

REF 2021 Code of Practice

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Part 1: Introduction

The Research Excellence Framework (REF) is a process of expert review undertaken by the four UK higher education funding bodies to:

- provide accountability for public investment in research and produce evidence of the benefits of this investment.
- provide benchmarking information and establish reputational yardsticks, for use within the higher education sector and for public information.
- inform the selective allocation of funding for research.

This Code of Practice is to help you, as an Edge Hill employee, to understand key issues around the University's REF 2021 submission and how this affects you as a member of staff with a teaching and/or research contract.

1.1 Edge Hill University culture and ethos

As part of our commitment to ensure that the REF management process is as inclusive as possible, the University has established this Code of Practice to provide transparency, consistency, accountability and to address the issues of equality and diversity in the preparation of our REF 2021 submissions. The Code has been informed by guidance from Advance HE, information from Research England/the REF Team, best practice of other HEIs and consultation with Edge Hill University's academic staff (appendix 1). The final version is submitted for approval by Research England, who will publish it via its REF 2021 website.

This Code is developed in alignment with our overall approach to equality and diversity, which is outlined in our Equality and Diversity Policy updated in 2018 (appendix 2). Our commitment to this is not just to comply with legal requirements but is the ethos which underpins our approach to staff support to help everyone reach their potential, whether through research performance or other activities. Edge Hill University was founded as the first non-denominational teacher training college for women in 1885 and that ethos of providing opportunity through education has continued to drive our culture of providing access to education for all. This continues today as the University strives to be an equal opportunities employer and, as such, is committed to preventing and challenging discrimination based on any protected characteristic.

Edge Hill University aspires to be recognised as undertaking research of the highest quality. We value all high-quality research, including supporting researchers to explore sensitive subjects and use innovative methods. Research is at the core of everything the University does, not least because research activity is inextricably linked to excellent teaching and to deep levels of student engagement. We promote the growth and development of research because:

- a) The generation of new insights, especially in relation to external challenges, brings important benefits for society, culture and the economy and, therefore, impacts positively on our community.
- b) An environment which values and nurtures research is essential for attracting and retaining national and international staff and students of the highest quality; who enrich our cultural diversity and reflect our commitment to inclusivity.
- c) Staff expertise in research provides the platform on which to build successful teaching programmes.
- d) Excellence in research is a major factor in enhancing Edge Hill's reputation and it makes a direct and unique contribution to the ethos of our University.
- e) The applications of research provide important means to generate income, strengthening the capacity for sustainable strategic development.

We recognise that the University is still in a capacity-building phase. The University, previously Edge Hill College of HE, first participated in assessment exercises in 1996, retuning staff to just six units of assessment with a focus on arts and humanities; we expect to return staff to thirteen units of assessment for REF 2021 with a wider variety of disciplines. The growth in research capacity is evidenced by the significant increase in the percentage of staff submitted to previous assessments with 14 per cent submitted to RAE 2008, 27.2 per cent to REF 2014 and likely to be around 50 per cent for REF 2021 (as identified in our Research Strategy). At the same time, our quality profile has also improved with 17 per cent achieving 3*/4* in 2008 and 38 per cent in 2014. We believe that our investment in research through recruitment, staff training and development, and research support will help to continue this trajectory.

1.2 Developments since REF 2014

Since REF 2014, we have engaged with a number of initiatives to support our academic staff including:

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- a) Securing and renewing an institutional Athena SWAN Bronze award in recognition of our commitment to gender equality. This has been complemented with three departmental awards and a number of submissions in development. Engagement with Athena SWAN was identified in our REF 2014 EqIA.
 - o A key commitment of our Athena SWAN action plan was the revision of academic progression pathways to make the process more transparent and to have clear routes for teaching and scholarship, research, and enterprise
 - o A further initiative was to prioritise internal research support funds for staff returning from maternity leave (and other long-term absences) as identified in our REF 2014 EqIA
 - b) We have increased the proportion of academic staff identifying as BAME from 3.98 per cent of at the point of submission to REF 2014 to 7.36 per cent of academic staff currently identifying as BAME. Increasing the ethnic diversity was identified as an aim in our REF 2014 EqIA
 - c) Achieving HR Excellence in Research accreditation – this is a national benchmark validated by Vitae in the UK and is evidence of how we support staff in achieving their research potential
 - d) Signing the San Francisco Declaration on Research Assessment (DORA) – this is evidence of our commitment to use metrics responsibly, particularly in relation to measuring performance
 - e) Disability confident employer in recognition of our support for employees with disabilities
 - f) Recognition by Stonewall of our commitment to LGBTQ rights
 - g) Mindful employer status in recognition of our commitment to create a supportive and open culture, where colleagues are able to talk about mental health; ensuring that our employees feel safe in disclosing any mental health conditions and confident that they will be properly supported and offered reasonable adjustments when required.

Our Equality and Diversity Steering Group, chaired by the PVC/Dean of the Faculty of Education (a member of Directorate, the senior management team), is tasked with ensuring that our approach to equality, diversity and inclusion (EDI) is consistent, transparent and reflects national standards and benchmarks.

1.3 Purpose of Code of Practice

The purpose of this code of practice for REF 2021 is to document Edge Hill University's processes for:

- a) Determining who is an independent researcher for REF purposes
- b) The fair and transparent identification of staff with significant responsibility for research
- c) The selection of outputs to be submitted
- d) The disclosure of personal circumstances
- e) How the code relates to broader institutional policies/strategies that promote and support equality and diversity.

1.4 Principles

Research England has identified four key principles which must underpin the Code in order to assure fairness:

- a) Transparency
- b) Consistency
- c) Accountability
- d) Inclusivity

1.4.1 Transparency

We recognise the need to be transparent in the whole decision-making process related to the REF. The key decisions to be made are:

- a) Identifying staff who are independent researchers and who have significant responsibility for research
- b) Selecting outputs for inclusion in submission
- c) Identifying where a reduction in the number of outputs a UOA requires based on staff circumstances.

These elements are detailed in the relevant sections below. At this point, it is important to explain how the Code of Practice was developed and how we are disseminating it.

The Code of Practice was developed by a Working Group (WG) with members from across the organisation who are on different career trajectories and with different disciplinary backgrounds. To aid the WG in its work of developing the Code, a number of consultation sessions were organised by the PVC Research and the REF Manager for both academic and non-academic managers, UOA coordinators and academic staff, in which they explained the purpose of the Code and the University's approach to REF 2021. Feedback from these sessions was incorporated into the drafting process. Once a working draft was established, it was presented to the University Research Committee on 27 February 2019. This was an opportunity both to seek feedback from members but also to encourage members to discuss the Code at the local level and then to feedback to the WG via the Research Office.

In addition, further roadshows, open to all staff, were arranged to inform staff of the purpose and operationalisation of the Code and to provide further opportunity for staff to influence the final version. Additional consultation events were held with Directorate Management Group, the Research Strategy Group, the professoriate, heads of department/area in all faculties and visits to individual departments. We also established focus groups for staff on teaching and research and research-only contracts to review the Code to ensure that a) it is clear and accessible and b) that it adequately establishes the criteria for identifying who is independent and who has significant responsibility for research. Version 12.4 of the Code of Practice was posted on the Research wiki and made available to all staff for comment via a survey (10 - 28 May 2019) to elicit feedback. Staff received an email announcing the launch of the survey and the survey was also highlighted in the Research Office newsletter, the University weekly newsletter, Vice-Chancellors update and via the UOA coordinators to reach as many people as possible. A letter with links to the final version of the Code and the feedback survey was sent out to staff on

recognised leave to enable them to participate in the consultation process. If they preferred, they could contact the Research Office directly to provide feedback rather than using the survey (as was the case for staff not on recognised leave).

The draft version (v9) was sent to the recognised trade union regional branch in March 2019 for feedback. This was forwarded to the regional office by the UCU but no feedback was received. Subsequently, it received version 12.4 on 3rd June 2019. The final version (12.6) submitted to Research England was also shared with the UCU (and a member of the UCU branch executive was a member of the Working Group). The response from the UCU was pending when the Code was submitted to Research England in June 2019; Edge Hill University requested at the Teaching Staff Consultative and Negotiation Committee (TSCNC) held on 25th June 2019 that the UCU Branch notified the PVC Research of any issues of substance within a month, the UCU Branch indicated in August 2019 that it was satisfied with the Code. The next formal meeting of the TSCNC is scheduled for Monday 23rd September 2019 where formal agreement will be recorded in TSCNC minutes.

Research England may request changes to the Code before approving it. Once approved, the Research Office will continue to promote the Code in the following ways:

- organising roadshows in faculties to which all staff are invited to help you to understand how the Code is operationalised and what it might mean for your personal circumstances.
- a PowerPoint presentation on the Code has been posted on the Research Office wiki (intranet)
- the Code is promoted via weekly EHU newsletter, Vice Chancellor's updates, Heads of Department (HoD), UOA coordinators, RO newsletter, digital posters and flyers
- copy of the code will be emailed to all staff and should you be on long-term absence, a copy of the Code will be sent to your home address (appendix 3 identifies the schedule of dissemination meetings/events).

Should Research England require changes to the Code, revised versions will be promoted and disseminated in the same ways. We hope that the information is accessible and clear, but you are encouraged to contact the REF Manager or your local UOA Coordinator if you have any queries.

1.4.2 Consistency

We recognise the importance of consistency and the Code will be applied to all units of assessment. To ensure consistency and that the Code does not directly or indirectly discriminate against any group, an equalities impact assessment (EqIA) has been conducted. Wherever possible, existing processes inform our approach to REF management to ensure consistency (e.g. the appeals process). EqIAs will also be carried out on the REF process at key points to review the identification of staff based and the selection of outputs based on this Code (see section 3.4). EqIAs on the processes of the REF preparations will be produced by Research Office, Human Resources and Strategic Planning and Policy Unit (SPPU) to minimise the number of staff who have access to personal data. Data will only be published in anonymised format.

Once the Code has been finalised, there will be an initial meeting between the REF Manager, PVC Research, UOA coordinators and heads of department to begin the process of identifying staff for the REF. Review meetings will also ensure that UOAs are engaging with the Code in a consistent manner and providing the correct advice and guidance to staff and when making recommendations to the REF

Decisions Panel (RDP) for the selection of outputs. In addition, there will be a review of the application of the principles of the Code through the UOA coordinators meetings (which are bi-monthly).

1.4.3 Accountability

We recognise the importance of accountability and that it should be clear to everyone who has been responsible for developing the Code and who is involved in the decision-making process. The Code development and implementation is led by the PVC Research assisted by the REF Manager and the Researcher Development Support Manager (the Research Office EDI lead). They are responsible for providing appropriate training for all staff involved in decision-making to ensure that they have full understanding of EDI issues – any training is carried out with the support of HR and the EDI Manager. The training is informed by best practice identified by the Advance HE/Equality Challenge Unit (ECU) and REF's Equality and Diversity Advisory Panel (EDAP).

The roles of other key individuals are identified in the relevant sections below and appendix 4 identifies the different deliberative and decision-making panels.

1.4.4 Inclusivity

We recognise the need to be inclusive and we start from the principle that all academic staff (who have teaching and/or research specified in their contract) have the potential to be identified as independent researchers with significant responsibility for research. If you have a teaching and research or research only contact, and it is an expectation of your role to conduct research, then research plans should be discussed as part of your performance and development review (PDR) – this may include undertaking a doctorate or other enhanced staff development time if you are not yet an independent researcher. These discussions ensure that you are at the centre of identifying your own research independence and responsibility.

At the same time, we value your contribution whether you are identified for submission to the REF or not. Additionally, it is the view of the University that all fully-engaged academic staff members are contributing to the institution's REF performance regardless of whether or not they are named in a submission. It should be noted that non-inclusion in a REF submission will not be a factor when considering promotions of any staff members nor indeed any other career opportunity.

The ethos of inclusivity was evident in our REF 2014 submission where we doubled the number and proportion of staff submitted and received no appeals. To ensure that we are inclusive of all staff, regardless of career trajectory, career stage, personal circumstances or protected characteristics, we will carry out regular equality impact assessments (EqIAs – see section 3.4). If you believe that you are being discriminated against for any reason, please raise this with your UOA coordinator, the REF Manager or the EDI Manager in the first instance. Wherever possible, we aim to address any issues in an informal and collegial manner. There is more information on appealing decisions in section 3.3 below.

Part 2: Identifying staff who are to be submitted to REF 2021 – understanding the principles

To identify staff for the REF we need to determine whether you are an independent researcher and whether you have significant responsibility for research. We have adopted the widely-accepted definition of research as:

'[A] process of investigation leading to new insights, effectively shared.'

'It includes work of direct relevance to the needs of commerce, industry, culture, society, and to the public and voluntary sectors; scholarship;¹ the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It excludes routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of new analytic techniques. It also excludes the development of teaching materials that do not embody original research.'

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

(Annex C, REF 2021 Guidance on submissions)

In identifying whether you have significant responsibility for research and are an independent researcher we therefore distinguish between research outputs and other forms of publication, which may contain useful knowledge and scholarship, but which does not constitute research. The 'Guidance on submission for REF 2021' advises that being named on a multi-author research output may not in itself be sufficient evidence of your research independence (paragraph 133, REF 2021 Guidance on submissions) but we acknowledge that this may be an important element of your professional development: these points are developed further below.

The first step in identifying staff to be submitted is to determine those who are REF 2021 Category A eligible staff, using criteria established by Research England (paragraph 6a, REF 2021 Decisions on staff and outputs). Edge Hill will do this, by verifying those in our Human Resources (HR) records who:

- 1) Are on our payroll on the census date (31 July 2020)
- 2) Have an academic research only or teaching and research contract
 - a) Academic staff on research-only contracts will only be identified as Category A eligible should they meet the definition of an independent researcher (see 2.1 below)
- 3) Have a full-time equivalent (FTE) contract of 0.2 or greater
- 4) For staff on contracts between 0.20 and 0.29 FTE, have a substantive research connection with the submitting unit which may include:
 - a) Postgraduate research (PGR) student supervision responsibilities
 - b) Research leadership activities
 - c) Evidence of wider involvement in the institution
 - d) Evidence of research activity focused in the institution
 - e) Long-standing collaboration with Edge Hill.

¹ Scholarship for the REF is defined as the creation, development and maintenance of the intellectual infrastructure of subjects and disciplines, in forms such as dictionaries, scholarly editions, catalogues and contributions to major research databases.

The profile of the University is one where we recruit staff on the basis of their professional experience as well as research output. Some roles require maintenance of professional accreditation or engagement (e.g. nurses, allied health professionals, teachers, performing arts practitioners, police officers, TV production professionals, accountants, solicitors); in such cases, we would not necessarily expect you to have significant responsibility for research but we would expect you to engage with scholarship in order to be at the forefront on your discipline for teaching purposes. For those who aspire to develop a research profile, we aim to support you in making the transition to being research active where appropriate. For staff who have recently arrived from practice, that transition may include embarking on postgraduate study or being involved in team projects in a supporting capacity ('apprentice researchers'). In such cases, you would not yet be considered to be an independent researcher. We recognise that you may be progressing towards research independence and are provided with research support to help your transition but you would not be identified at this stage as being Category A REF submitted: we provide criteria for these in sections 2.1 and 2.2 below.

As research capacity-building is an essential part of our strategy, this is reflected in the following:

- 1) We nurture and develop the careers of academic staff and monitor individual 5-year research plans through the performance and development review process. Once in post:
 - a) We expect all academic staff with significant responsibility for research to engage in research, and to publish on that basis in open access journals (green or gold), in monographs or in edited books, or, where appropriate, produce practice-as-research (PaR) outputs which are research-led performances or artefacts, properly captured and documented.² It is accepted that not all academic staff have significant responsibility for research and therefore that not all are likely to be submitted as principal-author contributors to the REF, but there are team-working roles, including using practice expertise, which may contribute to supporting, disseminating and nurturing the research agenda
 - b) We support staff members who return from an extended period of leave (e.g. parental leave, sickness leave, secondment) to re-immersing themselves in their research by prioritising their applications to the Research Investment Fund³
 - c) We support academic staff to become and remain research-active through performance and development review, mentoring, staff development and internal research support funds – this includes supporting staff to become fully independent researchers

² Practice-based or practice-led research: when a creative output is produced, or practice undertaken, as an integral part of a research process defined by a series of research questions or problems. This practice is normally accompanied by some form of documentation of the research process, as well as some form of textual analysis or explanation to support its position and as a record of critical reflection. Creativity or practice may involve no such process at all, in which case it is not practice-based or practice-led research.

Adapted from UKRI/AHRC definition of research:

<https://ahrc.ukri.org/funding/research/researchfundingguide/introduction/definitionofresearch/>

³ Research Investment Fund (RIF) is an internal funding scheme to support researchers develop external funding bids and conduct research pilots; it prioritises early career researchers, returners from extended periods of leave and secondment to a non-academic role or time outside the higher education sector.

- d) We review our approach to constructing the academic timetable and ensure that fair and transparent workload allocations are in place and that they recognise and support the University's research aspirations
- e) We support early career researchers, providing for them a stimulating and challenging intellectual environment, as well as materially in terms of conference attendance and internal research funds (they have priority access), other networking opportunities and mobility schemes such as the Erasmus and Marie Skłodowska-Curie programmes. We run a biennial early-career researcher (ECR) conference with poster prizes of funds to support professional development
- f) We identify and support emerging research leaders through mentoring and through external schemes such as the Aurora programme (which is open to all female staff).

2.1 Determining research independence of staff on research-only contracts

There are two key statements regarding research independence in the REF guidance:

- '[F]or 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.' (para 131, REF 2021 Guidance on submissions).
- 'A member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs.' (para 133, REF 2021 Guidance on submissions).

Bearing in mind these statements, if you are on a research-only academic contract (grade 7 and above),⁴ you are not considered to be independent unless you meet the following criteria (see Panel criteria and working methods, paras 187-189):

- 1) Do you design and lead a research project whether by a team or individually, either by:
 - a) Leading or acting as principal investigator or equivalent on a funded (internal and external) research project
 - b) Holding an independently won, competitively awarded fellowship where research independence is a requirement.⁵
 - c) Leading a research group or a substantial or specialised work package
- 2) In addition, for panels C and D:
 - a) Being named as a co-investigator on a funded (internal and external) research grant/award.
 - b) Having significant input into the design, conduct and interpretation of the research.

All staff on 'research only' contracts who are identified as independent researchers will automatically be identified as having significant responsibility for research and will be returned as Category A submitted staff.

⁴ Research assistants on grades 6 and below are not eligible for the REF because they are on administrative contracts.

⁵ An illustrative, but not exhaustive, list of independent fellowships can be found at www.ref.ac.uk, under Guidance

2.2 Identifying staff on teaching and research contracts who have significant responsibility for research

Most academic staff at Edge Hill University are employed on teaching and research (T&R) contracts, though it is accepted that not all have significant responsibility for research or can be considered independent researchers. If you have a T&R contract you are expected to teach to the highest standards; the remainder of your contract may be taken up with research, enterprise and knowledge exchange, professional practice and student placement, or student experience innovation including employability.

As illustrated in figure 1 and informed by paragraph 141 of REF 2021 Guidance on Submissions, our criteria for determining whether an individual on a T&R contract has significant responsibility for research are the following (**you must meet all six criteria**):

- a) **'It is an expectation of your job role'**
 - i. Do you agree research objectives in your annual performance and development review (PDR)?
 - ii. Are you eligible to supervise a PhD student at Edge Hill University (appendix 13)?⁶
- b) **'Explicit time and resources are made available'**.
 - i. Are you allocated time and resources to engage in independent research to meet PDR objectives?
 - ii. Are you eligible to apply for research leave/teaching relief e.g. via application to Research Investment Fund?
 - iii. Are you eligible to apply for research funding including internal research funds?
- c) **'You engage actively in independent research'**.
 - i. Do you design and lead research projects, or significant element/work package, whether by team or individually?

The REF Decision Panel (RDP) will seek evidence for each of the criteria in turn in the order above; if an individual is found not to meet a criterion, the panel will cease to seek evidence for subsequent criteria.

If you are currently working on your doctorate or working within a team as a research apprentice as part of your transition to become an independent researcher, you may be eligible for enhanced staff development allocation to support these activities. For avoidance of doubt, if you are currently undertaking doctoral studies,⁷ you are not engaging in independent research and therefore would not be

⁶ Our Research Degree Regulations require that a PhD supervisory team will collectively demonstrate active engagement in research, bringing a range of skills and knowledge relevant to the project. Furthermore, other than supervisors drawn from the relevant profession for the professional doctorate, research degree supervisors must be active researchers currently involved in the production of peer-reviewed publications, and with a recent record of such publications (regulation N9.4). In most cases this will mean that they have published peer reviewed outputs within the foregoing three years unless there are individual circumstances which have prevented this activity. (Practice-as-research may sometimes provide exceptions to this requirement but the rigour expected in such determinations of research activity is no less demanding.)

⁷ For REF purposes doctoral studies do not include PhD by publication because candidates are only registered for the award at the point of submission and prior to oral examination. Candidates for PhD by publication will be identified for REF using the appropriate criteria as documented in part 2, 2.1 and 2.2.

submitted to the REF. If you have completed your doctorate in the 12 months⁸ preceding the REF census date (31 July 2020), you may be allocated staff development time to transition to independence and this would be discussed in your performance and development review. If you are allocated this development time, rather than research time and resources, you would not meet the criteria for inclusion in the REF. For staff members who become independent researchers with significant responsibility for research (SRR) after some years in post, it will be the year in which they became independent researchers with SRR that will determine whether they are early career researchers (not the date of their original academic appointment; see appendix 10 for definition of an early career researcher).

⁸ If you are part-time or have experienced extenuating circumstances your transition period may be longer than the suggested 12 months.

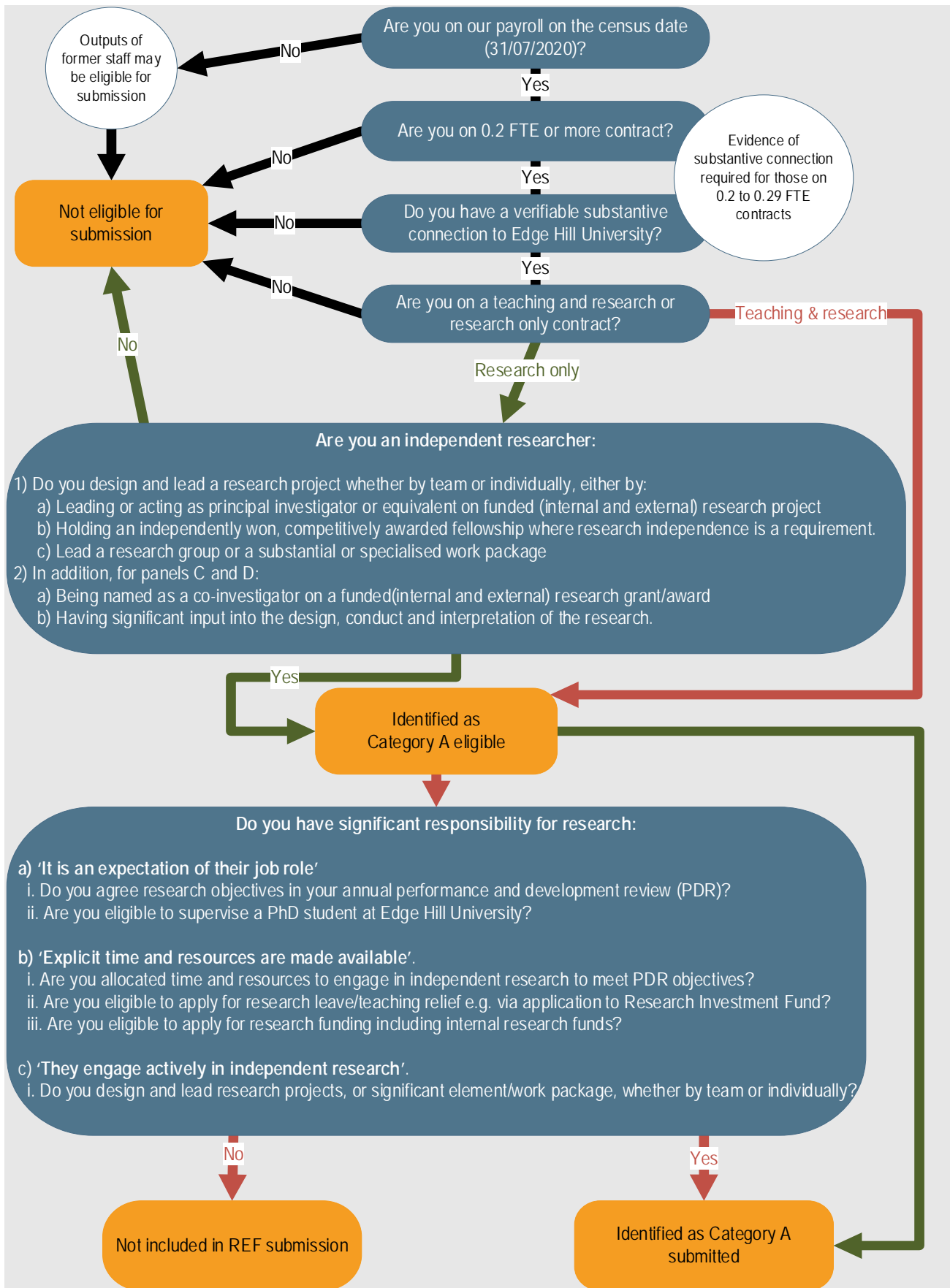


Figure 1: Criteria for identifying staff for REF 2021

Part 3: Procedure at Edge Hill for identifying staff to be submitted (Category A submitted)

The identification of independent researchers (R-only) and those with significant responsibility for research (T&R) begins with the academics themselves. You are asked to identify your research priorities through the performance and development review (PDR) discussions with your manager. Here you identify projects, outputs and time management to achieve these. The PDR is also an opportunity to review personal research plans over a five-year period. If research is not a core element of your role, you identify non-research tasks which make up a substantial part of your responsibilities – this may include workplace/practice activities required to maintain professional accreditation and currency.

Heads of department review each staff member's research activity via the annual PDR to inform decisions on workload allocations (including or excluding time and resources for research). The allocations are communicated to academic staff by HODs before commencement of the academic year (see figure 2). UOA coordinators review with HODs all those who are allocated time for research to help ensure that no eligible member of staff is excluded from submission. Any cases in which an individual's aspiration to be submitted is not congruent with the evidence presented will be reviewed at this stage, although the final decision rests with the REF Decisions Panel.⁹ The allocations for 2019-20 will be reported to the REF Decisions Panel when it is determining whether or not an individual has been identified for submission to the REF.

⁹ If you are not satisfied with the workload allocation with respect to your research time, this needs to be addressed through the normal channels. The workload allocation cannot be changed by the REF Decisions Panel.



Figure 2: Determining significant responsibility for research

3.1 REF Decisions Panel

Academic Board is the senior committee in the University, chaired by the Vice Chancellor. It delegates to University Research Committee (URC), chaired by the PVC Research, the approval of the composition of the REF Decisions Panel (RDP) and all other roles pertinent to REF decision-making. The RDP is empowered by Academic Board to make all decisions on the University's REF submission. Appendix 4 identifies the membership, role and remit of the RDP. UOA coordinators (see appendix 5 for details on UOA coordinators) will provide advice and guidance on their units, but **final decisions on who is identified for REF submission, to which UOA, and which outputs are selected rest with REF Decisions Panel**. All evidence submitted to RDP will be collated and stored by Research Office for audit purposes.

3.2 Training for committees and decision panels

There are two main elements of REF training: a) understanding the REF and this Code and b) equality and diversity training.

Everyone involved in advising or deciding on identification of staff or the selection of outputs for the REF undergoes both REF CoP and equalities and diversity training; this includes UOA coordinators, HoDs, RDP members, members of appeal panels, and personal circumstances disclosure panel. The Researcher Development Support Manager attended training delivered by Advance HE – this training forms the basis for in-house training for Edge Hill staff. The training is designed to help them to support their staff to understand the processes and to encourage staff to raise any issues (including personal circumstances – see section 4.3) via the identified processes. In addition, all those involved in the decision-making process must ensure that the principles of the Code are applied equitably. The training programme is delivered between July and October 2019. The University is also providing mandatory unconscious bias training for all managers which supplements the REF-specific training provided.

Alongside EDI training, the Research Office also provides information sessions on the Code for all staff to enhance understanding of the purpose and operationalisation of the Code. The RO also offers sessions targeted at departments where desired. These sessions are available until the end of the census period and information about these sessions is highlighted to any newly appointed staff so they, too, are aware of the Code even if they were not at Edge Hill when it was established.

3.3 Appeals

There is a facility for staff to appeal against decisions of the RDP. It is communicated to staff in presentations, in the Staff Newsletter, in the RO newsletter, in a separate section of the Research Office wiki REF pages and in this Code of Practice where the process is documented and which is sent out via email. The Code is sent out by post to those staff who are absent from campus.

The grounds for appeal are:

- a) You have been wrongly identified as meeting/not meeting the criteria for independence for research-only staff based on available evidence
- b) You have been wrongly identified as meeting/not meeting the criteria concerning significant responsibility for research, based on available evidence

- c) New information has become available (this may occur after the 10-day deadline)
- d) There has been an irregularity in procedure.

You cannot appeal the criteria themselves which have been agreed and approved.

3.3.1 Appeals process (see figure 3)

- 3.3.1.a Any appeal must be submitted in writing to the Research Office, using the proforma (appendix 6) within 10 days of being notified of the decision of the RDP whether you are identified as being submitted or not to the REF. As part of this process you may include new information not previously available to the RDP or you need to detail where processes have not been followed correctly. The appeals panel normally meets to consider the case within ten working days of the appeal being lodged with the Research Office.
- 3.3.1.b Appeals will be considered by the REF appeals panel chaired by the University Secretary, who will be joined by three senior colleagues; none of whom has other REF decision-making roles. It is expected that most matters will be considered by written representation, although an appeal can be heard in person if preferred by the individual. In such cases, the individual may be accompanied.
- 3.3.1.c The role of this panel is to establish either (1) whether there has been a factual error (2) new information which changes original decision (3) whether or not a procedural irregularity has taken place. An appeal will not be considered on other grounds for which there exist other University procedures for redress (such as the University's Grievance Procedure).
- 3.3.1.e Should the appeal be upheld, the panel has powers to refer your case back to the RDP for further consideration. The decision of the REF appeals panel is final. The outcome of the appeals process will be communicated to you and the relevant UOA Coordinator by the Research Office as soon as possible following the panel meeting.

The timetable for the appeals process is outlined in table 1 below. All members of these panels receive E&D training identified above and training in REF processes.

If you believe the workload allocation itself is unfair, you need to raise this with your manager in the usual manner. You have recourse to the standard grievance process but this is outside the remit of REF processes per se. There is no appeal process for output selection which is based on academic judgement.

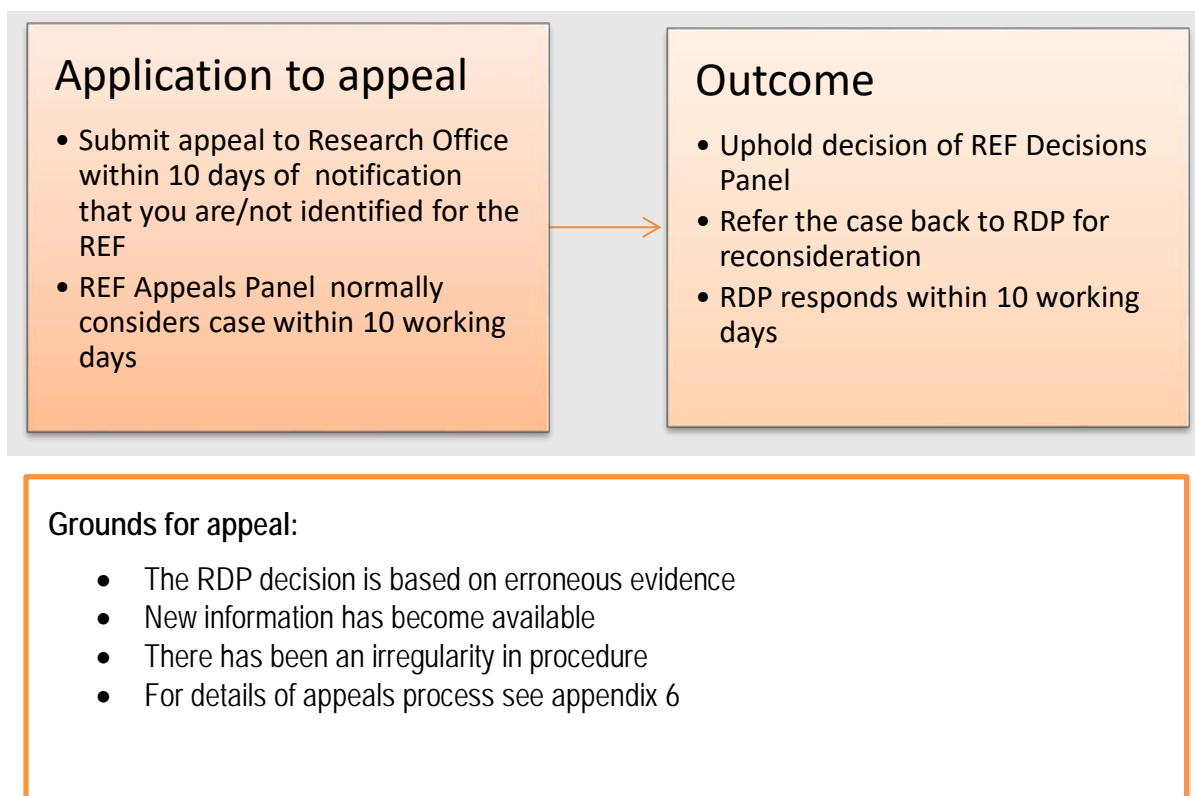


Figure 3: Appeals process

Appeals stage	Dates
REF Decisions Panel meeting – Identifying staff	3 & 4 October 2019
Outcomes communicated to staff – REF status	14 November 2019 (via email to all staff) 2 December 2019 (letters to absent staff)
Appeal deadline	Within 10 days of notification
REF Appeal Panel meeting	Within 10 days of receiving appeals
Appeal decision communicated	Within 10 days of meeting
REF Decisions Panel meeting – Appeals	Within 10 days of receiving notification from Appeals Panel
Outcomes communicated to staff - Appeals confirmation	Within 10 days of RDP review meeting
Staff appointed after 20 September 2019 will be reviewed once per quarter (February, May, July)	
Staff appointed after June 2020 will be reviewed on an ad-hoc bases	
Table 1: REF appeals process deadlines	

3.4 Equality impact assessment (EqIA)

Equality impact assessments will be conducted (see schedule below) by Research Office to determine whether our REF processes, including our Code of Practice, may have differential impact on particular groups with protected characteristics. An EqIA was conducted after the first review of potential REF outputs which took place in winter 2017-18 and was reported to University Research Committee. As part of the drafting process, this CoP has been assessed to determine the impact on the criteria both for identifying submitted staff and the selection of outputs. In particular, we review the impact on the following characteristics:

- a) Sex/gender
- b) Race/ethnicity
- c) Age
- d) Disability
- e) Pregnancy and maternity
- f) Employment status (part-time/full-time)
- g) Seniority

We are not able to provide data analysis on other characteristics, such as sexual orientation, marital status, gender reassignment and religion/belief, since we do not collect records on these. We will not carry out UOA level EqIAs where the numbers of staff involved are too small and there is a risk that individuals would be identified. Despite this, the Research Office will review the data wherever possible at a higher level of aggregation to identify any impacts based on any protected characteristic or employment status. Only the RO, HR and SPPU have access to EDI data and this is not shared.

EqIAs analyse both the identification of staff to ensure that our selection criteria do not inadvertently affect negatively one group of staff more than others, and the selection of outputs to ensure that certain groups are not over/under-represented.

The schedule for EqIA is the following;

- a) Before mock REF 2017, completed spring 2018, based on outputs and staff identified (appendix 14)
- b) Before submission to Research England (appendix 14)
- c) After being reviewed by the Teaching Staff Consultative & Negotiation Committee/our branch University and College Union (if there are any changes)
- d) When identifying staff
- e) When selecting outputs for submission
- f) When considering appeals
- g) When preparing final submission.

If any issues are identified as a result of the EqIA, there might be changes to this Code. Such changes may require the approval of Research England and would be disseminated in the same way as the original Code.

Part 4: Selection of outputs

All eligible staff are asked to propose in Pure their best research outputs, published in the REF 2021 census period (01/01/2014 – 31/12/2020), to include in the appropriate UOA's REF 2021 outputs selection pool (these outputs must adhere to our Open Access Policy: appendix 7). It is from this pool that the final selection will be made. Since outputs published until 31 December 2020 are eligible, the final pool may not be known until very close to the submission date, therefore please do not rely on the information in Pure as confirmation of that output's inclusion. We encourage you to put forward as many outputs as you have available for consideration (minimum of one to a maximum of eight). It should also be noted that outputs published by former staff members, including those made redundant, while they were employed by the University are eligible for inclusion; for those who have not already proposed their outputs prior to the conclusion of their employment, the appropriate UOA coordinator(s) will propose outputs on their behalf and their outputs will be included in the pool for selection. The University will not be seeking permission to use former staff members' outputs because one of the purposes of REF is to provide accountability for public investment in research, therefore all research carried out by staff while employed by the University is eligible for inclusion.

If, due to personal circumstances (see section 4.3), you have zero research outputs to contribute to your UOA's output selection pool, please engage with our disclosure process to remove your requirement to submit a minimum of one (see section 4.4).

4.1 Peer review

Our goal is to identify the best research of a given UOA. Peer review ranking, as with the REF itself, is the most appropriate way of doing this. All eligible staff with outputs propose up to eight outputs for consideration. If you are identified as 'category A submitted staff' after the CoP has been ratified and applied, you will be asked to continue identifying outputs for peer review as they become available.

The peer review process is outlined in figure 4. The first step in the process is for you to propose your outputs in Pure (appendix 8). Each item is then peer reviewed internally by at least two academics in the UOA using a peer review form (appendix 9). Some outputs may be referred to other UOAs where the UOA coordinator, in consultation with the academic, considers that the output may fit better elsewhere. To assist with peer review, UOA coordinators will send out a selection of items for external peer review. This may be to:

- a) Calibrate score
- b) Have an output reviewed by someone with expertise closer to the subject matter
- c) Help to make a determination where there is no agreement among internal reviewers.

UOA coordinators must keep a record of why they are sending outputs out for review and be mindful that this should be done in an equitable, consistent and transparent way. The agreed score is relayed to the researcher with any developmental feedback. It is important to remember that the scores are to

enable the University to identify the quality ranking of outputs to assist in selecting those that best represent the research excellence of the UOA. They are not definitive scores and we cannot, of course, be sure that these will be the ratings that the outputs will receive during REF panel peer review. The aim is for the peer review process to be collegial and constructive such that helpful feedback will be received which will aid academics in future research projects and that this should be particularly beneficial for ECRs.

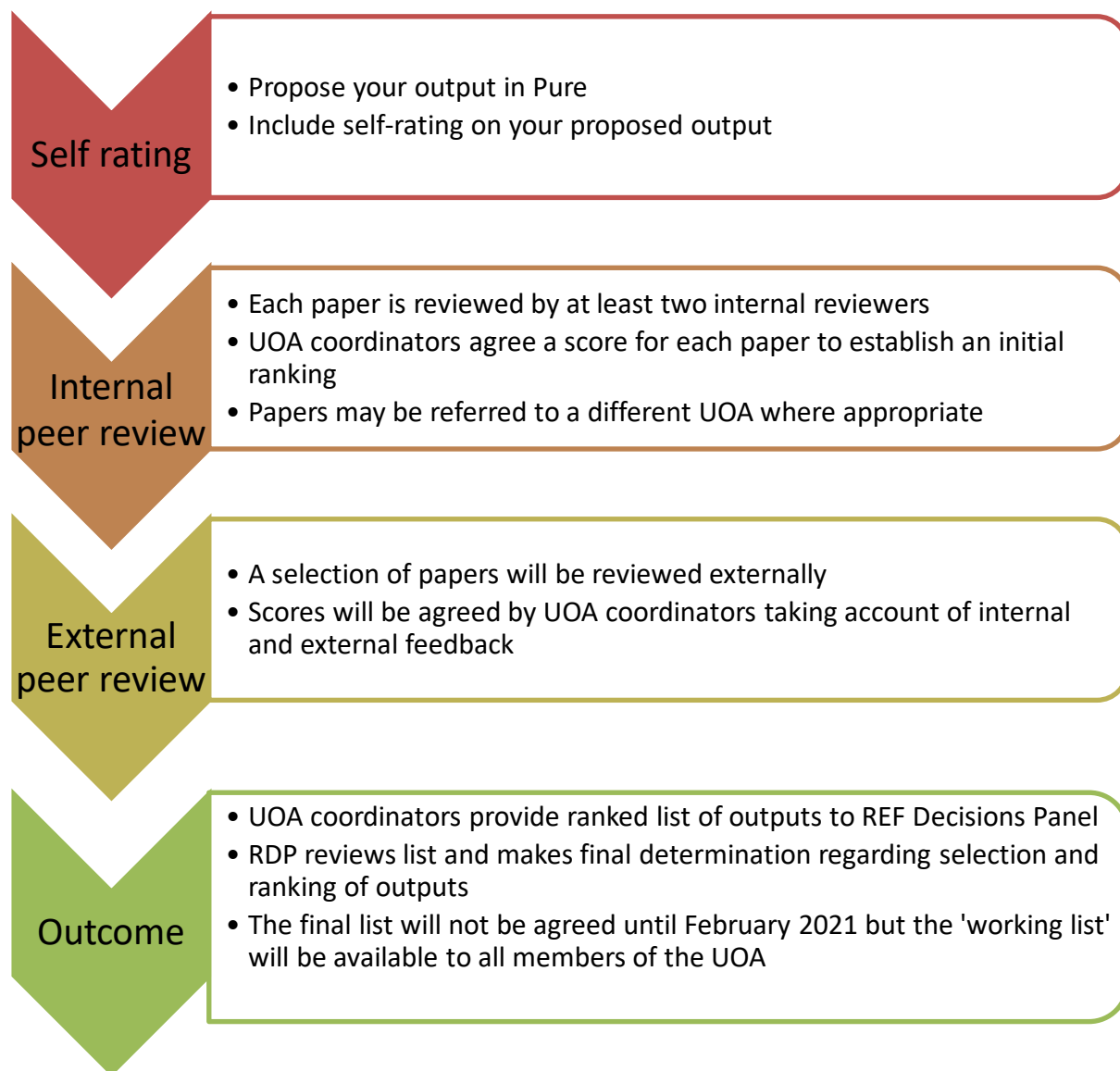


Figure 4: Peer review process

4.2 Decisions on final output selection

After the first review (winter 2017-18) a working list of outputs for each UOA was established. For some UOAs the pool was greater than the required amount, for others the pool was smaller. At this stage a preliminary ranking of outputs by quality was established. This list is added to as new outputs become available. External peer review assists with the ranking but does not over-ride internal ranking which is decided by reflecting on all reviews conducted. The agreed advisory scores (i.e. those recommended to the REF Decision Making panel by the UOA coordinators after peer review) are recorded on Pure and will be visible to you, your UOA coordinator, and system editors within your UOA and the Research Office, which manages the submission. The RDP will meet periodically to confirm the scores.

If there is a cluster of outputs around cut-off point after calibration, these will be reviewed again to determine strongest outputs. Other elements that will be taken into consideration are how the outputs fit with the REF 5b narrative, and how representative they are of the staffing profile (age, gender, disability etc.) to promote transparency, consistency and inclusivity. We will conduct EqIAs at key stages (see section 3.4).

We believe that these assessments should be taken as close to the academics as possible – this is where the subject expertise is. Nevertheless, as we get closer to the final selection, it may be that the REF Decisions Panel will ask for further reviews to make choices since the final decision on what is submitted rests with the RDP. In addition, should the EqIAs identify any anomalies, there may also be further reviews of outputs to ensure that those chosen are the best quality and appropriately reflect the profile of the UOA.

The initial approach to review was drafted by the Research Office and discussed with departmental research leads (before the appointment of UOA coordinators) in spring 2018. Changes were made as further guidance became available from Research England which was discussed with UOA coordinators the Research Strategy Group and faculty and University research committees.

4.2.1 Co-authored outputs

When you propose your items for peer review, you need to identify whether they are co-authored with other researchers in that UOA and which author is likely to 'claim' that output. It should be noted that these allocations may change as the final submission is decided dependent on how many outputs each individual has and what best reflects the research of the UOA: at all times, the REF Decisions Panel's main concern is to ensure that the selection of outputs reflects the best research carried out by the unit as a whole.

4.3 Disclosure of circumstances

There are personal circumstances that can lead to a reduction in the number of outputs required to be submitted. As summarised in figure 5, these are determined by the funding councils and include:

- a) Early career researcher (ECR) status if you started your career as an independent researcher on or after 1 August 2016.
- b) Absence from work due to secondments or career breaks outside of HE sector and you did not undertake academic research

-
- c) Qualifying periods of family-related leave: Reduction of 0.5 for each discrete period of:
- i. statutory maternity or adoption leave
 - ii. additional paternity or adoption leave, or shared parental leave lasting four months or more
- d) Circumstances with an equivalent effect to absence:
- 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 – the allowances made in 4.3.c above.
 - iv. Other caring responsibilities (such as caring for an elderly or disabled family member).
 - v. Gender reassignment
 - vi. Other circumstances relating to the protected characteristics or relating to activities protected by employment legislation.
- e) Part-time working where FTE in the latter part of assessment period does not reflect your average FTE over the period as a whole e.g. you are full-time on census date but for the majority of the census period you worked part-time.
- f) COVID-19 related circumstances (only applicable to those without a research output in census period) e.g. being furloughed, released to work in frontline service (applicable to health-related or clinical staff), your work priorities being diverted to other priority areas within HEI in response to COVID-19, unable to access research facilities etc. due to COVID-19 restrictions.

Should any of these circumstances have affected your research productivity during REF census period (01/01/14 – 31/12/2020), you are invited to declare them. By declaring your circumstances, you and your UOA may be eligible for reductions, up to a maximum of 1.5 per individual: appendix 10 details definitions and how reductions in outputs are calculated. Reductions can:

- be applied to the number of research outputs you are expected to select for your UOA's output selection pool (for more information, see 4.4.1)
- remove the REF's minimum requirement that you submit one research output
- reduce the overall number of research outputs your UOA is required to submit

In support of REF principles (section 1.4) we can only consider reductions for staff who *voluntarily* disclose their circumstances, using the process identified below, even when Edge Hill University is already aware of your circumstances (i.e. they are documented in HR records). We are mindful that some staff may currently be absent. If this is the case, you will be sent a copy of the CoP by mail with all the relevant disclosure forms. In addition, managers who are in contact with absent staff members are encouraged to discuss the Code of Practice and the disclosure process with them.

We are sensitive to the fact that some staff may not have previously disclosed anything about their personal circumstances. You may wish to discuss in principle the process of disclosing personal

circumstances – you may do this with UOA coordinators, your head of department, the EDI manager, REF manager, all of whom have received training on equality, diversity and inclusion relating to REF and applying our Code of Practice and unconscious bias training, or anyone else with whom you feel comfortable. You must be aware that none of these can make an application on your behalf.

What are ‘personal circumstances’?

These are any circumstances that may have affected your ability to produce research during the REF cycle, including:

- ◆ Being an early career researcher
- ◆ Having one or more periods of parental leave
- ◆ Absence from work due to secondments or career breaks outside of the HE sector
- ◆ Other, personal, circumstances that may have affected your ability to engage with research but where you may not have been absent for long periods (see section 4.3d for details)

Where a UOA has many such cases, it might warrant a reduction in the number of outputs that need to be submitted to the REF.

Figure 5: What are personal circumstances?

4.4 Process for disclosing personal circumstances

If you wish to make a disclosure, this is done using a standard form (appendix 11). The information provided in the disclosure must be based on verifiable evidence; typically REF will accept individuals’ self-descriptions (narrative account of events) of their circumstances and any approaches to verify will be proportionate and no more than would be required in standard HR processes. In recognition that circumstances can constrain an individual’s research activity and affect their contribution to the UOA output pool at the same rate as other staff, there is a declaration process. You are encouraged to inform us of such circumstances, including those that have not required a period of absence, so that these may be taken into consideration (circumstances 4.3.d above). Any reduction will be based on the amount of time (equivalent of an absence/table 2 in appendix 10) your circumstances have affected your ability to work productively. We have summarised the reasons for making a disclosure in figure 6.

Once you have completed the form; please return an electronic copy to Personal Circumstances Disclosure Panel (PCDP) Secretary (Joanne Morris morrisjo@edgehill.ac.uk in the Research Office), in

an email marked 'private and confidential' if possible by the deadlines identified in table 2. For information on how your data will be stored please see appendix 12 and Code of Practice addendum. A copy of your form will be included in PCDP meeting papers for members (for membership please see appendix 4) to review and determine whether you are eligible for reductions. Eligibility for a reduction will be determined by reviewing whether you have identified applicable circumstances (see section 4.3) and the duration of the circumstances, or number of family-related leave periods, that have constrained your research activities; please see appendix 10 for information on the permitted reductions based on duration of your circumstances. The PCDP will be able to confirm whether circumstances are eligible based on the criteria identified above. Please note, it may be the case that your circumstances have affected other people's research output as well as your own; should this be the case, this can be included in your disclosure submission: an example of this may be when a person has needed an extended period of leave and colleagues have needed to take on different/additional duties during that time which may have affected their research activity. We all accept that such accommodations are a normal part of the working environment but, if we have a full picture of the impact on the team as a whole, we will be better able to make a judgement about whether a reduction on the output pool should be sought. If you have any

queries or concerns about this process, please discuss with your head, UOA coordinators, REF Manager or EDI Manager for advice and guidance. We have summarised the disclosure process in figure 7.

Figure 6: Why should I disclose my personal circumstances?

Why should I disclose my personal circumstances?

- You are not required to disclose any circumstance and the University cannot request any reduction in the number of outputs required without your voluntary disclosure – this includes reductions based on known circumstances such as being an ECR or having had parental leave.
- Disclosing to us allows us to monitor more effectively equality, diversity and inclusion issues
- You may think that these circumstances have not affected your output or that the UOA as a whole has been able to accommodate any impact; it is the case, however, that there may be several people with differing circumstances which, collectively, may have had an impact. Without knowing all the circumstances, we are unable to ask that Research England takes these into account.
- Research England also wishes to be able to have a holistic view of the impact of individual circumstances on the UK research community which will inform how it manages the next REF.
- Please be assured, anything you disclose will only be seen by members of the PCDP and potentially REF team/EDAP (formal request for reductions as outlined in 4.4.2, 4.4.3 and appendix 12). Nothing will go on your HR record without your explicit consent. Similarly, your HoD will not be informed without your consent (though you need to be aware that no adjustments can be put in place if you choose not to disclose further).

How do I disclose personal circumstances?

- If you wish to disclose any individual circumstance, please complete the individual circumstances disclosure form (appendix 11).
- Please submit the form in by email marked confidential to the PCDP Secretary (Joanne Morris morrisjo@edgehill.ac.uk in Research Office), please provide any relevant supporting information
- The application will be discussed at the next meeting of the PCDP which meets on or around the 14th of every month starting October 2019
- You will be informed of the view of the PCDP within 10 working days of the meeting
- Where an UOA has a number of individual circumstances, the University may request that the Equality and Diversity Advisory Panel (EDAP) advises the REF Team to reduce the number of outputs required by that UOA.
- If a reduction is permitted, we will inform your UOA coordinators that a reduction has been allowed but not why. If your circumstances are such that you legitimately have no outputs, the UOA coordinators will not be told of the circumstances, just that you are not required to submit an output.

Figure 7: How do I disclose my personal circumstances?

You may make the disclosure at any time but confirmation from PCDP and EDAP may take some weeks and indicative deadlines are identified in table 2 below.

Date	Action
Summer 2019	Inviting reduction requests for staff circumstances
Summer 2019-Feb 2020	Panel is convened to review cases as they are submitted.
12 February 2020	Institutional deadline for declaring circumstances
21 February 2020	Last meeting of Edge Hill University's Personal Circumstances Disclosure Panel before the EDAP deadline for a response <i>before</i> submission to REF
24 February 2020	Provide REF Decision Panel with data on reductions by UOA so they can determine whether institution needs to request reductions for UOA(s).
6 March 2020	Submit reductions request form (REF 6a/b) to Research England for review by EDAP
Within a week of notification from EDAP	Notify individuals for their reductions and UOA of total reductions.

Monthly meetings of internal panel from 14 March	Panel meets to consider applications which have missed the EDAP deadline for pre-submission approval. Staff to be informed within two weeks of the meeting
5 November 2020	Final institutional deadline for declaring circumstances (the outcome will not be confirmed until after submission)
December 2020	Provide REF Decision Panel with data on reductions by UOA so they can determine whether institution needs to request reductions for UOA(s).
January 2021	Notify individuals for their reductions and UOA of total reductions for requests made between 1 February and 5 November 2020
By 31 March 2021	Amendments to REF 6a & b forms
Table 2: Timeline for requesting reductions in the output pool	

4.4.1 Reducing number of research outputs you are expected to select for your UOA's output pool

While we have no stated expectation of research productivity at the institutional level, it is likely that the objectives identified in your performance and development review will have expected outcomes. If, for any reason, those expectations of your research productivity have not been realised and there are circumstances which have contributed to this situation which you have disclosed to us, with your permission, we will inform your manager that there is good cause for these expectations not to have been met. No details will be given why this is the case and we appreciate that you might wish to keep the disclosure to the REF Personal Circumstance Disclosure Panel completely separate from your performance and development review process; however, greater support can be offered where you permit us to share limited information (i.e. that you have a circumstance which affects your research activity).

If you do have personal circumstances that meet the criteria above but have the minimum of one output required for the REF submission, we would still encourage you to advise us of this for two reasons, in addition to the University being able to provide more support for you directly as outlined above. These reasons are:

- a) It may be the case that the University can apply for a reduction in the number of outputs required for your UOA should other people in your UOA also have personal circumstances (see section 4.4.3) – we can only do this if we have a full picture of personal circumstances.
- b) Research England is keen to have as comprehensive a picture as possible of the circumstances of staff across the country which may have had an impact on research activity, to support the monitoring of equality, diversity and inclusion and to consider how this is best accommodated in the next REF.

4.4.2 Removing the requirement to submit a minimum of one research output

If you have been unable to produce any eligible research output during census period (01/01/2014 – 31/07/2020), due to exceptional circumstances or a combination of circumstances, you are able to request the removal of the requirement to submit the minimum of one research output. Exceptional circumstances are defined by the REF as:

- a) an overall period of 46 months or more absence from research during the assessment period, due to one or more of the circumstances set out in section 4.3
- b) circumstances equivalent to 46 months or more absence from research, where circumstances set out in section 4.3.d apply
- c) two or more qualifying periods of family-related leave

In order to apply your reduction, the PCDP will need to submit a REF 6a form, based on the information you provide in your disclosure form, to REF Team/EDAP to obtain an agreement from Research England that you are not required to submit the minimum of one research output. If agreed, your UOA will not receive an unclassified score for not fulfilling the requirements that all category A submitted staff must return one research output. The PCDP will inform your UOA coordinators and REF Decision Panel of your agreed reduction so they can adjust the output selection process accordingly. Please note your UOA coordinators and REF Decision Panel will only be notified that you are not required to submit an item, not the reason for the decision.

4.4.3 Requesting reductions to Unit of Assessment (UOA) output requirements

Due to the flexibility of REF rules on required number of outputs (minimum of one and maximum of five per individual), most UOAs will be able to accommodate personal circumstance (see 4.4.1) without needing to make a formal request to EDAP for an overall reduction to the UOA's required number of outputs. However, where the UOA's available output pool has been significantly affected by collective personal circumstances, the University can request a reduction in the number of outputs your UOA is required to submit.

Once the PCDP makes its decisions regarding whether personal circumstances apply, it will inform the REF Decisions Panel of the outcome (without disclosing the reasons for the decisions). The RDP will consider the impact of all the circumstances in a given UOA where research productivity has been affected by collective personal circumstances, to determine whether the University needs to seek a reduction from EDAP for your UOA. The decision to seek reductions can only be made where the impact of staff circumstances collectively is significant. A starting point for requesting a reduction is where 40 per cent of staff have disclosed a personal circumstance (including being an early career researcher or having been on a period of parental leave) – examples are illustrated in table 3 below. We acknowledge, however, that this is only a guide and that there may be disciplinary differences or UOA size that might result in a significant impact even where fewer than 40 per cent of staff have personal circumstances. The decision whether to request a reduction is made by the RDP, with advice and guidance provided by the UOA coordinators and heads of department.

Total fte	Number of outputs required	Number of staff with only one output with circumstances	Number of outputs that need to be produced per person for the remaining staff
10	25	4	$21/6 = 3.5$
20	50	8	$42/12 = 3.5$
30	75	12	$63/18 = 3.5$
40	100	16	$84/24 = 3.5$

Table 3: Calculation for determining whether to request a reduction in outputs for UOAs

Regardless of this threshold, it is important that we know the personal circumstances where they have had an impact on your ability to produce research and we encourage you to make a disclosure.

Similar to the process for requesting the removal of the requirement to submit a minimum of one research output for individuals, the PCDP will need to submit REF 6b form to REF Team/EDAP to obtain agreement from REF Team/EDAP that the UOA can reduce its overall output requirements. Once confirmed by the EDAP, the PCDP will be responsible for notifying you, your UOA coordinators and REF Decision Panel of the confirmed reduction; notifications will not identify you or the reason(s) the UOA has been granted a reduction to its overall output requirements.

4.4.4 Privacy notice for REF 2021

For information on how your data will be used with respect to all aspects of the REF, including this Code, please see appendix 12.

Appendices

Please note, each of these appendices will be available as a standalone document on the Research wiki once the CoP has been approved.

Appendix 1. Code of Practice consultation

Code of Practice consultation

Key changes as a result of consultation

- Initial consultation meetings with staff on open sessions or departmental sessions fed into the drafting process (versions 1 to 8) but at this stage no document had been distributed.
 - Established criteria for identifying staff
 - Using language in second person to support engagement
 - Providing definition relevant to Edge Hill University's staff
 - Provide clear routes on how staff engage with processes
 - Include diagrams
 - Referencing REF guidance for rules, processes and definitions not unique to Edge Hill University
 - To order Code in a format to support staff at Edge Hill University by combining sections where information repeats (training requirements, appeals and equality impact assessments)
- Presentation to Directorate Management Group
 - No substantive changes were suggested
- Distribution of version 8 to Research Committee
 - No substantive changes were suggested
- Distribution of version 9 to Academic Board and Teaching Staff Consultation & Negotiation Committee
 - No substantive changes were suggested
- Distribution of version 9 to Faculty of Health & Social Care Research Committee
 - Change in how we describe our commitment to equality diversity and inclusion issues
 - Language of appeals processes should be investigative and informal resolutions should be encouraged
 - Tweak language on equality impact assessments because we may not collect data on some protective characteristics, but we can still consider them in the design of the Code without providing data analysis
 - Suggested including links to the following to encourage research staff to access these development opportunities even though guidance on codes discourage use of links.
 - Where biennial ECR conference is advertised

- Where the Aurora programme is advertised

NB: not actioned as we cannot add links and not directly relevant to COP

- Use links for accessing documents for appeals etc.

Not actioned – links not permitted and it was agreed that there are already a considerable number of appendices

- More consistent with language or clarify which staffing group is being targeted (some parts in second person aimed at staff, others appear to be aimed at managers)
- Review use of 'we' may be better to state University or relevant department or panel/committee – reviewed for consistency.

- Distribution of version 11.1 to UOA coordinators resulted in:
 - Some re-ordering of information
 - Additional diagrams (some were not yet complete at time of consultation)
 - Shifting of some information from main text to appendices (we were not able to move as much as suggested due to challenges with how 'embedded' some of the text was)
 - Clarity that all criteria need to be met for significant responsibility for research
 - Provide greater clarity of headings for parts 2 and 3 to avoid confusion for the reader
 - Include an appendix on open access
 - Added 'normally' to 2.2 c(ii)
 - Make distinction between research and scholarship clearer
 - Document is too long - recommend removing appendices and using links
 - Suggested removing reference to blind peer review or to seek further guidance on whether it is practical given size of units.
- Distribution of version 11.1 to Faculty of Arts and Science Research Committee
 - Include reference to student recruitment in why we aspire to be recognised for research including how they enrich our culture and reflect our commitment to inclusivity
 - Make reference to our history as the first non-denominational teaching training college for women
 - Tweak language - change 'inclusion' to 'non-inclusion' in relation to statement on promotions and career opportunities.
 - Include footnote to explain what the Research Investment Fund is for Research England/EDAP
 - Provide clarity on who will be responsible for conducting equality impact assessments
 - To seek further guidance on whether blind peer review is practical given size of units.
- Feedback from Research Strategy Group (version 12.3), resulted in

-
- Changes to appeals process and insertion of timetable
 - Greater clarity over when someone is considered an early career researcher when they have transitioned to an independent researcher with significant responsibility for research while in post
 - Checking accessibility of document using Blackboard Ally
 - To support operationalising REF decision making processes added further dates for identifying staff and appeals.
 - Changes as a result of staff survey (version 12.4)
 - Included, in the introduction, a brief outline of the purpose of REF
 - Added reference to supporting research to explore sensitive subjects
 - Added reference to arts subjects being returned to REF/similar exercises for longer period
 - Clarified that 'funded projects', in section 2.1, includes internal and external funding
 - Changed '(you must meet all these criteria):' to '(you must meet all six criteria):' in section 2.2 to clarify requirements for being identified as having significant responsibility for research
 - Included appendix on research degree supervision criteria to support staff in checking their eligibility to answer criteria a(ii) in section 2.2.
 - Add 'and' between criteria for SRR on figure 1 (alternative version)
 - Highlighted that final decisions rest with REF Decisions Panel by making 'final decisions on who is identified for REF submission, to which UOA, and which outputs are selected rest with REF Decisions Panel' bold
 - Clarified minimum number of outputs that need to be selected for output pool
 - Removed reference to blind assessment of outputs because feedback said our departments are too small for this to be feasible
 - Update reference of old system 'EHRA' to new 'Pure'
 - Included guidance notes in appendix 8
 - Include reference to 2.2 in definition of independence in appendix 10
 - Include more references to seeking reasonable adjustment in relation to circumstances
 - Feedback from focus groups (version 12.4)
 - Include how the University supports sensitive research and how this reflects its commitment to diversity and inclusion
 - Praised the approach that individuals can informally discuss with a range of staff the potential of disclosing their circumstances
 - Include criteria (star rating) for self-rating outputs – added to appendix 8
 - Include more references to seeking reasonable adjustment in relation to circumstances
 - Include sentence that inclusion of outputs will not be confirmed until late in the census period and that staff should not rely on the output information available in Pure as it will

change over the period and REF Decisions Panel will confirm which outputs will be included in the submission.

- Feedback as a result of staff survey (version 12.7)
 - Change to section 2.1 to enhance clarity and understanding
 - To develop FAQs on staff wiki (intranet) to clarify any issues raised in consultation that we have not been able to accommodate in the COP

Consultation type	Dates, departments and committees	Version of CoP
REF Code of Practice roadshows Briefing presentation and discussions to establish content, principles and criteria for our CoP	13/10/18 – Department of Media 14/11/18 – Department of Social Science 21/11/18 – Department of Biology 26/11/18 - Faculty of Education 11/12/18 - Open session (all staff) 12/12/18 – Department of Psychology, Department of Sport & Physical Activity, Department of Computer Science and Department of English, History & Creative Writing 16/01/19 - Department of Law & Criminology and Department of Performing Arts 17/01/19 - Open session (all staff) 30/01/19 – Department of Geography 31/01/19 - Faculty of Health & Social Care 01/02/19 - Faculty of Health & Social Care 06/02/19 - Business School 21/02/19 - Faculty of Education	Road shows developed versions 1-8
Review by Institutional Committees	27/02/19 - Research Committee	version 8
	05/02/19 - Teaching Staff Consultation & Negotiation Committee	version 9
	13/03/19 - Academic Board	version 9
	22/01/19 - Faculty of Health & Social Care Research Committee	version 9
	02/05/19 – Faculty of Art and Science Research Committee	version 11.1
	21/05/19 - Teaching Staff Consultation & Negotiation Committee	version 12.4

	This meeting did not take place so the next meeting if TSCNC is not until 25 th June 2019; it will review version 12.6 (the version submitted to Research England)	
Review/feedback from focus groups	04/02/19 - Directorate Management Group	presentation
	30/01/19 - Professoriate	version 7
	27/03/19 - Unit of Assessment Coordinators Group	version 11.1
	08//05/19 - Research Strategy Group	version 12.3
	22/05/19 – LGBTQI Network	version 12.4
	24/05/19 & 30/05/19 – Teaching and research contract staff	version 12.4
	24/05/19 & 28/05/19 - Research-only contract staff	version 12.4
Consultation surveys open to all staff (including staff on notified absence who were sent a letter via regular mail with link to survey)	09/05/19 – 28/05/19	version 12.4
	25/08/19 – 09/09/19	version 12.7
Table 1: Consultation schedule		

Appendix 2. EHU Equality and Diversity Policy

Equality and Diversity Policy & Procedure



This policy does not form part of employee's contracts of employment and may be reviewed and amended subject to agreement by all relevant parties.

This policy must be read in conjunction with the Code of Practice which overarches all the University's policies and procedures and details generic aspects that apply to all of our policies and procedures.

Equality and Diversity Policy

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1 Introduction

- 1.1 Edge Hill University aims to provide a safe, supportive and welcoming environment for its staff, students and visitors, where equality is promoted, diversity is valued and the rights and dignity of all is respected.
- 1.2 In exercising its policies, practices, procedures and other functions, the University will have due regard to its duties under the Equality Act 2010 and to the protected characteristics specified within it, as well as other relevant circumstances including parental or caring responsibilities, contract type, and working hours.

2 Commitments

- 2.1 Edge Hill is committed to ensuring that people's personal qualities are recognised and that everyone is treated with dignity and respect, regardless of:

- Age;
- Disability;
- Ethnicity (including race, colour and nationality);
- Sex;
- Gender reassignment;
- Religion or belief;
- Sexual orientation;
- Marriage and civil partnership; and
- Pregnancy and maternity

- 2.2 To deliver these commitments the University will:

- Promote the aims of this policy.
- Mainstream equality into the University's strategic and planning agenda.
- Encourage respect and good relations within and between groups.
- Be proactive in eliminating discrimination, including harassment and bullying through training and the production and dissemination of codes of practice and guidance.
- Fulfil its legal obligations under relevant legislation, including the requirement to meet the Public Sector Equality Duties (the general duty and specific duty).
- Ensure this policy, and supporting codes of practice and guidance, are available to all staff and students.
- Seek to ensure that all staff and students have equal access to the full range of institutional facilities and that adjustments to working and learning practices are considered wherever reasonably possible in order to accommodate a more diverse community.
- Develop equality objectives and an action plan, and report on progress toward attaining those objectives.
- Regularly review the terms of this policy and all associated codes of practice and guidance.

-
- Take seriously and deal with situations where anyone is in breach of this policy.
 - Provide equality and diversity training and guidance for staff as appropriate, including training on induction.
 - Advise all students of their responsibilities to the University and to students and staff in relation to this policy.

3 Scope of the Policy

3.1 This Policy applies to all members of the University community, including:

- All employees, and staff from other institutions on placement at, or visiting the University.
- Individuals with honorary or affiliate status.
- All students, including visiting and placement students.
- Visitors, including external persons or agencies using the University's premises, facilities or services.
- Contractors working at the University.

3.2 Individuals working or acting on the University's behalf, including suppliers of goods and services

4 Application

4.1 The University will apply the Equality and Diversity Policy to all areas of employment including:

- Recruitment and selection of staff
- Promotion opportunities
- Evaluation of roles and grading
- Training and development opportunities
- Discipline and grievance procedures
- Redundancy procedures
- Dismissals

4.2 The University will apply the Equality and Diversity Policy to its relationship with students including:

- Admission to study
- Delivery of all support services
- Learning and teaching styles
- Assessment and examination
- Accommodation

4.3 Where employees or students have particular requirements related to Equality and Diversity these will be dealt with objectively and accommodated where reasonable and practicable.

5 Roles and Responsibilities

- 5.1 All members of the University are responsible for their personal behaviour and must accept the principle that there is equality of opportunity and fairness for all employees and students and anyone associated with the University.
- 5.2 Employees and students have a responsibility to:
- Support and uphold the principles contained in the Equality and Diversity Policy and supporting policies.
 - Challenge inappropriate behaviour or any discrimination and must not incite or collude with unfair or unlawful discrimination.
- 5.3 Managers and supervisors have a responsibility to:
- Promote equality and diversity.
 - Challenge unacceptable behaviour.
 - Give serious consideration to complaints of harassment or discrimination and deal with them fairly, thoroughly, quickly and confidentially.
 - Ensure staff and students know how to report discrimination, bullying and harassment.
 - Ensure that reporting incidents does not result in victimisation.
- 5.4 Any member of the University community found to be responsible for inciting, perpetrating or colluding with discrimination or harassment may face disciplinary action.

6 Breaches of Policy

- 6.1 Contravention of this policy will be considered a serious disciplinary matter. Any breaches will be considered under the relevant and most appropriate policy or procedure.
- 6.2 Employees should be aware that breaches could potentially, in some cases amount to gross misconduct leading to summary dismissal.
- 6.3 Under the law on discrimination, an employee can be held personally liable for an unlawful act of discrimination against a fellow member of staff or a job applicant and an employment tribunal application may be brought against them personally as well as against the employer. A person can be found to have discriminated against another even though they may not have intended to discriminate.
- 6.4 Any breach of this Policy by a student will be investigated and may lead to further action being taken, including disciplinary action which may result in exclusion.

7 Complaints

- 7.1 Employees who have any concerns about the implementation of this policy, or feel that they may have been disadvantaged, discriminated against, harassed or victimised, should initially raise this with their line manager or HR Adviser (Business).
- 7.2 Students are advised to seek guidance from their personal tutor, Student Services or the Students' Union.

8 Confidentiality

- 8.1 Any information disclosed to the University in relation equality and diversity issues will be kept strictly confidential in accordance with legislative requirements.

9 Publication and Communication for this Policy

- 9.1 This policy will be published on our website and wiki so that it is available to all employees, students and other interested people. We can also provide copies of this policy in different formats (for example, Braille) if you ask us to.

10 Monitoring and Review

- The University will maintain appropriate staff information and monitoring systems to assist the effective implementation of this policy. This information will be treated sensitively and in accordance with the University's data protection policy.
- The effectiveness of this policy will be kept under review and amended to reflect developments in equality legislation and best practice.

Endmatter

Title	Equality and Diversity Policy and Procedure
Document Owner	Director of Human Resources
Approved By	Teaching/Support Staff Consultation and Negotiating Committee
Date of Publication	
Date of Review	2023

Appendix 3. CoP communication and training plan

Target audience	Objective	Method	Timing	Success Criteria
Academic staff (Ormskirk Campus)	To disseminate our REF 2021 Code of Practice to support staff in understanding: <ol style="list-style-type: none"> 1. REF requirements 2. EHU REF procedures 3. How academic staff will engage with process 	Electronic copy of our Code of Practice including contact details of those who can provide support/answer questions will be emailed to all academic staff; a link to its location on our intranet will also be included. A copy of the Code of Practice and relevant proformas will be published on Research Office wiki and the link(s) will be included in emails to all academic staff and circulated in our institutional newsletter (EHU news) and promoted on flyers and digital posters.	Copies of our Code of Practice will be circulated two to three weeks after notification of approval from Research England/REF team/EDAP and will be made available on our wiki (intranet).	Attendance at briefings/training workshops. Staff engagement with REF processes: <ol style="list-style-type: none"> 1. Using performance review to discuss inclusion in REF. Developing evidence with line manager/HOD for REF Decisions Panel 2. Staff understanding how to appeal decisions on procedural irregularity or incorrect evidence/data
Academic staff (Manchester Campus)				

Target audience	Objective	Method	Timing	Success Criteria
		<p>Our VC will use his news updates to circulate link to our Code of Practice and encourage staff to attend REF briefing/training events and engage with REF processes.</p> <p>HoD and UOA coordinators, using departmental communication systems (meetings, notice boards, emails etc.) will encourage colleagues to engage with our Code of Practice and relevant REF processes and attend briefings/training workshops.</p> <p>Hold briefing roadshows/training workshops facilitated by Research Office on:</p> <ol style="list-style-type: none"> 1. Code of Practice 2. Declaring circumstances 3. Appeals 	<p>Code of Practice will be promoted in EHU's weekly newsletter, flyers and digital posters from the date our Code of Practice is circulated to all staff until REF submission date. The weekly news item will be updated over the period in alignment with REF deadline dates to support staff engagement with REF processes.</p> <p>VC news updates will be used periodically to highlight deadlines and to encourage engagement.</p> <ul style="list-style-type: none"> • Initial circulation of our Code of Practice • Three weeks before deadline(s) for appeals • Three weeks before deadline(s) for declaring circumstances 	<ol style="list-style-type: none"> 3. Staff submitting their research outputs to their UOA's eligible outputs pool 4. Staff submitting notifications of their personal circumstances <p>Develop an FAQ on Research wiki</p>

Target audience	Objective	Method	Timing	Success Criteria
Academic staff (absent)		<p>In addition to the above, a hard copy of our Code of Practice will be posted to home address of staff on long term leave along with covering letter providing contact details for those who can provide support/answer questions. There will also be an invitation to briefing/training events including guidance on using keep in touch (KIT) days to facilitate attendance.</p>	<p>HoD and UOA coordinators will provide follow-up communication to provide timely reminders (three weeks in advance of deadlines) of next steps in relation to REF processes and encourage attendance at briefings/training workshops.</p> <p>Briefings/training workshops:</p> <ol style="list-style-type: none"> 1. Code of Practice Commence week after Code of Practice has been circulated. Hold four sessions in first two weeks and then once a month until REF processes are complete. 2. Declaring circumstances Initial session to be held three weeks after Code of Practice has been circulated. Then once every two months until REF processes are complete. 	
Academic staff (with disabilities that require an accessible format)		<p>Will be provided with a copy of our Code of Practice in a suitable format.</p>		

Target audience	Objective	Method	Timing	Success Criteria
			<p>3. Appeals</p> <p>Sessions will be held once all staff have been notified of their REF inclusion status. Hold four sessions in first two weeks and then once every two months until REF processes are complete.</p>	
<p>Members of Edge Hill University's REF deliberative and decision-making panels</p>		<p>All members will receive a copy of our Code of Practice in a suitable format and they will be required to attend the tailored REF training workshops which will cover:</p> <ol style="list-style-type: none"> 1. Implementing Code of Practice – the deliberative and decision-making groups/panels will receive tailored sessions designed around the REF processes they will implement. 	<p>Copies of our Code of Practice will be circulated within a week after notification of approval from Research England/REF team/EDAP.</p> <p>Training schedule:</p>	<p>Staff will be correctly identified as:</p> <ul style="list-style-type: none"> • Eligible • Submitted <p>Low number of appeals</p> <p>Outputs will be:</p> <ul style="list-style-type: none"> • Included in relevant UOA output selection pool

Target audience	Objective	Method	Timing	Success Criteria
		<p>2. REF 2021 equality, diversity and inclusion training including unconscious bias will be provided during tailored implementation sessions and in separate sessions which will cover all REF processes.</p> <p>3. Unconscious bias training – standard training provided by HR</p>	<p>1&2. REF Decisions Panel and UOA coordinators training will be held between 18/07/19 – 03/10/2019 Other groups/panels will attend sessions tailored to relevant parts of Code of Practice before their first meeting.</p>	<ul style="list-style-type: none"> • Outputs will be selected for REF based on academic judgment using self-review, peer review and calibration processes <p>University will support staff who declare circumstances and collate the required information to make formal requests (REF 6a&b), where appropriate, for reductions.</p>

Appendix 4. Deliberative and decision-making panels

Deliberative and decision-making panels

Code of Practice Working Group

Terms of reference

1. To advise University Research Committee on a range of issues pertaining to the inclusion of staff for REF 2021
2. To draft a Code of Practice for REF 2021
3. To facilitate the dissemination of the agreed Code of Practice and REF 2021 equality and diversity training to staff groups

Procedure for appointing members

University Research Committee tasked Pro Vice-Chancellor Research and Director of Research Office (REF Manager) to establish Code of Practice Working Group. Members were appointed by Pro Vice-Chancellor Research and included representation from all three faculties, Human Resources and a representative from Edge Hill University's University and College Union (UCU) branch.

Membership

Name	Job title	Role	Capacity
George Talbot	Pro Vice-Chancellor (Research) & Dean of Faculty of Arts and Science	Chair	decision making
Joanne Morris	Researcher Development Support Manager	Secretary	decision making
Vicky Bosward	Equality, Diversity and Inclusion (EDI) Manager		decision making
Robert Collinson	Senior Lecturer in Law		decision making
Nikki Craske	Director of Research Office	REF Manager	decision making
Amanda Fulford	Head of the Department of Professional Learning		decision making
Tony Keating	Senior Lecturer in Applied Health & Social Care	UCU Representative	decision making
Michelle Man	Senior Lecturer in Dance		decision making

Rajeev Shrivastava	Senior Lecturer in Chemistry & Secondary Science Education Coordinator		decision making
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Record keeping

All minutes, papers and working documents will be maintained by the Research Office whose remit includes providing administrative/operational support for REF submissions: these are published on the wiki. This is a non-statutory group (as defined by JISC guidance) and records for this groups will be kept until the end of the REF audit period.

REF Decisions Panel (RDP)

Terms of reference

1. To make the final decision on who is identified as Category A submitted staff following the criteria identified in the Code.
2. The RDP will also make the final determination of which outputs will be submitted and to which unit of assessment.
3. To consider whether the cumulative effects of personal circumstances has disproportionately affected a UOA's output pool and whether it is necessary for a UOA to request a reduction on the total number of outputs required for their submission.

Procedure for appointing members

The REF Decisions Panel was appointed by the VC after consultation with the PVC Research and the REF Manager. The Panel has representation of research leads for each faculty and the Director of HR along with the REF Manager and Researcher Development Support Manager (the RO lead for EDI issues and secretary to the Panel). The Panel will be assisted by the UOA coordinators who will provide advice about their own UOAs.

Membership

Name	Job title	Role	Capacity
George Talbot	PVC Research	Chair	decision making
Joanne Morris	Researcher Development Support Manager	Secretary	note taker and advisory
Nikki Craske	Director of Research Office	REF Manager	decision making
Vicky Bosward	Head of Human Resources		decision making
Liam Bullingham	Research Support Librarian		advisory
Kevern Verney	Associate Dean (Research) FAS		decision making
Clare Austin	Associate Dean for Research & Innovation FHSCM		decision making

Jo Crotty	Director, Institute for Social Responsibility		advisory
Martin McQuillan	Director, Institute for Creative Enterprise		advisory
See appendix 5a	Unit of assessment coordinators		advisory

Record keeping

All minutes, papers and working documents will be maintained by the Research Office whose remit includes providing administrative/operational support for REF submissions. It is likely that these papers will contain personal information and will only be retained to support audit requirements and future business of the University, including supporting our equality duty. This is a non-statutory group (as defined by JISC guidance) and records with personal information will be kept until the audit process has ended in 2021; other records will be kept until 2027

UOA coordinators group

Terms of reference

1. To support a coordinated institutional approach to REF 2021 preparations
 - a. Leading on REF communications within departments
 - b. Implement institutional REF processes (REF 2)
 - c. Supporting development of impact case studies (REF 3)
 - d. Developing REF environments statements (REF5a&b)
2. This group is not a decision-making group

Procedure for appointing members

The University (PVC Research, REF Manager) agreed a role description for UOA coordinators and an expression of interest application form,¹⁰ which was circulated by heads of departments. Heads of departments in collaboration with PVC Research and REF Manager reviewed applications and appointed individuals based on their disciplinary knowledge, experience, leadership and availability (workload allocation).

Membership

Name	Job title	Role	Capacity
George Talbot	PVC Research	Chair	n/a
Ian Boucher	Research Impact Manager	Secretary	n/a

¹⁰ Inserted in this Code as appendix 5.

Nikki Craske	Director of Research Office	REF Manager	n/a
Paul Fox	Research Information Systems Manager	Member	n/a
Joanne Morris	Researcher Development Support Manager	Member	n/a
See appendix 5a	UOA coordinators	Member	n/a

Record keeping

Each UOA will have its own shared drive folders (on the Y drive) where the forms will be stored (i.e. self-rating, internal peer review and external peer review) along with notes from UOA/departmental meetings and any tables that rank outputs. These folders will be open to the whole department and members of the Research Office who may need to access them for audit purposes. These documents will be kept until the end of the REF audit process in 2021 and will be destroyed (although individuals may keep copies of peer review reports on their own papers if they wish).

Personal Circumstances Disclosure Panel

Terms of reference

1. To consider requests to adjust expectations of an individual's contribution to their UOA's output pool. This includes considering requests to remove the minimum of one requirement.
2. Responsible for ensuring that all relevant and necessary documentation is reviewed and archived
3. Responsible for ensuring that the results of the deliberations are conveyed to REF Decisions Panel, UOA coordinators and individuals.
 - a. Maintain complete confidentiality regarding the reasons why an individual has been granted a reduction.

Procedure for appointing members

To maintain confidentiality for those who wish to disclose their circumstances and mirroring the successful approach used in REF 2014, it was agreed by the CoP Working Group that membership should be limited to those with appropriate expertise and with minimal line management responsibilities for academic staff.

Membership

Name	Job title	Role	Capacity
Mark Allanson	Pro Vice-Chancellor (External Relations)	Chair	decision making
Joanne Morris	Researcher Development Support Manager	Secretary	advisory
Amanda Herrity	Staff Wellbeing, Development and Engagement Lead		decision making
Nikki Craske	Director of Research Office	REF Manager	decision making

Record keeping

See section on declaring circumstances in privacy notice (appendix 12)

REF Appeals Panel

Terms of reference

1. To consider appeals from individuals who believe that they have been wrongly identified by reviewing REF Decisions Panels original decision to check for an irregularity in procedure and/or a factual error.
2. Where an appeal is upheld, the Appeal Panel will inform the REF Decisions Group of its judgement and the staff member will receive the decision of the Panel in writing. Where the appeal is not upheld, the individual will receive the views of the Panel in writing and will have the opportunity to meet with the Chair for feedback and/or lodge a further appeal.

Procedure for appointing members

The members are appointed by the VC and comprise senior managers from each faculty who have no other decision-making role in the REF process.

Membership

Name	Job title	Role	Capacity
Lynda Brady	University Secretary/PVC	Chair	decision making
Joanne Morris	Researcher Development Support Manager	Secretary	note taker advisory
Seth Crofts	PVC/Dean of Health, Social Care and Medicine		decision making
Simon Bolton	Associate Dean, Arts and Sciences		decision making
Jane Moore	PVC/Dean of Education		decision making

Record keeping

All minutes, papers and working documents will be maintained by the Research Office whose remit includes providing administrative/operational support for REF submissions. It is likely that these papers will contain personal information and will only be retained to support audit requirements and future business of the University, including supporting our equality duty. This is a non-statutory group (as defined by JISC guidance) and records for this groups will be kept until the audit process has ended in 2021.

Appendix 5. UOA roles and responsibilities**REF UOA coordinator: descriptor**

UOA coordinators will be involved in the REF preparations to December 2020. The UOA coordinators undertake a vital role in driving and delivering EHU's REF submission, influencing the University's preparations, shaping optimal submissions for each UOA and ultimately having a significant effect on EHU's REF 2021 results.

Key responsibilities of the UOA coordinator role include:

- Providing leadership, advice and support on all issues relating to research planning, impact, performance metrics and published guidance relating to the UOA
- Considering the widest available staff pool for the UOA and present these options to the REF Decisions Panel (being mindful of where this potentially impacts upon other UOAs)
- Having an institutional outlook for the REF, i.e. aiming to optimise EHU's overall REF performance
- Optimising the UOA submission and that of related UOAs by working to mitigate weaknesses and to highlight strengths across all aspects of the submission
- Ensuring that outputs undergo rigorous review, internally and, where required, externally in order to assess quality and ranking prior to inclusion for REF
- Working with the Research Impact Manager, Ian Boucher, to understand the interrelationship of case study quality, selection, placement and staff numbers for the UOA
- Leading on REF communications within departments and be the key point of contact and advice with regard to the UOA for heads of departments (including those who manage staff in the UOA from other departments), research institute directors
- Working closely with the Research Office who are managing the central REF preparation and submission process
- Attend the REF coordinator meetings.

Being a UOA coordinator is a significant commitment and we wish to support you in carrying out this role. Some of this support will be met by UOA coordinators being given time to attend meetings and take responsibility for tasks via departmental workload management. Should further support be needed, this would be addressed on a case-by-case basis.

REF UOA Coordinator Expression of interest

Preamble

Edge Hill wishes to appoint at least two UOA coordinators for each UOA to work with the PVC Research and the RO to deliver the REF. Before submitting an expression of interest, please read the UOA Coordinator role descriptor available on the REF wiki and discuss it with your head. We are aware that some colleagues will already have seen the descriptor and discussed the role with their heads. If you have any queries, please contact the PVC Research or the Director of the Research Office.

Name of researcher

Current position (lecturer etc)

Department (drop down)

UOA

Were you submitted to REF 2014 (whether here or at a different HED): ***Y/N***

Please identify the reasons why you wish to be REF lead for the UOA

Please confirm that you have read the UOA Coordinator role descriptor: ***Y/N***

Signature:

Please forward this to your head of department by 7 December 2018

Head of department: I confirm that I have discuss this with the applicant and support the proposal.

Head signature:

Name:

UOA coordinators

Unit of Assessment	Name	Job title
A3 - Allied Health Professions, Dentistry, Nursing and Pharmacy	Jeremy Brown	Professor of Clinical Education
	Sally Spencer	Professor of Clinical Research, PGMI
A4 - Psychology, Psychiatry and Neuroscience	Derek Heim	Professor of Psychology
	Geoff Beattie	Professor of Psychology
A5 - Biological Sciences	Anne Oxbrough	Reader in Ecology
	Clare Strode	Reader in Vector Biology
B11 - Computer Science and Informatics	Ella Pereira	Professor of Computing
	Marcello Trovati	Reader in Computer Science
C14 - Geography and Environmental Studies	Paul Aplin	Professor of Geography
	Irene Delgado-Fernández	Professor of Physical Geography
C17 - Business and Management Studies	Paresh Wankhade	Professor of Leadership and Management
	Mehmet Pinar	Professor of Economics
C18 - Law	Richard Parrish	Professor of Law
	Andrew Millie	Professor of Criminology

Unit of Assessment	Name	Job title
C20 - Social Work and Social Policy	Mark McGovern	Professor of Sociology
	Allison Moore	Reader in Early Childhood Studies
C23 - Education	Amanda Fulford	Professor of Philosophy of Education and Head of Professional Development, Faculty of Education
	Fiona Hallett	Professor of Education
C24 - Sport and Exercise Sciences, Leisure and Tourism	Stuart Fairclough	Professor of Physical Activity Education
	Andy Smith	Professor of Sport & Physical Activity
D27 - English Language and Literature	Helen Newall	Professor of Theatre Praxis
	Victor Merriman	Professor of Critical Performance Studies
D28 - History	Alyson Brown	Professor of History and Associate Head of Department: Research and Post Graduate, Department of English, History and Creative Writing
	Bob Nicholson	Reader in History and Digital Humanities
	James Renton	Professor of History
D34 - Communication, Cultural and Media Studies, Library and Information Management	Claire Parkinson	Professor of Film, TV and Digital Media
	Ruxandra Trandafoiu	Reader in Media & Communications

Appendix 6. Appeal proforma**REF 2021: Appeal proforma**

Name
Department
Unit of Assessment

Please read section 3.3.1 of the REF 2021 Code of Practice in advance of completing this form.

Grounds of Appeal:

Please select the relevant grounds of appeal:

- I have been wrongly identified as meeting/not meeting the criteria for independence (research-only contract)
- I have been wrongly identified as meeting/not meeting the criteria as having significant responsibility for research (teaching and research contract)
- New information has become available
- There has been an irregularity in procedure

Outcome/resolution you are seeking:

Please select one of the following:

- Inclusion in REF 2021 submission Exclusion from REF 2021 submission

Other:

Evidence:

Please detail below how *you* meet the *REF* criteria for Category A eligible staff.

Please see criteria/bullets 1-4 in Part 2 of the Code of Practice.

Please detail below how *you* meet the criteria for independence (research only contracts).

Please see section 2.1 in the Code of Practice

Please detail below how *you* meet the criteria for significant responsibility for research (teaching & research contracts).

Please see section 2.2 in the Code of Practice

Please detail below the procedural irregularity which has occurred.

Please confirm that you agree to the following:

I confirm that the information provided is a true and accurate to the best of my knowledge, information and belief.

I recognise that the information provided will be used for REF purposes and will be seen by:

- University's REF Appeal Panel
- University's REF Decision Panel (successful appeals)
- Research England/REF team (for audit purposes)

Please note members of the Appeal Panel will receive a copy of the original evidence and decision from REF Decision Panel to provide context.

Signature
(Staff Member):

Date:

Please return an electronic copy to the Joanne Morris (morrisjo@edgehill.ac.uk)

For official use only

Outcome of appeal:

Original decision of REF Decision Panel stands

This decision is based on:

Case to be refer back to REF Decision Panel

This decision is based on:

Signature
(Chair):

Date:

Appendix 7. Open Access Policy

Policy on Open Access

1. Policy

1.1. Edge Hill is committed to making its research available via open access ensuring that there is access to research work through the internet, unrestricted by payment or subscription. The University believes that there are significant benefits of open access: research outputs are read more, cited more and are more likely to have impact. Although this policy applies to research where the type of output is a journal article or a conference proceeding with an International Standard Serial Number (ISSN), staff members are encouraged to engage with open access for all their research outputs where feasible. The University has also developed [Open Access Guidance \(RO-GOV-08\)](#) to assist staff to meet the open access requirements.

2. Responsibilities

2.1. The Edge Hill Policy on Open Access requires that all staff should ensure that their research outputs meet open access requirements preferably using the 'green' route by making their full text research outputs available via the Edge Hill research portal (Pure), unless there are valid reasons not to do so. **Staff members are responsible for ensuring that they follow the [Open Access Guidance \(RO-GOV-08\)](#).** In particular, researchers need to ensure that outputs:

2.1.1. are deposited in Pure and available via open access within three months of being accepted for publication,

2.1.2. are deposited as the accepted/post-print version of the text (as a minimum), and

2.1.3. respect any publisher/funder embargo period, while meeting the deposit requirements, including reasons for an exception to open access.

2.2. In order to ensure that researchers are adhering to these criteria, Learning Services will carry out periodic audits of research outputs to ensure that open access requirements are met after embargo periods have lapsed.

3. The University stresses that research outputs that do not conform to Research England's criteria will not be eligible to be included in the post-2014 REF (please see Open Access Guidance (RO-GOV-08) for a detailed summary of Research England's requirements; or access the full text of [Policy for open access in the post-2014 Research Excellence Framework](#)). The policy therefore requires that all relevant research outputs meet these criteria, as a minimum, to increase the pool of potential REF items and encourages staff to make all research output open access if feasible.

4. The University acknowledges that there may be occasions when authors wish to publish in open access journals that charge APCs. Wherever possible, the costs should be met by external funding sources and researchers need to make provision for this in their external bids (where the funders allow for APCs). Exceptionally, the University will meet the costs of publication but a very strong case needs to be made and approval granted before the costs are incurred. If authors pay an APC before securing funds, they do so on the understanding they are not guaranteed repayment.

5. The [Open Access Guidance \(RO-GOV-08\)](#) explains in detail how researchers can adhere to best practice.

*This policy was approved on **25 March 2015** by the Edge Hill University Research Committee.*

*The revised and updated policy was approved on **29 May 2019**.*

Appendix 8. How to propose your outputs in Pure






Edge Hill
University




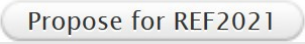
REF2021: Propose Your Outputs

This feature is available to all personal users who are eligible for and still included in the REF submission, as per the University's REF code of practice.


This guide explains how to propose outputs to be considered by your REF unit of assessment (UOA). Only outputs that exist in Edge Hill's repository can be proposed.

Always click  or  or  where you see them before you close a window or section, or your changes will not be saved.

Propose an output for the REF

- To reach the  screen in the profile editor window, either:
 - Click on  Propose new research outputs or modify existing selections , found on your personal user overview, or
 - Click  [Edit profile](#) and find it in the left-hand side menu.
- Find the output you want to propose and click  .
 - Assign a ranking to this output e.g. your first choice for the REF, second choice, alternate, etc. This is required.
 - Provide a reason for proposing this output. This is required.
 - Indicate whether it is interdisciplinary, co-authored or should be double-weighted. These are optional, but an explanation is needed if selected.
- Your UoA coordinator will receive a notification that there is a new REF output for their attention and the UoA review can begin.
- The output will also be proposed for all co-authors also included in the REF submission. The ranking will appear as 'alternate' for them.

View your proposed outputs

- Simply go to your personal user overview and find *Outputs proposed for REF2021 by you (or on your behalf)*.
- Clicking on an output title will open the  screen, as above.
- You can see the details you proposed.
- You cannot delete a proposal. Your UoA Co-ordinator can mark it as not selected for the UoA pool but it will still appear on your list of proposals.

Guide updated 04/10/2019

Research Output Review

Self-rating your research outputs

As a first stage we would like each academic to self-rate their research outputs. This guidance note should be used to help you complete the self-rating (give your reason for proposing this output) for each of your research outputs.

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Summary of action required

1. Bring your Pure profile up to date so that it includes all of your research outputs with their full-text where required
2. Claim your ORCID number, if you haven't already done so
3. Identify the correct panel for your work
4. Review the panel criteria
5. Identify which research outputs to self-rate
6. Complete the self-rating for each of your proposed outputs.

Further information on each of these actions is provided below.

Section 1 – Why self-rate your outputs?

Research outputs are the most important element of the REF (account for 60% of the overall star-rated quality profile). A number of different sources of information will be used to assess our current REF position. These will include both internal and selective external peer review of outputs which will take place after your own assessments of your research.

As the author or producer of a research output you (and any co-authors) know that work better than anyone else. Your views will be an important source of information and will help to shape how we manage internal and external peer review.

The process of self-rating your outputs against the REF panel criteria and submitting these ratings will have a number of additional benefits, including:

- **Getting to know or revisiting the REF panel criteria:** You find it useful to understand the criteria that panels of your peers will use to assess research. You may also find it useful for designing and planning your research in the future.
- **Ensuring that your Pure profile is up to date:** Pure will be the *source of record* for our REF output processes so all items must be recorded there. It is critical that your Pure profile is kept up to date, in order to comply with the Open Access policy. Guidance on adding outputs is available to help you ensure that Pure is a full and up-to-date record of your research outputs. **If your Pure profile is not up to date your outputs are at risk of not being eligible for inclusion in the REF submission.**

<https://research.edgehill.ac.uk/admin> Please see Action 1 below for further information.

- **Making sure that all of our staff have ORCID profiles.** ORCIDs will be used as the staff identifier for REF2021 so it is vital that you claim your ORCID number. ORCIDs can also be used to move information from one system to another without having to manually type or upload it. Many publisher and grant application submission systems now use ORCID. Please see Action 2 below for further information.

Self-rating your research outputs should not take a large amount of time and we believe that you will be able to complete this task quickly and independently:

- You will clearly already be very familiar with your own research outputs.
- The self-rating process is the first step in assessing the REF profile of your department's outputs. Each output will also be peer-reviewed by colleagues in your department to help inform the overall quality profile of outputs.
- This is not an exercise in assessing your ability to self-rate correctly. The application of the panel criteria will always be subjective and that is understood by all concerned. Your self-rating should simply be your best estimate, based on your understanding of the panel criteria. You are not required to investigate how others apply the criteria or to benchmark your work against other outputs.
- The focus of self-rating is the output itself and multiple sources of information will be taken into account when deciding on REF submission strategy. Your rating will not be the sole determinant of REF submission strategy.

Section 2 – Getting ready to self-rate

Action 1 is to bring your Pure profile up to date. Please visit <https://research.edgehill.ac.uk/admin> and review the listing of your research outputs. If any of your research outputs published or in press since 1 January 2014 are missing **please bring your record up to date as a matter of urgency** by depositing your outputs on Pure: Learning Services have provided a step-by-step guide (<http://eshare.edgehill.ac.uk/id/document/41893>).

Please do this for **all** your research outputs published or in press since 1 January 2014, not just the ones that you would prefer to submit to a REF exercise. We still do not know how many research outputs each department will need to submit so all research outputs should be listed in Pure, with full text deposit where required.

If you are not sure if an output is of a type that could potentially be submitted to a REF, please contact one of the UOA coordinators in your department, faculty or the Research Office.

If you believe that an item has already been added to Pure but you are unable to locate it please email details of the output to research@edgehill.ac.uk so that the Research Office can investigate.

Action 2 is to claim your ORCID, if you have not already done so. You can claim your ORCID here: <https://orcid.org/register> This takes only a few minutes.

Populating your ORCID profile takes a little longer, particularly if you have a lot of outputs or a relatively common family name. We encourage you to do this as soon as possible. ORCID has tools that will search for your research outputs but you will need to inspect the lists of research outputs to decide which to link to your profile. Further information here: <https://support.orcid.org/knowledgebase/articles/460004-getting-started-with-your-orcid-record>

Action 3 is to identify the appropriate REF 2021 panel for your work. In most cases we expect this will match the UOA you have been assigned, however if you believe your work fits better elsewhere or that a particular output needs to be cross referred please contact one of the UOA coordinators in your department or faculty, and include in your comments in 'give your reason for proposing this output'.

Table 1, below, shows how the research in different departments and faculties at EHU maps onto the REF 2021 main panels. Please choose the panel by looking up your department in this table. In a few cases there will be researchers whose work is better suited to a different panel than the majority of colleagues in their home department.

EHU dept./faculty	REF panel	EHU dept./faculty	REF panel
Biology	A	History	D
Business & management	C	Law & Criminology	C
Computer Science	B	Media	D
Education	C	Performing Arts	D
English	D	Psychology	A
Geography	C	Social Sciences	C
Health	A	Sport	C

Action 4 is to review the panel criteria for the appropriate panel. In all REF panels, the panel members make judgements about the quality of the output, based on their assessments of its originality, significance and rigour. These are used to establish a star-rating, as shown below, with 4* outputs being rated as *world-leading* in terms of originality, significance and rigour, 3* being *internationally excellent*, 2* being *recognised internationally* and 1* being *recognised nationally*. Work that falls below the standard of nationally recognised work, or which does not meet the REF's definition of research (see Annex 2), is unclassified.

Table A2: Outputs sub-profile: Criteria and definitions of starred levels

The criteria for assessing the quality of outputs are 'originality, significance and rigour'	
Four star	Quality that is world-leading in terms of originality, significance and rigour.
Three star	Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence.
Two star	Quality that is recognised internationally in terms of originality, significance and rigour.
One star	Quality that is recognised nationally in terms of originality, significance and rigour.
Unclassified	Quality that falls below the standard of nationally recognised work. Or work which does not meet the published definition of research for the purposes of this assessment.

Originality will be understood as the extent to which the output makes an important and innovative contribution to understanding and knowledge in the field. Research outputs that demonstrate originality may do one or more of the following: produce and interpret new empirical findings or new material; engage with new and/or complex problems; develop innovative research methods, methodologies and analytical techniques; show imaginative and creative scope; provide new arguments and/or new forms of expression, formal innovations, interpretations and/or insights; collect and engage with novel types of data; and/or advance theory or the analysis of doctrine, policy or practice, and new forms of expression.

Significance will be understood as the extent to which the work has influenced, or has the capacity to influence, knowledge and scholarly thought, or the development and understanding of policy and/or practice.

Rigour will be understood as the extent to which the work demonstrates intellectual coherence and integrity, and adopts robust and appropriate concepts, analyses, sources, theories and/or methodologies.

Each of the four main panels has issued their own panel criteria to help reviewers make their decisions about the star rating of an output. **Once you have identified the appropriate REF 2021 panel for your work it is important that you use the criteria issued by that panel.** These panel criteria are reproduced at **Annex A**, below.

Please take time to review the relevant panel criteria. We do not require you to establish how others have applied these criteria or benchmark your outputs against others. Please simply review and rate your output based on your own interpretation of these criteria.

Section 3– Which outputs to self-rate?

Action 5 is to identify which of your research outputs to self-rate.

You should self-rate all your proposed research outputs which should meet the following criteria:

- Published, 'accepted' in the case of journal articles or 'in press' in the case of books and book chapters since 1 January 2014.
- If the output was co-authored or co-produced with others, you made a substantial contribution to that output. Please see table 2 below for a summary of the panel definitions of 'substantial contribution'. Please refer to the definition for the relevant panel when deciding which to self-rate.

Co-authorship

All REF panels recognise that collaboration is positive, normal and increasing. It certainly does not follow that because an output was sole-authored it will be judged more favourably. Many of the research outputs with the greatest originality, significance and rigour are the result of collaborative work.

Once a REF sub-panel has accepted that an author made a substantial research contribution to the output, the sub-panel will assess the quality of the output taking no further regard of the individuals' contributions. The quality of each output will be judged on its merits and independently of authorship arrangements. Table 2 below identifies each panel's supplementary criteria for co-authored outputs.

Practice-as-Research (PaR) outputs

PaR outputs must be tangible or otherwise have an existence e.g. have been performed and recorded or screened since 1 January 2014.

Please do not self-rate any output that is still under development. For PaR outputs to be eligible for inclusion in the REF they must be:

- Tangible or otherwise have an existence e.g. have been performed and recorded or screened
- Accompanied by a portfolio
- Accompanied by a 300-word statement, which should also be included on Pure.

If you are unsure about whether to self-rate a PAR output please contact one of the UOA coordinators in your department.

'Non-REFable' outputs

If you are unsure if an output is of a type or character that should be submitted to the REF, please discuss it with one of the UOA coordinators in your departments. This might include articles in professional journals which, although peer-reviewed, would not normally be considered suitable to be returned to the REF.

Table 2: 'supplementary criteria - co-authored outputs in REF 2021 panel criteria	
Panel A	<p>An output may only be submitted once in a UOA submission by any given HEI. Where co-authors represent different UOAs within an HEI, the output can be submitted to each UOA. Where co-authors come from different institutions the output can be submitted by each HEI.</p> <p>Information required about the author's contribution</p> <p>No additional information is required in form REF2 about the author's contribution to co-authored outputs where either:</p> <ul style="list-style-type: none"> ○ there are 15 authors or fewer; or ○ there are more than 15 authors but the submitted member of staff to whom the output is attributed is identified as either lead or corresponding author (regardless of the number of authors). <p>Whether first author, last author, alphabetical or some other order, Main Panel A considers that the lead and corresponding authors should be easily identifiable within the submitted output. Provided the submitted member of staff is clearly identifiable within the output as lead or corresponding author, including any instances of where that role may be shared, no additional information is required.</p>

	<p>For each submitted co-authored output where there are more than 15 authors and where the submitted member of staff is not identified as the lead or corresponding author, institutions are required to affirm the substantial contribution to the research by the submitted member of staff. This should be done by entering the following statements in REF2, including at least one element from each of:</p> <ul style="list-style-type: none"> ○ The author made a substantial contribution either to the conception and design of the study; or to the organisation of the conduct of the study; or to carrying out the study; or to analysis and interpretation of study data. <p>AND</p> <ul style="list-style-type: none"> ○ The author helped draft the output; or critique the output for important intellectual content. <p>Where the author contribution has been included in the output acknowledgements, this will take precedence to the statement on co-authored outputs. Statements on author contribution will be subject to audit.</p>
Panel B	<p>An output may only be submitted once in a UOA submission by any given HEI. Where co-authors represent different UOAs within an HEI, the output can be submitted to each UOA. Where co-authors come from different institutions the output can be submitted by each HEI.</p> <p>Additional requirement for information on co-authored outputs</p> <p>Sub-panels 7, 8, 10, 11 and 12</p> <p>The sub-panels do not require the submission of information about the individual co-author's contribution to a co-authored output and, if received, will take no account of such statements.</p> <p>Sub-panel 9 only</p> <p>No additional information is required in form REF2 about the author's contribution to co-authored outputs where either:</p> <ul style="list-style-type: none"> ○ there are 15 authors or fewer; or ○ there are more than 15 authors but the submitted member of staff to whom the output is attributed is identified as either lead or corresponding author (regardless of the number of authors). <p>Whether first author, last author, alphabetical or some other order, Sub-panel 9 considers that the lead and corresponding authors should be easily identifiable within the submitted output. Provided the submitted member of staff is clearly identifiable within the output as lead or corresponding author, including any instances of where that role may be shared, no additional information is required.</p>

	<p>For each submitted co-authored output where there are more than 15 authors and where the submitted member of staff is not identified as the lead or corresponding author, institutions are required to affirm the substantial contribution to the research by the submitted member of staff. This should be done by entering up to 100 words in which the author contribution is articulated.</p> <p>Where the author contribution has been included in the output acknowledgements, this will take precedence to the statement on co-authored outputs. Statements on author contribution may be subject to audit.</p>
Panel C	<p>An output may only be submitted once in a UOA submission by any given HEI. Where co-authors represent different UOAs within an HEI, the output can be submitted to each UOA. Where co-authors come from different institutions the output can be submitted by each HEI.</p> <p>Additional requirement for information on co-authored outputs</p> <p>The sub-panels in Main Panel C do not require the submission of information about the individual co-author's contribution to a co-authored output and, if received, will take no account of such statements. The sub-panels may seek to verify a contribution via audit.</p>
Panel D	<p>Exceptionally, the sub-panels in Main Panel D will accept the inclusion of the same co-authored output up to two times in a submission. This provision is in recognition of the constraints to the size of the output pool as a result of a combination of factors, including publication patterns in Main Panel D; that many submissions will be from small departments; and that a number of UOAs in Main Panel D are comprised of a broad spectrum of sub-disciplines, many of which will be in separate departments in submitting HEIs.</p> <p>Such outputs should not account for more than five per cent of the outputs (or one output, whichever is the greater) within a submission. Alternatively, where such outputs satisfy the requirements for double-weighting, submitting HEIs should use the provision outlined in the final bullet point in paragraph 216 instead – no quota applies in that case. These two provisions cannot be used in combination.</p> <p>Consequently, a co-authored output can be submitted:</p> <ul style="list-style-type: none"> ○ once as a single output; or ○ twice, attributed to two of the authors when it satisfies the criteria for double-weighting (see paragraph 216); or ○ twice, attributed to two of the authors, within the quota of five per cent or one output (whichever is the greater), when it does not meet the double-weighting criteria.

	<p>Additional requirement for information on co-authored outputs</p> <p>The sub-panels in Main Panel D do not require the submission of information about the individual co-author's contribution to a co-authored output and, if received, will take no account of such statements. The sub-panels may seek to verify a contribution via audit in accordance with paragraph 219.</p>
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Section 4 – Completing and submitting the self-rating

Please complete self-rating ('give your reason for proposing this output' in Pure) for each of your proposed outputs. Please include the following in addition to the information requested in Pure:

- Your comments on the originality, significance and rigour of each item. Please be succinct and work to a **maximum** of no more than 150 words on each element.
- Overall star rating (Unclassified, 1*, 1.5*, 2*, 2.5*, 3*, 3.5*, 4*)

As noted above, we do not expect you to investigate how other people apply the panel criteria to make a star-rating or to benchmark your work against other research outputs. We do not expect you to need to consult other people in order to make your own assessment; however, you may find it useful to review Table 3 below, which shows the proportion of all items submitted to REF2014 (main panels and selected units of assessment) from across the UK that were graded unclassified or given a star rating of 1*, 2*, 3* and 4*.

Table 3: REF 2014 output results: percentages at each star rating across the UK HE sector, by REF panel and selected units of assessment¹¹

	4*	3*	2*	1*	U/C*
PANEL A	20.6%	47.8%	26.6%	3.5%	1.4%
Allied Health Professions, Dentistry, Nursing and Pharmacy	19.0%	54.3%	23.0%	2.6%	1.1%
Biological Sciences	24.2%	47.4%	23.8%	2.5%	2.2%
Psychology, Psychiatry and Neuroscience	18.5%	41.8%	33.1%	5.6%	1.0%
PANEL B	16.3%	44.1%	31.8%	7.6%	0.3%
Computer Science and Informatics	16.3%	44.1%	31.8%	7.6%	0.3%
PANEL C	16.7%	40.4%	34.0%	8.0%	0.9%
Business and Management Studies	15.1%	39.2%	35.3%	9.5%	1.0%
Education	17.5%	38.6%	32.9%	9.7%	1.3%
Geography, Environmental Studies and Archaeology	18.4%	38.9%	35.1%	6.9%	0.6%
Law	15.2%	43.3%	34.0%	6.9%	0.7%
Social Work and Social Policy	16.8%	43.3%	32.1%	7.1%	0.8%
Sport and Exercise Sciences, Leisure and Tourism	17.1%	39.1%	34.6%	8.1%	1.1%
PANEL D	23.3%	39.7%	28.6%	7.4%	1.0%
Communication, Cultural and Media Studies, Library and Information Management	22.1%	38.8%	26.9%	10.7%	1.4%
English Language and Literature	25.6%	40.5%	28.1%	5.3%	0.5%
History	21.9%	42.6%	31.1%	4.1%	0.2%
Music, Drama, Dance and Performing Arts	23.7%	36.8%	28.2%	9.3%	2.0%

Guidance published: 29 June 2017

¹¹ Units of assessments shown are the twelve that Edge Hill returned to the REF plus two potential UOAs for REF 2021 (Biological Sciences and Business & Management Studies)

Annex A: Panels supplementary criteria – level definitions (from REF 2021 Panel criteria and working methods)

Panel A

In assessing outputs, the sub-panels will look for evidence of the quality of the output in terms of its originality, significance and rigour, and will apply the generic definitions of the starred quality levels.

The sub-panels will look for evidence of some of the following types of characteristics of quality, as appropriate to each of the starred quality levels:

- scientific rigour and excellence, with regard to design, method, execution and analysis
- significant addition to knowledge and to the conceptual framework of the field
- actual significance of the research
- the scale, challenge and logistical difficulty posed by the research
- the logical coherence of argument
- contribution to theory-building
- significance of work to advance knowledge, skills, understanding and scholarship in theory, practice, education, management and/or policy
- applicability and significance to the relevant service users and research users
- potential applicability for policy in, for example, health, healthcare, public health, food security, animal health or welfare.

Unless there is sufficient evidence of at least one of the above, or the definition of research used for the REF is not met, research outputs will be graded as 'unclassified'.

The sub-panels welcome research practice that supports reproducible science and the application of best practice. Examples include registered reports, pre-registration, publication of data sets, experimental materials, analytic code, and use of reporting checklists for publication purposes and those relating to the use of animals in research. These contribute to the evaluation of rigour for submitted outputs. Replication studies may be submitted as outputs and will be evaluated on the extent to which they contribute significant new knowledge, improved methods, or advance theory or practice.¹²

The sub-panels will use citation information, where appropriate and available, as part of the indication of academic significance to inform their assessment of output quality. Further details on the use of citation data are provided in paragraphs 274 to 276 in ['REF 2021 Panel criteria and working methods'](#).

¹² Institutions may find it useful to refer to international guidelines such as the following:

ARRIVE <https://www.nc3rs.org.uk/arrive-guidelines>

CONSORT <http://www.consort-statement.org/>

PRISMA <http://www.prisma-statement.org/>

COPE <http://publicationethics.org/>

ICMJE <http://www.icmje.org/>

ITHENTICATE <http://www.ithenticate.com/>

Panel B

In assessing outputs, the sub-panels will look for evidence of originality, significance and rigour and apply the generic definitions of the starred quality levels as follows:

- a. In assessing work as being **four star** (quality that is world-leading in terms of originality, significance and rigour), sub-panels will expect to see evidence of, or potential for, some of the following types of characteristics:
 - agenda-setting
 - research that is leading or at the forefront of the research area
 - great novelty in developing new thinking, new techniques or novel results
 - major influence on a research theme or field
 - developing new paradigms or fundamental new concepts for research
 - major changes in policy or practice
 - major influence on processes, production and management
 - major influence on user engagement.
- b. In assessing work as being **three star** (quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence), sub-panels will expect to see evidence of, or potential for, some of the following types of characteristics:
 - makes important contributions to the field at an international standard
 - contributes important knowledge, ideas and techniques which are likely to have a lasting influence, but are not necessarily leading to fundamental new concepts
 - significant changes to policies or practices
 - significant influence on processes, production and management
 - significant influence on user engagement.
- c. In assessing work as being **two star** (quality that is recognised internationally in terms of originality, significance and rigour), sub-panels will expect to see evidence of, or potential for, some of the following types of characteristics:
 - provides useful knowledge and influences the field
 - involves incremental advances, which might include new knowledge which conforms with existing ideas and paradigms, or model calculations using established techniques or approaches
 - influence on policy or practice
 - influence on processes, production and management
 - influence on user engagement.

-
- d. In assessing work as being **one star** (quality that is recognised nationally in terms of originality, significance and rigour), sub-panels will expect to see evidence of, or potential for, some of the following types of characteristics:
- useful but unlikely to have more than a minor influence in the field
 - minor influence on policy or practice
 - minor influence on processes, production and management
 - minor influence on user engagement.
- e. Research will be graded as '**unclassified**' if it falls below the quality levels described above or does not meet the definition of research used for the REF.

Panel C

In assessing outputs, the sub-panels will look for evidence of originality, significance and rigour, and apply the generic definitions of the starred quality levels as follows:

- a. In assessing work as being **four star** (quality that is world-leading in terms of originality, significance and rigour), sub-panels will expect to see some of the following characteristics:
- outstandingly novel in developing concepts, paradigms, techniques or outcomes
 - a primary or essential point of reference
 - a formative influence on the intellectual agenda
 - application of exceptionally rigorous research design and techniques of investigation and analysis
 - generation of an exceptionally significant data set or research resource.
- b. In assessing work as being **three star** (quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence), sub-panels will expect to see some of the following characteristics:
- novel in developing concepts, paradigms, techniques or outcomes
 - an important point of reference
 - contributing very important knowledge, ideas and techniques which are likely to have a lasting influence on the intellectual agenda
 - application of robust and appropriate research design and techniques of investigation and analysis
 - generation of a substantial data set or research resource.
- c. In assessing work as being **two star** (quality that is recognised internationally in terms of originality, significance and rigour), sub-panels will expect to see some of the following characteristics:
- providing important knowledge and the application of such knowledge

- contributing to incremental and cumulative advances in knowledge
 - thorough and professional application of appropriate research design and techniques of investigation and analysis.
- d. In assessing work as being **one star** (quality that is recognised nationally in terms of originality, significance and rigour), sub-panels will expect to see some of the following characteristics:
- providing useful knowledge, but unlikely to have more than a minor influence
 - an identifiable contribution to understanding, but largely framed by existing paradigms or traditions of enquiry
 - competent application of appropriate research design and techniques of investigation and analysis.
- e. Research will be graded as '**unclassified**' if it falls below the quality levels described above or does not meet the definition of research used for the REF.

Panel D

The terms 'world-leading', 'international' and 'national' will be taken as quality benchmarks within the generic definitions of the quality levels. They will relate to the actual, likely or deserved influence of the work, whether in the UK, a particular country or region outside the UK, or on international audiences more broadly. There will be no assumption of any necessary international exposure in terms of publication or reception, or any necessary research content in terms of topic or approach. Nor will there be an assumption that work published in a language other than English or Welsh is necessarily of a quality that is or is not internationally benchmarked.

In assessing outputs, the sub-panels will look for evidence of originality, significance and rigour and apply the generic definitions of the starred quality levels as follows:

- a. In assessing work as being **four star** (quality that is world-leading in terms of originality, significance and rigour), sub-panels will expect to see evidence of, or potential for, some of the following types of characteristics across and possibly beyond its area/ field:
- a primary or essential point of reference
 - of profound influence
 - instrumental in developing new thinking, practices, paradigms, policies or audiences
 - a major expansion of the range and the depth of research and its application
 - outstandingly novel, innovative and/or creative.
- b. In assessing work as being **three star** (quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence), sub-panels will expect to see evidence of, or potential for, some of the following types of characteristics across and possibly beyond its area/field:
- an important point of reference
 - of considerable influence
 - a catalyst for, or important contribution to, new thinking, practices, paradigms, policies or audiences
 - a significant expansion of the range and the depth of research and its application

- significantly novel or innovative or creative.
- c. In assessing work as being **two star** (quality that is recognised internationally in terms of originality, significance and rigour), sub-panels will expect to see evidence of, or potential for, some of the following types of characteristics across and possibly beyond its area/field:
- a recognised point of reference
 - of some influence
 - an incremental and cumulative advance on thinking, practices, paradigms, policies or audiences
 - a useful contribution to the range or depth of research and its application.
- d. In assessing work as being **one star** (quality that is recognised nationally in terms of originality, significance and rigour), sub-panels will expect to see evidence of the following characteristics within its area/field:
- an identifiable contribution to understanding without advancing existing paradigms of enquiry or practice
 - of minor influence.
- e. A research output will be graded '**unclassified**' if it is either:
- below the quality threshold for one star; or
 - does not meet the definition of research used for the REF.

Annex 2 – Definition of research for REF purposes

'[A] process of investigation leading to new insights, effectively shared.'

'It includes work of direct relevance to the needs of commerce, industry, culture, society, and to the public and voluntary sectors; scholarship; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It excludes routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of new analytic techniques. It also excludes the development of teaching materials that do not embody original research.'

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

(Annex C, REF 2021 Guidance on submissions)

Appendix 9. Peer review form**Research Output Peer Review****Assessment Sheet**

About the output TO BE FILLED OUT BY EHU BEFORE DISTRIBUTION	
Lead author name	
Title	
Pure URL	
DOI	

Reviewer	
Name:	

Peer review comments	
(Please refer to the relevant panel's criteria and definitions of starred levels and use these as a framework for your assessment)	
Originality	
Significance	
Rigour	

Overall starred rating

(Please refer to the relevant REF 2021 panel's criteria and definitions of starred levels and use these as a framework for your assessment)

Please assign one of the following starred ratings.

Unclassified, 1*, 1.5*, 2*, 2.5*, 3*, 3.5*, 4* (please use .5 ratings to indicate a strong grade not a borderline grade)

Rating	
Please rate your confidence in your ability to assess this output accurately (with 5 being very confident and 1 being not at all confident).	
If you do not feel confident with your ability to rate this item, why is this? (e.g. lack of familiarity with the sub-disciplines, methods etc.)	

Appendix 10. Calculations for reductions due to personal circumstances

Definitions and reductions for staff circumstances

1. Early Career Researcher (ECR)

ECRs are defined as members of staff who meet the definition of Category A eligible on the census date, and who started their careers as independent researchers on or after 1 August 2016 (see part 2 of the Code). For the purposes of the REF, an individual is deemed to have started their career as an independent researcher from the point at which:

- a. they held a contract of employment of 0.2 FTE or greater, which included a primary employment function of undertaking 'research' or 'teaching and research', with any HEI or other organisation, whether in the UK or overseas, and
- b. they first met the definition of an independent researcher (see section 2.1 and 2.2 of the Code)

The following do not meet the definition of an ECR (this list is not exhaustive):

- a. Staff who first acted as an independent researcher while at a previous employer – whether another HEI, business or other organisation in the UK or elsewhere – before 1 August 2016, with a contract of 0.2 FTE or greater.
- b. Staff who first acted as an independent researcher before 1 August 2016 and have since had a career outside of research or an extended break from their research career, before returning to research work.
- c. Research assistants who would not normally meet the definition of an independent researcher

The table 1 shows the permitted reduction in outputs for those identified as an ECR

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

2. Secondments or career breaks outside the HE sector

The table 2 shows the permitted reduction in outputs for individual's absence or time away from working in Higher Education.

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

Table 2

2.1 Part-time working

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

3. Qualifying periods of family-related leave

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

- a. Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2014 to 31 July 2020, regardless of the length of the leave.¹³
- b. Additional paternity or adoption leave¹⁴ or shared parental leave¹⁵ lasting for four months or more, taken substantially during the period 1 January 2014 to 31 July 2020.

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

- a. By applying a reduction in outputs where there are additional circumstances, for example where the period of leave had an impact in combination with other factors such as ongoing childcare responsibilities.
- b. By combining the number of months for shorter periods of such leave in combination with other circumstances, according to table 2.

¹³ Statutory Maternity Leave is 52 weeks. It is made up of:

- Ordinary Maternity Leave - first 26 weeks
- Additional Maternity Leave - last 26 weeks

¹⁴ Additional paternity or adoption leave' refers to leave of up to 26 weeks which is taken to care for a child where the person's spouse, partner or civil partner was entitled to statutory maternity leave or statutory adoption leave, and has since returned to work. The term 'additional paternity leave' is often used to describe this type of leave although it may be taken by parents of either gender. For the purposes of the REF, we refer to this leave as 'additional paternity or adoption leave'.

¹⁵ Shared parental leave' refers to leave of up to 50 weeks which can be shared by parents having a baby or adopting a child. This can be taken in blocks, or all in one go.

4. Other circumstances that apply in UOAs 1–6

4.1 Junior clinical academics

In UOAs 1–6, the number of outputs may be reduced by up to one, without penalty in the assessment, for Category A submitted staff who are junior clinical academics. These are defined as clinically qualified academics who are still completing their clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or its equivalent prior to 31 July 2020. At Edge Hill we have no staff on these contracts so are unable to request any reductions on this basis.

5. Circumstances requiring a judgement about reductions

Where staff have had other circumstances during the period:

- Disability

A person is considered to have a disability if they have or have had a physical and/or mental impairment which has 'a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities'. Long-term impairments include those that last or are likely to last for at least 12 months.

Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities. An impairment which is managed by medication or medical treatment, but which would have had a substantial and long-term adverse effect if not so managed, is also a disability.

- Ill health, injury, or mental health conditions
- Constraints relating to pregnancy, maternity, paternity, adoption or childcare
- Other caring responsibilities (such as caring for an elderly or disabled family member)
- Gender reassignment
- Other circumstances relating to the protected characteristics or relating to activities protected by employment legislation
- COVID-19 related circumstances (only applicable to those without a research output in census period)

Includes being furloughed, released to work in frontline service (applicable to health-related or clinical staff), your work priorities being diverted to other priority areas within HEI in response to COVID-19, unable to access research facilities etc. due to COVID-19 restrictions.

Where there is a combination with any circumstances in section 5 with a defined reduction in outputs (ECR, secondment or career break, qualifying periods of family-related leave, junior clinical academics), the institution will need to make a judgement about the effect of the circumstances in terms of the equivalent period of time absent, apply the reductions as set out in table 2 by analogy, and provide a brief rationale for this judgement.

Combining circumstances

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

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

Appendix 11. Personal circumstance disclosure form



Declaration of Personal Staff Circumstances template

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

- Monitor and review equality, diversity and inclusion in Edge Hill University's research environment
- Enable staff who have not been able to produce a REF-eligible output during the assessment period to be submitted to REF without the minimum requirement of one output where they have;
 - 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.
- 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.
- Establish whether there are any units of assessment where the proportion of declared circumstances is sufficiently high to warrant a request to Research England for a reduction in the required number of outputs to be submitted.

Applicable circumstances

- Qualifying as an ECR (started career as an independent researcher on or after 1 August 2016)
- Absence from work due to secondments or career breaks outside the HE sector
- Qualifying periods of family-related leave
- Junior clinical academics who have not gained a Certificate of Completion of training by 31 July 2020
- Disability (including chronic conditions)
- Ill 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 (only applicable to those without a research output)¹⁶

¹⁶ 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

Completion and return of the form is voluntary, and individuals who do not choose to submit it will not be put under any pressure to declare information. This form is the only means by which the University will be gathering this information for the purposes of the REF; we will not be consulting HR records, contract start dates, etc. You should therefore complete and return the form if any of the circumstances identified above in (also available in section 4.3 of our Code of Practice) apply and you are willing to provide the associated information. For information on how, why and with whom we will collect, store, use and share your data please see section 'Disclosure of circumstances' in appendix 12 (privacy notice) and Code of Practice addendum (outlines changes to processes due to COVID-19).

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 the secretary of the Personal Circumstances Disclosure Panel to provide the updated information.

COVID-19); and / or external factors related to COVID-19 (for example, restricted access to research facilities).

To submit this form you should send a copy, electronic format, to PCDP Secretary (Joanne Morris morrisjo@edgehill.ac.uk in Research Office), in an email marked 'private and confidential'.

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

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

Do you have a REF-eligible output published between 1 January 2014 and 31 July 2021?

Yes

No

Please complete this form if you have one or more applicable equality-related circumstance (see above and/or section 4.3 of our Code of Practice) which you are willing to declare. Please provide requested information in relevant box(es) including information about the impact of your circumstances on yourself or colleagues. You may also include information on applicable reasonable adjustment.

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><i>Please provide details of how and when you met the definition. Definition of ECR is available in appendix 10 of our Code of Practice.</i></p>	<p>Click here to enter description.</p>
<p>Career break or secondment outside of the HE sector.</p> <p>Description, 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>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>	
<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>	
<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>	
<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>	
<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>	

<p>COVID-19 (Applicable only where requests are being made for the removal of the minimum of one requirement)</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> <p><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></p>	
<p>Part-time working</p> <p><i>To include: dates and durations in months of your FTE over the census period.</i></p>	

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 Personal Circumstance Disclosure Panel
- I realise it may be necessary to share the information with Edge Hill University's REF Decision Panel, Research England's REF team, REF Equality and Diversity Advisory Panel, main panel chairs, and REF Technical contact.

I agree

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

- I give my permission for an HR partner to contact me to discuss my circumstances, and my requirements (reasonable adjustments). (Please note, it is HR's responsibility, on

behalf of institution, to ensure your adjustment are managed appropriately; if you already have adjustment in place you may wish to discuss reviewing your requirements.)

- I give my permission for limited details of this form to be passed onto my line manager/head of department or area. (Please note, if you do not give permission your department may be unable to adjust expectations and put in place appropriate support for you as documented in section 4.4.1. of the Code of Practice)

I would like to be contacted by:

Email Insert email address

Phone Insert contact telephone number

Appendix 12. Privacy notice**Privacy notice REF 2021**

This privacy notice covers how, why and with whom we (Edge Hill University) and UKRI will collect, store, use and share your data in regard to REF 2021 submission.

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

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

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

Sharing information about you

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

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

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

UKRI and the organisations listed above will use the information to analyse and monitor the REF 2021. This may result in information being released to other users including academic researchers or consultants (commissioned by the funding bodies), to carry out research or analysis, in accordance with the Data Protection Act 2018 and the General Data Protection Regulation (GDPR) (Regulation (EU) 2016/679). Where information not previously published is released to third parties, this will be anonymised where practicable.

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

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

Publishing information about your part in our submission

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

Those parts of submissions that contain factual data and textual information about research activity will also be published by UKRI, on behalf of the four UK higher education funding bodies, and will be made available online. Published information is likely to include textual information including impact case studies in which you may be referenced. Your name and job title may be included in this textual information. Other personal and contractual details, including your date of birth and all information about personal staff circumstances will be removed. UKRI will also publish a single list of the outputs submitted by us in each UOA. The list of outputs will include standard bibliographic data for each output, but will not be listed by author name.

Data for REF 1a&b

Data on Category A submitted staff and former staff whom submitted outputs are attributed will be collated from intuitional records to fulfil REF data requirements for REF 1a&b. Some of the data submitted in REF1 a&b will be passed, by UKRI, to HESA to enable verification and REF panels will be supplied with standard analysis of data (total number of staff submitted etc.) based on REF1 and HESA data. REF1a&b will not be published; however, analysis based on data in REF 1a&b will be.

Data requirements for Category A submitted staff (form REF1a):

- HESA staff identifier. This is for verification and equal opportunities monitoring purposes.
- Staff reference code: a code determined by the HEI (collected only where there is no HESA staff identifier).
- Initials.

-
- Surname.
 - Date of birth. This is for verification purposes to enable the REF team to uniquely identify staff.
 - Open research and contributor ID (ORCID), where held.
 - Contracted FTE on the census date. The minimum FTE that may be reported is 0.2.
 - For staff between 0.2 to 0.29 FTE, details of the research connection with the submitted unit
 - If the individual is on a fixed term contract, secondment, or period of unpaid leave, the start and end dates (day, month and year) of the contract, secondment or period of unpaid leave. Staff on rolling contracts or a series of renewable fixed-term contracts will be regarded as fixed-term for this purpose, although institutions may wish to draw attention to their use of rolling contracts in the textual part of their submissions, especially where a fixed-term contract has an expiry date soon after the census date.
 - Any research groups that the individual belongs to, where relevant and up to a maximum of four. This is not a mandatory field.

Data requirements for former staff (form REF 1b):

- HESA staff identifier (where held). This is for verification purposes.
- Staff reference code: a code determined by the HEI (collected only where there is no HESA staff identifier).
- Initials.
- Surname.
- Date of birth. This is for verification purposes to enable the REF team to uniquely identify staff.
- ORCID, where held.

For each eligible employment period where an output is being claimed:

- FTE of REF-eligible contract(s).
- For staff between 0.2 to 0.29 FTE, details of the research connection with the submitted unit.
- Start and end dates (day, month, year) of the REF-eligible contract(s).
- If the individual was on a period of secondment, or unpaid leave when any outputs attributed to them were first made publicly available, the start and end dates (day, month and year) of the secondment or period of unpaid leave.
- Any research groups that the individual belonged to, where relevant and up to a maximum of four. This is not a mandatory field.

Data for REF2

Details of assessable outputs that the submitted unit has produced during the publication period (1 January 2014 to 31 December 2020). Outputs will be decoupled from staff; however, Research England will provide data on the distribution of outputs attributed to staff in submissions as part of the standard analyses provided to panels (e.g. number of outputs early career researcher have contributed). UKRI will publish a list of the outputs submitted by us in each UOA; this will not be listed by author name so those without an output will not be identified.

Data requirements for REF2

- Output number
- Date of output
- Type of output
- Title of the output
- Where applicable to the output:
 - a) Pending publication flag (due for publication between the submission deadline and the end of the publication period)
 - b) Number of co-authors
 - c) Interdisciplinary research flag
 - d) Forensic science flag
 - e) Criminology identifier flag
 - f) The research group
 - g) Output allocation (to assist in allocating outputs to appropriate readers)
 - h) Request for cross-referral
 - i) Request to 'double-weight' the output
 - j) Additional information
 - k) Open access status
 - l) Supplementary information (DOI or other URL)
 - m) A brief abstract, for outputs in languages other than English
 - n) Confidential output (should be omitted from the published data)

Data for REF3

Case studies describing specific examples of impacts achieved during the assessment period (1 August 2013 to 31 July 2020) that are underpinned by excellent research in the period 1 January 2000 to 31 December 2020. Case studies will be published unless they include confidential information. Published information is likely to include textual information in which you may be referenced (your name and job title etc.) other personal and contractual details, will be redacted.

Case study data requirements (form REF3)

- institution

- unit of assessment
- title of case study
- period when the underpinning research was undertaken (within the eligible timeframe)
- names and roles (for example, job titles) of staff conducting the underpinning research from the submitting unit ('role' at time when the underpinning research was conducted)
- period when staff involved in the underpinning research were employed by the submitting HEI
- period when the claimed impact occurred
- whether the case study is continued from a case study submitted in 2014.

The remaining sections of the template (form REF3) will allow HEIs to clearly explain and demonstrate the impact of their research through a narrative that includes indicators and evidence as appropriate to the case being made.

Where applicable, the following additional contextual data fields will also be provided to enable research funders to track and evaluate the impact of their funding; this data will not be routinely provided to the panels.

- name(s) of funder(s)
- Global Research Identifier of funder(s): <https://www.grid.ac/>
- name(s) of funding programme(s)
- grant number(s)
- amount of grant (in GBP (Sterling))
- ORCID for each named researcher, where held
- name(s) of formal partner(s)
- country/countries where the impact occurred.

Institutions are required to provide to the REF team the corroborating evidence for submitted impact case studies. The evidence will be held by the REF team on the secure submission system and will not be routinely provided to the subpanels. Where requested, information will be shared via a secure system with panel chairs, members, assessors, panel secretariat and observers, who are all bound by confidentiality arrangements. The information will be used to corroborate the claims made in the impact case studies and will not be anonymised. Personal data will be retained until the end of the assessment period and will be destroyed in December 2021.

Data for REF 4a,b&c

Data about research doctoral degrees awarded (REF4a), research income (REF4b) and income-in-kind (REF4c) related to the period 1 August 2013 to 31 July 2020. Data will be based on publicly available annual HESA returns for academic years (1 August to 31 July) 2013–14, 2014–15, 2015–16, 2016–17, 2017–18 and 2018–19. Institutions will be required to complete the data for 2019-20.

Data for REF 5a&b

An institutional-level environment statement (REF5a), and a completed template describing the submitted unit's research and impact environment (REF5b), drawing on quantitative indicators as appropriate, and related to the period 1 August 2013 to 31 July 2020.

Requirements for REF5a

- Context and mission
- Strategy: the institution's strategy for research and enabling impact
- People: the institution's staffing strategy
- Income, infrastructure and facilities: the institutional-level resources and facilities available to support research

Requirements for REF 5b

- Unit context, research and impact strategy.
- People, including:
 - staffing strategy and staff development
 - research students
 - equality and diversity.
- Income, infrastructure and facilities.
- Collaboration and contribution to the research base, economy and society.

Data about personal circumstances

Data on personal circumstances will be collected using disclosure form (appendix 11); completing a disclosure form is voluntary, however we strongly encourage staff to disclose their personal circumstances, so that we can:

- a) monitor and review equality, diversity and inclusion in Edge Hill University's research environment
- b) provide support in the form of reductions for REF 2021 expectations and/or requirements
- c) provide support in terms of reasonable adjustments to workload and/or working environment (applicable for those who agree that we can share their contact details with Human Resources and/or an individual's line manager/head of department or area)

Please note the information in the paragraph below on personal circumstances disclosure processes is only relevant to staff who submitted hard copy forms before 21 February 2020. Due to COVID our processes for reviewing disclosures has become electronic; more information is available in Code of Practice addendum.

We request that all disclosure forms are submitted in physical format to PCDP Secretary, in an enclosed enveloped marked 'private and confidential'. We are requesting this data in physical format to

reduce the amount of data stored electronically and to limit/control access to this data (technically IT Services have access to all data on institutional servers). Disclosure forms will be stored in a locked cabinet in Research Office, to which only the PCDP Secretary and REF Manager will have access. PCDP Secretary and REF Manager will be responsible for producing the PCDP meeting papers, which will involve photo-copying disclosure forms for inclusion in papers. Meeting papers will be hand delivered to PCDP members who will be required to store them in locked cabinets. PCDP meeting papers will not be allowed to leave Edge Hill University's premises without the express permission of REF Manager. At the conclusion of each PCDP meeting members will be required to return their papers to PCDP Secretary for secure disposal.

PCDP meetings will be minuted in order to record the panel's decision-making processes to support REF 2021 audit requirements; some personal data may be captured in minutes. Minutes will be stored electronically on network drives (Y: drive) in an area to which only PCDP Secretary and REF Manager will have access and will be destroyed at the conclusion of REF 2021 exercise along with any disclosure forms etc..

Data from disclosure forms may be shared with:

1. Personal Circumstance Disclosure Panel (PCDP) to enable decision-making process for reductions to REF 2021 expectations and/or requirements.
2. REF Decisions Panel and UOA coordinators: will be notified of decisions as documented in sections 4.4.2 and 4.4.3. to facilitate REF processes.
3. HR to facilitate discussions about your requirements (contact details only).
4. Line manager or head of department to facilitate adjustments to expectations and put in place appropriate support for you (limited information only).
5. REF Technical contact (Paul Fox, Research Information Systems Manager) and Chair of REF Decision Panel as they will have access to all sections of REF submission system.
6. REF 2021 Team at Research England, Equality and Diversity Panel (EDAP) and main panel chairs to confirm reductions and support monitoring of equality, diversity and inclusion. All these bodies are subject to confidentiality arrangements. We will send to Research England a report that will include a summary of all voluntarily declared personal circumstances, whether or not they were used to reduce the output requirements. This report will only contain data in aggregated form and will not contain information that will identify individual members of staff. Requests for removal of minimum of one and reductions will be submitted by completing REF 6a and 6b forms, which will not be published, and data will be destroyed at the conclusion of REF 2021 exercise. Their data requirements are:

Form REF 6a (requests to remove requirement to submit minimum of one research output):

- Identifiers (HESA ID)
- Category of circumstance (circumstances a – e in section 4.3)

- A brief statement (max. 200 words) describing how the circumstances have affected the staff member's ability to produce an eligible output in the period.

Form REF 6b (requests to reduce overall number of outputs required by UOA):

- Identifiers of those requesting reductions (HESA ID etc)
- Number of staff in UOA with each of the defined circumstances (circumstances a – c in section 4.3)
- A brief outline (max. 200 words) for each member of staff with circumstances that require judgment (circumstances d - e in section 4.3), including how Edge Hill University has determined the proposed reduction.
- A supporting statement (max. 300 words) outlining the rationale for requesting a reduction for the UOA

If you have questions about your personal circumstance data in relation to REF 2021, please contact PCDP Secretary.

Accessing your personal data

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

Further information about the Act and GRPR, and guidance on making a subject access request from UKRI, can be found on the RE web-site at <https://re.ukri.org/about-us/policies-standards/foi-data-protection/>

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

Data Protection Officer
UK Research and Innovation
Polaris House
Swindon, SN2 1FL

Email: dataprotection@ukri.org

Further information about the Act and GRPR, and guidance on making a request to access your personal data held at Edge Hill University, can be found on our Information Governance wiki <https://go.edgehill.ac.uk/display/compliance>.

Data Protection Officer
Strategic Planning & Policy Unit (SIC Building, 1st Floor)
Edge Hill University
St Helens Road
Ormskirk
Lancashire

L39 4QP

Email Data Protection Officer: dataprotection@edgehill.ac.uk

Email Freedom of Information Officer: foi@edgehill.ac.uk

If you only wish to access personal data which will be submitted to REF 2021, please contact Research Office.

Research Office

Edge Hill University

St Helens Road

Ormskirk

Lancashire

L39 4QP

Email: research@edgehill.ac.uk

Appendix 13. Research degree supervision criteria

Research degree supervision criteria

All criteria specified here constitute the minimum requirement either for an individual to be approved as a research degree supervisor, or for the composition of a supervisory team to be approved. Those criteria being met does not guarantee approval. The Graduate School/Graduate School Board of Studies may require revision to proposals or reject proposals where it judges them to be insufficient in a given case.

Supervisor criteria

- The Director of Studies (DoS)¹⁷ and, in the case of doctoral degrees, one other supervisor must be members of Edge Hill staff (academic staff on teaching and research or research only contracts).¹⁸
- The *maximum* number of students that can be supervised concurrently by an individual member of staff of the University is normally nine, with no more than six of those at doctoral level (PhD or professional doctorate). Only very experienced supervisors will be permitted to supervise the maximum number of students specified here (N9.10 of the Research Degree Regulations). Specific judgements regarding the appropriate maximum number of students for an individual supervisor will be made by the panel considering applications for approval of a supervisory team. In making such judgements the panel will consider the individual's experience.
- If a supervisor is on a fractional contract, the maximum number of students he/she is able to supervise is calculated on a *pro rata* basis, rounded to the nearest whole number.
- Staff supervising research students at other universities must declare such commitments, but those commitments will not generally count as part of an individual's supervisory load as a member of Edge Hill staff.
- Research degree supervisors must be active researchers currently involved in the production of peer-reviewed publications, and with a recent record of such publications.¹⁹

¹⁷ Students will normally be based in the department (or faculty in the case of the Faculty of Education and the Faculty of Health and Social Care) of the Director of Studies. Occasional exceptions will be approved, such as in cases where the Director of Studies is not a member of an academic department or faculty.

¹⁸ Emeritus Professors do not count as contracted EHU staff and therefore would be classed as external members of any supervisory teams.

¹⁹ Determining what is required in each specific case to meet this criterion is a matter of judgement for the panel approving the proposals. It is possible, however, to give some guidance as to the kinds of consideration that will influence those judgements.

- For *all but early career researchers*, the expectation would normally be for a member of staff to have a minimum of four pieces of work of suitable quality to be appropriate for return in the REF (2* quality work), those need not have been published within the current REF cycle, but the panel would normally expect at least one item to have been

- Research degree supervisors must not themselves be registered for a first doctorate or other research degree.²⁰
- All supervisors must attend the relevant departmental or faculty programme of research supervisor training.
- In exceptional circumstances, and more standardly in the case of the professional doctorate, the Graduate School/Graduate School Board of Studies may approve the appointment of a supervisor who is not an academic.

Supervisory team criteria

Doctoral supervisory teams must contain a minimum of two supervisors, including the DoS, and normally not more than three supervisors, all of whom must meet the supervisor criteria above.

MRes supervision is normally provided by one supervisor (the DoS), but occasionally, where necessary, a second supervisor may be permitted, all supervisors must meet the supervisor criteria above.

- One member of the team must have supervised to successful completion at doctoral level in the case of PhD or professional doctorate supervision, and at M level (taught or research) in the case of MRes.
- Early career researchers can only constitute a third member of a doctoral supervisory team.
- Only one early career researcher will be permitted on each supervisory team.
- Normally there can be no early career researcher on a supervisory team when there is an external supervisor on that team.
- Generally, the University will not use external supervisors for research degree supervision. External supervisors will only be approved as members of a supervisory team in exceptional circumstances.²¹ The requirement for a member of the supervisory team to have supervised to completion at doctoral level cannot be met by an external supervisor.

published within the last three years. Exceptions to that expectation would include, for example, cases where a member of staff was working on a monograph, had a recent period of prolonged sick leave, or had recently taken on significant management responsibilities.

- The work should be in an *area* relevant to the project being supervised.
- The research need not be on the specific topic on which the student is working, but the relevance of the staff expertise demonstrated by the record of recent publication must be shown in the application for approval of a supervisory team.
- *In the case of early career researchers* (those within five years of completing a doctorate, or, where the individual does not hold a doctorate, within five years of gaining a first publication), the panel will adjust its expectation in relation to volume, depending on the period since completion of a doctorate or since first publication.
- Evidence of research engagement for any early career researcher should be provided in the application for approval of a supervisory team.

²⁰ Registration for a second doctorate or a higher doctorate would not debar a member of staff from supervisory responsibilities.

²¹ In cases where changes are proposed to a supervisory team, for example, because a member of the supervisory team leaves the University, the panel approving the amended supervisory arrangements will generally look to replace a supervisor leaving the University with one from within Edge Hill staff. Where that is not possible, or where continuing supervision from the individual who has left the University is deemed necessary by the Graduate School for supervisory continuity, that individual may be permitted to continue in the capacity of an external supervisor or as an advisor.

- The relevant faculty or academic department must meet any remuneration, travel and subsistence costs associated with the appointment of external supervisors.
- As with all supervisors, and the composition of supervisory teams, any external supervisors must be approved by the Graduate School/Graduate School Board of Studies. The fact that a faculty or academic department is prepared to pay a prospective external supervisor does not mean that approval will be given of that individual being a member of a supervisory team.
- In approving a supervisory team, the Graduate School will look to ensure that the University has suitable staff to act as internal examiners. Two additional staff with appropriate expertise to examine the project should be identified.

Specialist advisors

- Specialist advisors may be appointed to augment the expertise of a supervisory team in a specified area. Any request for a specialist advisor must articulate the need for, and the expertise of, the advisor.
- Advisors may, for example, provide time-limited expertise in a specified area, or may provide occasional advice to the student and team throughout the period of research.
- Specialist advisors need not be members of Edge Hill staff, nor need they be academics.
- Specialist advisors would not normally be expected to attend supervisory meetings or comment on draft material, other than in cases where the particular area in which they are providing assistance is central.
- Advisors are not a member of the supervisory team, and therefore the requirement for a member of the supervisory team to have supervised to completion at doctoral or masters level cannot be met by an advisor having a completion.
- If someone has acted as a specialist advisor on a research degree project in which there was successful completion, that does not count as supervision to completion for purposes of approval of a supervisory team.
- The relevant faculty or academic department must meet any remuneration, travel and subsistence costs associated with the appointment of specialist advisors.

Document updated 04 October 2019

Appendix 14. Equality Impact Assessments

Equality Impact Assessment (EqIA)

Question	Response
1. Name of policy/funding activity/event being assessed	Mock REF 2017
2. Summary of aims and objectives of the policy/funding activity/event	<p>The aims of the mock REF are to:</p> <ol style="list-style-type: none"> 1. Assess our progress close to the mid-point in the current REF cycle 2. Rehearse, test and improve our processes for REF preparations and to build our shared capacity 3. Inform strategy for the second half of the REF cycle. The exercise should inform departmental and, in some cases, the personal research strategies of individuals, as well as those of the faculty and University. <p>The mock REF will include the following elements:</p> <ul style="list-style-type: none"> • Peer review, on the basis of originality, significance and rigour, of REF-quality research outputs published within a department since 1 January 2014. • Impact case studies (impact will be assessed on the basis of the reach and significance of the impacts reported). • Research income (with data to be provided by the Research Office). • Research doctoral degrees awarded (with data to be provided by the Research Office). • Measures of esteem.
3. What involvement and consultation has been done in relation to this policy? (e.g. with relevant groups and stakeholders)	<ul style="list-style-type: none"> • Institutional committees (Academic Board, Research Committee) • Institutional groups (Research Strategy Group)
4. Who is affected by the policy/funding activity/event?	All academic staff who have produced REF eligible outputs since 1 January 2014
5. What are the arrangements for monitoring and reviewing the actual impact of the policy/funding activity/event?	At the end of the Mock REF we will run a process evaluation EqIA.

Protected Characteristic Group	Is there potential for positive or negative impact?	Please explain and give examples of any evidence / data used	Action to address negative impact (e.g. adjustment to policy)
Disability	None identified		
Gender Assignment	None identified		
Marriage or civil partnership	None identified		
Pregnancy and maternity	None identified		
Race	None identified		

Religion or belief	None identified		
Sexual orientation	None identified		
Sex	None identified		
Age	None identified		
Part-time status	None identified		
Seniority	None identified		

Evaluation

Question	Explanation / Justification	
Is it possible the proposed policy or activity or change in policy or activity could discriminate or unfairly disadvantage people?	None identified	
Final Decision:	Tick relevant box	Include any explanation / justification required
1. No barriers identified, therefore activity will proceed.	✓	<p>Criteria and processes have been designed around REF 2014 guidance and assumption about changes for REF 2021.</p> <p>Mock REF 2017 will not focus on individuals but it will support departments and the institution to make decisions on research strategies for the rest of the census period and refine process for REF 2021 submission. Mock REF 2017 will review outputs that have been published since 1 January 2014 and deposited in Edge Hill's Research Archive (EHRA) by 31 October 2017, impact case studies and data in relation to research income, doctoral degrees and esteem.</p> <p>Review of outputs will be based on peer review using criteria from REF 2014. We have built in multiple points of independent peer review (self-review, internal peer review by at least two internal reviewers, expert external review) and mechanisms to calibrate scores (external review). We are asking research active staff to self-review/select up to a maximum of eight outputs to be included in Mock REF 2017 process. Citation data will not be used to inform peer review. Those conducting peer review must evaluate the quality of an output and not rely on seniority or perceived experience of author(s) to determine ratings.</p> <p>We are aware that some research active staff will not participate in Mock REF 2017 review of outputs due to not having their outputs on EHRA or because they have been affected by personal circumstances and have been unable to produce or publish an output within census period. This will not affect their inclusion in REF 2021 because REF has not produced any guidance on staff inclusion and this process is to provide an idea of the number and</p>

		<p>quality of outputs available for inclusion at this mid-point.</p> <p>We expect the number of impact case studies will exceed the projected REF 2021 requirements. All research active staff are encouraged to develop impact activities and potential case studies. Departments are being advised to include all cases that are likely to be eligible for REF and which have a reasonable chance of impact progression. Inclusion decisions for Mock REF 2017 will be made in collaboration with Research Impact Manager (internal expert).</p> <p>Data on research income and doctoral degrees will be attributed to departments not individuals.</p>
2. You can decide to stop the policy or practice at some point because the data shows bias towards one or more groups		
3. You can adapt or change the policy in a way which you think will eliminate the bias		
4. Barriers and impact identified, however having considered all available options carefully, there appear to be no other proportionate ways to achieve the aim of the policy or practice (e.g. in extreme cases or where positive action is taken). Therefore you are going to proceed with caution with this policy or practice knowing that it may favour some people less than others, providing justification for this decision		

Date completed:	26/07/17
Completed by:	Joanne Morris, Researcher Development Support Manager
Review date (if applicable)	Conclusion of Mock REF 2017 exercise

Equality Impact Assessment (EqIA)

Question	Response
1. Name of policy/funding activity/event being assessed	REF 2021 Code of Practice
2. Summary of aims and objectives of the policy/funding activity/event	The purpose of REF 2021 Code of Practice is to document Edge Hill University's processes for: <ul style="list-style-type: none"> • Determining who is an independent researcher for REF purposes • The fair and transparent identification of staff with significant responsibility for research • The selection of outputs to be submitted • The disclosure of individual circumstances • How the code relates to broader institutional policies/strategies that promote and support equality and diversity.
3. What involvement and consultation has been done in relation to this policy? (e.g. with relevant groups and stakeholders)	<ul style="list-style-type: none"> • Roadshows, focus groups and survey open to all academic staff • Institutional committees (Director Management Group, Academic Board, Research, Faculty Research Committees or Faculty Boards, Teaching Staff Consultation & Negotiation Committee which includes UCU) • Institutional groups (Research Strategy Group, Professoriate, Unit of Assessment Coordinators Group, LGBTQI Network)
4. Who is affected by the policy/funding activity/event?	All academic staff who have research in their contract
5. What are the arrangements for monitoring and reviewing the actual impact of the policy/funding activity/event?	Process evaluation EqIA's (data analysis) will be conducted: <ul style="list-style-type: none"> • When identifying staff • When selecting outputs for submission • When considering appeals • When preparing final REF 2021 submission

Protected Characteristic Group	Is there potential for positive or negative impact?	Please explain and give examples of any evidence / data used	Action to address negative impact (e.g. adjustment to policy)
Disability	None identified		
Gender Assignment	None identified		
Marriage or civil partnership	None identified		
Pregnancy and maternity	None identified		
Race	None identified		
Religion or belief	None identified		
Sexual orientation	None identified		
Sex	None identified		
Age	None identified		
Part-time status	None identified		
Seniority	None identified		

Evaluation

Question	Explanation / Justification	
Is it possible the proposed policy or activity or change in policy or activity could discriminate or unfairly disadvantage people?	None identified	
Final Decision:	Tick relevant box	Include any explanation / justification required
1. No barriers identified, therefore activity will proceed.	✓	<p>The Code of Practice is very inclusive and the aim is to increase the numbers of staff being returned rather than limit this.</p> <p>The criteria being used to determine and identify staff to be included in REF 2021 submission are based on independence and role responsibilities, not protective characteristics. All members of the decision panel will have received appropriate training including equality and diversity.</p> <p>Outputs will be selected on the bases of quality using peer review. We have built in multiple points of peer review and mechanisms to calibrate scores along with equality training to reduce potential of decision being influenced by unconscious bias.</p> <p>Appeal process allows all staff to challenge inclusion decisions. Decision-making members of the panel are independent of other decision-making processes. All will have received appropriate training including equality and diversity. Training and information sessions will be available to support staff to make appeals.</p> <p>Circumstances will only be taken into consideration if staff voluntarily declare them ensuring consistency for declaring circumstances. We have limited the number of staff who will have access to disclosure documents to ensure confidentiality. Disclosure process is there to support those who have experienced circumstances which have constrain their research activities.</p> <p>We have also specifically asked staff, via consultation survey and focus groups, whether any aspect of the Code directly or indirectly discriminate against those with a protected characteristic; none was identified.</p>

		<p>However, we are aware that some protective characteristics may be over or under represented (based on EqIA produced for Mock REF) in our submission. Over or under representation will not be due to discrimination of those with protective characteristics during implementation of our Code of Practice. However, the University may wish to consider targeting support for those with protective characteristics or certain disciplines when developing research capacity building initiatives. It is important to note that the University values contributions of all staff and does not expect everyone to have responsibility for research or to choose a research career pathway.</p>
2. You can decide to stop the policy or practice at some point because the data shows bias towards one or more groups		
3. You can adapt or change the policy in a way which you think will eliminate the bias		
4. Barriers and impact identified, however having considered all available options carefully, there appear to be no other proportionate ways to achieve the aim of the policy or practice (e.g. in extreme cases or where positive action is taken). Therefore you are going to proceed with caution with this policy or practice knowing that it may favour some people less than others, providing justification for this decision		

Date completed:	05/06/19
Completed by:	Joanne Morris, Researcher Development Support Manager
Review date (if applicable)	