a panel whose members are independent of the decision-making process for individual circumstances, specifically who do not sit on REF EDIP. The Panel will consist of:

- The Deputy Vice Chancellor
- The Director of Human resources
- A Head of School

4.37 The panel will receive training relating to REF 2021 and to Equality and Diversity (generally and specific to REF 2021) as set out in Appendix 9.

4.38 The appeal will be considered and the decision communicated to the appellant within 14 working days of receipt of the appeal documentation.

4.39 Possible outcomes of the appeal are:

(a) Initial decision is upheld

(b) Initial decision is overturned and the staff member is identified as an independent researcher
(c) The matter is referred back to the College REF Panel for further consideration

4.40 No appeal can be made against the decision of the panel.

Unit Circumstances

4.41 It is the University's intention to manage the impact of Staff Circumstances on a UoA without recourse to requesting a "unit reduction" in outputs except in the following situations:
(a) The total output pool for the submitting unit represents no more than 120% of the required output pool ***and***
(b) at least 40% of submitted staff by FTE are identified as having individual circumstances

4.41 The College REF Panel for the Selection of Outputs will provide REF EDIP with data on submitted staff and the total and required output pool for each UoA.

4.42 REF EDIP will use this information, data on staff circumstances and the tariffs set out in Annex L of the Guidance on Submissions to determine the unit reduction request and recommend to the REF SIG that a request for that reduction in outputs is made to the funding council.

Confidentiality and Staff Circumstances

4.43 Data that staff disclose about their circumstances will remain confidential to REF EDIP except where the University decides to apply to the funding bodies for a reduction of outputs: either the removal of the minimum of one output requirement for an individual (see 4.31-2); or unit circumstances (see 4.40-2).

4.44 In these instances, we will need to provide UKRI with data that staff have disclosed about individual circumstances to show that the criteria have been met for reducing the number of outputs.

4.45 UKRI have guaranteed that 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.

4.46 REF EDIP will provide information to the College REF Panels (which will be provided to the REF SIG and REF Strategy Group), as set out above (4.28-30), as to when there should be an adjustment to expectations relating to the SRR criteria but will not provide any details of individual circumstances in doing so.

Updating the University on individual circumstances

4.47 The university recognises that staff circumstances may change between completion of the declaration form in June 2019 and the census date (31 July 2020). If this is the case, then staff are asked to contact the Head of Organisational Development and/or to email REF2021EDI@worc.ac.uk with updated information.

4.48 All Category A eligible staff recruited after June 2019 and before the census date will be invited to complete the form.

Part 5: Appendices

Appendix 1: Summary of equality legislation

Age	All employees within the HE sector are protected from unlawful age discrimination, harassment and victimisation in employment under the Equality Act 2010 and the Employment Equality (Age) Regulations (Northern Ireland) 2006. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group. Age discrimination can occur when people of a particular age group are treated less favourably than people in other age groups. An age group could be, for example, people of the same age, the under 30s or people aged 45-50. A person can belong to a number of different age groups. Age discrimination will not be unlawful if it is a proportionate means of achieving a legitimate aim. However, in the context of the REF, the view of the funding bodies is that if a researcher produces excellent research an HEI will not be able to justify not selecting their outputs because of their age group. It is important to note that early career researchers (ECRs) are likely to come from a range of age groups. The definition of ECR used in the REF (see 'Guidance on submissions', paragraphs 148 to 149) is not limited to young people. HEls should also note that, given developments in equalities law in the UK and Europe, the default retirement age has been abolished from 1 October 2011 in England, Scotland, Wales and Northern Ireland.
Disability	The Equality Act 2010, the Disability Discrimination Act (1995) (Northern Ireland only) and the Disability Discrimination (Northern Ireland) Order 2006 prevent unlawful discrimination, victimisation and harassment relating to disability. Individuals are also protected if they are perceived to have a disability or if they are associated with a person who has a disability (for example, if they are responsible for caring for a family member with a disability). A person is considered to have a disability if they have or have had a physical and/or mental impairment which has 'a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities'. Long-term impairments include those that last or are likely to last for at least 12 months. Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities. An impairment which is managed by medication or medical treatment, but which would have had a substantial and long-term adverse effect if not so managed, is also a disability.

	The definition of disability is different in Northern Ireland in that a list of day-to-day activities is referred to. There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people generally, not a specific individual, carry out on a daily or frequent basis. While there is no definitive list of what is considered a disability, it covers a wide range of impairments including: • sensory impairments • impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy • progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer • organ specific impairments, including respiratory conditions and cardiovascular diseases • developmental impairments, such as autistic spectrum disorders and dyslexia • mental health conditions such as depression and eating disorders • impairments caused by injury to the body or brain. It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability. Equality law requires HEIs to anticipate the needs of people with disabilities and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a researcher's impairment has affected the quantity of their research outputs, the submitting unit may return a reduced number of outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances').
Gender reassignment	The Equality Act 2010 and the Sex Discrimination (Gender Reassignment) Regulations (Northern Ireland) 1999 protect from discrimination, harassment and victimisation of trans people who have proposed, started or completed a process to change their sex. Staff in HE do not have to be under medical supervision to be afforded protection because they are trans and staff are protected if they are perceived to be undergoing or have undergone related procedures. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment. Trans people who undergo gender reassignment will need to take time off for appointments and, in some cases, for medical assistance. The transition process is lengthy, often taking several years, and it is likely to be a difficult

	period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole. The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a transsexual may commit a criminal offence if they pass the information to a third party without consent. Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care. If a staff member's ability to work productively throughout the REF assessment period has been constrained due to gender reassignment, the unit may return a reduced number of research outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'). Information about the member of staff will be kept confidential as described in 'Guidance on submissions', paragraph 195. HEIs should note that the Scottish government recently consulted on, and the UK government is currently consulting on, reform of the Gender Recognition Act 2004, which may include streamlining the procedure to legally change gender.
Marriage and civil partnership	Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 as amended, individuals are protected from unlawful discrimination, harassment and victimisation on the grounds of marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and treatment in employment. The protection from discrimination does not apply to single people. HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff who are married or in civil partnerships.
Political opinion	The Fair Employment and Treatment (Northern Ireland) Order 1998 protects staff from unlawful discrimination on the grounds of political opinion. HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff based on their political opinion.
Pregnancy and maternity	Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 women are protected from unlawful discrimination, harassment and victimisation related to pregnancy and maternity. Consequently, where researchers have taken time out of work, or their ability to work productively throughout the assessment period has been affected, because of pregnancy and/or maternity, the submitting unit may

	return a reduced number of research outputs, as set out in 'Guidance on submissions', paragraphs 169 to 172. In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process. For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.
Race	The Equality Act 2010 and the Race Relations (Northern Ireland) Order 1997 protect HEI staff from unlawful discrimination, harassment and victimisation connected to race. The definition of race includes colour, ethnic or national origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race. HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their race or assumed race (for example, based on their name).
Religion and belief including non-belief	The Equality Act 2010 and the Fair Employment and Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination, harassment and victimisation related to religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief. HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived religion or belief, including non-belief. 'Belief' includes any structured philosophical belief with clear values that has an effect on how its adherents conduct their lives.
Sex (including breastfeeding and additional paternity and adoption leave)	The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect HEI staff from unlawful discrimination, harassment and victimisation related to sex. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex. The sex discrimination provisions of the Equality Act explicitly protect women from less favourable treatment because they are breastfeeding. Consequently, the impact of breastfeeding on a woman's ability to work productively will be taken into account, as set out in 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'. If a mother who meets the continuity of employment test wishes to return to work early or shorten her maternity leave/pay, she will be entitled to shared parental leave with the father or her partner within the first year of the baby's birth. Partners may also be eligible for shared parental leave or pay. Fathers/partners who take additional paternity or adoption leave will have similar entitlements to women on maternity leave and barriers that exist to taking the leave, or as a result of having taken it, could constitute

	unlawful sex discrimination. Consequently, where researchers have taken additional paternity and adoption leave, the submitting unit may return a reduced number of outputs, as set out in 'Guidance on submissions', Annex L. HEIs need to be wary of implementing procedures and decision-making processes in relation to REF 2021 that would be easier for men to comply with than women, or vice versa. There are many cases where a requirement to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women. HEIs should note that there are now requirements under UK and Scottish legislation for public authorities (including HEIs) to report information on the percentage difference amongst employees between men and women's average hourly pay (excluding overtime).
Sexual orientation	The Equality Act 2010 and the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003 protect HEI staff from unlawful discrimination, harassment and victimisation related to sexual orientation. Individuals are also protected if they are perceived to be or are associated with a person who is of a particular sexual orientation. HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived sexual orientation.

Appendix 2 – The Code of Practice on the selection of staff for submission to the Research Excellence Framework 2014

University of Worcester

The Code of Practice on the selection of staff for submission to the Research Excellence Framework 2014

Purpose

1. This Code of Practice (CoP) establishes the principles and procedures for ensuring the fair and transparent selection of staff for the Research Excellence Framework 2014 (REF 2014).

2. It sets out:
   - guidance on the equality and diversity principles, inclusive practices and legal requirements to which all involved in the selection process **must** adhere
   - the roles and responsibilities of committees and individuals involved in the selection process
   - details of equality and diversity training for staff involved in the selection process
   - the processes for selecting staff for submission to REF 2014
   - the processes for collecting information about staff circumstances
   - the processes for providing feedback to staff who are not selected for submission
   - the processes by which staff not selected for submission may appeal against this decision
   - the processes by which the selection process will be kept under review, primarily through the use of Equality Impact Assessments

3. The CoP has been developed by the REF Equality & Diversity Advisory Panel in consultation with recognised trades unions and reviewed and approved by the REF Working Group. It has subsequently been approved by the Vice Chancellor's Advisory Group and by the Academic Board. It has been reported to the Board of Governors.

4. The Vice Chancellor has confirmed that this CoP will be submitted to HEFCE by 31st July 2012.

Principles

5. These principles are enshrined in the CoP:

   a) **Transparency**: all processes for the selection of staff for inclusion in REF submissions will be transparent. The CoP will be made available in an easily accessible format and publicised to all academic staff across the institution, including on the external website, intranet, and drawn to the attention of those absent from work. There will be a

Appendix 3 - Equality Impact Assessment of Final Submission to REF 2014

In preparing its submission to REF 2014, the University of Worcester undertook an initial Equality Impact Assessment (EIA) of data from a 2011 survey asking staff whether they wished to be part of any submission to REF 2014. The EIA was as follows:

Protected Characteristic	All Category A and C Staff on 31/7/2011 Answering 'Yes'		Answering 'Yes'		Answering 'No'/No Reply	
	Headcount	%	Headcount	%	Headcount	%
Female	196	56	87	53	109	59
Male	154	44	77	47	77	41
Disabled	21	6	7	4	14	8
BME	25	7	13	8	12	6
Part-time working	70	20	25	15	45	24
Fixed-term contract	18	5	8	5	10	5

There were no major variations between the % of staff answering 'yes' to the survey for each characteristic and the % of the overall population of staff for each characteristic. The lower percentages for female staff (53% compared to 56%) and for staff on part time contracts (15% compared to 20%) were, however, noted. This could be explained by the higher percentage of part time and/or female staff in the broad areas of Education and Allied Health, Nursing and Midwifery which were both underrepresented in those replying 'yes'. Further sessions to raise awareness of REF 2014 were built into staff 'away days' in the relevant departments. This EIA was kept under review and revisited at key stages during the preparation as agreed in the Code of Practice.

The EIA of the University's final submission to REF 2014 is set out below, including data for two additional characteristics.

Protected Characteristic		All Category A and C Staff on 31/10/2014	Staff submitted to REF 2014	% of overall population submitted to REF 2014
Female	**Headcount**	230	57	25
	%	61	51	
Male	**Headcount**	149	55	37
	%	39	49	
Disabled	**Headcount**	28	7	25
	%	7	6	
BME	**Headcount**	27	7	25
	%	7	6	
Not UK nationality	**Headcount**	36	22	61
	%	9	20	
LGBT	**Headcount**	6	4	67
	%	2	4	
Part-time working	**Headcount**	70	16	23
	%	18	14	
Fixed-term contract	**Headcount**	23	6	30
	%	7	6	

Commentary

In completing this EIA, the University is satisfied that its staff selection policy for REF 2014 has not had a differential impact on any group. The figures for the % of staff submitted to REF 2014 for each protected characteristic closely mirror or exceed the % for the total population, with one notable exception. This is the figure for female staff, which is 51% for those submitted compared to 61% for the overall population. Another way of reflecting this data is through the % submitted of the overall population for that characteristic: this is 25% for female staff. While this compares unfavourably to the 37% of male staff submitted, it closely mirrors that for staff recorded as Disabled, BME, Part-time working and Fixed-term contract. Further analysis of data shows that female staff are 'overrepresented' in some subject areas when compared to the population as a whole (e.g. 72% of staff allocated to UoA25 Education are female) and that the percentage of staff submitted to REF 2014 in these areas was comparatively low – just 18% of staff allocated to UoA25 were returned. This suggests that the variation between the % of female staff submitted and the % of females in the overall staff population can be explained by the larger number of female staff in areas where a lower than average % of staff have been submitted to REF. The University intends to undertake a fuller analysis of the data at the UoA level going forward but will also be interested to see if any similar trends emerge at national level.

Appendix 4 – Membership and ToRs of the REF Strategy Group

Membership

Deputy Vice Chancellor (Chair)

Director of HR

Deputy Pro Vice Chancellor Research

Head of the Vice-Chancellor's Office and Secretary to Vice Chancellor's Executive Board (Secretary)

Terms of Reference

1. To establish the University's REF 2021 strategy in line with the University's Research Strategy
2. To advise Vice Chancellor's Executive Board (VCEB) on resources needed to support the University's REF 2021 submission
3. To approve all UoA submissions to REF 2021
4. To recommend an agreed REF 2021 Code of Practice for approval to VCEB
5. To liaise with staff representative groups on the REF 2021 Code of Practice
6. To receive reports from the REF Strategy Implementation Group
7. To report to VCEB

Appendix 5 – Membership and ToRs of the REF Strategy Implementation Group

Membership:

Deputy Pro Vice Chancellor Research (Chair)

Research Support Officer (Secretary)

Deputy Director of HR

Representative from Finance

Representative from Library Services

ECR Representative

College Directors of Research & KE x 3

Terms of Reference:

1. To implement the University's REF 2021 strategy
2. To devise and oversee a REF 2021 mock-exercise
3. To develop the REF 2021 Code of Practice in collaboration with the REF Equality, Diversity & Inclusion Panel and recommend to the REF Strategy Group
4. To ensure the effective implementation of the REF 2021 Code of Practice
5. To oversee the planning and preparation of the submissions to REF 2021
6. To ensure all planning and preparation meets the requirements of the REF 2021 assessment and submission framework
7. To develop responses to REF 2021 consultations and recommend to the REF Strategy Group
8. To report to Research Committee on progress with planning and preparation for REF 2021
9. To receive notes from the College REF Panels
10. To approve recommendations made by the College REF Panels on Significant Responsibility for Research, Research Independence and the Selection of Outputs
11. To ensure that all internal processes reflect the University's commitment to equality, diversity and inclusion

Appendix 6 - Membership and ToRs of the REF Equality, Diversity & Inclusion Panel

Membership:

Head of Organisational Development, HR (Chair)

HR representative (Secretary)

3 x Academic staff representatives (one per College) selected via an Expression of Interest

Terms of Reference:

1. To develop the REF 2021 Code of Practice in collaboration with the REF Strategy Implementation Group
2. To receive and consider claims for individual staff circumstances
3. To provide reports to the College REF Panels on how these circumstances should be taken into account in relation to staff claims for Significant Responsibility for Research
4. To identify staff whose individual circumstances merit the waiving of the minimum of one output requirement and to make recommendations to the REF Strategy Implementation Group accordingly
5. To work with the College REF Panels to identify where a Unit Reduction should be applied, to identify the scale of that reduction and to make recommendations to the REF Strategy Implementation Group accordingly
6. To act in an advisory capacity to all the University's REF "bodies" on matters relating to equality, diversity and inclusion

Appendix 7 - Membership and ToRs of the College REF Panels

Membership:

College Director of Research & KE (Chair)

College Research & KE Facilitator (Secretary)

1 x Head of School from the College

REF UoA Coordinators in the College

College HR Business Partner

Terms of Reference:

1. To undertake a REF 2021 mock-exercise as advised by the REF Strategy Implementation Group
2. To develop UoA submissions within the College as advised by the REF Strategy Implementation Group
3. To provide comment and feedback on the REF 2021 Code of Practice
4. To provide comment and feedback on responses to REF 2021 consultations
5. To receive claims for Significant Responsibility for Research, Emerging Researcher and Research Independence for staff within the College and to make recommendations on these to the REF Strategy Implementation Group
6. To undertake the Selection of Outputs for UoAs within the College and to make recommendations on these to the REF Strategy Implementation Group
7. To receive reports on staff circumstances from the REF Equality, Diversity & Inclusion Panel
8. To report to the REF Strategy Implementation Group
9. To approve recommendations made by the College REF Panels on Significant Responsibility for Research, Research Independence and the Selection of Outputs
10. To coordinate support and training for staff across the University relating to REF
11. To ensure that all its actions and decisions reflect the University's commitment to equality, diversity and inclusion

Appendix 8 – REF Unit of Assessment (UoA) Coordinator Role Descriptor

This role descriptor reflects the expectations associated with the role of REF UoA Coordinator across the REF period. It is recognised that the role of the coordinator will shift during this period. Early on, primary responsibilities will be to stay well-informed about general and UoA-specific development relating to REF and to share these with staff in their UoA. Later in the period, the role will be more focused on developing the submission for that UoA which may involve working with colleagues to identify their strongest outputs as well as authoring and/or editing narrative documents.

1. To be a member of the relevant Colle REF Panel
2. To act as an information source for staff within the relevant UoA about the REF
3. To attend external REF events as requested by the College REF Panel
4. To develop a full knowledge and understanding of the REF criteria, working methods and assessment framework relating to the UoA
5. To support the REF mock-exercise. This will include:
    a. Liaising with colleagues in the UoA about their individual submissions
    b. Organising review for the UoA
    c. Presenting the review documentation for the UoA
6. To coordinate the REF submission for the relevant UoA. This will include:
    a. Liaising with colleagues in the UoA about their individual submissions
    b. Working with colleagues in the Research Office, Research School and HR to bring together all required data for that UoA relating to outputs, staff information, research income, research student data, impact and other data
    c. Writing or coordinating writing of environment templates
    d. Working with Impact Leads to coordinate writing of impact case studies
7. To advise College Directors of RKE on resource issues relating to the relevant UoA submission

Appendix 9 – Training for Staff with REF 2021 Roles and Responsibilities

	Dedicated External Training (e.g. Equality, Diversity, Inclusion and the Research Excellence Framework 2021: A workshop for practitioners, Advance HE)	**Online training module: Equality, Diversity and Inclusion in REF 2021**	**Online training module on Equality, Diversity and Inclusion**
REF Strategy Group	No	Yes	Yes
REF Strategy Implementation Group	No	Yes	Yes
REF Equality, Diversity & Inclusion Panel	Yes	Yes	Yes
College REF Panels	No	Yes	Yes
REF Appeal Panels	Yes	Yes	Yes
Research Committee	No	No	Yes
Academic Board	No	No	Yes
Vice Chancellor's Executive Board	No	No	Yes

Appendix 10 – Equality Impact Assessment on draft Significant Responsibility for Research (SRR) Criteria

In Spring/Summer 2018, the University collected data for all academic staff on the proposed criteria for determining significant responsibility for research (SRR) in the context of REF 2021. Based on this data, a group with SRR was identified.

The Head of Organisational Development completed an Equality Impact Assessment (EIA) on the proposed criteria by comparing the representation of protected characteristics in the SRR group (223 by headcount) with the representation in the overall academic population (485 by headcount).

Analysis of the data showed that females were slightly under-represented in the SRR group compared to the overall staff population, whilst males were overrepresented (see Table 1).

	Female		Male	
	h/c	%	h/c	%
All Staff	308	63.5	177	36.5
Staff with SRR	132	59.2	91	40.8

Table 1: Representation (h/c and %) by gender

This represents a significant progression from the EIA data for REF 2014 that showed 51% of staff submitted were female compared to an overall proportion of 61% (see Table 2). This may show that the actions identified in the REF 2014 EIA have had some impact or may show that the criteria for identifying SRR enable a more representative submission than those adopted by us in REF 2014.

	Female		Male	
	h/c	%	h/c	%
All Staff	230	60.7	149	39.3
Staff Submitted	57	50.9	55	49.1

Table 2: Staff submitted (h/c and %) by gender to REF 2014

Having said this, that women still remain less well represented in the SRR group than in the overall population requires further analysis. As noted in the REF 2014 EIA, this may be a reflection of the higher proportion of women in UoAs 3 (75%) and 23 (82%) where a notably smaller proportion of staff (35% and 32% respectively) meet the SRR criteria than the average (46%) reflecting perhaps the nature of academic staffing in these disciplines.

Data for other protected characteristics (disability, BAME, LGBT and staff on parental leave), where declared, shows that overall these groups are better represented in the SRR group than in the total staff population, although we note that the numbers in these groups are small (see Table 3). There is little meaningful variation when this data is considered by gender (see also Table 3).

One characteristic that does show variation between the SRR group and overall population is for part time staff. Part time staff represent 23.1% of the overall staff population but just 17.5% of the SRR group. Looking at this data intersectionally shows that this reflects the under-representation of female part-time staff rather than male.

In response to this, it has been proposed that the timeframes for some of the criteria be extended to reflect the impact of part-time working, e.g. the period for presenting your research at a conference or seminar of national standing be extended from 12 to 24 months.

Protected and other characteristics	Group	Female		Male		Total	
		h/c	%	h/c	%	h/c	%
Disabled	All Staff	32	6.6	15	3.1	47	9.7
	Staff with SRR	17	7.6	6	2.7	23	10.3
BAME	All Staff	14	2.9	12	2.5	26	5.4
	Staff with SRR	7	3.1	7	3.1	14	6.3
LGBT	All Staff	7	1.4	7	1.4	14	2.9
	Staff with SRR	3	1.3	4	1.8	7	3.1
Parental Leave	All Staff	6	1.2	2	0.4	8	1.6
	Staff with SRR	6	2.7	2	0.9	8	3.6
Part time	All Staff	88	18.1	24	5.0	112	23.1
	Staff with SRR	30	13.5	9	4.0	39	17.5

Table 3: Representation (h/c and %) by protected and other characteristics and by gender and overall

Appendix 11 – SRR Form

Significant Responsibility for Research (SRR) Form

Personal Details

Name:	Click here to enter text.
Email:	Click here to enter text.
School:	Choose an item.
Unit of Assessment (UoA) which you expect to be submitted to:	Choose an item.

How you meet the SRR Criteria

Have you presented your research at one or more external conference, exhibition or event of at least national standing in your discipline in the last 24 months? (see note 1)	Yes ☐ No ☐
If yes please provide detail here:	Click here to enter text.
Are you currently engaged in doctoral supervision and/or are you on the Register of Approved Supervisors? (see note 2)	Yes ☐ No ☐
If yes please provide detail here:	Click here to enter text.
Are you acting in the capacity of a Research mentor? (see note 3)	Yes ☐ No ☐
If yes please provide detail here:	Click here to enter text.
Are you acting or have you acted as an investigator on an externally funded research project in the last 36 months? (see note 4)	Yes ☐ No ☐
If yes please provide detail here:	Click here to enter text.
Have you submitted an application for external research funding in the last 24 months? (see note 5)	Yes ☐ No ☐
If yes please provide detail here:	Click here to enter text.
Have you have acted in a research leadership, management or coordination role in the last 36 months? (see note 6)	

If yes please provide detail here:	Click here to enter text.
Have you received funding from the University for your research in the last 36 months? (see note 7)	
If yes please provide detail here:	Click here to enter text.
Are you leading a research group or centre? (see note 8)	Yes ☐ No ☐
If yes please provide detail here:	Click here to enter text.
Are you authoring an Impact Case Study for REF 2021? (see note 9)	Yes ☐ No ☐
Have you undertaken one or more of the following activities in the last 36 months: - **external examiner for a research degree;** - **editor or member of an editorial panel for a journal or publisher;** - **reviewer or referee for a funding body;** - **research role for a learned society, subject association or professional body such as sitting on a research committee or advisory panel**	Yes ☐ No ☐
If yes please provide detail here:	Click here to enter text.

Please confirm, by ticking the box below, that:

- The above information provided is true and accurate as of the date below
- I realise that the above information will be shared with the relevant College REF Panel and with the REF Strategy implementation Group and where appropriate with your line manager and Head of School
- I realise it may be necessary to share the information with the UK Funding Councils' REF team in the event of an audit

I agree ☐

Signed: Sign or initial here

Date: Insert date here

Please email the completed form to REF2021@worc.ac.uk or send in hard copy to DPVC Research, University of Worcester, Henwick Grove, WR2 6AJ.

Notes

1. To meet this criterion, you must be able to show 3 things:
   (a) that *you* presented at the conference/exhibition/event, i.e. we will not accept presentations of research by a co-author made in your absence
   (b) that the work presented meets the definition of research in the REF, i.e. we will not accept presentations focused on professional or teaching practice unless they can be articulated as a product of research
   (c) that the conference/exhibition/event is of at least national standing, by which we mean the event has an at least national reputation and was attended by a range of academics from the UK and potentially beyond

   We therefore would recommend that you submit a copy (or link) to your paper and provide as much detail as possible.

2. To be eligible for supervision you must be on the University's Register of Approved Supervisors. If you are new to the University we recognise that you may not yet have completed the process for joining the register; in this instance, please provide evidence that you have been engaged or continue to be engaged in supervision at your previous institution.

3. Only answer yes to this question where you have been formally identified in this role through one of the University's mentoring schemes.

4. Please provide the following detail (or cross refer to your CV) :
   - Your role on the project (i.e. Principal Investigator, Co-Investigator)
   - Project Title
   - Funding body
   - Value of funding
   - Project start and end dates
   - Institution where project took place – this will normally be Worcester but if you are a new member of staff this may be at your previous employers

5. Please provide the following detail:
   - Your role on the project (i.e. Principal Investigator, Co-Investigator)
   - Project Title
   - Funding body
   - Value of funding
   - Date submitted

6. Such roles include: REF UoA Coordinator; REF impact lead; PhD Course leader; College Director of RKE.

7. Please provide detail of the scheme you were awarded funding from and the dates you were awarded funding for. Relevant schemes are: PhD Studentship Scheme, Vacation Research Assistantship Scheme, Research Output Facilitation Fund, Open Access Funding Scheme

8. Only tick yes where you are formally recognised within your School as leading a research group/centre. Please provide the name of the research group and a link to any relevant webpages.

9. Only tick yes where you have been formally identified as an author of a REF Impact Case Study. Please provide the working title of the case study under details.

Appendix 12 – Emerging Researcher Form

Emerging Researcher Form

Personal Details

Name:	Click here to enter text.
Email:	Click here to enter text.
School:	Choose an item.
UoA:	Choose an item.

How you meet the Emerging Researcher Criteria

Do you meet the REF definition of an ECR? (see note 1)	Yes ☐ No ☐
If yes please provide detail here:	Click here to enter text.
Have you completed your doctoral study in the last 24 months? (see note 2)	Yes ☐ No ☐
If yes please provide detail here:	Click here to enter text.
Are you currently undertaking doctoral study or are you about to begin doctoral study in the next 12 months with the financial support and agreement of the University? (see note 3)	Yes ☐ No ☐
If yes please provide detail here:	Click here to enter text.
Are you employed on a research only contract but you do not meet the definition of an independent researcher? (see note 4)	Yes ☐ No ☐

Please confirm, by ticking the box below, that:

- The above information provided is true and accurate as of the date below
- I realise that the above information will be shared with the relevant College REF Panel and with the REF Strategy implementation Group and where appropriate with your line manager and Head of School
- I realise it may be necessary to share the information with the UK Funding Councils' REF team in the event of an audit

I agree ☐

Signed: Sign or initial here

Date: Insert date here

Please email the completed form to REF2021@worc.ac.uk or send in hard copy to DPVC Research, University of Worcester, Henwick Grove, WR2 6AJ.

Notes

1. The REF definition of ECR is as follows:
   Members of staff who meet the definition of Category A eligible on the census date, and who started their careers as independent researchers on or after 1 August 2016. For the purposes of the REF, an individual is deemed to have started their career as an independent researcher from the point at which:
   i. they held a contract of employment of 0.2 FTE or greater, which included a primary employment function of undertaking 'research' or 'teaching and research', with any HEI or other organisation, whether in the UK or overseas, **and**
   ii. they first met the definition of an independent researcher

2. Please provide the following details:
   - Title of doctorate
   - Date awarded
   - Awarding institution
   - Link to thesis where possible

3. Where you are undertaking a doctorate currently please provide the following:
   - Title of doctorate
   - HEI where you are undertaking doctorate
   - Start date
   - Estimated completion date

   Where your line manager has agreed to support you to undertake doctoral study in the next 12 months please supply evidence of this support (i.e. email or letter from line manager)

4. Please see section 3 of the REF 2021 Code of Practice for criteria for independence.

Appendix 13 – Research Independence Form

Research Independence Form

Personal Details

Name:	Click here to enter text.
Email:	Click here to enter text.
School:	Choose an item.
UoA:	Choose an item.

How you meet the Research Independence Criteria

Are you acting or have you acted as a Principle Investigator on an externally funded research project? (see note 1)	Yes ☐ No ☐
If yes please provide detail here:	Click here to enter text.
Are you acting or have you acted as a Co-Investigator on an externally funded research project? (see note 1)	Yes ☐ No ☐
If yes please provide detail here:	Click here to enter text.
Do you hold or have you held an independently won, competitively awarded fellowship where research independence is a requirement? (see note 2)	Yes ☐ No ☐
If yes please provide detail here:	Click here to enter text.
Are you leading a research group or a substantial or specialised work package in a programme of research? (see note 3)	Yes ☐ No ☐
If yes please provide detail here:	Click here to enter text.
Have you had a significant input into the design, conduct and interpretation of a programme of research? (see note 4)	Yes ☐ No ☐
If yes please provide detail here:	Click here to enter text.

Are you acting as a Director of Studies for a doctoral student?	Yes ☐ No ☐
If yes please provide detail here:	Click here to enter text.
Have you submitted one or more application for external funding in the period 1st August 2018 to the present where you are named as the Principal Investigator? (see note 5)	Yes ☐ No ☐
If yes please provide detail here:	Click here to enter text.
Are you sole, first or corresponding author on two or more outputs from research produced in the period from January 1st 2014 to the present? (see note 6)	Yes ☐ No ☐
If yes please provide detail here:	Click here to enter text.
Please provide any further information that you feel might be relevant here:	Click here to enter text.

Please confirm, by ticking the box below, that:

- The above information provided is true and accurate as of the date below
- I realise that the above information will be shared with the relevant College REF Panel and with the REF Strategy implementation Group and where appropriate with your line manager and Head of School
- I realise it may be necessary to share the information with the UK Funding Councils' REF team in the event of an audit

I agree ☐

Signed: Sign or initial here

Date: Insert date here

Please email the completed form to REF2021@worc.ac.uk or send in hard copy to DPVC Research, University of Worcester, Henwick Grove, WR2 6AJ.

Notes

1. Please provide the following details:
   - Project Title
   - Funding body
   - Value of funding
   - Project start and end dates
   - Institution where project took place – this will normally be Worcester but if you are a new member of staff this may be at your previous employers

   Please note that for UoAs in Panels A and B it is expected that you will have acted as Principal Investigator to demonstrate independence but for UoAs in Panel C and D it can be Principal or Co-Investigator.

2. Please provide the following details:
   - Project Title
   - Funding body
   - Value of funding
   - Project start and end dates
   - Institution where project took place – this will normally be Worcester but if you are a new member of staff this may be at your previous employers

   A list of relevant fellowships is provided by the REF team: https://www.ref.ac.uk/media/1030/c-users-daislha-desktop-list-of-research-fellowships-updated-22032019.pdf. This is not meant to be an exhaustive list so if you have held a fellowship not listed here you may still provide us with details but you should also set out why winning this fellowship is evidence of research independence.

3. Please provide details of the research group or programme of research you have been identified as leading. We are interested here in you being able to show that you have been assigned a leadership role in relation to research in the Unit of Assessment so please interpret group or programme broadly here. We may seek clarity from you or your line manager as to the function of the group/programme within a wider body of research.

4. As above we want evidence that you have played a proactive part in establishing a programme of research (funded or unfunded) within the UoA. Provide detail of the programme and your role in establishing it.

5. Please provide the following detail:
   - Your role on the project (i.e. Principal Investigator, Co-Investigator)
   - Project Title
   - Funding body
   - Value of funding
   - Date submitted

6. Provide full details of your output(s) as relevant for the output type, ensuring you include the date when made publically available/published, including links to WRAP or other repository where possible ***or*** cross reference to a CV that includes these details.

Appendix 14 – Staff Circumstances Form

Staff Circumstances Form

Name: Click here to insert text.

School: Click here to insert text.

UoA: Click here to insert text.

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

Yes ☐

No ☐

Please complete this form if you have one or more applicable equality-related circumstance (see Code of Practice 4.20) which you are willing to declare. Please provide requested information below.

Circumstance	Time period affected
Early Career Researcher (started career as an independent researcher on or after 1 August 2016). *Date you became an early career researcher.*	Click here to enter a date.
Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2020.	Tick here ☐
Career break or secondment outside of the HE sector. *Dates and durations in months.*	Click here to enter dates and durations.
Family-related leave; • statutory maternity leave • statutory adoption leave • Additional paternity or adoption leave or shared parental leave lasting for four months or more. *For each period of leave, state the nature of the leave taken and the dates and durations in months.*	Click here to enter dates and durations.
Disability (including chronic conditions) *To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Mental health condition *To include: Nature / name of condition, periods of absence from work, and periods at work when*	Click here to enter text.

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

Please confirm, by ticking the box provided, that:

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

I agree ☐

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

☐ I give my permission for the Head of Organisational Development to contact me to discuss my circumstances, and my requirements in relation this these.

☐ I give my permission for the decisions made by the REF EDIP to be forwarded to the relevant REF UOA Coordinator.

I would like to be contacted by:

Email ☐ Insert email address

Phone ☐ Insert contact telephone number