



Research Excellence Framework: REF 2021

Code of Practice

Final version – submitted to UKRI on 20 September 2019 and approved. Revised to accommodate the national changes to the REF exercise and resubmitted to UKRI on 9 October 2020.

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Glossary of abbreviations

BU	Bournemouth University
BAME	Black, Asian and Minority Ethnic
BRIAN	Bournemouth Research, Information & Networking (our institutional publications management system)
BU2018	Bournemouth University's strategic plan, 2012-2018
BU2025	Bournemouth University's strategic plan, 2018-2025
BURO	Bournemouth University Research Online (our institutional repository for outputs)
ECR	Early Career Researcher
EDAP	Equality and Diversity Advisory Panel
ESG	Equality Steering Group
FAQs	Frequently asked questions
HEIs	Higher education institutions
HR	Human Resources
KPIs	Key performance indicators
RDS	Research Development and Support
RED	Research and Enterprise Database (our institutional system for recording all externally-funded bids and projects)
REF	Research Excellence Framework
RPMC	Research Performance and Management Committee
SAT	Self-Assessment Team
UCU	University and College Union
UKRI	UK Research and Innovation
ULT	University Leadership Team
UOA	Unit of Assessment
VC	Vice-Chancellor

Key definitions

These terms are used throughout this code of practice.

Research: Research in the context of the REF is defined as: “a process of investigation leading to new insights effectively shared”.

See Annex C of the [REF Guidance on Submissions](#) for further information.

Significant responsibility for research: Staff with significant responsibility for research are those for whom:

- a. ‘Explicit time and resources are made available’. Indicators of this could include:
 - a specific proportion of time allocated for research, as determined in the context of the institution’s practices and applied in a consistent way
 - research allocation in a workload model or equivalent.
 - b. ‘To engage actively in independent research’. Indicators of this could include (HEIs are also advised to refer to the indicators of independence, paragraph 132, as additional guidance on this aspect):
 - eligibility to apply for research funding as the lead or co-applicant
 - access to research leave or sabbaticals
 - membership of research centres or institutes within the HEI.
 - c. ‘And that is an expectation of their job role’. Indicators of this could include:
 - current research responsibilities as indicated in, for example, career pathways or stated objectives
- expectations of research by role as indicated in, for example, job descriptions and appraisals.

Taken from Paragraph 141 of the [REF Guidance on Submissions](#).

Independent researcher: “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.”

Taken from Paragraph 131 of the [REF Guidance on Submissions](#).

Protected characteristics: In the UK it is against the law to discriminate against anyone because of age; gender reassignment; being married or in a civil partnership; being pregnant or on maternity leave; disability; race including colour, nationality, ethnic or national origin; religion or belief; sex; or sexual orientation. These are called ‘protected characteristics’. The BU Equality and Diversity Policy includes further information on the protected characteristics and is available in Annex 1.

Contacts for queries

Queries regarding the REF and the processes set out in the code of practice should be directed to Research Development and Support (RDS) in the first instance:

- Julie Northam, Head of RDS: jnortham@bournemouth.ac.uk
- Shelly Anne Stringer, REF Manager: sastringer@bournemouth.ac.uk
- REF mailbox: REF@bournemouth.ac.uk

Key documents and sources of information

REF website	https://www.ref.ac.uk/
Guidance on Submissions	https://www.ref.ac.uk/publications/guidance-on-submissions-201901/
Panel Criteria and Working Methods	https://www.ref.ac.uk/media/1084/ref-2019_02-panel-criteria-and-working-methods.pdf
BU Research Blog: REF pages	https://blogs.bournemouth.ac.uk/research/ref/
Guidance on revisions to REF 2021	https://ref.ac.uk/publications/guidance-on-revisions-to-ref-2021/

1. Introduction

1.1 Background

The Research Excellence Framework (REF) is the system for assessing research in UK higher education institutions (HEIs). It is conducted jointly by Research England, the Scottish Funding Council, the Higher Education Funding Council for Wales and the Department for the Economy, Northern Ireland. All institutions making a submission to the REF are required to develop, document and apply a code of practice on the fair and transparent identification of staff with significant responsibility for research; determining who is an independent researcher; and the selection of outputs. This code of practice sets out the approach to be taken at Bournemouth University in submitting to REF 2021.

The code of practice was developed in collaboration with staff, including two formal staff feedback exercises in April/May and September 2019. Constructive discussions were had with the BU University and College Union (UCU) representatives and the BU UCU Branch Executive has ratified the whole document as being in accordance with the recognised trade union. The code of practice was approved by the University Leadership Team (ULT) in September 2019.

The original version of this document was submitted to the REF Team, based at Research England, on 20 September 2019. The REF Equality and Diversity Advisory Panel (EDAP) examined BU's code of practice and advised the UK funding bodies that it met the requirements of the published guidance. This was confirmed with BU on 8 November 2019.

The REF exercise recommenced on 31 July 2020 following a four-month pause due to COVID-19. The recommencement was accompanied by new guidance from Research England, which describes the revisions to the exercise made in view of the altered timetable and to mitigate the effects of COVID-19 on universities' submissions. The guidance includes the provision for institutions to make necessary changes to codes of practice, arising from the changes to the timetable of wider revisions to the exercise.

This version of the code of practice was submitted to the REF Team, based at Research England, on 09 October 2020. All submitted and approved codes of practice will be published by Research England in autumn 2020

1.2 Equality and diversity at Bournemouth University

Inclusivity is extremely important to Bournemouth University (BU). When developing our strategic plan, BU2025, we positioned inclusivity at the heart, elevating it to one of our four institutional values. There are Board-approved key performance indicators (KPIs) for equality in terms of gender and ethnicity, sending a clear message to staff and students of our commitment to equality and diversity. We therefore welcome the recommendation from the Research Excellence Framework Review¹ for the REF to be more inclusive and the efforts made by the REF Team to develop a framework for REF 2021 that strives for greater equality in staff inclusion rates. This code of practice should be read alongside the BU Equality and Diversity Policy (Annex 1).

BU's Equality Steering Group (ESG) has responsibility for developing and embedding our strategic commitments to ensuring greater equality and inclusivity. The ESG reports to the University Leadership Team (ULT). This code of practice was approved by our REF Steering Group; membership of which includes the Deputy Vice-Chancellor, chair of the ESG and chairs of the Athena SWAN

¹ Available from: <https://www.gov.uk/government/publications/research-excellence-framework-review>.

Steering Group and Self-Assessment Team (SAT). This ensures the code aligns to inclusivity as articulated in our BU2025 strategy, our broader institutional policies for equality and diversity, our action plan for Athena SWAN, and our work towards the Race Equality Charter.

The equality analysis² undertaken on our REF 2014 submission indicated:

- Age: the proportion of staff submitted in each age range decreased as age increased (this may be the result of our inclusive policy for early career researchers (ECRs) and the recruitment of new staff members who were earlier in their career and research-active).
- Gender: women were less likely than men to be selected for submission. Women comprised 48% of eligible staff (269 out of 563) and 36% of the final submission (60 out of 168).
- Disability: staff with a declared disability were slightly less likely to be submitted than those who had not declared a disability. Staff with a declared disability comprised 6% of eligible staff (32 out of 563) and 4% of the final submission (7 out of 168).
- Ethnicity: a higher proportion of staff from Black, Asian and minority ethnic (BAME) backgrounds were selected for submission compared to non-BAME background staff. Staff from BAME backgrounds comprised 13% of eligible staff (72 out of 563) and 19% of the final submission (32 out of 168).

One of the actions from the equality analysis was to gather qualitative information to further understand underrepresentation, with a particular focus on gender inequality. Feedback from some women indicated they experienced a lack of confidence and/or encouragement to undertake research, and both men and women reported a perception of there being insufficient time for research. Historically, there were fewer women in senior academic roles and/or undertaking research and this most likely contributed to there being fewer women submitted to REF 2014.

Our BU2025 strategy (and its predecessor, BU2018) aims to ensure academic staff have equal opportunities to undertake research. We are ensuring that outputs from all 'Category A eligible' staff are included in our REF preparation exercises and we have moved to a model of fair and transparent internal recruitment to our REF leadership roles (including UOA leaders, impact and output champions and panel members). Early and mid-career academic staff are proactively encouraged to apply for impact and output champion roles and internal panel membership roles within each UOA. UOA leaders are encouraged to consider diversity when identifying internal and external reviewers for the preparation exercises. This, along with our BU2025 strategy and values, is already resulting in more staff, and a greater diversity of staff, engaging with research. This will result in a more inclusive and diverse REF 2021 submission from BU. Inclusivity and equality have been key drivers at all stages of the development of our code of practice. For example, equality analysis informed all stages of development and testing to identify the most suitable processes for BU. Some of the possible processes for identifying staff with significant responsibility for research, for example, were predicted to have a negative impact on groups of staff with one or more protected characteristics and this resulted in these options being excluded from further consideration.

Equality analysis was undertaken in May and September 2019 on the key processes set out in our draft code of practice. These are available in Annexes 17 and 18.

² Equality analysis is the BU term for equality impact assessment.

1.3 How BU is addressing the REF principles

This code of practice demonstrates fairness to BU staff by addressing the following principles:

- **Transparency:** all processes for identifying staff with significant responsibility for research, determining research independence, and selecting outputs for inclusion in the REF submission are documented in this code of practice. Once approved, the code will be emailed to all academic staff, sent to all academic staff absent from work, and made easily accessible via the Staff Intranet, BU Research Blog and BU external website.
- **Consistency:** the code of practice is applicable across the whole university. Decision-making is undertaken by the central REF Steering Group which is responsible for ensuring the consistent implementation of the principles and processes set out in this code of practice.
- **Accountability:** the code of practice sets out the roles and responsibilities of all individuals and bodies involved in the REF processes, including: i) identifying staff with significant responsibility for research; ii) determining research independence; and iii) selecting outputs for REF submissions. Section 2.4 details the equality and diversity training and development schedule for all those involved in these processes.
- **Inclusivity:** the processes described in this code of practice aim to promote an inclusive environment, in line with the principles of the REF exercise and our BU2025 strategy. The processes will enable the university to identify all staff with a significant responsibility for research, all staff who are independent researchers, and the excellent research produced by all staff across all groups with protected characteristics.

1.4 BU's approach to REF 2021

The Research Excellence Framework Review³ (2016) highlighted staff selection in REF 2014 as divisive, with non-selection generating “problems with career choices, progression and morale” resulting in “long-term consequences to individuals” (paragraph 64). The REF Guidance on Submissions⁴ states that all staff with significant responsibility for research are to be returned to the REF. BU is committed to an inclusive REF submission with transparent and robust processes for the identification of all those with significant responsibility for research, consistent with the principles set out in this code of practice.

In accordance with the Fixed-Term and Part-Time Regulations⁵ and the BU Code of Practice – Use of Fixed-Term Contracts (Annex 2), BU treats all comparable staff fairly, regardless of contract duration (established or fixed-term) or contractual hours (full-time or part-time). BU is committed to minimising the use of fixed term contracts of employment where possible and to offer security and continuity of employment by the use of established contracts. Information on contract duration and contractual hours is not considered as part of the processes outlined in this code of practice regarding the identification of staff with significant responsibility for research, determining research independence or selecting outputs for submission. In line with the REF Guidance on Submissions⁴, all ‘Category A submitted’ staff are expected to contribute a minimum of one output to the output pool. At BU no

³ Available from: <https://www.gov.uk/government/publications/research-excellence-framework-review>.

⁴ Available from: <http://ref.ac.uk/publications/guidance-on-submissions-201901/>.

⁵ Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002 and Part-time Workers (Prevention of Less Favourable Treatment) Regulations 2000.

further expectation of staff contribution is relayed formally and efforts are made to ensure this is replicated through informal channels of communication.

Some 'teaching and research' staff at BU do not meet the REF definition of being an independent researcher and/or have more significant responsibility for other, equally important, activities (such as knowledge exchange, professional practice, education, and scholarship). This code of practice sets out our approach to identifying who is in scope for submission from the pool of staff who meet core eligibility criteria. The staff categories are defined as follows:

- **'Category A eligible'** describes staff meeting core eligibility criteria, who will form the total pool of eligible staff. Building on the definition of Category A staff in REF 2014, 'Category A eligible' staff are defined as academic staff with a contract of employment of 0.2 full-time equivalent (FTE) or greater, on the BU payroll on the census date (31 July 2020), whose primary employment function is to undertake either 'research only' or 'teaching and research'. Staff should have a substantive connection with BU (REF Guidance on Submissions⁴, paragraphs 123 to 127).
- **'Category A submitted'** describes the staff from among the total pool who have been identified as:
 - Teaching and research staff who are independent researchers with significant responsibility for research (as defined using the criteria and process detailed in Section 2);
 - Research-only staff who are independent researchers (as defined using the criteria and process detailed in Section 3).

Decisions made in relation to staff eligibility and inclusion in the REF are made only in regard to the REF and will not be considered for other internal processes such as promotion. Not being included in the REF submission does not imply unsatisfactory performance.

As part of the BU2025 strategy, we launched an expanded and enhanced Research and Knowledge Exchange Development Framework⁶ in 2018 to provide all academic staff with opportunities to participate in high quality training and development activities. The Framework is intended to support academic staff to develop research leadership skills, maximise opportunities for securing funding to undertake research, and publish quality research outputs. Staff not currently meeting the criteria outlined in Sections 2 and 3 are encouraged to engage with the Framework.

All BU authors are able to access support to make their research open access. Since 2008, authors have been able to deposit their research outputs into our institutional repository BURO which supports green open access publication. This was supplemented in 2011 with the establishment of our institution Open Access Publication Fund which supports gold open access publication.

1.5 How the code is being communicated to staff

The communication objectives are to ensure that all stakeholders are aware of:

- The purpose of the REF;

⁶ Further information about the Framework and a list of all available support is available from the Staff Intranet (resource available to BU staff only):

<https://staffintranet.bournemouth.ac.uk/workingatbu/staffdevelopmentandengagement/fusiondevelopment/fusionprogrammesandevents/rkeddevelopmentframework/>.

- BU's internal governance structure for the REF;
- BU's internal preparation plans, including preparation exercises;
- BU's policies and processes for identifying staff with significant responsibility for research, determining research independence, and selecting outputs for submission;
- Equality and diversity in the context of the REF, including BU's process for the voluntary disclosure of staff circumstances;
- The appeals procedure.

Table 1: Internal communication plan for the final version of the BU REF 2021 Code of Practice

Timing	Spokesperson	Responsibility for ensuring this happens	Channel/ action	Purpose	Content	Audience
Autumn/Winter 2019	Deputy Vice-Chancellor	REF Manager	Staff Intranet article, email to Executive Deans to cascade to academic research staff, hard copy send to staff absent from work.	To share the approved version of the BU REF Code of Practice with all 'Category A eligible' staff.	BU REF Code of Practice.	All 'Category A eligible' staff.
Autumn/Winter 2019	Deputy Vice-Chancellor	REF Manager	Link to the BU REF Code of Practice to be included in 'BU Staff Induction' webpage and 'BU Equality' webpage	To share the approved version of the Code of Practice with all staff.	BU REF Code of Practice.	All 'Category A eligible' staff
Autumn/Winter 2019	Deputy Vice-Chancellor	REF Manager	BU Research Blog and BU website.	To share the approved version of the Code of Practice with all staff and to ensure it is visible externally.	BU REF Code of Practice.	All 'Category A eligible' staff and external audience.
Autumn/Winter 2019	REF Officer	REF Manager	REF FAQ pages on BU Research Blog.	To further develop the REF section on the Blog to share the FAQs and Code of Practice in a more accessible format.	FAQs and final version of the Code of Practice.	All 'Category A eligible' staff and external audience.

Timing	Spokesperson	Responsibility for ensuring this happens	Channel/ action	Purpose	Content	Audience
From Autumn/Winter 2019	Head of RDS	REF Manager	Link to the BU REF Code of Practice to be included in all induction emails and RDS Induction Sessions to new 'Category A eligible' staff.	To ensure all new staff joining BU are aware of the BU REF Code of Practice.	Final version of the Code of Practice.	New 'Category A eligible' staff joining BU.
Autumn/Winter 2019	Deputy Vice-Chancellor Head of RDS Research Outputs Adviser Members of the REF Steering Group and REF Committee	REF Manager	Open sessions	To share the final Code of Practice and to provide a forum in which staff can raise questions.	FAQs and final version of the Code of Practice.	All 'Category A eligible' staff. Key points from these sessions will be recorded and shared via the BU Research Blog and in the FAQs.
Spring 2020	Head of RDS UOA Leaders UOA Output Champions Research Outputs Adviser REF Manager	REF Manager	Email communication to all 'Category A eligible' staff	To share the final Code of Practice in advance of the spring/summer 2020 mock exercise	FAQs and final version of the Code of Practice.	All 'Category A eligible' staff.
Autumn 2020	Head of RDS UOA Leaders UOA Output Champions Research Outputs Adviser REF Manager	REF Manager	Email communication to all 'Category A eligible' staff	Explain process for the ad hoc review of new outputs	FAQs	All 'Category A eligible' staff.
Autumn/Winter 2020	Head of RDS UOA Leaders REF Manager	REF Manager	Email communication to all 'Category A eligible' staff	To share the revised Code of Practice	FAQs and revised Code of Practice	All 'Category A eligible staff'

Timing	Spokesperson	Responsibility for ensuring this happens	Channel/ action	Purpose	Content	Audience
April 2021	Deputy Vice-Chancellor	REF Manager	Article on submission on BU Staff Intranet, Research Blog and BU website.	To share the approved version of the Code of Practice with all staff and to ensure it is visible externally.	BU REF Code of Practice.	All 'Category A eligible' staff and external audience.

Members of the REF Steering Group, REF Committee and Sub-Committees are responsible for cascading information within their Faculties as appropriate.

Once approved the code will be easily accessible via the BU Staff Intranet, BU Research Blog and BU external website. It can be accessed via:

- BU Staff Intranet – <https://intranetsp.bournemouth.ac.uk/documentsrep/BU%20REF%202021%20Code%20of%20Practice.pdf>
- BU Research Blog – <https://blogs.bournemouth.ac.uk/research/ref/bournemouth-university-ref-2021-code-of-practice/>
- BU external website - <https://www.bournemouth.ac.uk/research/research-environment/ref-2021>

The BU REF 2021 Code of Practice is available in alternative formats on request. Requests should be sent to RDS using the ref@bournemouth.ac.uk email address.

After submission to the REF in March 2021 the final equality analysis will be published on the BU external website alongside the code of practice. This will include the outcomes of any actions taken to prevent discrimination or advance equality as part of the REF preparation and submission.

Part 2: Identifying staff with significant responsibility for research

2.1 Policies and procedures

Our aspiration is for all academic staff to be rounded academics, engaged in research, education and professional practice – at BU we call this Fusion. Academic staff are therefore employed on ‘teaching and research’ contracts⁷ with standard job descriptions aligned to Fusion (all include responsibilities for education, research and professional practice). Within the Fusion model individuals have responsibility for different combinations of research, education and professional practice and these can, and often do, change on an annual basis. We do not have separate career pathways; instead we have an overarching and inclusive Academic Career Framework based on Fusion which outlines the typical outputs for each element of Fusion expected from academics through the range of roles from lecturer to professor.

The ‘Category A eligible’ criteria does not accurately identify staff at BU who are independent researchers with significant responsibility for research and we are therefore implementing a process to identify these staff.

We have reviewed our balanced workload practices and developed a workload model which we are gradually implementing across the institution. The normal expectation is that an academic will be able to make a *Major* contribution in at least two out of three elements of Fusion, while making *Minor* contributions in a third (which could be research), and that a proportion of that activity will normally (although not always) be fused. The model is based around key principles and its application must be open, transparent, easily accessible and flexible allowing for different periods of fusion balance according to individual circumstances, department/subject difference and BU needs, although the core remains consistent. It aims to ensure that all academics have the opportunity to contribute in a fused way, ensuring an equitable distribution of duties and responsibilities over the course of a full academic year in accordance with their contracted hours and overall wellbeing.

Under this workload model, all academic staff on ‘teaching and research’ contracts have varying amounts of time and resources made available for responsibilities in: i) education and professional practice; ii) research and professional practice; and iii) academic citizenship. Management and leadership are also factored in depending on the role requirements. However, there is no exclusive time allocation specifically for research (as defined for the purposes of the REF). For example, an individual may have a workload allocation of 400 hours per year for research and professional practice, but spend this time on activities that do not meet the specific definition of research used in the context of the REF (this could include studying for a postgraduate qualification, undertaking research training and development, staying up-to-date with literature, undertaking consultancy, et cetera); also they may not be an independent researcher.

We are unable to use workload planning, job descriptions and/or career pathways to identify in a robust and consistent way which individuals have a significant responsibility for independent research (as defined for the purposes of the REF). As such we are using indicators that represent the expectation to engage actively in independent research as a mechanism for identifying those with significant responsibility for research.

⁷ At BU this normally includes academic staff on BU pay grades 6-12.

To be considered to have significant responsibility for independent research an individual will need to meet at least **one** of these four indicators:

1. Leading or acting as principal investigator/equivalent or co-investigator on at least one externally-funded research grant or contract since 1 January 2014.
2. Supervising at least one doctoral student between 1 January 2014 and 31 July 2020.
3. Awarded a doctorate prior to 31 July 2019.
4. Holding a research leadership position including Professor, Deputy Dean (Research and Professional Practice)/or equivalent, UOA Leader between 1 January 2014 and 31 July 2020.

Leading or acting as principal investigator/equivalent or co-investigator on at least one externally-funded research grant or contract: Meeting this criterion indicates an individual is expected to engage actively in independent research and has explicit time and resources allocated to do so. Data is taken from the University's RED¹⁰ system and is auditable using sources such as research applications, grant agreements/contracts, project costings and financial and other project records.

Supervising at least one doctoral student: Meeting this criterion indicates an individual is expected to engage actively in independent research and has explicit time and resources allocated to do so. Data is taken from the University's Research PAD¹⁰ system and is auditable using internal records such as those collected for HESA. BU's Code of Practice for Research Degrees⁸ states that supervisory teams comprise of a minimum of two supervisors, at least one of whom must hold a doctorate and all of whom must have (and maintain) expertise in the relevant subject or discipline area of research.

Awarded a doctorate: This indicator demonstrates an individual is qualified to undertake independent research and is likely to meet the eligibility criteria for major research funders in terms of experience. At BU we expect our academic staff with doctorates to engage actively in independent research; this expectation is communicated each summer for the forthcoming year as part of the appraisal process and workload planning conversations. Data is taken from the University's HR¹⁰ system and is auditable using records such as degree qualification certificates.

Research leadership position: Meeting this criterion indicates an individual is expected to engage actively in independent research and has explicit time and resources allocated to do so. To meet this criterion, individuals must be employed as a Professor or Deputy Dean (Research and Professional Practice)/equivalent and/or undertake a role as a UOA Leader. As part of our BU2025 strategy, Professors are expected to lead research areas and teams, be experts in their discipline and undertake independent research. The BU Academic Career Framework⁹ states Professors are expected to publish internationally recognised outputs, submit applications for external funding, secure externally funded grants/contracts, and supervise PGR students. Deputy Deans (Research and Professional Practice)/equivalent have explicit responsibilities for leading research in the Faculties, as well as undertaking their own research. UOA Leaders are experienced research-active academics responsible for leading unit submissions. The process for appointing academic staff to their roles includes a requirement for individuals to be research leaders and experts in their field. Professors, Deputy Deans (Research and Professional Practice) and UOA Leaders undertake significant research leadership roles at BU where they are expected to shape the research culture, be research role models and engage actively in independent research. They have explicit time and resources allocated to do so. Data is taken from the University's HR¹⁰ system and HR records. It is auditable

⁸ BU Code of Practice for Research Degrees is available from: <https://intranetsp.bournemouth.ac.uk/pandptest/8a-code-of-practice-for-research-degrees.pdf>

⁹ BU Academic Career Framework is available from: <https://intranetsp.bournemouth.ac.uk/documentsrep/Appendix%206%20Academic%20Career%20Framework.docx>

using records such as role descriptors, the BU Academic Career Framework, and the BU2025 strategy and research objectives/KPIs.

These indicators are designed to be transparent, fair and consistent in their application as well as inclusive in their breadth, enabling the identification of all 'teaching and research' staff who have significant responsibility for independent research. Under Fusion, staff workloads can change on an annual basis; to be as inclusive as possible we are applying the indicators over the majority of the REF publication period. Perceived output quality or volume of output will not be considered in the process of identifying whether an individual has significant responsibility for research.

2.2 How decisions are being made and communicated to staff

Individuals in the 'Category A eligible' pool who meet the criteria set out in Section 2.1 will be considered to have significant responsibility for research and will be moved into the provisional 'Category A submitted' pool. Regular checking exercises will determine who meets the criteria and therefore who is recommended for inclusion in the submission.

Interim checking exercises will be undertaken as part of the preparation exercises in 2019/2020. Each interim checking exercise will be completed in three stages:

Stage 1: Data from university systems (HR, RED, Research PAD and BRIAN¹⁰) will be used to see whether individuals in the 'Category A eligible' pool meet the criteria. Initial outcomes will be presented to the REF Steering Group. Individuals deemed to be meeting the criteria will be provisionally moved to the 'Category A submitted' pool and will not be included in any further checking exercises. Information will be shared with the UOA Leadership Teams, Executive Deans and Deputy Deans (Research and Professional Practice). The UOA Leader will confirm with individuals meeting the criteria that they are provisionally in the 'Category A submitted' pool and explain what this means.

Stage 2: Individuals not meeting the criteria during stage 1 will be invited to a meeting¹¹ (usually with the UOA Leader but may be with another member of the UOA Leadership Team, Executive Dean or Deputy Dean (Research and Professional Practice)). The meetings will normally be held within one month of the information being shared in Stage 1. The invitation will include a link to this code of practice, clearly setting out the criteria in the code and stating the reason why the individual is not considered to meet the criteria. During the meeting, the individual will have the opportunity to put forward new information that may be missing from the preliminary checks in stage 1¹² and/or to make a case as to why they believe they have significant responsibility for independent research when viewed against the criteria set out in this code. Any such evidence will be submitted to RDS for consideration by the REF Steering Group and a decision communicated¹³ to the staff member within one month of the submission of the new information/case. If the evidence provided meets the criteria then the individual will be added to the 'Category A submitted' pool and will not be included in any

¹⁰ The University's HR and payroll system was CoreHR until January 2020 when it was replaced by iTrent; RED is the BU database of all research applications and awards; Research PAD is BU's PGR management system; BRIAN is BU's publication management system.

¹¹ Individuals can choose not to attend the meeting. Non-attendance will be interpreted as there being no further evidence. In such cases the individual will remain in the 'Category A eligible' pool.

¹² For example, a new member of staff may have been a PI/Co-I on a research grant or contract in the REF 2021 period at their previous institution.

¹³ Wherever possible the decision will be communicated in person by the UOA Leader (or another member of the UOA Leadership Team, Executive Dean or Deputy Dean (Research and Professional Practice)).

further checking exercises. If there is no evidence or the evidence does not meet the criteria, the individual will be offered support and development to engage actively with independent research (where appropriate within the remit of the role, see information about the Research and Knowledge Exchange Development Framework in Section 1.4) and will be included in subsequent checking exercises. Individuals will be reminded of the REF guidelines regarding staff circumstances. If the individual has circumstances which have had an exceptional effect on their ability to work productively throughout the period so they have not been able to produce the required minimum of one output then they will be informed of the process to disclose this (Section 4.3).

Stage 3: 'Category A eligible' individuals on career break at the time of the checking exercise will be identified. RDS will seek clarification from HR and the Faculties regarding expected return to work dates and cover arrangements. Where relevant, RDS will ensure outputs are included in the preparation exercises from the staff member on career break and the staff member(s) covering the post. If the staff member on career break remains on career break on the census date (31 July 2020) and they and the staff member(s) covering the post both meet the criteria to be in the 'Category A submitted' pool, a decision regarding whom to include in the submission will be made by the REF Steering Group when initial recommendations are made in 2020. This decision will be based on the perceived quality of the output(s).

A final checking exercise will be undertaken on the census date (31 July 2020) or shortly after. The final checking exercise will be completed in three stages:

Stage 1: Data from university systems (HR, RED, Research PAD and BRIAN¹⁰) will be used to see whether 'Category A eligible' individuals not yet in the 'Category A submitted' pool meet the criteria of significant responsibility for research, as set out in this code. Individuals meeting the criteria will be moved to the 'Category A submitted' pool.

Stage 2: Individuals not meeting the criteria during stage 1 will remain in the 'Category A eligible' pool.

Stage 3: 'Category A eligible' individuals on career break on the census date will be identified. RDS will seek clarification from HR and the Faculties regarding expected return to work dates and cover arrangements. If both the staff member on career break on the census date (31 July 2020) and the staff member(s) covering the post both meet the criteria to be in the 'Category A submitted' pool, a decision regarding whom to include in the submission will be made by the REF Steering Group when initial recommendations are made in 2020. This decision will be based on the perceived quality of the output(s).

In autumn 2020, after the final checking exercise is complete, lists of those in the 'Category A eligible' and 'Category A submitted' pools will be presented to the REF Steering Group to inform their initial recommendations regarding the submission. Immediately after the meeting, these initial recommendations will be communicated by the Chair of the REF Steering Group to the UOA Leadership Teams, Executive Deans and Deputy Deans (Research and Professional Practice). The UOA Leaders will be responsible for ensuring these initial recommendations are communicated to individual staff within two weeks of the REF Steering Group meeting. Where individuals are not considered to have significant responsibility for research with respect to the criteria set out in this code of practice, the UOA Leaders will be responsible for ensuring all individuals have a copy of this code of practice and understand what to do should they wish to appeal against the recommendation (see Section 2.6).

Once any appeals are complete, final recommendations regarding the submission will be made in March 2021 by the REF Steering Group to the Vice-Chancellor. Once approved, the final decisions will

be communicated by the Chair of the REF Steering Group to the UOA Leadership Teams, Executive Deans and Deputy Deans (Research and Professional Practice). The UOA Leaders are responsible for ensuring the final decisions are communicated to individual staff. The Vice-Chancellor's decisions regarding this are final.

A flow chart demonstrating how the checking processes will operate is shown in Figure 1.

Decisions made in relation to staff eligibility and inclusion in the REF are made only in regard to the REF and will not be considered for other internal processes such as promotion. Not being included in the REF submission does not imply unsatisfactory performance.

2.3 Development of process(es)

These processes were developed over a 24 month period. During 2018 the University Leadership Team (ULT) discussed processes for identifying staff for submission to REF 2021, with a strong focus on equality, diversity and inclusivity. Discussions were informed by modelling data and equality analyses. This resulted in a number of options which were discussed by the REF Steering Group and a preferred option was identified. This formed the basis of the staff feedback exercises in 2019¹⁴ with BU staff and staff representative groups. Prior to the first exercise, the overarching approach and options were discussed with colleagues at all four Faculty Academic Boards.

During each of the staff feedback exercises, staff were provided with a copy of the draft code of practice as well as a briefing document which summarised the process the University had undertaken to identify the proposed processes, the various options for identifying staff with significant responsibility for research, and the rationale for the preferred option. All equality analysis information was made available. Open sessions were held (at both campuses) for colleagues to discuss the processes. Information about the processes was shared via the BU Staff Intranet and BU Research Blog and cascaded via the Executive Deans, Deputy Deans (Research and Professional Practice), and UOA Leadership Teams. Members of the REF Steering Group were invited to attend several Faculty and Departmental meetings to discuss the draft code of practice.

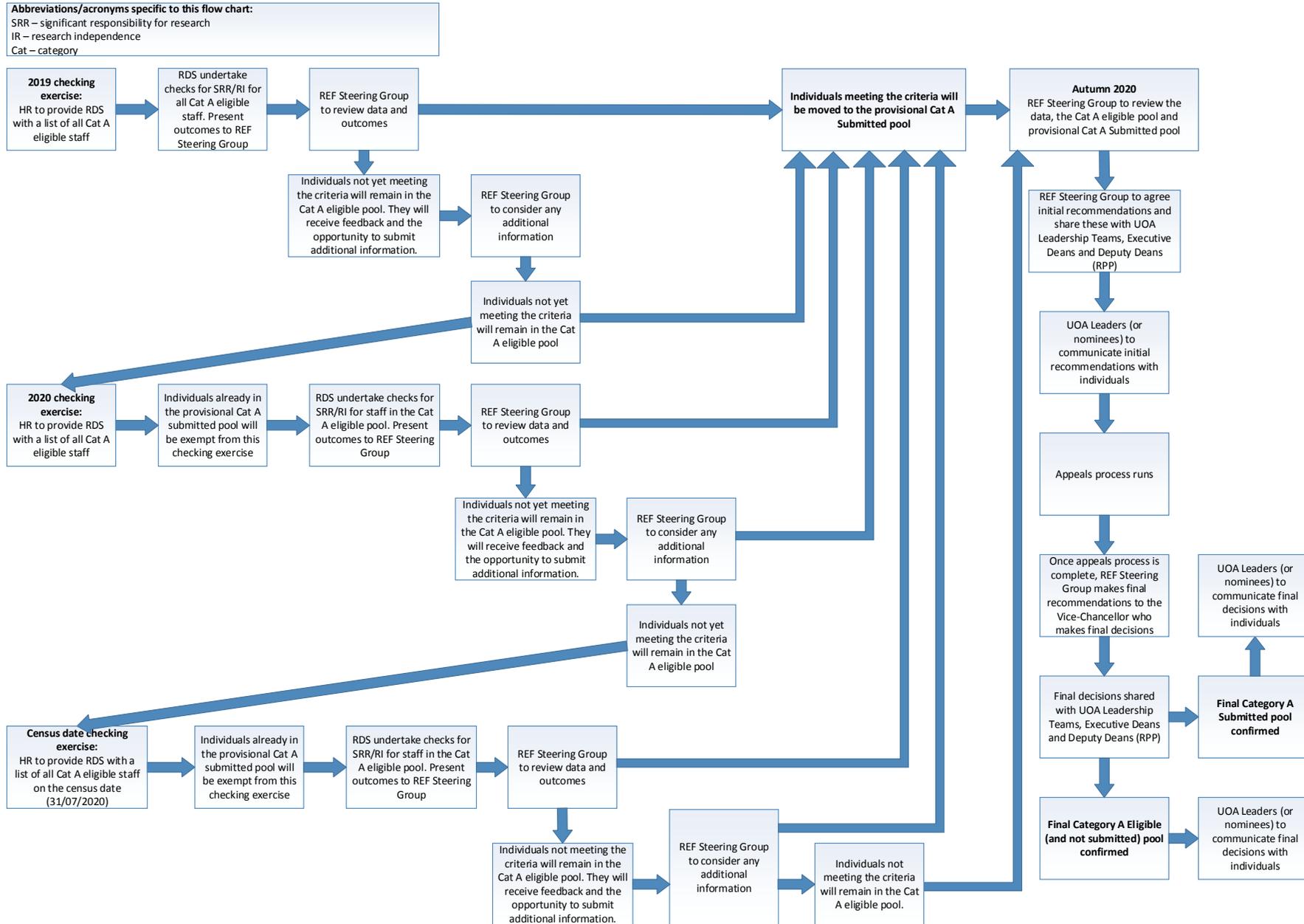
Staff representative groups were specifically invited to comment on the draft code. This included the BU UCU Branch Executive and the BU staff equality groups (Equality Steering Group, Athena SWAN Steering Group, Athena SWAN SAT, Women's Academic Network, and Race Equality Charter SAT). Constructive meetings were held with the BU UCU representatives which resulted in improvements being made to the draft code of practice. The co-convenors of the BU Women's Academic Network also provided advice on improvements to the processes.

The processes for identifying staff with significant responsibility for research were agreed with the staff equality interest groups and the BU UCU Branch Executive.

The final agreed processes will be communicated to staff according to the internal communications plan in Section 1.5.

¹⁴ Two staff feedback exercises were held in 2019. These were open to all staff.

Figure 1: Process for identifying staff with significant responsibility for research (SRR) and independent research (IR):



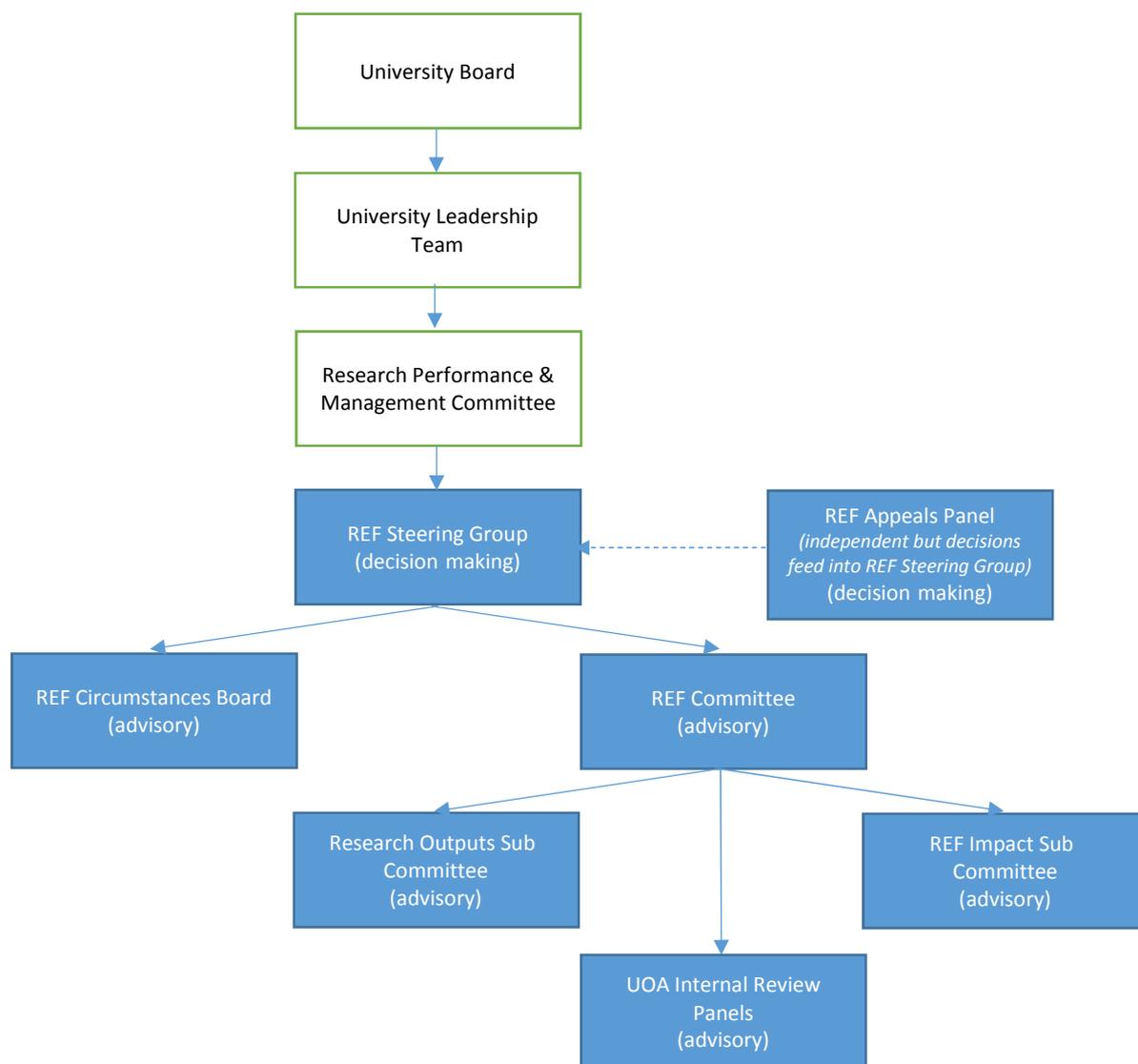
2.4 Staff, committees and training

The internal BU preparations for the REF are managed through a two-tier governance structure with strategic management provided by the REF Steering Group and operational, local management provided by the REF Committee. The REF Committee has two formal sub-committees: i) REF Impact Sub-Committee; and, ii) Research Outputs Sub-Committee and also has oversight of the UOA Internal Review Panels (see Figure 2).

Full details of the membership and terms of reference for all REF committees and groups (those shaded blue in Figure 2) are available in Annexes 3 to 8. All committee members will undertake mandatory REF-bespoke equality and diversity development (see Section 2.4).

All meetings of the REF Steering Group, REF Committee and REF Circumstances Board are formally recorded by Research Development and Support (RDS). In the event of an appeal, the meeting(s) of the REF Appeals Panel will also be formally recorded by RDS.

Figure 2. Committee chart showing the formal committees involved in the REF preparation process



2.4.1 REF Steering Group

The REF Steering Group was set up by the Vice-Chancellor in 2018 to guide and support the University's REF preparation and submission processes. It reports to the Research Performance and Management Committee (RPMC) and is part of the executive committee structure. It is chaired by the Deputy Vice-Chancellor. It is responsible for the strategic management of the REF submission, including overseeing the implementation of this code of practice and ensuring the consistent application of the processes and criteria set out in this code for identifying staff with significant responsibility for research, determining research independence, and selecting outputs. It is a decision-making body, responsible for determining the UOAs in which the university will make submissions, applying the criteria set out in this code of practice to identify staff with significant responsibility for research and determine research independence, aligning staff to UOAs, selecting outputs and impact case studies for submission, and making recommendations to the Vice-Chancellor regarding the final submission. Decisions and recommendations will be informed by a variety of sources, including data from preparation exercises and views expressed by: UOA Internal Review Panels (internal and external reviewers), Executive Deans, UOA Leaders, the sub-committees of the REF Committee, and the BU REF Circumstances Board. The terms of reference for the REF Steering Group are available in Annex 3.

Formal membership of the REF Steering Group is indicated in Table 2. Members were identified based on their substantive roles at the university with the exception of: i) the interdisciplinary expert who was identified based on their expertise in interdisciplinary research; and, ii) the Chairs of the Impact and Research Outputs Sub-Committees who were selected for these roles based on their knowledge and experience of research impact and research outputs/publishing. Diversity and representativeness, particularly in terms of protected characteristics, were considered when convening the REF Steering Group.

Table 2: Membership of the REF Steering Group:

Role	Role fit within the BU management framework	Rationale for inclusion in the REF Steering Group
Vice-Chancellor (<i>ex-officio member</i>)	Principal academic and administrative officer of the University.	To take ultimate responsibility for the REF and to confirm the recommendations from the REF Steering Group.
Deputy Vice-Chancellor – CHAIR	Formal responsibility for research leadership at BU.	Delegated responsibility from the Vice-Chancellor for the management of the REF for the institution as a whole.
Interdisciplinary expert	Professor with significant experience of interdisciplinary research.	To provide assurance about the criteria and procedures relating to the assessment of interdisciplinary research.
Director of HR	Responsible for the leadership of the institution's HR department.	To provide advice on HR matters and staff eligibility. Post-holder is the Chair of the BU Equality Steering Group.
Director of Marketing and Communications	Responsible for the leadership of the institution's marketing and communications department.	To ensure all opportunities for external promotion of research are maximised, and to ensure clear internal communications for the REF.

Role	Role fit within the BU management framework	Rationale for inclusion in the REF Steering Group
Chair of the REF Committee	Professor, Executive Dean and Chair of the REF Committee	To provide assurance about the criteria and procedures relating to the assessment of all elements of the submission.
Chair of the REF Impact Sub-Committee	Professor and Chair of the REF Impact Sub-Committee.	To provide assurance about the criteria and procedures relating to the assessment of impact. Post-holder is the Chair of the BU Athena SWAN Steering Group.
Chair of the Research Outputs Sub-Committee	Professor and Chair of the Research Outputs Sub-Committee.	To provide assurance about the criteria and procedures relating to the assessment of outputs.
Head of Research Development and Support	Responsible for the leadership of the institution's research support department.	To oversee the administration of the REF preparations and submission. Post-holder is the Chair of the BU Athena SWAN Self-Assessment Team.
REF Manager	Responsible for the administration of the institution's REF submission.	To manage the administration of the REF preparations and submission.

2.4.2 REF Committee

The REF Committee was set up by the Vice-Chancellor in 2014 to guide and support the University's REF preparation and submission processes. It reports to the REF Steering Group and is chaired by an Executive Dean. It supports the work of REF Steering Group in the university's internal preparation process and final submission. Membership includes all UOA Leaders plus the Chairs of the Impact and Output Sub-Committees, Faculty Deputy Deans (Research and Professional Practice) and colleagues from RDS, the Library and the Doctoral College. The UOA Leaders are senior BU academics responsible for leading their UOAs through preparatory exercises and for coordinating and finalising their UOA's final submission. They are also responsible for communicating closely with the relevant Faculty(s) in disseminating key information relating to the REF and communicating decisions made by the REF Steering Group. The UOA Leaders have an advisory role but the decision-making and final recommendations will be made by the REF Steering Group and Vice-Chancellor. The role descriptor for the UOA Leaders is available in Annex 9.

Early on in the REF 2021 period UOA Leaders were identified by the University Executive Team and Executive Deans based on their research experience (including previous REF leadership experience); however since 2017/18 new UOA Leaders were identified through internal calls for expressions of interest, open to all academic staff and with decisions made based on published criteria. This is part of our internal work to mitigate bias and ensure our REF preparations (and wider culture and environment) are fair, transparent and inclusive. The terms of reference for the REF Committee and a list of the formal membership is available in Annex 4.

2.4.3 REF Circumstances Board

The REF Circumstances Board will consider information disclosed by individuals as part of the staff circumstances data collection exercise (see Section 4.3) as well as any requests received in regards to the attribution of outputs to former staff (see Section 4.1). The Board will comprise individuals who are

independent from the REF preparations and submission, and who are therefore not involved in decision-making about identifying staff and outputs. The Board will be chaired by a senior member of the HR department (independent from the REF) with support from the Equality and Diversity Adviser, and will have a remit to determine whether the submitted cases meet the requirements on individual staff circumstances as set out in the REF guidance. These post-holders have been selected based on their prior knowledge and expertise in individual staff circumstances and equality and diversity issues. Membership will also include a minimum of two senior academic members of staff and an early career researcher, all of whom will be identified through a call for expressions of interest. The Board will be supported by a colleague from RDS who will advise on consistent application of the guidance and ensure all decisions are formally recorded. Further details about the role and purpose of the Board are available in Annex 5.

2.4.4 Research Outputs Sub-Committee

The Research Outputs Sub-Committee was set up by the REF Committee in 2015 to guide and support the university's research output development by ensuring research outputs provide maximum value to authors, the institution, research funders and society as a whole. It reports to the REF Committee and is chaired by a member of the professoriate.

It supports the work of the REF Steering Group and REF Committee in the university's internal REF preparation process and final submission. Membership includes Output Champions from each UOA and colleagues from RDS and the Library. The UOA Output Champions are BU academics responsible for supporting output development and supporting their UOAs through REF output preparatory exercises. They are also responsible for communicating closely with the relevant Faculty(s) in disseminating key output information relating to the REF. The Output Champions have an advisory role but the decision-making and final recommendations will be made solely by the REF Steering Group and Vice-Chancellor. The role descriptor for the UOA Output Champions is available in Annex 10.

Early on in the REF 2021 period, one Output Champion per UOA was identified by the UOA Leaders; however since 2017/18 new Output Champions were identified through internal calls for expressions of interest, open to all academic staff and with decisions made based on published criteria. This is part of our internal work to mitigate bias and ensure our REF preparations (and wider culture and environment) are fair, transparent and inclusive. The terms of reference for the Research Outputs Sub-Committee and a list of the formal membership is available in Annex 6.

2.4.5 REF Impact Sub-Committee

The REF Impact Sub-Committee was set up by the REF Committee in 2017 to guide and support the impact element of the university's REF preparation and submission processes. It reports to the REF Committee and is chaired by a member of the professoriate.

It supports the work of the REF Steering Group and REF Committee in the university's internal REF preparation process and final submission. Membership includes Impact Champions from each UOA and colleagues from RDS. The UOA Impact Champions are BU academics responsible for supporting research impact development and supporting their UOAs through the REF impact preparatory exercises. They are also responsible for communicating closely with the relevant Faculty(s) in disseminating key impact information relating to the REF. The Impact Champions have an advisory role but the decision-making and final recommendations will be made solely by the REF Steering Group and Vice-Chancellor. The role descriptor for the UOA Impact Champions is available in Annex 9.

Early on in the REF 2021 period, one Impact Champions per UOA was identified by the UOA Leaders; however since 2017/18 new Impact Champions were identified through internal calls for expressions of interest, open

to all academic staff and with decisions made based on published criteria. This is part of our internal work to mitigate bias and ensure our REF preparations (and wider culture and environment) are fair, transparent and inclusive. The terms of reference for the Impact Sub-Committee and a list of the formal membership is available in Annex 7.

2.4.6 UOA Internal Review Panels

The UOA Internal Review Panels were set up by the REF Committee in 2018 to review and assess research outputs and impact case studies in preparation for the university's REF submission. The panels report to the REF Committee and are chaired by the UOA Leaders. Moderation meetings are chaired by the Chair of the REF Committee Chair (or delegated representative) due to potential sensitivities and conflicts of interest. Membership includes UOA Leaders, Output and Impact Champions, internal reviewers, external reviewers, external impact assessors and colleagues from RDS. The panels decide on scores for outputs and impact case studies as part of the preparation exercises, but otherwise operate in an advisory capacity. The terms of reference for the UOA Internal Review Panels is available in Annex 8.

Early on in the REF 2021 period internal reviewers were identified by the UOA leaders and champions; however since 2018 the role of the panels were formalised and members have since been identified through internal calls for expressions of interest, open to all academic staff and with decisions made based on published criteria. This is part of our internal work to mitigate bias and ensure our REF preparations (and wider culture and environment) are fair, transparent and inclusive.

2.4.7 REF Appeals Panel

In the event of an appeal the Vice-Chancellor will convene and chair the REF Appeals Panel – an independent group of at least three senior academics – to undertake a review of each case. These individuals will not be members of the REF Steering Group, REF Committee or REF Circumstances Board, and will not have been involved at UOA or Faculty level in advising the individual. In the case of an appeal based on equality and diversity grounds the Chair of the REF Circumstances Board will join the REF Appeals Panel. A call for expressions of interest to join the REF Appeals Panel will be opened in 2019/20 to identify a diverse group of at least six senior academics to potentially be called upon in the event of an appeal. Diversity and representativeness will be considered when identifying members of the REF Appeals Panel. The REF Appeals Panel has responsibility for making decisions regarding submitted appeals. The role of the Panel is to:

- Review and consider all appeals submitted by appraising all documentation pertaining to the REF Steering Group decision and the case for appeal.
- Decide on whether or not an individual should be referred back to the REF Steering Group and/or the REF Circumstances Board for further consideration.
- Ensure final decisions are communicated to the Head of RDS who will report to the REF Steering Group and notify the individual of the outcome of the appeal.

The REF Appeals Panel meeting will be supported by a member of RDS who has not previously been involved in the REF Steering Group or REF Committee.

Further details about the role and purpose of the REF Appeals Panel is available in Annex 12.

The process for appeals is detailed in Section 2.6 and summarised in Annex 13.

2.5 Equality and diversity training and development

When considering and preparing its submission to the REF, the university is committed to ensuring that aspects related to equality and diversity have been, and continue to be, actively taken into consideration. BU's equality and diversity work for the REF has been built into the university's dignity, diversity and equality action plan and Athena SWAN action plan and is being considered as part of the work towards the Race Equality Charter.

All staff involved in advising and making decisions are receiving mandatory REF-focussed equality and diversity training and development. This is provided to three staff groups:

- Group 1: Those with responsibility for advising staff on their eligibility, outputs, impact et cetera and assessing outputs and impact case studies (to include: REF Committee, Impact and Output Champions, UOA Internal Review Panels, Executive Deans).
- Group 2: Those with responsibility for decision-making (to include: REF Steering Group, Vice-Chancellor, REF Appeals Panel).
- Group 3: Those with responsibility for considering information disclosed by individuals as part of the individual staff circumstances data collection exercise (to include: REF Circumstances Board).

Equality and diversity development will not be provided to external reviewers or external impact assessors as they will be involved in the academic review of outputs, environment narratives and impact case studies only. They will not be involved in any decisions regarding the implementation of the criteria set out in this code for identifying staff with significant responsibility for research, determining research independence and/or selecting outputs for submission.

Table 3: Equality and diversity development for BU staff in preparation for REF 2021

Development	Purpose	Deadline by when to be delivered	Delivery	Audience
Marshall ACM Diversity at Work e-learning package	Update on BU's commitment to equality and diversity and information on its importance.	All staff complete this module when they join BU. Those who have not completed it since 1 January 2018 will be required to complete it again by 31 August 2019 as a refresher.	E-learning package.	Group 1 Group 2 Group 3
Equality briefing	Information on equality and diversity, including the Equality Act (2010), and how it relates to the REF. Issues to be aware of since REF 2014.	Groups 1 & 2: 31 May 2019 Group 3: 30 September 2019	Equality and Diversity Adviser	Group 1 Group 2 Group 3
REF-focussed workshops (advisory roles)	Using a case study approach to focus on how implicit bias can affect the REF process in terms of how staff are advised and	Workshop 1: delivered throughout autumn/winter 2019 Workshop 2 (new staff/refresher): delivered	External facilitators and Equality and Diversity Adviser. Delivered physically and virtually	Group 1

Development	Purpose	Deadline by when to be delivered	Delivery	Audience
	supported, and outputs assessed.	throughout spring/summer 2020		
REF-focussed workshops (decision-making)	Using a case study approach to focus on how implicit bias can affect the REF process in terms of how decisions are made.	Workshop 1: delivered throughout autumn/winter 2019 Workshop 2 (new staff/refreshers): delivered throughout spring/summer 2020	External facilitators and Equality and Diversity Adviser. Delivered physically and virtually	Group 2
Identifying staff circumstances	Using a case study approach to apply the REF guidance to various circumstances and practise making decisions.	Workshop to be delivered throughout autumn/winter 2019	External facilitators (with support from the Equality and Diversity Adviser)	Group 3
Process for selecting outputs	Using practical examples to apply the process for selecting outputs.	Workshop to be delivered in summer and autumn 2020	RDS (with support from the Equality and Diversity Adviser)	Group 2

2.6 Appeals

In cases where staff do not think the policies and procedures set out in this code of practice were followed then the individual or the Faculty will have the right to appeal to the Vice-Chancellor.

Appeals will only be accepted on the following grounds:

- There is evidence of material irregularity in the process by which a decision was reached or in the operation of this code of practice such as to suggest that, in the absence of such irregularity, the outcome would have been different.
- A claim is made that the individual has been prejudiced against, including issues around protected characteristics, in some way as part of the process such as to suggest that, in the absence of the perceived prejudice, the outcome would have been different.
- A claim is made that the reduction in outputs calculated by the REF Circumstances Board was incorrect.

These grounds for appeal are exclusive.

Individuals considering raising an appeal are advised to first discuss the issue with the Head of RDS or the Deputy Vice-Chancellor. If the individual wishes to raise a formal appeal then they should complete the REF Appeals Form (Annex 14), demonstrating clearly the issues that form the basis of the appeal and providing sufficient information to allow the circumstances to be understood.

The appeal submission deadline is **5pm on 12 January 2021**.

In the event of an appeal the Vice-Chancellor will convene the REF Appeals Panel (see Section 2.4.7 for details about the panel). The REF Appeals Panel meeting will be held in late January 2021. During the meeting the Panel will review and discuss each case, assessing the grounds for appeal and the supporting evidence. The Chair will ensure the Panel reaches consensus as to whether the appeal is successful. The panel may call on the Chair of the REF Steering Group to give evidence as required. The Panel will report

the outcome of the appeals to the REF Steering Group via the Head of RDS but will not disclose any confidential details about the appeals. Any information relating to equality and diversity appeals will be kept securely by the HR department. The Chair of the REF Appeals Panel will contact all appellants to formally notify them of the outcome of the appeal within four weeks of the appeal deadline (9 February 2021). All appeals will be considered before the final decisions are made regarding the REF submission.

The appeals process is documented in this code of practice (Annex 13) which is communicated to staff as part of the BU REF Code of Practice.

2.7 Equality analysis

An equality analysis was undertaken on the draft code of practice in May 2019 and updated in September 2019, based on data available at these points in time. The analysis from September 2019 is available in Annex 17. It was based on modelling of whether the processes outlined in this code of practice for identifying staff with significant responsibility for research and determining research independence would pose a barrier to 'Category A eligible' staff from a particular group. This analysis indicated:

- Gender: the modelling predicts submission rates for men and women that are almost equal (8% variance). This is a significant improvement on BU's submission rates to REF 2014 to which women were less likely to be selected for submission compared with men.
- Ethnicity: the modelling predicts a higher submission rate for staff with a declared BAME background than for those with a declared white background or those with no declared specific ethnic background. This predicts a similar pattern to BU's submission to REF 2014.
- Disability: the modelling predicts that staff with a declared disability are less likely to be submitted than those who had not declared a disability (19% variance). This is a similar pattern to BU's submission to REF 2014.
- Contracted working hours: the modelling predicts that staff contracted to work part-time hours are less likely to be submitted than those contracted to work full-time hours (24% variance). This is a similar pattern to BU's submission to REF 2014.

As a result of this equality analysis work, we are taking forward five actions:

1. The implication is that staff with a declared disability are less likely to have significant responsibility for independent research (as defined by the REF and determined using the criteria set out in this document); this warrants further investigation. This will be taken forward by the Head of RDS and reported to the University Research and Professional Practice Committee (as part of the committee's ongoing programme of work on equality, research activity and protected characteristics).
2. The implication is that staff contracted to work part-time hours are less likely to have significant responsibility for independent research (as defined by the REF and determined using the criteria set out in this document); this warrants further investigation. This will be taken forward by the Head of RDS and reported to the University Research and Professional Practice Committee (as part of the committee's ongoing programme of work on equality, research activity and protected characteristics).
3. Analysis at the level of specific ethnic groups will be included in future equality analysis work linked to the REF. The BAME grouping used in the analysis conflates the differences of ethnically diverse people and puts them together into a group by virtue of their non-whiteness in a way which could be misleading or masking impacts.
4. Age will be added as a variable to future equality analysis work linked to the REF.
5. Contract duration (established or fixed-term) will be added as a variable to future equality analysis work linked to REF.

Further equality analysis work will be undertaken as part of the checking exercises (described in Sections 2.2 and 3.2), as part of the consideration of appeals (as described in Section 2.6), and on the final submission.

3. Determining research independence

3.1 Policies and procedures

To be submitted to the REF staff employed on 'research-only' contracts must be considered to be independent researchers, defined for the purposes of the REF as "an individual who undertakes self-directed research, rather than carrying out another individual's research programme" (REF Guidance on Submissions, paragraph 131). Under our Fusion strategy, we employ very few staff on 'research-only' contracts – these tend to be Research Assistants¹⁵ who are employed to support and carry out another individual's research programme. As such this section of the code of practice is anticipated to be relevant to only a small number of staff.

Where staff are employed on 'research-only' contracts we will use indicators to determine research independence. To be considered to meet the definition of research independence an individual will need to meet at least one of these two indicators:

- 1 – Leading or acting as principal investigator or co-investigator on an externally-funded research project since 1 January 2014.
- 2 – Holding an independently won, competitively awarded fellowship where research independence is a requirement since 1 January 2014 (see Annex 19).

These indicators are designed to be transparent, fair and consistent in their application as well as inclusive in their breadth, enabling the identification of all 'research-only' staff who are independent researchers as defined in the context of this code of practice.

All staff employed on 'research-only' contracts who meet these criteria and are therefore considered to be independent researchers will have significant responsibility for research so will be returned as 'Category A submitted' staff.

Perceived output quality or volume of output will not be considered in the process of determining whether an individual is an independent researcher.

3.2 How decisions are being made and communicated to staff

Individuals employed on 'research-only' contracts who meet the criteria set out in this code will be considered to be independent researchers and will be moved into the provisional 'Category A submitted' pool. Regular checking exercises will determine who meets the criteria and therefore who is recommended for inclusion in the submission. A flow chart demonstrating how the checking processes will operate is shown in Figure 1 (Section 2.2).

The interim checking exercises will be undertaken as part of the preparation exercises in 2019/2020. Each interim checking exercise will be completed in three stages:

Stage 1: Data from university systems (HR and RED¹⁰) will be used to see whether individuals in the 'Category A eligible' pool meet the criteria. Initial outcomes will be presented to the REF Steering Group. Individuals

¹⁵ At BU this normally refers to research staff on BU pay grades 1-5.

deemed to be meeting the criteria will be provisionally moved to the 'Category A submitted' pool and will not be included in any further checking exercises. Information will be shared with the UOA Leadership Teams, Executive Deans and Deputy Dean (Research and Professional Practice). The UOA Leader will confirm with individuals meeting the criteria that they are provisionally in the 'Category A submitted' pool and explain what this means.

Stage 2: Individuals not meeting the criteria during stage 1 will be invited to a meeting¹⁶ (usually with the UOA Leader but may be with another member of the UOA Leadership Team, Executive Dean or Deputy Dean (Research and Professional Practice)). The meetings will normally be held within one month of the information being shared in Stage 1. The invitation will include a link to this code of practice, clearly setting out the criteria in this code and stating the reason why the individual is not considered to meet the criteria. During the meeting, the individual will have the opportunity to put forward new information that may be missing from the preliminary checks in stage 1¹⁷ and/or to make a case as to why they believe they meet the definition of an independent researcher when viewed against the criteria set out in this code. Any such evidence will be submitted to RDS for consideration by the REF Steering Group and a decision communicated¹⁸ to the staff member within one month of the submission of the new information/case. If the evidence provided meets the criteria then the individual will be added to the 'Category A submitted' pool and will not be included in any further checking exercises. If there is no evidence or the evidence does not meet the criteria, the individual will be offered support and development to engage actively with independent research (where appropriate within the remit of the role, see information about the Research and Knowledge Exchange Development Framework in Section 1.4) and will be included in subsequent checking exercises. Individuals will be reminded of the REF guidelines regarding staff circumstances. If the individual has circumstances which have had an exceptional effect on their ability to work productively throughout the period so they have not been able to produce the required minimum of one output then they will be informed of the process to disclose this (Section 4.3).

Stage 3: 'Category A eligible' individuals on career break at the time of the checking exercise will be identified. RDS will seek clarification from HR and the Faculties regarding expected return to work dates and cover arrangements. Where relevant, RDS will ensure outputs are included in the preparation exercises from the staff member on career break and the staff member(s) covering the post. If the staff member on career break remains on career break on the census date (31 July 2020) and they and the staff member(s) covering the post both meet the criteria to be in the 'Category A submitted' pool, a decision regarding whom to include in the submission will be made by the REF Steering Group when initial recommendations are made in 2020. This decision will be based on the perceived quality of the output(s).

A final checking exercise will be undertaken on the census date (31 July 2020) or shortly after. The final checking exercise will be completed in three stages:

Stage 1: Data from university systems (HR and RED¹⁰) will be used to see whether 'Category A eligible' individuals not yet in the 'Category A submitted' pool meet the criteria for research independence, as set out in this code. Individuals meeting the criteria will be moved to the 'Category A submitted' pool.

Stage 2: Individuals not meeting the criteria during stage 1 will remain in the 'Category A eligible' pool.

Stage 3: 'Category A eligible' individuals on career break on the census date will be identified. RDS will seek clarification from HR and the Faculties regarding expected return to work dates and cover arrangements. If both the staff member on career break on the census date (31 July 2020) and the staff member(s) covering

¹⁶ Individuals can choose not to attend the meeting. Non-attendance will be interpreted as there being no further evidence. In such cases the individual will remain in the 'Category A eligible' pool.

¹⁷ For example, a new member of staff may have been a PI/Co-I on a research grant or contract in the REF period at their previous institution.

¹⁸ Wherever possible the decision will be communicated in person by the UOA Leader (or another member of the UOA Leadership Team, Executive Dean or Deputy Dean (Research and Professional Practice))

the post both meet the criteria to be in the 'Category A submitted' pool, a decision regarding whom to include in the submission will be made by the REF Steering Group when initial recommendations are made in 2020. This decision will be based on the perceived quality of the output(s).

In autumn 2020, after the final checking exercise, lists of those in the 'Category A eligible' and 'Category A submitted' pools will be presented to the REF Steering Group to inform their initial recommendations regarding the submission. Immediately after the meeting, these initial recommendations will be communicated by the Chair of the REF Steering Group to the UOA Leadership Teams, Executive Deans and Deputy Deans (Research and Professional Practice). The UOA Leaders will be responsible for ensuring these initial recommendations are communicated with individual staff within two weeks of the REF Steering Group meeting. Where individuals are not considered to be independent researchers (with respect to the criteria set out in this code of practice), the UOA Leaders will be responsible for ensuring all individuals have a copy of this code of practice and understand what to do should they wish to appeal against the recommendation (see Section 2.6).

Once any appeals are complete, final recommendations regarding the submission will be made in March 2021 by the REF Steering Group to the Vice-Chancellor. Once approved, the final decisions will be communicated by the Chair of the REF Steering Group to the UOA Leadership Teams, Executive Deans and Deputy Deans (Research and Professional Practice). The UOA Leaders are responsible for ensuring the final decisions are communicated with individual staff. The Vice-Chancellor's decisions regarding this are final.

A flow chart demonstrating how the checking processes will operate is shown in Figure 1 (Section 2).

Decisions made in relation to staff eligibility and inclusion in the REF are made only in regard to the REF and will not be considered for other internal processes such as promotion. Not being included in the REF submission does not imply unsatisfactory performance.

3.3 Staff, committees and training

This information is as set out in Section 2.4.

3.4 Appeals

This information is as set out in Section 2.6.

3.5 Equality analysis

An equality analysis was undertaken on the draft code of practice in May 2019 and updated in September 2019. This is available in Annex 17. As our processes for identifying staff with significant responsibility for research and determining research independence are similar, this analysis covers all 'Category A eligible' staff. Information on this analysis is available in Section 2.7.

Part 4: Selection of outputs

4.1 Policies and procedures

We will undertake a series of exercises in preparation for submission to REF 2021 by discussing research performance internally and, where appropriate, seeking specific feedback from contracted external reviewers about research activity at BU (Table 4). Submissions to the preparation exercises will be coordinated by RDS in conjunction with the REF Committee and REF Steering Group. From exercise #5 onwards, outputs from ‘Category A eligible’ former staff will be included.

Table 4: Timetable of REF preparation exercises showing inclusion of REF assessment elements

Exercise number	Date of exercise	REF assessment element		
		Outputs	Impact	Environment
1	Autumn 2015: light-touch review	YES	YES	NO
2	2017/18: internal stocktake	YES	YES	NO
3	Spring 2018: initial environment drafts	NO	NO	YES
4	Summer 2018: internal impact stocktake	NO	YES	NO
5	Spring 2019: full mock exercise	YES	YES	YES
6	Spring/summer 2020: full mock exercise	YES	YES	YES
7	Ad hoc review of elements 2020	YES	YES	YES

The REF Steering Group retains the right to amend the timetable of REF preparation exercises if deemed necessary.

We have adopted an inclusive and transparent approach to these exercises whereby all ‘Category A eligible’ staff and eligible outputs¹⁹ are included (up to a maximum of five outputs per person per exercise). In line with the REF Guidance on Submissions⁴, all ‘Category A submitted’ staff are expected to contribute a minimum of one output to the output pool. At BU no further expectation of staff contribution is relayed formally and efforts are made to ensure this is replicated through informal channels of communication. Where the REF Circumstances Board decides that a member of staff has circumstances which warrant a reduction to the minimum of one output this expectation will be adjusted to zero.

Conscious efforts are made to ensure the exercises are comprehensive with all eligible outputs included within exercises (up to a maximum of five outputs per person per exercise). All Category A eligible staff are first invited to nominate outputs for review, where staff do not nominate outputs the UOA Leader and Output Champion nominate eligible outputs for review on their behalf.

In 2015 the REF Committee agreed a set of clear, consistent procedures for reviewers to follow when assessing outputs and agreeing output scores. Each output is independently reviewed by a minimum of two reviewers, one of whom will be familiar with the area of work being assessed and one of whom will be familiar but does not need to be an expert. The reviewers are identified by the relevant UOA Leader and the UOA Output Champion. All output scores are discussed at a formal moderation meeting which is attended by

¹⁹ Eligibility is determined by REF 2021 Guidance on Submission Figure 2 ‘Output Eligibility for REF 2021’.

reviewers (internal and external). Where reviewers differ in their scores for an output then this is discussed at the meeting and the panel agree the final score, after consideration of the REF criteria, the judgements of the reviewers, and the input of the UOA Leader. If the panel are unable to agree a final score then a further independent review of the output is sought. Citation data can be used to inform peer review in those UOAs identified in the REF Panel Criteria and Working Methods²⁰ (paragraphs 277-282) as using citation data in the REF 2021 exercise. Journal level metrics are not considered as part of the review process.

Wherever possible we aim for a gender balanced panel of reviewers. External reviewers are sent terms of reference for their engagement in each of the exercises to ensure a thorough understanding of what is required and the appropriate level of comment on the material they review. The external reviewers will also be sent this revised code of practice, once it is approved.

Eligible outputs authored by former staff (eligible staff who left BU during the REF period) will be included in the potential output pool. These will be attributed to former staff only if doing so would be advantageous to the strength of the submission. Where such outputs were authored by staff who left the university due to compulsory redundancy or voluntary severance²¹, efforts will be made to contact the former staff member to inform them of the possible submission of their output(s). These individuals will be given the opportunity to make a request for non-submission of their output(s). Requests must include a justification as to why the output(s) should not be included. Any requests received will be considered by the REF Circumstances Board who will review each case, taking into consideration the justification provided in the request and the investment made by the institution into the outputs (for example whether the outputs were produced as part of a publicly funded research project). This process is set out in Figure 2.

BU's strategy for output selection is to maximise the overall quality of the submission wherever possible to ensure it includes BU's strongest areas of research. To select outputs for submission and to assign them to individuals in the 'Category A submitted' pool, RDS will rank all outputs in a unit by their final moderated score, taking into account perceived risk factors (positive or negative) for each output (as identified through the preparation exercises and agreed at the moderation meetings) and assign each 'Category A submitted' individual with their highest scoring output. Where an output has more than one author in the submitting unit then the output will be allocated to the author with the next lowest scored available output to maximise the quality profile of the unit as a whole. Where this is equal the author earlier in the authorship will be allocated the paper as illustrated in Figure 3.

Then, starting with the highest ranked, the remaining outputs will be assigned one-by-one to individuals in the UOA (or to former staff) until either an output cannot be assigned because the author has reached their maximum of five outputs, the open access tolerance has been reached²² and/or the total required number of outputs for the UOA has been reached, as illustrated in Figure 4.

Where there are more outputs deemed to be of a similar level of quality and risk than the UOA needs to submit then, wherever possible, these will be distributed fairly to individuals in equal numbers to maximise any potential impact on individuals' future careers that could result from the number of their outputs that were included and to ensure equity and fairness among staff.

If a unit exceeds the open access tolerance then preference will be given to non-compliant outputs which are scored highest.

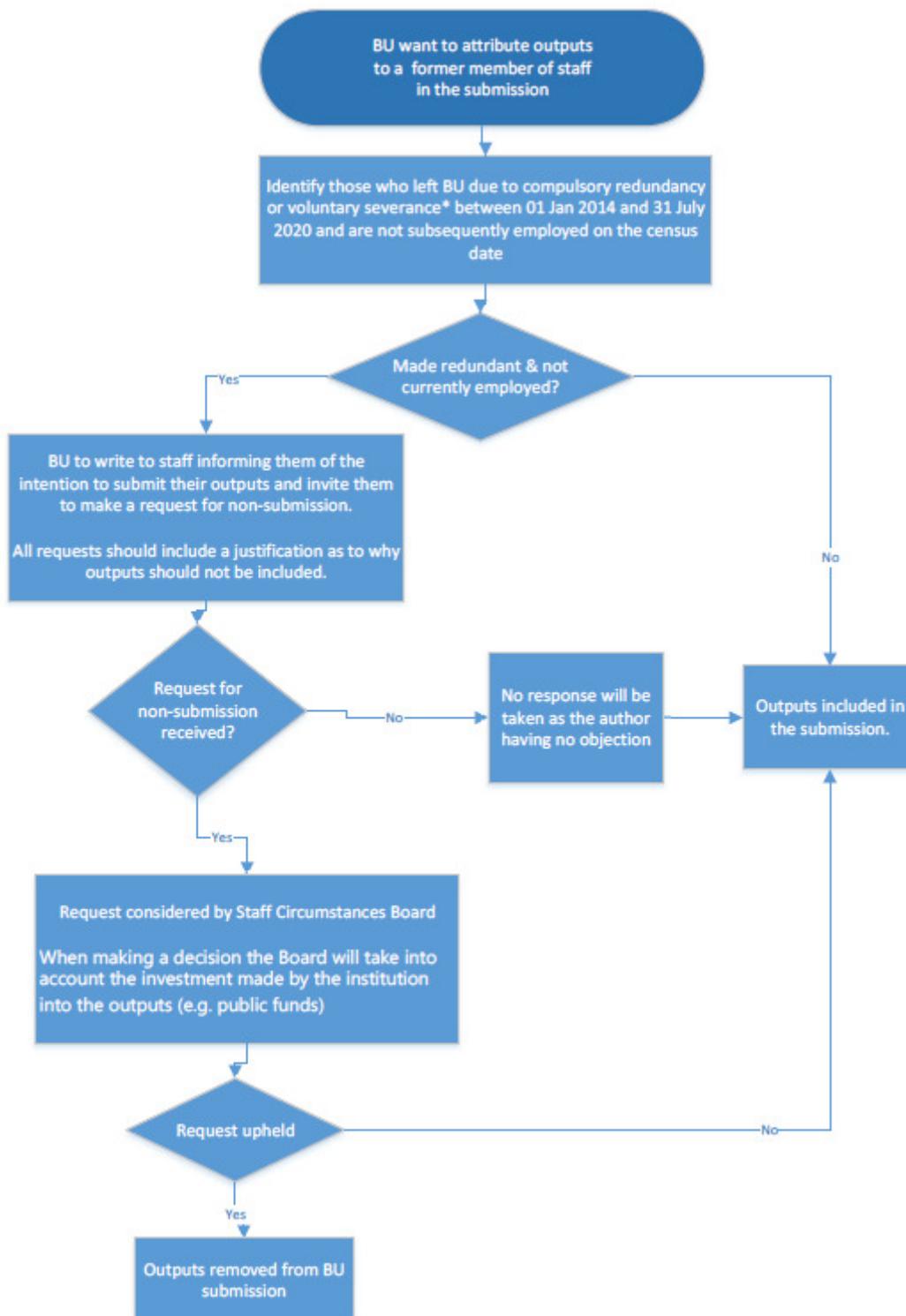
²⁰ Available from: https://www.ref.ac.uk/media/1084/ref-2019_02-panel-criteria-and-working-methods.pdf

²¹ This does not include the ending of a fixed-term contract.

²² Open access tolerance – units can submit a maximum of 5% of in-scope outputs which do not meet the REF Open Access Policy requirement nor have an exception applied. When composing the output pool for submission, the open access status of outputs will be considered to ensure this is not exceeded.

RDS will present the provisional output selection to the REF Steering Group in February 2021 alongside the initial recommendations and again in March 2021 alongside the final recommendations.

Figure 2: Process for attributing outputs to former members of staff



* This does not include the ending of a fixed-term contract.

Figure 3: Allocating minimum of one output per person

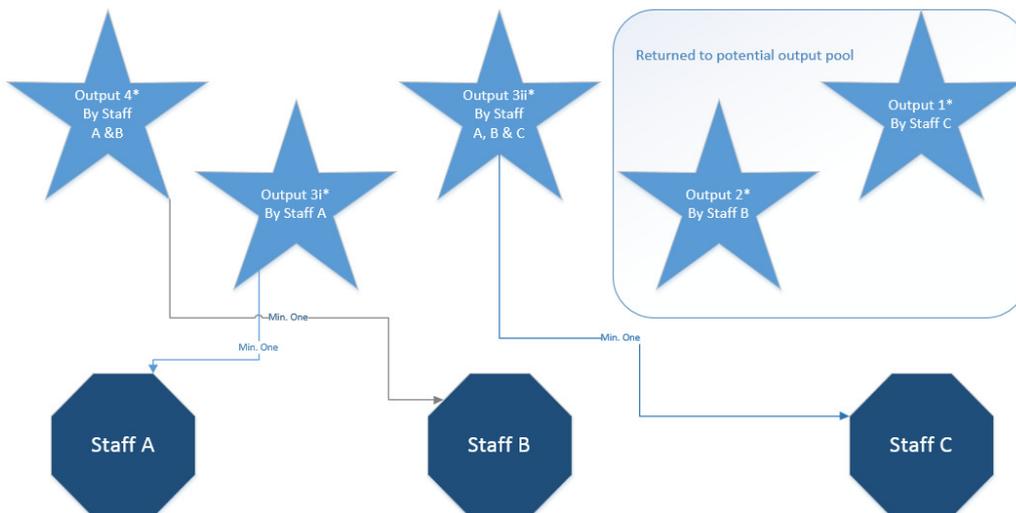


Figure 4: Worked example compiling the remaining output pool

Staff Summary

8 Cat. A Submitted Staff covering 6.0 FTE. One with accepted circs.

Outputs Summary

6 FTE * 2.5 = 15 Output Volume
 Minus 1 output for circ. reduction
 Minus 7 outputs allocated as min.1
 7 further outputs needed.



=

	Output Pool	
	Min.1 Output	Supplementary Outputs
Staff A (Current)	Min	
Staff B (Current)	Min	4* 3* 3*
Staff C (Current)	Min	2*
Staff D (Current)	Min	3* 3*
Staff E (Current)	Min	
Staff F (Current & Circs)		
Staff G (Current)	Min	
Staff H (Current)	Min	4*

4.2 Staff, committees and training

This information is as set out in Section 2.4.

4.3 Staff circumstances

The REF Guidance on Submissions⁴ (Part 3, Section 1: ‘Staff circumstances’) sets out the measures that HEIs are required to put in place to support staff with individual circumstances, recognising that circumstances can have an impact on productivity. This includes creating safe and supportive structures for enabling staff to declare voluntarily any relevant circumstances, putting in place processes to adjust expectations of an individual’s contribution to the unit’s output pool (where the individual is entitled to a reduction), and ensuring staff are treated fairly. The purpose for collating this information is threefold:

- To identify individuals with circumstances which make them eligible for the removal of the requirement of a minimum of one output by enabling staff to be entered into REF where they have:
 - circumstances that have resulted in an overall period of 46 months or more absence from research during the assessment period, due to equality-related circumstances;
 - circumstances *equivalent* to 46 months or more absence from research due to equality-related circumstances;
 - two or more qualifying periods of family-related leave.
- To recognise the effect that equality-related circumstances can have on an individual’s ability to research productively, and to adjust expectations in terms of expected workload / production of research outputs.
- To establish whether there are any units where the proportion of accepted circumstances is sufficiently high to warrant a request for a reduction in the required number of outputs to be submitted by the unit.

At BU, we have established a REF Circumstances Board (see Section 2.4.3 for further details). The Board will run a process centrally for ‘Category A eligible’ staff to voluntarily declare any individual circumstances they feel have constrained their ability to work productively throughout the REF period. In December 2019, all ‘Category A eligible’ staff were sent an email from the Chair of the REF Circumstances Board inviting them to complete a disclosure form (Annex 15). This will be repeated in autumn 2020, with a revised disclosure form (Annex 15) which includes COVID-19 related circumstances. BU staff absent from work (such as those on long-term sickness absence, parental leave, secondment or career break) at the time the email is circulated will be sent a hard copy of the form in the post to their registered home address. Completion of the form is entirely voluntary; staff are not required to complete the form should they not wish to do so. In line with Data Protection Legislation (this includes the General Data Protection Regulation, the Data Protection Act 2018 and the Privacy and Electronic Communications Regulation), all data returned will be stored and treated confidentially and will only be accessible by the Chair of the REF Circumstances Board plus a limited number of colleagues in RDS and HR, as necessary. When new staff join BU, RDS will share this code of practice with them and inform them of the process to declare staff circumstances should they so wish.

The REF Circumstances Board will consider the following equality-related circumstances that, in isolation or together, may significantly constrain the ability of submitted staff to produce outputs or to work productively throughout the assessment period:

- a. Qualifying as an ECR²³
- b. Absence from work due to secondments or career breaks outside the higher education sector.
- c. Qualifying periods of family-related leave²⁴ such as maternity, adoption, paternity or shared parental leave.
- d. Circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in outputs, which are:
 - i. Disability.
 - ii. Ill health, injury, or mental health conditions.
 - iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of - or justify the reduction of further outputs in addition to point c above.
 - iv. Other caring responsibilities (such as caring for an elderly or disabled family member).
 - v. Gender reassignment.
 - vi. Other circumstances relating to protected characteristics or relating to activities protected by employment legislation.
 - vii. COVID-19 related circumstances (REF6a only)²⁵

In considering declared circumstances, the REF Circumstances Board will confirm circumstances qualify and if so, will assign the appropriate potential output reduction in accordance with tariffs detailed in Annex L of the REF Guidance on Submissions⁴. Figure 6 shows examples of how the tariff could be applied to disclosed staff circumstances.

Table 5: Worked examples of staff circumstances

	Declared Circumstances	Removal of minimum 1 output (A)	Permitted unit reduction (B)	Total potential reduction to output pool (A+B)	Explanation
Staff Member A	One period of maternity leave	No - 0	0.5	0.5	One discrete period of family-related leave
Staff Member B	Two periods of maternity leave	Yes - 1	1	2	Removal of minimum 1 plus 0.5 reduction for each discrete period of maternity leave
Staff Member C	Met the ECR definition in May 2018	Yes - 1	1	2	Removal of minimum 1 as over 46 month absence from research in the period and 1 output reduction from the output pool based on tariff

²³ As defined in the REF Guidance on Submission (paragraphs 148 and 149 and Annex L). Available from: <http://ref.ac.uk/publications/guidance-on-submissions-201901/>.

²⁴ As defined in the REF Guidance on Submission (Annex L)

²⁵ As well as effects due to applicable circumstances (such as ill health, caring responsibilities), this includes other personal circumstances related to COVID-19 (such as furloughed staff, health-related or clinical staff diverted to frontline services, staff resource diverted to other priority areas within the HEI in response to COVID-19); and / or external factors related to COVID-19 (for example, restricted access to research facilities).

Staff wishing to discuss equality and diversity considerations prior to the data collection exercise in autumn/winter 2019, and indeed at any time during the REF 2021 period, should speak with the Equality and Diversity Adviser and/or a HR Manager in the first instance.

Where circumstances are disclosed these will be recorded centrally and confidentially. All disclosed circumstances will be considered by the REF Circumstances Board. The Chair of the REF Circumstances Board will be responsible for informing individuals who have disclosed circumstances of the outcomes. Decisions (but not specific details) will be shared with those making decisions about the REF submission (therefore the REF Steering Group, the relevant UOA Leader and, if necessary, the Vice-Chancellor and the Appeals Panel). Figure 8 demonstrates how the information disclosed will be used.

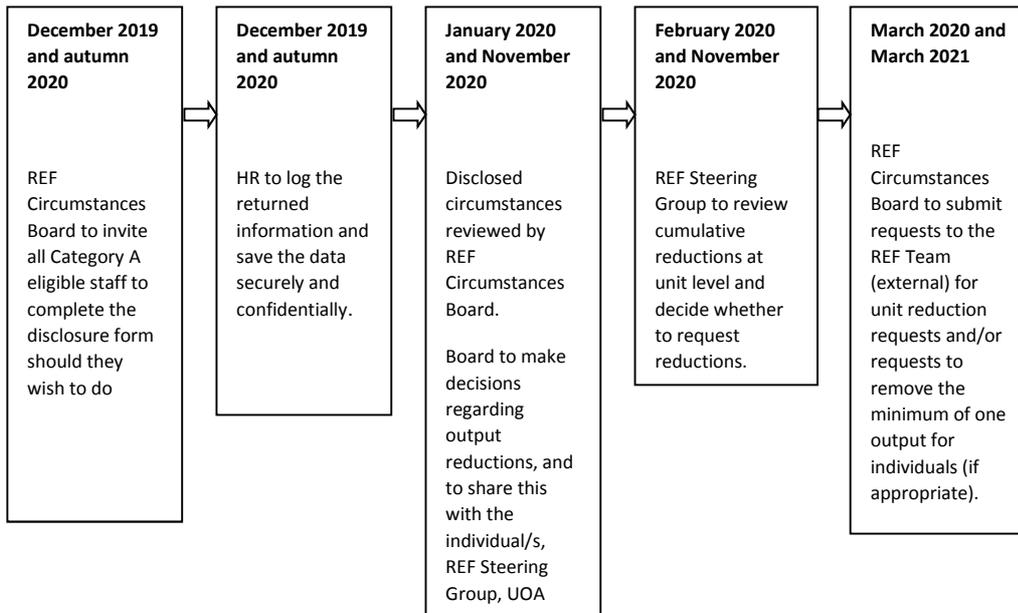
Where individuals are identified with circumstances which make them eligible for the removal of the requirement of a minimum of one output then a reduction of outputs will be sought from UKRI.

Other decisions regarding possible output reductions due to accepted circumstances will be reviewed by the REF Steering Group to establish whether a unit has been disproportionately affected by accepted circumstances and if this warrants a request for a reduction to the number of outputs required for submission. Consideration will be given to the proportion of staff in the unit with accepted circumstances, the role of the individual(s) with accepted circumstances within the submitting unit and the impact of their circumstances on colleagues and the potential output pool.

If BU decides to apply for either form of reduction of outputs (removal of 'minimum of one' requirement or unit circumstances), we will provide UKRI with information that individuals have disclosed about their circumstances, to demonstrate that the criteria have been met for reducing the number of outputs. The data returned via the staff disclosure form will be used to complete the necessary forms required for submission to UKRI (REF6a/b forms). This will be undertaken by the HR Department in conjunction with RDS and the relevant UOA Leader and, where necessary, the individual. The process will be managed centrally by the HR Department, overseen by a HR Manager. Any information disclosed via this form will be handled confidentially as personal and sensitive data in accordance with the Data Protection Legislation. The REF Guidance on Submissions⁴ (paragraphs 151-201) provides more detail about reductions in outputs and what information needs to be submitted.

Data submitted externally 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.

Figure 6: Timeline for disclosures and decisions regarding individual staff circumstances and requests for unit level reductions



We recognise that the declaration of circumstances can be emotive for individuals. Advice, assistance and support on health and wellbeing matters are available from the wellbeing section of the Staff Intranet²⁶ and from:

- Line manager or any senior manager within BU
- Human Resources
- Trade unions
- Employee Assistance Programme
- Occupational Health and Wellbeing Adviser
- Equality and Diversity Adviser
- Chaplaincy
- The Dignity and Wellbeing Advisers

4.4 Equality analysis

An equality analysis was undertaken for our process for the selection of outputs (as included within our draft code of practice) in May 2019 with data from a sample of UOAs from the 2017/18 review exercises. This is available in Annex 18. This analysis indicated:

- Gender: The BU data indicated that in some UOAs a lower proportion of outputs in preliminary output profiles were attributed to female authors compared with male authors. Outputs attributed to female authors totalled approximately 44% of the provisional output submission. It was also recognised that outputs attributed to females were also less likely to be scored 3*/4* than outputs attributed to males.
- Race: The BU data indicated there is no impact on the selection of available outputs in terms of race. Having a disclosed BAME background made no difference in terms of the proportion of outputs attributed to staff or in terms of the perceived quality of the outputs.

²⁶ Wellbeing section of the Staff Intranet (resource available to BU staff only):

<https://staffintranet.bournemouth.ac.uk/workingatbu/healthsafetywellbeing/occupationalhealthwellbeing/>

- Disability: The BU data indicated there is no impact on the selection of available outputs in terms of disability. Having a disclosed disability made no difference in terms of the proportion of outputs attributed to staff or in terms of the perceived quality of the outputs.

As a result of this equality analysis work, we are taking forward four actions:

1. Clear and specific guidance on the limitations of citation data should be provided to all reviewers in UOAs which are using citation data to inform peer-review to mitigate against any potential adverse impacts on staff in relation to protected characteristics.
2. Age, contract duration (established or fixed-term) and contracted hours (full-time or part-time) will be added as variables to future equality analysis work linked to the REF.
3. Further information is required about why in some UOAs there are fewer high scoring outputs linked to females than males to ascertain possible reasons for this and to see whether there is any bias in the process that could be mitigated.
4. The equality analysis will be expanded to look at all UOAs in future, rather than a sample.

Further equality analysis work will be undertaken as part of each staff checking exercise in 2019/2020, shortly after the REF census date (31/07/19), and on the final submission (in spring 2021).

5. Appendices

Annex 1 – BU Equality and Diversity Policy

Annex 2 – BU Code of Practice – Use of Fixed-Term Contracts

Annex 3 – Terms of reference for the REF Steering Group

Annex 4 – Terms of reference for the REF Committee

Annex 5 – Role and purpose of the REF Circumstances Board

Annex 6 – Terms of reference for the REF Output Sub-Committee

Annex 7 – Terms of reference for the REF Impact Sub-Committee

Annex 8 – Terms of reference for the UOA Internal Review Panels

Annex 9 – Role descriptor for UOA Leader

Annex 10 – Role descriptor for UOA Output Champion

Annex 11 – Role descriptor for UOA Impact Champion

Annex 12 – Role of purpose of the REF Appeals Panel

Annex 13 – Flow chart for REF appeals process

Annex 14 – BU REF Appeals Form

Annex 15 – Disclosure form for staff circumstances

Annex 16 – BU Equality Analysis Policy

Annex 17 – Equality analysis for the processes for identifying staff with significant responsibility for research and determining research independence

Annex 18 – Equality analysis for the process for selecting outputs for submission

Annex 19 – REF list of Research Fellowships

Annex 1 – BU Equality and Diversity Policy



Owner:	Chief Operating Officer
Version number:	Version 1
Date of approval:	November 2016
Approved by:	University Board
Effective date:	December 2016
Date of last review:	November 2016
Due for review:	April 2020

EQUALITY AND DIVERSITY POLICY AND ITS IMPLEMENTATION

1. SCOPE AND PURPOSE

1.1 Bournemouth University (BU) aims to create a work and study environment for students, staff and visitors to BU where different values and beliefs can be freely expressed and openly discussed and will do what it can to encourage open and respectful debate around equality and diversity issues.

1.2 As a central part of BU2018 the university strives to uphold the following Equality and Diversity values and encourage them in others:

- Valuing ourselves as individuals and valuing diversity itself
- Welcoming opportunities to learn from other cultures and societies
- Increasing diversity, equality, inclusivity and internationalisation

1.3 This policy has been created in response to the Equality Act (2010) and earlier equality legislation to which the University is required to respond as a public sector body.

1.4 The University is strongly committed to eliminating unlawful discrimination in any form under the Equality Act (2010). It is also focussed on advancing equality of opportunity and promoting good relations between all students, staff and visitors to BU.

1.5 BU will not tolerate unfair or unlawful treatment on grounds of the following characteristics:

- Age
- Disability
- Gender reassignment
- Marriage and civil partnership
- Pregnancy and maternity (including Paternity)
- Race (colour, ethnic or national background)
- Religion or Belief (including lack of belief)
- Sex
- Religion or belief
- Sexual orientation

In addition to the above this policy also covers:

- Trade union membership activity
- Political belief

1.6 This policy and its appendices apply to all staff, students and visitors to BU. Any person found to be in breach of this policy will be subject to the appropriate disciplinary procedures or sanctions.

2. KEY RESPONSIBILITIES

2.1 Everyone in the BU community (students, staff, board members, contractors and visitors) has Equality and Diversity responsibilities.

2.2 The Chief Operating Officer has executive responsibility for Equality and Diversity matters at BU.

2.3 The Equality and Diversity Steering Group which is led by an Executive Dean has overall responsibility for developing and embedding BU's strategic commitment to Dignity, Diversity and Equality.

2.4 The Equality and Diversity Adviser has overall responsibility for the daily operation of this policy, as well as ensuring that the university is complying with statutory duties under existing equality legislation and relevant codes of practice.

3 DEFINITIONS

3.1 For the purpose of this policy BU defines:

- **Dignity** as respecting all individuals who study or work at or visit the university
- **Diversity** as recognising, respecting and valuing people's differences, to enable people to realise their full potential in constructively contributing to BU's inclusive campus culture for all staff, students and members of the community.
- **Equality** as ensuring that every individual has an equal opportunity to make the most of their time whilst studying, working or visiting BU.

4 LINKS TO OTHER UNIVERSITY DOCUMENTS

4.1 There are a number of policies, procedures and codes of practice that sit alongside this policy including:

- BU Fair Access Agreement
- Dignity and Respect (Harassment) Policy and Procedures
- Data Protection Policy
- Equality Analysis Policy
- Reporting of alleged hate incidents and crimes

4.2 Specific student and staff policies in relation to each protected characteristic can be found in Appendix 1.

5 IMPLEMENTATION, MONITORING AND REVIEW

5.1 Specific implementation and monitoring responsibilities for Equality and Diversity lie with the:

- Finance and Resources Committee

- Education & Student Experience Committee
- University Executive Team
- University Leadership Team
- Equality and Diversity Steering Group

- 5.2** BU undertakes an equality analysis on all relevant policies and activities as a means of identifying any potential impact.
- 5.3** BU will make reasonable adjustments for students, staff and visitors with disabilities, in accordance with identified needs.
- 5.4** Publication and dissemination of appropriate student, staff and community data relating to equality and diversity matters, alongside identification of relevant actions.
- 5.5** All managers are responsible for:
- setting a good example by treating all members of BU according to the principles outlined in this policy
 - correcting unacceptable behaviour
 - ensuring staff and students know how to report any forms of discrimination, bullying, harassment and victimisation
 - ensuring that staff and students are encouraged and enabled to reach their full potential through promoting an inclusive study and work environment
 - developing a culture in which the principles of this policy are embedded into their work areas
 - identifying appropriate staff development to meet the needs of their respective areas
- 5.6** All BU students, staff and contractors have a responsibility to:
- uphold the principles of this and other relevant Equality and Diversity policies
 - contribute to a safe and inclusive environment that celebrates Equality and Diversity
 - challenge unacceptable behaviour or any discrimination
 - report unacceptable behaviour
- 5.7** All visitors to BU are responsible for upholding the principles of this policy and contributing to a safe and inclusive environment that celebrates Equality and Diversity.
- 5.8** A student or staff member who wishes to make a complaint about discrimination, harassment or victimisation should [refer to the Dignity and Respect \(Harassment\) Policy and Procedures](#).
- 5.9** Members of the community who wish to make a complaint about discrimination, harassment or victimisation should put the complaint in writing to either the Head of Regional Community Partnerships or the Head of Student Services.
- 5.10** A programme of work is set annually and is incorporated in the annual Equality and Diversity report which responds to our legal duties.
- 5.11** A Equality and Diversity report with a supporting video is produced annually. This work outlines how BU has responded to the legislative duties and outlines impact. The report is presented to the University Leadership Team and the Board via its sub-committees.

6 EQUALITY CHARTERS AND COMMITMENTS

6.1 BU is committed to ensuring best practice and being recognised with the very best organisations and as a result has signed up to a number of [equality charter marks and commitments](#) to further progress its commitment to DDE work. The university is a member of the following charter marks and commitments:

- Athena SWAN
- Disability Two Ticks
- Mindful Employer
- Time to Change

7. AWARENESS AND DEVELOPMENT (ACTIVITIES AND EVENTS)

7.1 In order to embed the principles of Equality and Diversity, a programme of support activities is available to students, staff and the wider community. This is achieved by marking national Equality and Diversity events and other celebratory activities towards which faculties, professional services and the Students' Union are expected to contribute.

7.2 An annual programme of development events is available to all students and staff whether the event is provided by the university or the Students Union (SUBU)

8. SUPPORT

8.1 Support for staff:

- Line manager or any senior manager within BU
- Human Resources
- Trade unions
- Employee Assistance Programme
- Health and Safety (including the Occupational Health and Wellbeing Adviser)
- The Dignity and Wellbeing Advisers

8.2 Support for students and staff:

- The Equality and Diversity Adviser
- The Multi-Faith Chaplaincy

8.3 Support for students:

- Additional Learning Support
 - Programme Leader/Framework Co-ordinator
 - Programmes Administrator
 - Students Union Advice Centre
 - Student Wellbeing Service
 - askBU

Appendix 1: BU policies and protected characteristics

Protected characteristic ²⁷	BU policy
Age: Where this is referred to, it refers to a person belonging to a particular age (for example 32 year olds) or range of ages (for example 18 - 30 year olds).	Retirement policy [Staff]
Disability: A person has a disability if s/he has a physical or mental impairment which has a substantial and long-term adverse effect on that person's ability to carry out normal day-to-day activities.	Additional Learning Support guidelines [Students] Health & Wellbeing at BU - A guide for Managers [Staff]
Gender reassignment: The process of transitioning from one gender to another.	Gender Reassignment Policy [Staff/Students]
Marriage and civil partnership: Marriage is no longer restricted to a union between a man and a woman but now includes a marriage between a same-sex couples. [1]. Same-sex couples can also have their relationships legally recognised as 'civil partnerships'. Civil partners must not be treated less favourably than married couples (except where permitted by the Equality Act). [1] Section 1, Marriage (Same Sex Couples) Act 2013, Marriage and Civil Partnership (Scotland) Act 2014.	No specific BU Policy other than the Equality and Diversity policy underpinning all BU policies and procedure.
Pregnancy and maternity: Pregnancy is the condition of being pregnant or expecting a baby. Maternity refers to the period after the birth, and is linked to maternity leave in the employment context. In the non-work context, protection against maternity discrimination is for 26 weeks after giving birth, and this includes treating a woman unfavourably because she is breastfeeding.	Student parents policy [to be developed during 2016/17] Maternity Benefits Scheme [Staff] Adoption Benefits Scheme [Staff] Parental Leave [Staff] Paternity Leave [Staff] Shared Parental Leave Policy [Staff]
Race: Refers to the protected characteristic of Race. It refers to a group of people defined by their race, colour, and nationality (including citizenship) ethnic or national origins.	No specific BU Policy other than the Equality and Diversity policy underpinning all BU policies and procedure.
Religion and belief: Religion has the meaning usually given to it but belief includes religious and philosophical beliefs including lack of belief (such as Atheism). Generally, a belief should affect your life choices or the way you live for it to be included in the definition.	BU Religion and Belief Policy [Staff/Students]
Sex: A man or a woman.	Student parents policy (to be developed during 2016/17) Family & Domestic Emergencies policy [Staff] Right to Request Flexible Working policy [Staff]
Sexual orientation: Whether a person's sexual attraction is towards their own sex, the opposite sex or to both sexes.	No specific BU Policy other than the Equality and Diversity policy underpinning all BU policies and procedure.

²⁷ Information concerning the protected characteristics has been taken from the Equality and Human Rights Commission website. <https://www.equalityhumanrights.com/en/equality-act/protected-characteristics>

Appendix 2: Legal framework

- The Equality Act came into force in October 2010 and replaced previous equality legislation. Sections of the Act apply to the provision of goods, facilities and services, premises, employment and education. The Equality Act outlines nine grounds upon which discrimination is unlawful. These are known as ‘protected characteristics’ and they are:
 - Age
 - Disability
 - Gender reassignment
 - Marriage and Civil Partnership
 - Pregnancy and Maternity
 - Race
 - Religion and Belief (including lack of belief)
 - Sex
 - Sexual Orientation

- **Discrimination**

Direct discrimination is defined as treating one person less favourably than another, because of a protected characteristic.

Discrimination by association is a type of direct discrimination against someone because they associate with another person who possesses a protected characteristic.

Discrimination by perception is a type of direct discrimination against someone who is perceived to have a protected characteristic.

Indirect discrimination is when a provision, criterion or practice is applied, which particularly disadvantages people with a protected characteristic. Indirect discrimination can be justified, if it can be shown to be a proportionate means of meeting a legitimate aim.

Discrimination arising from a disability is when someone is treated unfavourably because of something arising as a consequence of their disability. This type of discrimination can be justified, if it can be shown to be a proportionate means of meeting a legitimate aim.

- **Harassment**

Harassment is defined as unwanted conduct that has the effect of creating an intimidating, hostile, degrading, humiliating or offensive environment for a person, or violating a person’s dignity. There is more information about harassment in the University’s [Dignity and Respect \(Harassment\) Policy and Procedures](#).

- **Victimisation**

Victimisation is defined as treating a person less favourably because they have complained about discrimination or harassment, or helped someone else to do so.

- **Positive Action**

The Act allows for “positive action” measures to be taken to help overcome disadvantage. Positive action can be taken in relation to employment as well as for students. Adopting positive action is voluntary and can help alleviate disadvantage experienced by people who share a protected characteristic, reduce underrepresentation in relation to particular activities, and meet particular needs

- **Reasonable adjustments**

The Equality Act 2010 places a duty upon higher education institutions to make reasonable adjustments for staff, students and service users in relation to:

- provisions, criteria or practices
- physical features
- auxiliary aids

These adjustments apply where a disabled person is placed at a substantial disadvantage in comparison to non-disabled people.

- **Public Sector Equality Duty**

BU is a public body and as such is subject to, and compliant with, the Public Sector Equality Duty. This is defined as the general duty which is supported by specific duties. The general duty requires the University to have “due regard” to the need to:

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

There is no prescribed process on how to demonstrate due regard.

The specific duties require BU to:

- publish information to demonstrate its compliance with the equality duty. Information should be published every 12 months.
- prepare or publish equality objectives and last for 4 years.
- publish information and objectives in a manner that is accessible to the public.

Annex 2 – BU Code of Practice – Use of Fixed-Term Contracts



Title:	Code of Practice – Use of Fixed-Term Contracts
Keywords:	Fixed-term, Contract, Employee, Staff
Description:	Use of Fixed-term contracts Code of Practice
Publish Date:	1st April 2012
Review date:	1 st January 2020
Expiry Date:	
Policy Owner:	Karen Parker
Audience:	Staff

CODE OF PRACTICE – USE OF FIXED-TERM CONTRACTS

As the success of the University lies with the potential, abilities and achievements of its staff, it is important to seek to employ and retain high quality staff where suitable vacancies exist for both academic and non-academic staff.

The aim of these guidelines is to provide a framework for contract provision in line with recognised good practice and appropriate legislation - Fixed-Term Employees (Prevention of Less Favourable Treatment) Regulations, Statutory Dispute Resolution Regulations, and the Bett Report recommendation to reduce the use of fixed-term contracts in Higher Education and all equality and diversity principles.

The Fixed-Term Employee Regulations came into effect on 1 October 2002 providing the following main provisions:

- Fixed-term employees have the right not to be treated less favourably than their established colleagues as regards to their contractual terms, without objective justification.
- Details of job vacancies with the University are to be made available to ensure that the fixed-term employee has the opportunity to secure established employment.
- Fixed-term employees have the right to request a written statement detailing the justification of any less favourable treatment (e.g. the renewal of a fixed term contract of employment rather than an established contract) within 21 days of the request.
- Anyone whose contract of employment is renewed on a fixed-term basis after four years without objective justification will be deemed by law to be an established employee and entitled to receive a contract of employment reflecting their new status.

The regulations apply to all employees on fixed-term contracts of employment, which also includes casual and PTHP staff.

The University is committed to minimising the use of fixed term contracts of employment where possible and to offer security and continuity of employment by the use of established contracts.

Where the University considers that on the individual merits a fixed-term contract may be appropriate, the reason will be objectively justifiable and in line with the exceptions illustrated in the FTC Regulations. The University is also committed to monitoring the use of fixed-term contracts and to limit their use closely if or where circumstances may change.

SHOULD A POST BE ON A FIXED TERM OR ESTABLISHED BASIS?

In considering whether a post is to be on a fixed-term or established basis, a Faculty/Professional Service should widely consider the nature of the role, being minded where possible towards appointing on an established basis.

The use of fixed term appointments should be strictly limited to those situations meeting the following

criteria:

- a. the post requires specialist expertise or recent experience not already available within the University in the short term
- b. to cover a time-specific staff absence (e.g. maternity or adoptive leave, long-term sickness, sabbatical or career break cover)
- c. the contract is to provide a secondment or career development opportunity
- d. to teach short courses or undertake a specific time-limited project.
- e. where the student or other business demand can be clearly demonstrated as particularly uncertain within an identified and limited period of time
- f. where there is no reasonably foreseeable prospect of short term funding being renewed or of other external or internal funding being available or becoming available. Where the short-term funding has already been renewed, continuing use of the fixed term contract would need to be justified by objective reasons on each occasion.

Other than in exceptional circumstances, the University will transfer fixed-term staff to established status after 4 years.

Annex 3 – Terms of reference for the REF Steering Group



REF Steering Group

Terms of Reference

Delegated Authority and Purpose	<p>The REF Steering Group is responsible on behalf of the Vice-Chancellor for guiding and supporting the university's internal preparation process and final submission to the Research Excellence Framework (REF) 2021.</p> <p>It reports to the Research Performance and Management Committee as part of the executive committee structure.</p>
Main responsibilities	<ol style="list-style-type: none">1. The REF Steering Group is the primary decision-making body for BU's REF 2021 submission.2. The REF Steering Group provides information to the Research Performance and Management Committee to support its strategic allocation and review of resource and investment.3. The REF Steering Group considers equality and diversity aspects of the REF submission, including equality analysis monitoring.4. The REF Steering Group oversees the implementation of the BU REF 2021 Code of Practice (including staff submission and selection of outputs / impact case studies).5. The REF Steering Group decides the UOAs to which BU will make submissions and makes recommendations to the Vice-Chancellor with respect to who is included in the UOA submissions. It is responsible for communicating these decisions with the REF UOA Leaders.6. The REF Steering Group guides and supports the REF UOA Leaders in coordinating their unit submissions.7. The REF Steering Group approves the final submissions to include the impact case studies, institutional environment template and unit-level environment templates.8. The REF Steering Group will review the results/outcomes from REF 2021 to critically evaluate strategy, planning and decision-making, making recommendations to the Research Performance and Management Committee to ensure lessons learned inform preparations for the post-2021 REF exercise.9. The REF Steering Group, working with M&C and within overall BU communications messaging, is responsible for

	the internal and external communication of key REF messages, including the final results/outcomes. 10. The REF Steering Group will make any other strategic decisions that need to be taken in the context of the REF.
Duration	Permanent (ToR reviewed annually)
Chair	Deputy Vice-Chancellor
Management and Support	Secretary – Head of Research Development & Support Clerk – REF Manager
Membership	<ol style="list-style-type: none"> 1. Chair - Deputy Vice-Chancellor 2. Vice-Chancellor (ex officio), 3. Associate Director of HR 4. Director of Marketing & Communications 5. Member of the Professoriate acting as an interdisciplinary expert 6. Chair of REF Committee 7. Chair of REF Impact Sub-Committee 8. Chair of the Research Outputs Sub-Committee 9. Head of Research Development & Support 10. REF Manager
Quorum	50% of the membership plus one
Usual Number of Meetings	Typically four per year – scheduled in line with REF 2021 preparation timetable
Reporting Line	Reports to Research Performance and Management Committee and ULT
Sub-Committees/groups	REF Committee (this has two further sub-groups: REF Impact Sub-Committee and Research Outputs Sub-Committee)
Minutes	Meeting minutes are taken
Publication of papers	Non-confidential confirmed minutes are routinely published and are made available via the intranet. Papers are not routinely published.
Notes	ToR and membership will be reviewed annually

Policy and Committees use only:

Final approval by:	REF Steering Group	Version number:	1
Approval date:	January 2019	Notes:	
Date of last review	January 2020	Due for review:	January 2021

Annex 4 – Terms of reference for the REF Committee



REF Committee

Terms of Reference

Delegated Authority and Purpose	Responsible on behalf of the REF Steering Group (RSG) to review and consider the strategy BU adopts to prepare for Research Excellence Framework (REF) 2021 and beyond.
Main responsibilities	<ol style="list-style-type: none"> 1. To put forward recommendations to RSG taking into account sector and disciplinary intelligence in respect of UoA leaders' areas, as to how the University will prepare for the next REF exercise and beyond, taking into account: <ol style="list-style-type: none"> a) Strategy b) Planning and development of possible submissions c) Resources management d) Equality and diversity e) Staff identification procedures f) Impact g) Staff engagement h) UoA development 2. UoA Leaders are responsible for coordinating their unit submissions to mock exercises and the final assessment, including checking financial and other data/metrics, ensuring the timely submission of all outputs, and writing the unit narratives; 3. Identifying potential staff to be submitted and potential UOAs to be submitted to; 4. Identifying potential impact case studies and ensuring plans are in place to accelerate/maximise potential impacts; 5. Informing Faculty with regard to REF development, support and investment; 6. Overseeing the investment of quality-related research (QR) funds.
Duration	Permanent (ToR reviewed periodically)
Chair	Executive Dean
Deputy Chair	Nominated Deputy Dean (Research and Professional Practice)

Management and Support	Provided by RDS
Membership	<ol style="list-style-type: none"> 1. Deputy Vice-Chancellor (<i>ex-officio</i>) 2. Executive Dean (Chair) 3. Deputy Dean for Research and Professional Practice-FST 4. Deputy Dean for Research and Professional Practice-HSS 5. Deputy Dean for Research and Professional Practice-FM 6. Deputy Dean for Research and Professional Practice-FMC 7. UOA Leaders 8. REF Impact Sub-Committee Chair 9. Research Output Sub-Committee Chair 10. Head of Research Development & Support 11. Research Outputs Adviser 12. Knowledge Exchange & Impact Manager 13. REF Manager 14. Head of Library Services 15. Doctoral College Academic Managers <p>It is at the discretion of the Chair to require the presence of particular individuals for any given discussion.</p> <p>Substitutes may attend with the agreement of the Chair.</p>
Quorum	50% of the membership plus one.
Usual Number of Meetings	Typically three per year - scheduled in line with REF 2021 preparation timetable
Reporting Line	Reports to the REF Steering Group
Minutes	Meeting minutes are taken
Sub-committees	Research Output Sub-Committee REF Impact Sub-Committee
Publication	Non-confidential confirmed minutes are routinely published and are made available via the intranet. Papers are not routinely published.
Notes	ToR and membership will be reviewed annually

Policy and Committees use only:

Final approval by:	REF Committee	Version number:	
Approval date:	26/11/18	Notes:	
Date of last review		Due for review:	

Annex 5 – Role and purpose of the REF Circumstances Board

Research Excellence Framework (REF) 2021

Role and purpose of the REF Circumstances Board

The REF Circumstances Board (henceforth the Board) has been established to oversee the individual staff circumstances process for REF 2021 exercise. This includes:

- considering information disclosed by staff members as part of the staff circumstances data collection exercise;
- determining whether the disclosed circumstances meet the criteria set out in the [REF Guidance on Submissions](#) (Part 3, Section 1: 'Staff circumstances');
- verifying the evidence provided;
- calculating the appropriate potential reduction in outputs for individuals and the units as a whole;
- contributing to BU's culture of equality and diversity, particularly in terms of promoting recognition of the effect that equality-related circumstances can have on an individual's ability to research productively;
- considering any requests received from former staff regarding the attribution of outputs to them in the final submission.

The Board is *not* responsible for making decisions regarding the identification of staff with significant responsibility for research, determining research independence or the selection of outputs for the REF 2021 submission, nor is it responsible for considering the quality of an individual's outputs. This information will not be provided to the Board and should not form any part of the discussions by the Board.

The role of the Board is of paramount importance to the BU REF submission as only the Board is able to determine whether the disclosed staff circumstances are valid (in the context of the REF), appropriately evidenced, and eligible for a reduction in outputs. This information will be used to:

- identify individuals with circumstances which make them eligible for the removal of the requirement of a minimum of one output;
- inform the decisions of the REF Steering Group regarding whether a unit has been disproportionately affected by accepted circumstances, enough to warrant a request for a reduction to the number of outputs to be submitted.

The Board will meet in January 2020 and November 2020 to consider information disclosed by BU staff members as part of the data collection exercise which began in December 2019.

The Board members will attend mandatory REF-specific equality and diversity development sessions, as set out in the BU REF 2021 Code of Practice. This entails:

1. Completion of the Marshall ACM Diversity at Work e-learning package
2. Equality briefing
3. Workshop on identifying staff circumstances

In addition to attending the REF equality and diversity development sessions, members of the Board are required to read the following documents to ensure a comprehensive understanding of equality and diversity with regard to the REF.

- BU REF 2021 Code of Practice²⁸
- REF Guidance on Submissions²⁹

²⁸ Available from: To be added once code of practice approved by Research England

²⁹ Available from: https://www.ref.ac.uk/media/1092/ref-2019_01-guidance-on-submissions.pdf

- Panel Criteria and Working Methods³⁰
- REF Guidance on Codes of Practice³¹
- REF 2014 EDAP final report³²

The Board will be chaired by senior member of the HR department with support from the Equality and Diversity Adviser. These post-holders have been selected based on their prior knowledge and expertise in individual staff circumstances and equality and diversity issues. Membership will also include a minimum of two senior academic members of staff and an early career researcher, all of whom will be identified through a call for expressions of interest. All Board members will be independent from the REF preparations and submission, and therefore not involved in advising or decision-making regarding the identification of staff with significant responsibility for research, determining research independence or the selection of outputs.

Prior to the meeting of the REF Circumstances Board, the Chair of the REF Steering Group and the Head of Research Development & Support will meet with the Board Chair to ensure a thorough understanding of the role and function of the Board.

During the meeting the Board will be expected to work through each of the cases on an individual basis, checking the claim, verifying the evidence, interpreting the outcome using the REF guidance and reaching consensus on the suggested output reduction for each case.

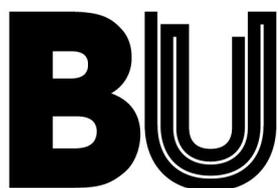
The Board will report the outcomes to the Head of Research Development & Support but will not disclose any details about the disclosed staff circumstances or evidence. This information will be kept securely by the HR department.

³⁰ Available from: <https://www.ref.ac.uk/publications/panel-criteria-and-working-methods-201902/>

³¹ Available from: <https://www.ref.ac.uk/publications/guidance-on-codes-of-practice-201903/>

³² Available from: <https://www.ref.ac.uk/2014/equality/edapreport/>

Annex 6 – Terms of reference the Research Outputs Sub-Committee



**Bournemouth
University**

Research Outputs Sub-Committee

Terms of Reference

Delegated Authority and Purpose	Responsible on behalf of the REF Committee to review and consider the strategy BU adopts to ensure that research outputs (in all media) provide maximum value to authors, the institution, to research funders and society as a whole.
Main responsibilities	<ol style="list-style-type: none"> 1. To put forward recommendations to the REF Committee as to how the University can maximise the value of research outputs, taking into account but not limited to: 2. External policy on research outputs 3. Compliance with HEFCE requirements for REF submission and research funder mandates 4. Visibility 5. Usage for the benefit of society 6. Research progress 7. Impact 8. Preparation 9. To develop policy on all matters relating to the University's research outputs activity, including staff development initiatives 10. To oversee levels of academic outputs and compliance with funder research outputs policies 11. To develop policies and procedures for the identification and promotion of potential key outputs with the aim of maximising their value 12. To advocate and promote research outputs initiatives 13. To provide support to UoA leads in driving quality research outputs 14. To ensure the sound management of the University's open access publishing budget 15. To advocate and promote BU's publishing platform, eBU 16. To oversee the open research agenda at the University
Duration	Permanent
Chair	Professor Edwin Van Teijlingen, Professor Of Reproductive Health Research, HSS
Deputy Chair	Hywel Dix, Principal Academic In English, M & C
Management and Support	Provided by RDS
Membership	Nominated Research Outputs Champion per UoA Project Delivery Manager

	<p>REF Manager Research Outputs Adviser Research Communications Manager LLS Academic Liaison Manager Faculty Librarian</p> <p>It is at the discretion of the Chair to require the presence of particular individuals for any given discussion.</p>
Quorum	40% Output Champions or a minimum of six UoA representatives.
Usual Number of Meetings	4 per year (usually September, December/January, March & May/June)
Reporting Line	REF Committee
Minutes	Minutes to be taken by RDS
Sub-committees	None
Publication	Non confidential confirmed minutes are published on the Staff Intranet
Notes	

Policy and Committees use only:

Final approval by:	REF Output Committee	Version number:	4
Approval date:	28.03.18	Notes:	
Date of last review	13.01.17	Due for review:	Autumn 2019

Annex 7 – Terms of reference for the REF Impact Sub-Committee

REF Impact Sub-Committee

Terms of Reference

Delegated Authority and	The REF impact subcommittee has responsibility of reviewing preparations of the impact element of BU's REF2021 submission: including reporting progress made on the development of impact case studies, reviewing progress made against impact strategies, sharing intelligence from across the institution and wider HE sector, making recommendations for impact resource and ensuring evidence of impact is being captured.
Main responsibilities	<ol style="list-style-type: none"> 1. To review external evidence of excellent impact and make strategic recommendations to the REF Committee as to how BU's impact submission can be enhanced. 2. To agree and oversee operational plans for impact acceleration and provide feedback to the REF Committee with respect to required institutional support. 3. To review the impact strategies being put forward for REF2021 and make recommendations as to how they can be enhanced. 4. To review the development of impact case studies being prepared by each UOA for REF 2021 and provide guidance on how these can be accelerated and evidenced. 5. To identify and prioritise impact case studies requiring support from relevant colleagues within RDS. 6. To make recommendations for applications for additional impact resource to the Research Impact Funding Panel. 7. To identify mechanisms to ensure that colleagues across the institution are updating institutional systems for impact tracking 8. To review the training and development opportunities available for staff across BU on impact and make recommendations as to how these can be enhanced. 9. To review impact arising from major programmes of research and knowledge exchange (e.g. HEIF) to make recommendations as to how these can contribute to impact case studies for the REF. 10. To explore the use of impact metrics in the sector to make cross-BU recommendations on appropriate metrics to understand impact. 11. To communicate research impact success and encourage a culture of research impact amongst all BU colleagues. 12. To undertake any other duties as requested by the Chair of the REF Committee (Deputy Vice-Chancellor) and/or Chair of REFSG (Vice-Chancellor).

Duration	Permanent
Chair	Professor Sarah Bate (Impact Champion, UOA 4)
Deputy Chair	Currently vacant
Management and Support	Secretary: Knowledge Exchange and Impact Manager Clerk: Knowledge Exchange and Impact Officer
Membership	All UOA Impact Champions Knowledge Exchange and Impact Manager (RDS) Research Communications Manager (RDS) Engagement and Impact Facilitator (RDS) Research Outputs Adviser (RDS) It is at the discretion of the Chair to require the presence of particular individuals for any given discussion.
Quorum	50% + 1
Usual Number of Meetings	Typically 4 per year (September, December, March and June)
Reporting Line	REF Committee
Minutes	Minutes are kept in the form of an action log, with discussion points, and circulated to the REF Committee
Publication	Non confidential confirmed minutes are published on the Staff Intranet
Outputs for REF Committee	Minutes from meeting Overview of impact case studies in progress Overview of progress being made against impact strategies Agreed priorities and support for following quarter

Policy and Committees use only:

Final approval by:		Version number:	3
Approval date:		Notes:	
Date of last review	February 2019	Due for review:	September 2019

Annex 8 – Terms of reference for the UOA Internal Review Panels



Internal Review Panels

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Delegated Authority and Purpose	Responsible on behalf of the REF Committee to review and assess research outputs and impact case studies in preparation for REF 2021 submission.
Main responsibilities	<ol style="list-style-type: none"> 1. To assess research outputs for the UOA and assign provisional scores in accordance with REF assessment criteria. 2. To assess impact case studies for the UOA and assign provisional scores in accordance with REF assessment criteria. 3. To ensure that provisional scores are based on a robust assessment process underpinned by the REF assessment criteria. 4. To communicate key messages to staff aligned to UOA.
Duration	Permanent
Chair	UOA Leader(s)
Deputy Chair (s)	Output Champion(s) Impact Champion(s)
Management and Support	<p>Provided by RDS - Panel Advisers/Secretariat:</p> <ul style="list-style-type: none"> • Head of Research Development & Support • Research Output Advisor • REF Officer • Research Communication Manager • Engagement & Impact Facilitator
Membership	<ul style="list-style-type: none"> • Internal Panel Members • External Reviewers • Impact Assessors <p>It is at the discretion of the Chair to require the presence of particular individuals for any given discussion.</p>

Quorum	50% members
Usual Number of Meetings	Typically three per year – <ul style="list-style-type: none"> • Calibration • Moderation • Development
Reporting Line	REF Committee
Minutes	No formal minutes taken. Scores and panel agreed comments recorded.
Sub-committees	None
Publication	Scores are published directly to authors.
Notes	

Policy and Committees use only:

Final approval by:	REF Committee	Version number:	1
Approval date:	29.11.19	Notes:	
Date of last review	N/A	Due for review:	Autumn 2019

Annex 9 – Role descriptor for UOA Leader



REF 2021 UOA Leader

Role Description

Purpose of the role	UOA Leaders serve a term up to December 2020, although they can choose to step down during this time. The UOA Leader undertakes a vital role in driving and delivering BU's REF submission, influencing the University's preparations, shaping optimal submissions for each UOA and ultimately having a significant effect on BU's REF 2021 results.
Main responsibilities	<ol style="list-style-type: none"> 1. Providing leadership, advice and support on all issues relating to research planning, impact, performance metrics and published guidance relating to the UOA 2. Considering the widest available staff pool for the UOA and present these options to the REF Committee (being mindful of where this potentially impacts upon other UOAs) 3. Having an institutional outlook for the REF, i.e. aiming to optimise BU's overall REF performance 4. Optimising the UOA submission and that of related UOAs by working to mitigate weaknesses and to highlight strengths across all aspects of the submission 5. Ensuring that outputs undergo rigorous review, internally and externally in order to assess quality prior to inclusion for REF 6. Working with Impact champions and the Impact Working Group to understand the interrelationship of case study quality, selection, placement and staff numbers for the UOA 7. Leading on REF communications within departments represented in the UOA and be the key point of contact and advice with regard to the UOA for Heads of research entities, DDRPPs and Executive Deans 8. Working closely with RDS who are managing the central REF preparation and submission process 9. Attend the REF Committee meetings
Duration	Until April 2021
Support	UOA Leaders will receive support from the Project Delivery Team within RDS.
Reporting requirements	<p>All UoA Leaders (or delegated representative) are expected to attend the REF Committee and provide information to inform the decisions of the REF Steering Group.</p> <p>UOA Leaders will be required to provide regular updates to relevant committees and leadership teams within their Faculty.</p>
Review	<p>Role description drafted March 2018.</p> <p>Review due April 2021</p>

Annex 10 – Role descriptor for UOA Output Champion



UOA Output Champion

Role Description

Purpose of the role	<p>Each Unit of Assessment (UOA) Output Champion has responsibility for developing the output element of the REF submission, which includes:</p> <ul style="list-style-type: none"> - Being aware of the UOA output profile for the REF - Supporting colleagues to develop their research outputs - Reviewing progress made against UOA output strategies - Promoting opportunities to enhance research outputs - Supporting colleagues to ensure research outputs are recorded on BRIAN - Supporting colleagues to ensure research outputs are compliant with open access policies - Championing a positive culture towards the production research outputs
Main responsibilities	<ol style="list-style-type: none"> 1. Support the development of research outputs being prepared within the UOA 2. Provide guidance on how research outputs can be produced and published 3. Advise colleagues on the REF output guidelines specifically those in relation to assessment, open access and research metrics 4. Review output strategies related to the UOA and assess progress made against them 5. Ensure that colleagues are updating institutional systems such as BRIAN and BURO 6. Promote Open Access publication and use of the Open Access Publication Fund as appropriate 7. Promote relevant training and development opportunities 8. Review outputs arising from major programmes of research and knowledge exchange to make recommendations as to how these can contribute to the UOAs output profile 9. Work with Post-Doctoral Research Fellows on REF Output related activity as appropriate. 10. To undertake any other duties as requested by the relevant Deputy Dean for Research and Professional Practice (DDRPP) and/or Unit of Assessment leader.
Duration	Permanent
Support	UOA Output Champions will receive support from the Project Delivery Team within RDS.
Reporting requirements	All UOA Output Champions (or delegated representative) are expected to attend the REF Output subcommittee and provide data to inform the UOA Committee. UOA Output Champions will be required to regularly provide updates to relevant committees and UOA leadership teams within their Faculty.

Review	Role description drafted March 2018. Review due April 2021.
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Annex 11 – Role descriptor for UOA Impact Champion



UOA Impact Champion

Role Description

Purpose of the role	<p>Each Unit of Assessment (UOA) Impact Champion has responsibility for developing the impact element of the REF submission, which includes:</p> <ul style="list-style-type: none"> - Identifying potential impact case studies for the REF - Supporting colleagues to develop impact case studies - Reporting on progress of impact case studies - Reviewing progress made against impact strategies - Promoting opportunities to enhance research impact - Ensuring evidence of impact is collected and stored appropriately - Championing a culture of research impact.
Main responsibilities	<ol style="list-style-type: none"> 1. Review the development of impact case studies being prepared within the UOA 2. Provide guidance on how impact case studies can be accelerated and evidenced 3. Advise colleagues on the REF impact guidelines 4. Review impact strategies related to the UOA and assess progress made against them 5. Review and implement recommendations from external research users to strengthen research impact 6. Ensure that colleagues are updating institutional systems for impact tracking 7. Promote relevant training and development opportunities 8. Review impact arising from major programmes of research and knowledge exchange to make recommendations as to how these can contribute to impact case studies 9. Advise on the use of appropriate metrics specific to the subject area 10. To undertake any other duties as requested by the relevant Deputy Dean for Research and Professional Practice (DDRPP) and/or Unit of Assessment leader.
Duration	Permanent
Support	Impact Champions will receive support from the Knowledge Exchange and Impact Team within RDS.
Reporting requirements	<p>All UOA Impact Champions are expected to attend the REF Impact subcommittee and provide data to inform the REF Committee.</p> <p>UOA Impact Champions will also be required to regularly provide updates to relevant committees and UOA leadership teams within their Faculty.</p>

Review	Role description agreed November 2017. Review due April 2021
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Annex 12 – Role and purpose of the REF Appeals Panel

Research Excellence Framework (REF) 2021 – revised for March 2021 deadline

Role and purpose of the REF Appeals Panel

In the event of an appeal the Vice-Chancellor will convene the REF Appeals Panel to undertake a review of each case. At least six senior academics will be identified as potential panel members through a call for expressions of interest in 2019/2020. These individuals will not be members of the REF Steering Group, REF Committee or REF Circumstances Board, and will not have been involved at UOA or Faculty level in advising the individual. At least three of these individuals will be identified to attend the REF Appeals Panel. Diversity and representativeness will be considered when identifying individuals to invite to the panel meeting. In the case of an appeal based on equality and diversity grounds the Chair of the REF Circumstances Board will join the REF Appeals Panel. The REF Appeals Panel meeting will be supported by a member of RDS who has not previously been involved in the REF Steering Group or REF Committee.

The role of the REF Appeals Panel is to:

- Review and consider all appeals submitted, by appraising all documentation pertaining to the REF Steering Group decision and the case for appeal.
- Decide on whether or not an individual should be referred back to the REF Steering Group and/or the REF Circumstances Board for further consideration.
- Ensure final decisions are communicated to the Head of RDS who will report to the REF Steering Group and notify the individual of the outcome of the appeal.

The appeal submission deadline will be **5pm on 12 January 2021** and the REF Appeals Panel will be held in late January 2021. During the meeting the Panel will review and discuss each case, assessing the grounds for appeal and the supporting evidence. The Chair will ensure the Panel reaches consensus as to whether the appeal is successful. The panel may call on the Chair of the REF Steering Group to give evidence as required. The Panel will report the outcome of the appeals to the REF Steering Group via the Head of RDS but will not disclose any confidential details about the appeals.

The REF Appeals Panel members will attend mandatory REF-specific equality and diversity development sessions, as set out in the BU REF 2021 Code of Practice. This entails:

1. Completion of the Marshall ACM Diversity at Work e-learning package
2. Equality briefing
3. Workshop on decision-making for REF
4. Workshop on the process for selecting outputs

In addition to attending the REF equality and diversity development sessions, members of the REF Appeals Panel are required to read the following documents to ensure a comprehensive understanding of equality and diversity with regard to the REF.

- BU REF 2021 Code of Practice³³

³³ Available from: To be added once code of practice approved by Research England

- REF Guidance on Submissions³⁴
- Panel Criteria and Working Methods³⁵
- REF Guidance on Codes of Practice³⁶
- REF 2014 EDAP final report³⁷

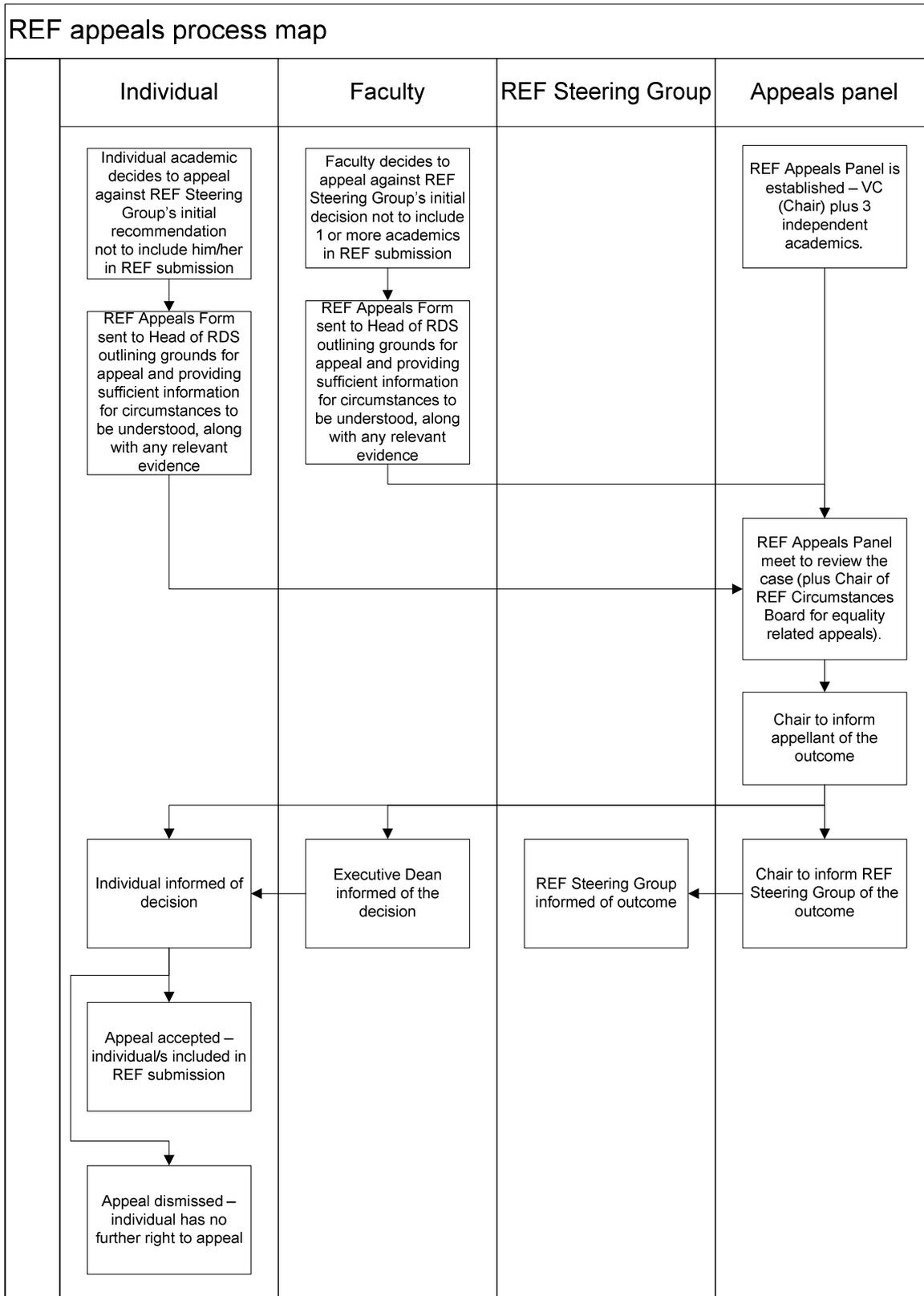
³⁴ Available from: https://www.ref.ac.uk/media/1092/ref-2019_01-guidance-on-submissions.pdf

³⁵ Available from: <https://www.ref.ac.uk/publications/panel-criteria-and-working-methods-201902/>

³⁶ Available from: <https://www.ref.ac.uk/publications/guidance-on-codes-of-practice-201903/>

³⁷ Available from: <https://www.ref.ac.uk/2014/equality/edapreport/>

Annex 13 – Flow chart for REF appeals process



The appeal process will be administered and supported by a member of Research Development and Support who has not been involved in the REF Steering Group or REF Committee

Annex 14 – REF Appeals Form



In cases where the REF Steering Group does not identify an individual³⁸ as 'Category A submitted', the individual or the Faculty has the right to appeal to the Vice-Chancellor.

Those raising an appeal are advised to discuss the recommendation with the Head of Research Development and Support or the Deputy Vice-Chancellor prior to submitting this form.

The deadline for receipt of appeals is **Tuesday 12 January 2021**.

Personal details			
Full name		Job title	
Faculty		Unit(s) of Assessment	

Grounds for appeal	
Please select one of the following by marking 'X' in the relevant box:	
1. The appeal is on the grounds of evidence of material irregularity in the process by which a decision was reached or in the operation of this code of practice such as to suggest that, in the absence of such irregularity, the outcome would have been different.	
2. The appeal is on the grounds that the individual has been prejudiced against in some way as part of the process such as to suggest that, in the absence of the perceived prejudice, the outcome would have been different.	
3. The appeal is on the grounds of that the reduction in outputs calculated by the REF Circumstances Board was incorrect.	

Case for appeal
Please provide details and evidence for your appeal:

³⁸ Applies to staff employed on a 'teaching and research' or 'research-only' contract.

(Add details of your grounds for appeal here)

Use of information	
Please confirm the following by marking 'X' in each box and signing below:	
I confirm that the information provided is a true and accurate description of my grounds for appeal.	
I recognise that the information provided will be used for REF purposes within BU and will be seen by BU REF Appeals Panel and the Head of RDS.	
I consent for my data to be used in accordance with Data Protection Legislation and I accept that information declared on this form will be stored and treated securely and confidentially.	
I realise that it may be necessary to share information with the UK funding bodies' REF Team, who may make the information available to REF panel chairs, members and secretaries and/or the REF Equality and Diversity Advisory Panel. (Where permission is not provided, BU will be limited in the action it can take.)	

Signed: _____ Date: _____

(Staff member)

Please email your completed form, attaching any supporting evidence, and send it to: Julie Northam, Head of RDS (jnortham@bournemouth.ac.uk).

For use by the REF Appeals Panel only:

- Original decision upheld
- Recommend that the decision be reviewed

Rationale for the decision:

Annex 15 – Disclosure form for staff circumstances – revised in September 2020

Declaration of Individual Staff Circumstances template

This document is being sent to all REF eligible members of staff (see '[Guidance on submissions](http://www.ref.ac.uk/publications/guidance-on-submissions-201901/)' (<http://www.ref.ac.uk/publications/guidance-on-submissions-201901/>) paragraphs 117-122). As part of the university's commitment to supporting equality and diversity in REF, we have put in place safe and supportive structures within the [BU REF Code of Practice](#) for staff to disclose information about any equality-related circumstances that may have affected their ability to research productively during the assessment period (1 January 2014 – 31 July 2020), and particularly their ability to produce research outputs at the same rate as staff not affected by circumstances.

The purpose of collecting this information is threefold:

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

Applicable circumstances

- Qualifying as an Early Career Researcher (started career as an independent researcher on or after 1 August 2016)
- Absence from work due to secondments or career breaks outside the HE sector
- Qualifying periods of family-related leave
- Junior clinical academics who have not gained a Certificate of Completion of training by 31 July 2020
- Disability (including chronic conditions)
- Ill health, injury or mental health conditions
- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment
- COVID-19 related circumstances (REF6a only)³⁹

If your ability to research productively during the assessment period has been constrained due to one or more of the following circumstances, you are invited to complete the attached form. Further

³⁹ As well as effects due to applicable circumstances (such as ill health, caring responsibilities), this includes other personal circumstances related to COVID-19 (such as furloughed staff, health-related or clinical staff diverted to frontline services, staff resource diverted to other priority areas within the HEI in response to COVID-19); and / or external factors related to COVID-19 (for example, restricted access to research facilities).

information can be found paragraph 160 of the [Guidance on Submissions](#) (REF 2019/01). Completion and return of the form is **voluntary**, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. This form is the only means by which the University will be gathering this information; we will not be consulting HR records, contract start dates, etc. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

Ensuring Confidentiality

Where circumstances are disclosed these will be recorded confidentially by HR. In line with Data Protection Legislation (this includes the General Data Protection Regulation, the Data Protection Act 2018 and the Privacy and Electronic Communications Regulation), all data returned will be stored and treated confidentially and will only be accessible by the Chair of the REF Circumstances Board plus a limited number of colleagues in RDS and HR, as appropriate.

All disclosed circumstances will be considered by the REF Circumstances Board. The Chair of the REF Circumstances Board will be responsible for informing individuals who have disclosed circumstances of the outcomes. Decisions (but not specific details) will be shared with those making decisions about the REF submission (therefore the REF Steering Group, the relevant UOA Leader and, if necessary, the Vice-Chancellor and the Appeals Panel).

If the institution decides to apply to the funding bodies for either form of reduction of outputs (removal of 'minimum of one' requirement or unit circumstances), we will need to provide UKRI with data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. The data returned via the staff disclosure form will be used to complete the REF6a/b forms by the HR Department in conjunction with the relevant UOA Leader and, where necessary, the individual. The process will be managed centrally by the HR Department, overseen by a HR Manager. Any information disclosed via this form will be handled confidentially as personal and sensitive data in accordance with the Data Protection Legislation. Please see the [Guidance on Submissions](#) document (paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted.

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

Changes in circumstances

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

How to submit the form

Forms should be submitted to the REF circumstances mailbox at REFCirc@bournemouth.ac.uk no later than midnight Friday 16 October 2020.

Alternatively the form may be posted, marked for the attention of Sally Driver, to Human Resources, Melbury House, 1-3 Oxford Road, Bournemouth, BH8 8ES.

If you wish to receive the form in an alternative format please email REFCirc@bournemouth.ac.uk or phone 01202 961133.

General REF question

If you have any general enquiries regarding the REF you can email ref@bournemouth.ac.uk.

Name: [Click here to insert text.](#)

Department: [Click here to insert text.](#)

Unit of Assessment: [Click here to insert text.](#)

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

Yes

No

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

Circumstance	Time period affected
<p>Early Career Researcher (started career as an independent researcher on or after 1 August 2016).</p> <p><i>Date you became an early career researcher.</i></p>	<p>Click here to enter a date.</p>
<p>Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2020.</p>	<p>Tick here <input type="checkbox"/></p>
<p>Career break or secondment outside of the HE sector.</p> <p>Dates and durations in months.</p>	<p>Click here to enter dates and durations.</p>
<p>Family-related leave;</p> <ul style="list-style-type: none"> • statutory maternity leave • statutory adoption leave • Additional paternity or adoption leave or shared parental leave lasting for four months or more. <p><i>For each period of leave, state the nature of the leave taken and the dates and durations in months.</i></p>	<p>Click here to enter dates and durations.</p>
<p>Disability (including chronic conditions)</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>

<p>Mental health condition</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	Click here to enter text.
<p>Ill health or injury</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	Click here to enter text.
<p>Constraints relating to family leave that fall outside of standard allowance</p> <p><i>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.</i></p>	Click here to enter text.
<p>Caring responsibilities</p> <p><i>To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	Click here to enter text.
<p>Gender reassignment</p> <p><i>To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	Click here to enter text.
<p><u>COVID-19 (Applicable only where requests are being made for the removal of the minimum of one requirement)</u></p> <p><i>To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p> <p><i>The overall impact of the COVID-19 effects should be considered in combination with other applicable circumstances affecting the staff member's ability to research productively throughout the period.</i></p>	
<p>Any other exceptional reasons e.g. bereavement.</p>	Click here to enter text.

<i>To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i>	
---	--

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 members of the BU REF Circumstances Board plus a limited number of colleagues in RDS and HR, as appropriate.
- I realise it may be necessary to share the information with the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs.

I agree

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

I give my permission for a colleague from HR to contact me to discuss my circumstances, and my requirements in relation this these.

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

I would like to be contacted by:

Email Insert email address

Phone Insert contact telephone number

Annex 16 – BU Equality Analysis Policy



Owner:	Chief Operating Officer
Version number:	Version 1
Date of approval:	November 2016
Approved by:	ULT
Effective date:	November 2016
Date of last review:	2015
Due for review:	December 2019

Equality Analysis Procedure (Formerly Equality Impact Assessment/Equality Assessments)

1. SCOPE AND PURPOSE

- 1.1 Bournemouth University (BU) aims to create a work and study environment for students, staff or visitors to BU where different values and beliefs can be freely expressed and openly discussed and will encourage open and respectful debate around equality and diversity issues.
- 1.2 This procedure sets out the expectations of BU and the responsibility of the university and its staff to ensure ongoing due regard to Equality and Diversity in accordance with the requirements of the Equality Act. It outlines a process for undertaking Equality Analysis as a tool that enables positive change. All staff and students should seek to engage with it in a constructive manner.
- 1.3 As part of the general equality duty BU is required to have **due regard** to the need to:
 - eliminate discrimination, harassment and victimisation and any other conduct that is prohibited by or under the Act (Equality Act, 2010).
 - advance equality of opportunity between people who share a relevant protected characteristic and people who do not share it.
 - foster good relations between people who share a relevant protected characteristic and those who do not share it.
- 1.4 When making decisions and when setting policies at BU staff need to take into consideration the following characteristics of groups which are protected under the Equality Act 2010. These are:
 - Age
 - Disability
 - Gender reassignment
 - Marriage and civil partnership
 - Pregnancy and maternity (including paternity)
 - Race (colour, ethnic or national background)
 - Religion or belief (including non-belief)

- Sex
- Sexual orientation

1.5 The decisions and policies that generally need to be considered fall into three main categories. These are:

- Organisational policies and functions (e.g. BU Fair Access Agreement)
- Key decisions (e.g. restructuring within Faculties or Professional Services and changes to core purposes of buildings)
- Policies that set criteria or guidelines for others to use (e.g. BU pay and promotion criteria and study/research leave programmes)

1.6 If you are in any doubt about whether an activity you are leading on requires you to undertake Equality Analysis please speak to the university Equality and Diversity Adviser. Email: diversity@bournemouth.ac.uk.

1.7 Previously this work was referred to as Equality Impact Assessments or Equality Assessments. This revised procedure continues to adhere fully with the framework agreement reached between BU and University College Union (UCU). In addition the approach adopted at BU is fully supported by UNISON.

1.8 This procedure is written with reference to the guidance provided by the Equality and Human Rights Commission (EHRC).

2. KEY RESPONSIBILITIES

2.1 Responsibility for the procedure is held by the Chief Operating Officer, who is a member of the BU Board, advised by the Equality and Diversity Steering Group.

2.2 The responsibility for undertaking Equality Analysis is devolved to Faculties and Professional Services, with nominated decision-makers appointed by Executive Deans and Directors of Professional Services.

2.3 It is expected that everyone in BU has some understanding of the issues and has undertaken online diversity training (this is strongly advised for all staff not just new ones). Those with line management responsibilities should encourage completing the diversity training.

3. LINKS TO OTHER UNIVERSITY DOCUMENTS

3.1 Policies, procedures and codes of practice that sit alongside this policy and procedures include:

- [Equality and Diversity Policy](#)
- [Dignity and Respect \(Harassment\) Policy and Procedures](#)
- [Data Protection Policy](#)
- [Gender Reassignment Policy](#)

4. GENERAL PRINCIPLES

- 4.1 The individual leading on each Equality Analysis on behalf of the University, Faculty or Professional Service is the decision-maker.
- 4.2 Decision-makers need to have knowledge and understanding of the proposed activity. In addition these individuals require knowledge and understanding of relevant equality issues and must attempt to be objective about the activity when undertaking the analysis.
- 4.3 The decision-maker must be aware of the general equality duty and consciously take it into account in the work. They should collate evidence of a structured attempt to focus on equality issues to show what was taken into account and what he or she knew when making a decision.
- 4.4 The Equality Analysis should be undertaken prior to the start of the activity. The decision-maker will also need to identify when the analysis will be reviewed.
- 4.5 Records should be kept by Equality and Diversity Adviser of the information gathered, the completed analysis and the decision taken.
- 4.6 The Equality and Diversity Adviser is available to provide advice and support to decision-makers within Faculties and Professional Services who are responsible for undertaking Equality Analysis at BU.

5. DECIDING WHICH ACTIVITIES NEED TO BE ASSESSED

- 5.1 A programme of annual Equality Analysis work is identified through discussions with Executive Deans and Directors/Heads of Professional Services. This is shared at the start of each academic year with the Equality and Diversity Steering Group.
- 5.2 Consultation documents that form part of organisational change need to include an Equality Analysis showing the pre-change and anticipated post-change situation in relation to equality and diversity issues. The Equality Analysis is then updated to reflect the post-consultation situation. Decision-makers who are leading on organisational change may talk to the Equality and Diversity Steering Group or if there are concerns over privacy or confidentiality the Equality and Diversity Adviser at the outset.
- 5.3 When and if there is a requirement to undertake new activities which had not previously been included in the identified programme of the Equality Analysis work, Executive Deans and Directors/Heads of Professional Services are advised to contact the Equality and Diversity Adviser to discuss further and to facilitate completion of any appropriate Equality Analysis.
- 5.4 The activities that need to be considered are listed in 1.5 above.
- 5.5 Not all activities can be expected to benefit everyone equally, particularly if they are targeted at addressing particular problems affecting one group of people, such as disabled students. It is important to consider the interplay between different protected characteristics.
- 5.6 If you decide that an activity has no equality implications you should be confident of your reasons for this, and record your reasons why an activity is not relevant in the Equality Analysis template.

6. GATHERING RELEVANT INFORMATION

- 6.1 The decision-maker should gather information to help undertake the analysis. It is useful to bring together the key people who are likely to be involved in developing and implementing the activity. This may include external organisations.
- 6.2 Examples of possible internal and external equality and diversity information are listed below in Appendix D.
- 6.3 It is important that the decision-maker undertaking the Equality Analysis has appropriate and reliable information about the different groups sharing protected characteristics that are likely to be affected by the activity. If this is not possible decision-makers could consider undertaking short surveys, undertaking some engagement work or seek to increase your understanding in the short term before undertaking more robust research at a later date.
- 6.4 When undertaking the analysis, it is recommended that the decision-maker draws on equality and diversity information from a range of sources to ensure objectivity and address concerns over possible bias.

7. COMPLETING THE EQUALITY ANALYSIS (Appendix A)

- 7.1 After the decision-maker has analysed the information gathered, they should complete the Equality Analysis template - Appendix B.
- 7.2 It is important to be careful about making overly general conclusions without supporting evidence. It may also be difficult to show compliance with the general equality duty.
- 7.3 To help shape the development of the analysis, feedback may be sought from the Equality and Diversity Steering Group **early on in the process**. However, it is not a compulsory requirement to consult with this committee. Further information about the Equality and Diversity Steering Group can be obtained by contacting the Equality and Diversity Adviser. E-mail: diversity@bournemouth.ac.uk

8. MAKING THE DECISION

- 8.1 After completing the Equality Analysis, the findings should result in one of the courses of action outlined in Table 1 below.
- 8.2 If the decision/policy is assessed at either level 3 or 4 the decision-maker must inform the relevant Executive Dean, Director/Head of Professional Service and discuss the plan of action with them.

Table 1: Analysis outcomes (from EHRC guidance)

Course of action	Notes
Continue the activity (Level 1)	The analysis demonstrates that there is evidence that the activity does not have potential for discrimination and that a proportionate approach to advancing equality of opportunity and fostering good relations between people with different protected characteristics has been taken. You should document the

Course of action	Notes
	reasons for this conclusion and the information you used to make this decision. Form to be deposited on SharePoint site
Justify and continue the activity (Level 2)	Ultimately, there may be other factors (such as other activity aims or financial constraints) which make it reasonable for you to decide to adopt the activity despite its adverse equality impact. This option is appropriate where your activity does not unlawfully discriminate, or where any potential discrimination is indirect and can be objectively justified. You need to take into account the possibility that your decision could be challenged, and consider whether you would be able to satisfy a court that you had due regard to the aims of the general equality duty when you reached your decision. It is particularly important that you document the reasons for your decision and the evidence that supported these reasons. Form to be deposited on SharePoint site
Change the Activity (Level 3)	This involves making changes to the activity to ensure it does not adversely affect certain groups of people, or miss opportunities to affect them positively. This can involve taking steps to mitigate adverse impacts, or to bolster or tailor positive ones. It is lawful under the Act to treat people differently in some circumstances, such as putting in place single-sex provision where there is a need for it or adopting proportionate positive action measures that benefit people sharing protected characteristics. Document the reasons for the steps you are adopting and the information you used to make this decision.
Stop the activity (Level 4)	If analysis of the activity shows a high probability of unavoidable discrimination which (where the law allows it) cannot be objectively justified, you must consider developing a new approach in order to avoid legal challenges under the Equality Act 2010. Document the reasons for this decision and the information you used to make it.

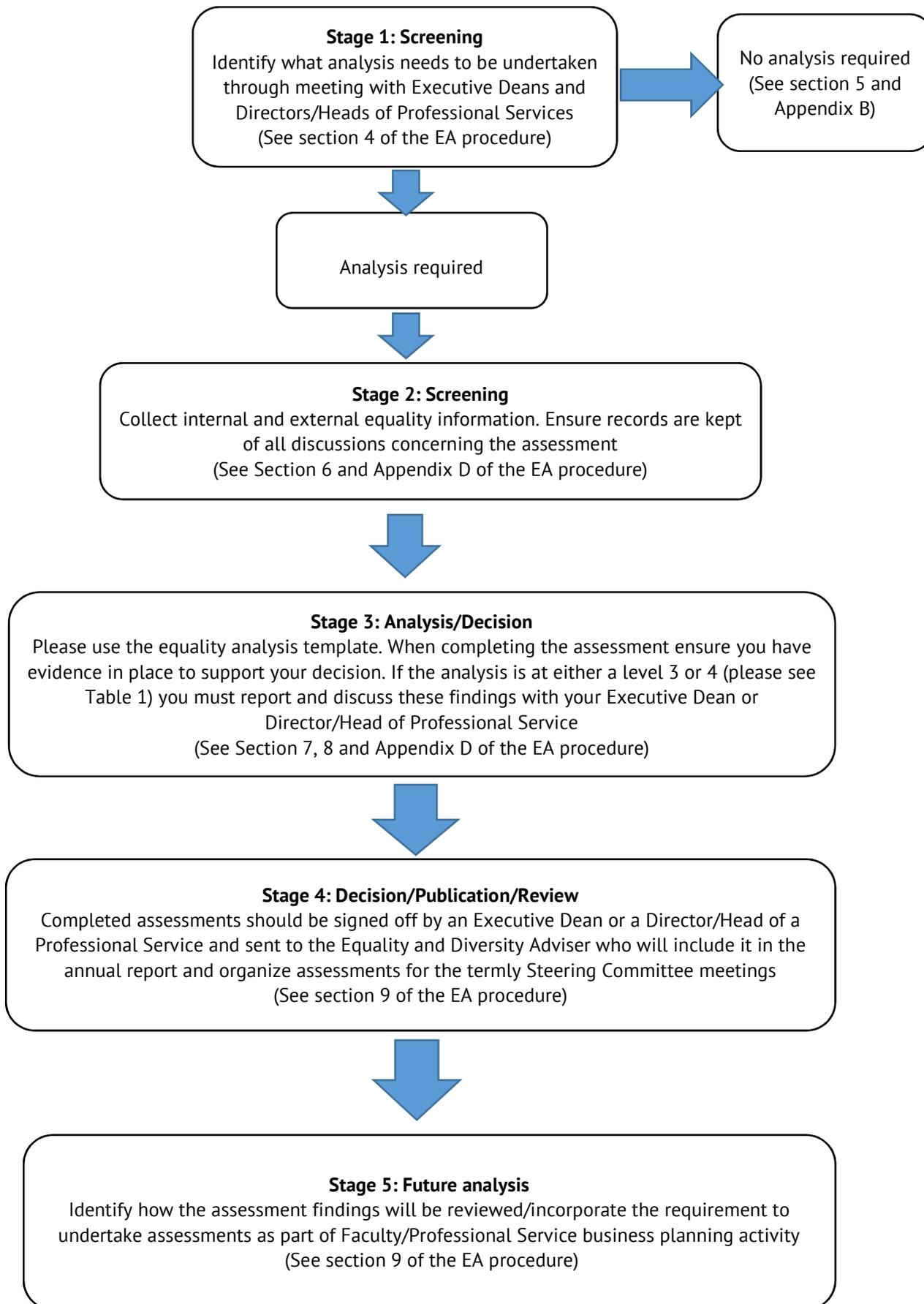
9. PUBLICATION

- 9.1 Once complete, the Equality Analysis and recommendations should be signed off by the decision-maker.
- 9.2 Completed forms must be provided to the Equality and Diversity Steering Group in advance of its termly meetings and to the Equality and Diversity Advisor, for inclusion in annual reporting to the Board. Completed forms should be sent via email to diversity@bournemouth.ac.uk
- 9.3 When presenting papers for discussion or decision at Board, University Leadership Team and Senate meetings it would be expected to confirm whether or not an analysis had been undertaken as part of the standard committee paperwork.
- 9.4 When reviewing decisions and policies, the results of previous equality analyses should be considered as part of normal business activity for each Faculty and Professional Service.
- 9.5 All Equality Analysis work that is shared with the Equality and Diversity Steering Group will be stored on SharePoint and available for BU staff to access.

10. REVISION

- 10.1 This Policy will be revised as necessary in the light of statutory changes, new guidance and/or experience of its operation.

Appendix A: BU Equality Analysis (EA) flowchart



Appendix B: Equality Analysis template

Screening	Please provide explanatory comments				
1. What activity is being analysed?					
2. Who likely to be affected by the activity?					
3. Who led the analysis?					
4. Who contributed to the analysis?					
5. What information has been used to inform the analysis?					
Analysis	Please provide explanatory comments				
6. How does the activity promote good relations/equality/inclusion in relation to:					
6.1 Age					
6.2 Disability					
6.3 Gender Reassignment					
6.4 Marriage and civil partnership ⁴⁰					
6.5 Pregnancy and maternity (including paternity)					
6.6 Race (colour, ethnic or national background)					
6.7 Religion or belief (including non-belief)					
6.8 Sex (Female/Male)					
6.9 Sexual orientation					
7. Does the activity have an actual or potential adverse impact in relation to?					
7.1 Age					
7.2 Disability					
7.3 Gender Reassignment					
7.4 Marriage and civil partnership ⁴¹					
7.5 Pregnancy and maternity (including paternity)					
7.6 Race (colour, ethnic or national background)					
7.7 Religion or belief (including non-belief)					
7.8 Sex (Female/Male)					
7.9 Sexual orientation					
8. Comment on the good practice identified					
9. Comment on the actions to mitigate actual or potential adverse impact					
10. Decision/Feedback/Approval					
10.1 What is the analysis outcome? (See Table 1 to assist here)	Please circle	Level 1	Level 2	Level 3	Level 4
10.2 Have you consulted with EDSG?					
10.3 When will the analysis be reported to EDSG?					
10.4 Which Committee will approve the analysis?					
10.5 Date of approval					
10.6 When and how will the analysis be reviewed?					

⁴⁰ Marriage and civil partnership are protected under the legislation but only for the need to eliminate unlawful discrimination in employment.

⁴¹ Please see footnote 1.

Appendix C: Equality Analysis programme of work plan

This programme of work was agreed by the Equality and Diversity Steering Group, following consultation with all Executive Deans and Directors/Heads of Professional Services. The plan has been developed by approaching Executive Deans and Directors/Heads of Professional Services to discuss how equality and diversity matters are being embedded into their business as usual activity within their Faculty and Professional Service. It also takes into consideration the programme of work identified in individual Faculty and Professional Service delivery plans.

To support staff in deciding what needs to be assessed the following checklist is provided. Please note this checklist is not an exhaustive list.

Table 2: Equality Analysis checklist

Questions	Response
1. Is the activity likely to affect BU students, staff or the wider community? The relevance of an activity to equality depends not just on the number of those affected but on the significance of the impact on them.	
2. Is the activity likely to affect people with protected characteristics differently?	
3. Is it a major BU activity, significantly affecting how University functions are delivered?	
4. Will the BU activity have a significant impact on how other organisations operate in terms of equality and diversity?	
5. Does the BU activity relate to an area with known inequalities?	
6. Does the BU activity relate to any equality objectives that have been set as part of BU 2018 or Faculty/Professional Services Delivery plans?	

The Equality Analysis work for 2017/18 will include discussing with Executive Deans and Directors/Heads of Professional Services the questions in Table 3.

Table 3: Equality Analysis programme of work

	Question	Response
1.	What Equality Analysis have you previously undertaken within in your Faculty and Professional Service?	
2.	What have you learnt/identified/actions taken from your previous analysis?	
3.	What new activity will you be undertaking during 2016/17 that will need to be assessed?	
4.	What existing activity will you be undertaking during 2016/17 that will need to be assessed?	

When and if there is a requirement to undertake new activities which had previously not been included in the identified programme of the Equality Analysis work, Executive Deans and Directors/Heads of Professional Services are advised to contact the Equality and Diversity Adviser to discuss further.

Equality Analysis should be carried out using the template provided and having reference to the guidance.

Table 4: Faculty/Professional Services Equality analyses work 2016/17

Activity	Faculty/Professional Services	Lead	Completion date

The above programme of work does not take into consideration restructures planned within Faculties or Professional Services

Appendix D: Gathering and analysing information

To support completion of analysis, decision-makers may wish to use the questions below to assist in deciding what information to gather and use. Please note this checklist is not an exhaustive list.

- Have you established how the aims of the BU activity relate to equality and diversity?
- Have you established the purpose of the BU activity, the context in which it will operate, who should benefit, and what results are intended?
- Have you started to consider potential impacts on people with different protected characteristics?
- Have you considered which aspects of the BU activity are most relevant to equality and diversity?
- Have you considered which aims of the general equality duty and which protected characteristics your activity is most relevant to?

Table 5: Examples of internal and external equality information

Internal information	External information
Student/Staff BU profile data (concerning age, disability, gender, ethnicity) [included as part of the DDE Annual report]	National Student Survey
Pay progression and grading data [included as part of the DDE Annual report]	HESA Performance Indicators
Staff promotion data [included as part of the DDE Annual report]	Reports by external agencies e.g. Equality Challenge Unit (ECU)
Monitoring data on participation in staff development opportunities [included as part of the DDE Annual report]	Data collected by UCAS
Applications, short listing and appointment data to BU posts [included as part of the DDE Annual report]	Census data provided by the Office for National Statistics
Formal/informal feedback from staff/student equality networks/groups such as the Equality and Diversity Steering Group [can be provided through attending the Equality and Diversity Steering Group meetings]	Data provided by local networks e.g. Prejudice Free Dorset
Student/staff complaints which reflect an equality component (including hate incidents/hate crimes [included as part of the DDE Annual report])	
Feedback from BU Trade Unions [Can be provided via the Equality and Diversity Steering Group]	

Internal information	External information
Internal staff and student surveys [Available on the staff intranet]	
Equal pay audits [included as part of the DDE Annual report]	
Flexible working requests [included as part of the DDE Annual report]	
Reasons for leaving [included as part of the DDE Annual report]	

INFORMATION IMPACT

- Have you made comparisons with similar BU policies in other departments or other HEIs to help you identify relevant equality and diversity issues?
- Have you undertaken an analysis of enquiries or complaints from BU students, staff and the wider public to help you understand the needs or experiences of different groups of people?
- Are you aware of any recommendations from inspections or audits to help you identify any concerns about equality and diversity matters?
- Have you used information about the local community, including census findings to help you establish the number of people with different protected characteristics?
- Have you used recent research from national, regional and local sources that includes information on equality and diversity issues?
- Have you used results of engagement activities or surveys to help you understand the needs or experiences of people with different protected characteristics?
- Have you used information from the public, and from voluntary organisations to help you understand the needs or experiences of people with different protected characteristics?

ANALYSIS OF INFORMATION GATHERED

- Do the outcomes of the BU activity affect people with protected characteristics differently?
- Are there any differences in the take-up of BU services by people with different protected characteristics?
- What are the key findings of your engagement undertaken?
- If there is a greater impact on one group, is that consistent with the aims of the BU activity?
- If the BU activity has negative impacts on people with particular characteristics, what steps can be taken to mitigate these effects?
- Is any part of the activity unlawful under the Equality Act 2010?
- Will the BU activity deliver practical benefits for certain groups?
- Does the BU activity miss opportunities to advance equality of opportunity and foster good relations?
- Do other BU policies need to change to enable this activity to be effective?

Annex 17 – Equality analysis for the processes for identifying staff with significant responsibility for research and determining research independence (September 2019)

BU REF 2021 Code of Practice (draft post staff feedback exercise) – September 2019

Equality Analysis template

Screening	Please provide explanatory comments
1. What activity is being analysed?	BU REF 2021 Code of Practice
2. Who likely to be affected by the activity?	Academic staff with a HESA employment function of 'teaching and research' or 'research only'.
3. Who led the analysis?	Julie Northam, Head of RDS
4. Who contributed to the analysis?	Shelly Anne Stringer, Research Outputs Adviser
5. What information has been used to inform the analysis?	Data on staff eligible to be submitted to the REF (staff list as at summer 2018), alongside data from RED (for research grants and contracts), CoreHR (doctorates) and Research PAD (PGR supervisions).
Analysis	Please provide explanatory comments
6. How does the activity promote good relations/equality/inclusion in relation to:	
6.1 Age	<p><i>Positive impact. The code of practice states that the quality or volume of research output are not taken into account as part of determining the 'Category A submitted' pool of staff. This promotes inclusion for early career researchers at the start of their career and may therefore support the inclusion of younger members of staff. In addition the REF Guidance specifically mentions being an early career researcher as an eligible reason for a reduction in outputs.</i></p> <p>All academic staff meeting the REF definition of 'Category A eligible' are eligible to be identified for submission to REF 2021, regardless of this protected characteristic. Other than legal minimum age for work, there are no direct age related criteria used by the University. No information regarding this protected characteristic is used as part of the checking exercises to identify staff with significant responsibility for research or research independence.</p>
6.2 Disability	<p><i>Positive impact. The code of practice states that it will be made available in other formats upon request.</i> This is to facilitate access as a reasonable adjustment. All academic staff meeting the REF definition of 'Category A eligible' are eligible to be identified for submission to REF 2021, regardless</p>

	of this protected characteristic. No information regarding this protected characteristic is used as part of the checking exercises to identify staff with significant responsibility for research or research independence.
6.3 Gender Reassignment	All academic staff meeting the REF definition of 'Category A eligible' are eligible to be identified for submission to REF 2021, regardless of this protected characteristic. No information regarding this protected characteristic is used as part of the checking exercises to identify staff with significant responsibility for research or research independence.
6.4 Marriage and civil partnership ⁴²	All academic staff meeting the REF definition of 'Category A eligible' are eligible to be identified for submission to REF 2021, regardless of this protected characteristic. No information regarding this protected characteristic is used as part of the checking exercises to identify staff with significant responsibility for research or research independence.
6.5 Pregnancy and maternity (including paternity)	Positive impact. This is specifically mentioned in the REF Guidance as an eligible reason for a reduction in outputs. All academic staff meeting the REF definition of 'Category A eligible' are eligible to be identified for submission to REF 2021, regardless of this protected characteristic. No information regarding this protected characteristic is used as part of the checking exercises to identify staff with significant responsibility for research or research independence.
6.6 Race (colour, ethnic or national background)	Positive impact. The modelling predicts a higher submission rates for staff with a declared BAME background than those with a declared white background or with no declared ethnicity. This is a similar pattern of submission to REF 2014. All academic staff meeting the REF definition of 'Category A eligible' are eligible to be identified for submission to REF 2021, regardless of this protected characteristic. No information regarding this protected characteristic is used as part of the checking exercises to identify staff with significant responsibility for research or research independence.

⁴² Marriage and civil partnership are protected under the legislation but only for the need to eliminate unlawful discrimination in employment.

6.7 Religion or belief (including non-belief)	All academic staff meeting the REF definition of 'Category A eligible' are eligible to be identified for submission to REF 2021, regardless of this protected characteristic. No information regarding this protected characteristic is used as part of the checking exercises to identify staff with significant responsibility for research or research independence.
6.8 Sex (Female/Male)	Positive impact. The modelling predicts submission rates for men and women which are almost equal (8% variance between men and women). This is a significant improvement on submission rates to REF 2014 (15% variance between men and women). All academic staff meeting the REF definition of 'Category A eligible' are eligible to be identified for submission to REF 2021, regardless of this protected characteristic. No information regarding this protected characteristic is used as part of the checking exercises to identify staff with significant responsibility for research or research independence.
6.9 Sexual orientation	All academic staff meeting the REF definition of 'Category A eligible' are eligible to be identified for submission to REF 2021, regardless of this protected characteristic. No information regarding this protected characteristic is used as part of the checking exercises to identify staff with significant responsibility for research or research independence.
7. Does the activity have an actual or potential adverse impact in relation to?	
7.1 Age	No perceived impact, however, this data is unavailable so it is not possible at this stage to see whether there are any patterns in terms of submission based on this protected characteristic. It would be useful to include this in future equality analysis work linked to the REF.
7.2 Disability	Potential adverse impact. The modelling predicts a variance of 19% between staff with a declared disability and staff with no declared disability (the former being less likely to be submitted). All of the options modelled predicted this trend to different degrees. This suggests that staff with a declared disability are less likely to engage in independent research; this warrants further investigation.
7.3 Gender Reassignment	No perceived impact, however, this data is unavailable so it is not possible at this stage to

	see whether there are any patterns in terms of submission based on this protected characteristic.
7.4 Marriage and civil partnership ⁴³	No perceived impact, however, this data is unavailable so it is not possible at this stage to see whether there are any patterns in terms of submission based on this protected characteristic.
7.5 Pregnancy and maternity (including paternity)	No perceived impact, however, this data is unavailable so it is not possible at this stage to see whether there are any patterns in terms of submission based on this protected characteristic.
7.6 Race (colour, ethnic or national background)	No perceived impact. The data indicates a positive impact in terms of submission rates for staff with a declared BAME background. However, this may be masking different experiences of staff in specific ethnic groups. This warrants a more detailed analysis.
7.7 Religion or belief (including non-belief)	No perceived impact, however, this data is unavailable so it is not possible at this stage to see whether there are any patterns in terms of submission based on this protected characteristic.
7.8 Sex (Female/Male)	No perceived impact. The data indicates a positive impact in terms of predicted submission rates being almost equal for men and women to REF 2021.
8. Other	
N/A	
9. Comment on the good practice identified	
<p>Inclusivity and equality have been key drivers in all stages of the development of our code of practice. Equality analysis was used to inform all stages of the modelling of processes and the testing of the models to identify to preferred options for BU. Some of the options for identifying staff with significant responsibility for research, for example, were predicted to have a negative impact on groups of staff with one or more protected characteristics and this resulted in these options being excluded. All equality analysis data was made openly available to staff as part of the feedback exercises.</p> <p>BU's equality and diversity work for the REF has been built into the university's dignity, diversity and equality action plan and Athena SWAN action plan and is being considered as part of the work towards the Race Equality Charter.</p> <p>All staff involved in advising and making decisions (in terms of identifying staff with significant responsibility for research, determining research independence, and selecting outputs) are receiving mandatory REF-focussed equality and diversity training and development.</p> <p>The diversity of the membership of internal REF groups (such as the REF Steering Group, REF Committee, Staff Circumstances Board and REF Appeals Panel) is taken into account.</p>	
10. Comment on the actions to mitigate actual or potential adverse impact	
This equality analysis identifies three actions:	

⁴³ Please see footnote 1.

1. Staff with a declared disability and/or part-time working hours are less likely to engage in independent research (as defined in the context of the BU REF 2021 Code of Practice); this warrants further investigation. This will be taken forward by the Head of RDS and reported to the University Research and Professional Practice Committee (as part of the committee's ongoing work on equality, research activity and protected characteristics).
2. Analysis at the level of specific ethnic groups will be included in future equality analysis work linked to the REF.
3. Age and contract duration (established or fixed-term) will be added as variables to future equality analysis work linked to the REF.

10. Decision/Feedback/Approval					
10.1 What is the analysis outcome? (See Table 1 to assist here)	Please circle	Level 1	Level 2	Level 3	Level 4
10.2 Have you consulted with ESG?	Yes - the draft BU REF 2021 Code of Practice was shared with ESG and approved by email.				
10.3 When will the analysis be reported to ESG?	Autumn 2019				
10.4 Which Committee will approve the analysis?	ULT				
10.5 Date of approval	September 2019				
10.6 When and how will the analysis be reviewed?	An equality analysis will be conducted as part of each staff checking exercise (scheduled for autumn 2019 and spring 2020), shortly after the REF census date (31/07/19), and on the final submission (in December 2020).				

Annex 18 - Equality analysis for the process of selecting outputs for submission

BU REF 2021 Code of Practice (draft post staff feedback exercise) – May 2019

Equality Analysis template

Screening	Please provide explanatory comments
1. What activity is being analysed?	BU REF 2021 Output Selection Process
2. Who likely to be affected by the activity?	Academic staff with a HESA employment function of 'teaching and research' or 'research only'.
3. Who led the analysis?	Shelly Anne Stringer, Research Outputs Adviser
4. Who contributed to the analysis?	Julie Northam, Head of RDS
5. What information has been used to inform the analysis?	Data on output Stocktake Exercises in 2017/2018, 'Category A eligible' staff (list as at summer 2018), alongside data from BRIAN (for publications). For this equality analysis the output assessment data has been taken from a sample of three of the BU UOAs.
Analysis	Please provide explanatory comments
6. How does the activity promote good relations/ equality/inclusion in relation to:	
6.1 Age 6.2 Disability 6.3 Gender Reassignment 6.4 Marriage and civil partnership ⁴⁴ 6.5 Pregnancy and maternity (including paternity) 6.6 Race (colour, ethnic or national background) 6.7 Religion or belief (including non-belief) 6.8 Sex (Female/Male) 6.9 Sexual orientation	<p>All academic staff meeting the REF definition of 'Category A eligible' are eligible to be identified for submission to REF 2021, regardless of these protected characteristics.</p> <p>All Category A eligible staff are invited to nominate between 1 and 5 outputs for review. No expectation is made in regards to an individual's contribution to the output pool other than eligible staff having a minimum of 1 output. Where staff do not nominate outputs themselves eligible outputs will be nominated on their behalf. Outputs from former members of staff including those who have since retired from academia will be included in the review pool for potential submission.</p> <p>No information regarding these protected characteristic is used in selection of outputs for submission.</p> <p>The quality of the research will be the primary characteristic for output submission. The quality</p>

⁴⁴ Marriage and civil partnership are protected under the legislation but only for the need to eliminate unlawful discrimination in employment.

score will be determined by a robust process of peer review by the Internal Review Panels. The panels are formed through an open and transparent recruitment process. No criteria relating to the protected characteristics are used when appointing members. Positive action statements are included during the internal recruitment of panel members to encourage applications from underrepresented groups.

Age

When forming the UOA Internal Review Panels, consideration is given to the academic career level of applicants (Professoriate/Mid Career/Early Career) to ensure, where possible, that panels have representation from each level.

Staff circumstances pertaining to ECR status can be voluntarily and confidentially put forward for consideration to the REF Circumstances Board.

Disability

Upon request nomination and review of outputs can be made in other formats.

Staff circumstances pertaining to disability, ill health, injury or mental health conditions can be voluntarily and confidentially put forward for consideration to the REF Circumstances Board.

Pregnancy and maternity (including paternity)

Staff circumstances pertaining to maternity or paternity leave can be voluntarily and confidentially put forward for consideration to the REF Circumstances Board

Race (colour, ethnic or national background)

Staff are able to nominate outputs in languages other than English for review. Reasonable efforts are made to ensure there is appropriate assessment of these outputs including (where required) external specialist advisers to whom the work may be referred.

Sex (Female/Male)

To promote good relations/equality/inclusion in relation to sex, UOA Leadership Teams are encouraged have gender-balanced review panels

	<p>and to consider gender balance when allocating reviewers to outputs.</p> <p>Staff who do not have any eligible research outputs or who have low scoring outputs are offered high quality support through our Writing Academy; 72% of attendees to date have been female.</p>
7. Does the activity have an actual or potential adverse impact in relation to?	
7.1 Age	<p>There is a potential adverse impact on Early Career Researchers who are more likely to have less experience, fewer outputs, etcetera; Early Career Researchers are more likely to be younger in age than more established researchers.</p> <p>In some UOAs citation data may be used to inform peer-review. Citation data is likely to favour more established researchers (and therefore potentially older researchers) as they would have had more time to produce outputs, potentially in high impact factor journals, and more time to build a track record of citations.</p> <p>In addition, a period of absence away from academia within the REF publication period may adversely affect an individual's ability to produce outputs which can be considered for submission. This potentially has an age component, for example, recent parents.</p> <p>These all have the potential for the age of the author to impact on the outputs selected for submission, with the possibility for fewer outputs to be attributed to individuals who are younger in age.</p>
7.2 Disability	<p>The BU data indicated there is no impact on the selection of available outputs in terms of disability. Having a disclosed disability made no difference in terms of the proportion of outputs attributed to staff or in terms of the perceived quality of the outputs.</p>
7.3 Gender Reassignment	<p>There is no perceived impact on the selection of available outputs. This data is unavailable so it is not possible at this stage to see whether there are any patterns in terms of submission based on this protected characteristic.</p> <p>However, a period of absence away from academia within the REF publication period may adversely</p>

	affect an individual's ability to produce outputs which can be considered for submission.
7.4 Marriage and civil partnership ⁴⁵	There is no perceived impact on the selection of available outputs. This data is unavailable so it is not possible at this stage to see whether there are any patterns in terms of submission based on this protected characteristic.
7.5 Pregnancy and maternity (including paternity)	There is no perceived impact on the selection of available outputs. This data is unavailable so it is not possible at this stage to see whether there are any patterns in terms of submission based on this protected characteristic. However, a period of absence away from academia within the REF publication period may adversely affect an individual's ability to produce outputs which can be considered for submission.
7.6 Race (colour, ethnic or national background)	There is a potential adverse impact on staff publishing in languages other than English. Within some UOAs citation data may be used to inform peer-review. The predominance of English-language publications in most academic fields meant that those publishing in non-English outlets would be disadvantaged in terms of citations. The BU data indicated there is no impact on the selection of available outputs in terms of race. Having a disclosed BAME background made no difference in terms of the proportion of outputs attributed to staff or in terms of the perceived quality of the outputs.
7.7 Religion or belief (including non-belief)	No perceived impact, however, this data is unavailable so it is not possible at this stage to see whether there are any patterns in terms of submission based on this protected characteristic.
7.8 Sex (Female/Male)	There is a potential adverse impact on females. Within some UOAs citation data may be used to inform peer-review. It is widely evidenced that women are less likely to be cited, less likely to publish internationally and less likely to self-cite which may affect scores which have been informed by citation data. Men also publish more papers on average than women so are likely to be nominating a higher volume of outputs for review.

⁴⁵ Please see footnote 1.

	<p>The BU data indicated that in some UOAs a lower proportion of outputs in preliminary output profiles were attributed to female authors compared with male authors. Outputs attributed to female authors totalled approximately 44% of the provisional output submission. It was also recognised that outputs attributed to females were also less likely to be scored 3*/4* than outputs attributed to males.</p>
<p>8. Other</p>	
<p>N/A</p>	
<p>9. Comment on the good practice identified</p>	
<p>Equality, diversity and inclusivity have been key drivers in the development of the process for selecting outputs for submission and for all stages of the development of our code of practice.</p> <p>Specific areas of good practice in regards to the process of selecting outputs are:</p> <ul style="list-style-type: none"> • Support with publication <ul style="list-style-type: none"> ○ The Writing Academy provides high quality publications support and development for staff • Nomination <ul style="list-style-type: none"> ○ Open nomination of outputs ○ No set expectation of staff contributions – staff can nominate between 1 and 5 outputs ○ A mechanism for nomination incorporated in instances where individuals do not nominate outputs themselves • Review <ul style="list-style-type: none"> ○ Open and transparent recruitment processes for members of UOA Internal Review Panels ○ Consideration of the diversity and representativeness of key groups including UOA Internal Review Panels ○ Encouraging the consideration of diversity when allocating reviewers to outputs ○ Mandatory REF-focussed equality and diversity development for all those involved in reviewing and advising on outputs • Selection <ul style="list-style-type: none"> ○ Open and transparent process for the submission and allocation of outputs ○ Mandatory REF-focussed equality and diversity development for all those involved in making decisions in terms of selecting outputs 	
<p>10. Comment on the actions to mitigate actual or potential adverse impact</p>	
<p>This equality analysis identifies four actions:</p> <ol style="list-style-type: none"> 1. Clear and specific guidance on the limitations of citation data should be provided to all reviewers in UOAs which are using citation data to inform peer-review to mitigate against any potential adverse impacts on staff in relation to protected characteristics. This will be taken forward by the Research Output Adviser. 2. Age, contract duration (established or fixed-term) and contracted hours (full-time or part-time) will be added as variables to future equality analysis work linked to the REF. 	

3. Further information is required about why in some UOAs there are fewer high scoring outputs linked to females than males to ascertain possible reasons for this and to see whether there is any bias in the process that could be mitigated.
4. The equality analysis will be expanded to look at all UOAs in future, rather than a sample.

10. Decision/Feedback/Approval					
10.1 What is the analysis outcome? (See Table 1 to assist here)	Please circle	Level 1	Level 2	Level 3	Level 4
10.2 Have you consulted with ESG?	The draft BU REF 2021 Code of Practice was shared with ESG and approved by email.				
10.3 When will the analysis be reported to ESG?	Summer 2019				
10.4 Which Committee will approve the analysis?	ULT				
10.5 Date of approval	September 2019				
10.6 When and how will the analysis be reviewed?	An equality analysis will be conducted as part of each staff checking exercise (scheduled for autumn 2019 and spring 2020), shortly after the REF census date (31/07/19), and on the final submission (in December 2020).				

Annex 19 – REF List of Research Fellowships

Information as per the REF website: <https://www.ref.ac.uk/guidance/additional-guidance/>

Research Fellowships

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

Table 1

Funder	Fellowship scheme
AHRC	AHRC Leadership Fellowships - Early Career Researchers
AHRC	AHRC Leadership Fellowships
BBSRC	BBSRC David Phillips Fellowships
BBSRC	BBSRC Future Leader Fellowships (from 2018 known as BBSRC Discovery Fellowships)
British Academy	BA/Leverhulme Senior Research Fellowships
British Academy	British Academy Postdoctoral Fellowships
British Academy	JSPS Postdoctoral Fellowships
British Academy	Mid-Career Fellowships
British Academy	Newton Advanced Fellowships
British Academy	Newton International Fellowships
British Academy	Wolfson Research Professorships
British Heart Foundation	Career Re-entry Research Fellowships
British Heart Foundation	Clinical Research Leave Fellowships
British Heart Foundation	BHF-Fulbright Commission Scholar Awards
British Heart Foundation	Intermediate Basic Science Research Fellowships
British Heart Foundation	Intermediate Clinical Research Fellowships
British Heart Foundation	Senior Basic Science Research Fellowships
British Heart Foundation	Senior Clinical Research Fellowships
British Heart Foundation	Springboard Award for Biomedical Researchers
British Heart Foundation	Starter Grants for Clinical Lecturers
Cancer Research UK	Advanced Clinician Scientist Fellowship
Cancer Research UK	Career Development Fellowship
Cancer Research UK	Career Establishment Award
Cancer Research UK	Senior Cancer Research Fellowship
EPSRC	EPSRC Early Career Fellowship
EPSRC	EPSRC Established Career Fellowship
EPSRC	EPSRC Postdoctoral Fellowship*1
ESRC	ESRC Future Cities Catapult Fellowship
ESRC	ESRC Future Leaders Grant
ESRC	ESRC/Turing Fellowships
ESRC/URKI	Early Career Researcher Innovation Fellowships
European Research Council	ERC Advanced Grants
European Research Council	ERC Consolidator Grants
European Research Council	ERC Starting Grants
Health Education England	Integrated Clinical Academic Programme
	Clinical Lectureship*

Health Education England	Integrated Clinical Academic Programme Senior Clinical Lectureship
Leverhulme Trust	Early Career Fellowship
Leverhulme Trust	Research Fellowship
Leverhulme Trust	Emeritus Fellowship
Leverhulme Trust	Major Research Fellowship
Leverhulme Trust	International Academic Fellowship
MRC	MRC Career Development Awards*
MRC	MRC New Investigator Research Grants (Non-clinical)*
MRC	MRC New Investigator Research Grants (Clinical)*
MRC	MRC Clinician Scientist Fellowships*
MRC	Senior Non-Clinical Fellowships
MRC	Senior Clinical Fellowships
NC3R	David Sainsbury Fellowship
NC3R	Training fellowship
NERC	Independent Research Fellowships
NERC/UKRI	Industrial Innovation Fellowships
NERC/UKRI	Industrial Mobility Fellowships
NIHR	Advanced Fellowship*
NIHR	Career Development Fellowship
NIHR	Clinical Lectureships*
NIHR	Clinician Scientist*
NIHR	Post-Doctoral Fellowship*
NIHR	Research Professorships
NIHR	School for Primary Care Post-Doctoral Fellowships*
NIHR	Senior Research Fellowships
Royal Academy of Engineering	RAEng Engineering for Development Research Fellowship
Royal Academy of Engineering	Industrial Fellowships
Royal Academy of Engineering	RAEng Research Fellowship
Royal Academy of Engineering	RAEng Senior Research Fellowship
Royal Academy of Engineering	UK Intelligence Community (IC) Postdoctoral Research Fellowship
Royal Society	Royal Society Wolfson Fellowship
Royal Society	Dorothy Hodgkin Fellowship*
Royal Society	JSPS Postdoctoral Fellowship
Royal Society	Newton Advanced Fellowship
Royal Society	Royal Society/Leverhulme Trust Senior Research Fellowship
Royal Society	University Research Fellowship*
Royal Society and Wellcome Trust	Sir Henry Dale Fellowship*
Royal Society of Edinburgh	RSE Arts & Humanities Awards (for permanent staff)
Royal Society of Edinburgh	RSE Personal Research Fellowship
Royal Society of Edinburgh	RSE Sabbatical Research Grants (for permanent staff)
Sêr Cymru	Research Chairs
Sêr Cymru	Rising Stars
Sêr Cymru	Recapturing Talent*
Sêr Cymru	Research fellowships for 3 -5 year postdocs
STFC	CERN Fellowships

STFC	Ernest Rutherford Fellowship
STFC	ESA Fellowships
STFC	Innovations Partnership Scheme Fellowships
STFC	Returner Fellowships
STFC	RSE/STFC Enterprise Fellowships
STFC	Rutherford International Fellowship Programme
UKRI	UKRI Future Leaders Fellowships
UKRI	UKRI Innovation Fellowships
Wellcome Trust	Intermediate Fellowship in Public Health and Tropical Medicine
Wellcome Trust	Principal Research Fellowships
Wellcome Trust	Research Award for Health Professionals
Wellcome Trust	Research Career Development Fellowship
Wellcome Trust	Research Fellowship in Humanities and Social Science
Wellcome Trust	Senior Research Fellowship

¹ Those asterisked support the transition to independence. Applicants should demonstrate readiness to become independent and the award enables them to become so. It could be argued those at the start of an award are not 'independent' yet, but those well in the award may be.

