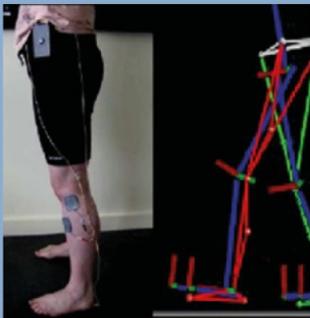# Queen Margaret University
EDINBURGH

REF2021

Code of Practice
Revised Version – April 2021

Registered No. SC007335
Scottish Charity No. SC002750

LIST OF FIGURES

PART 1 INTRODUCTION

The University acknowledges its obligations to comply with equality legislation. It is committed to supporting and promoting equality in research, and to transparency and fairness in decisions concerning the representation of the excellent work of all staff. In this REF 2021 Code of Practice, we set out our processes on:

- The fair and transparent identification of staff with Significant Responsibility for Research (SRR).

- Determining who is an Independent Researcher.

- The selection of outputs.

The REF 2021 Code of Practice will be implemented in line with the following guidance produced by the four UK Higher Education Funding Bodies and available on their REF 2021 website:

- REF 2021 (2019) Guidance on Submissions.

- REF 2021 (2019) Panel Criteria and Working Methods.

- REF 2021 (2019) Guidance on Codes of Practice.

- REF 2021 Summary of Abbreviations and REF 2021 Summary of Definitions are detailed in **Appendix 1** and **Appendix 2** of this document.

The REF 2021 Code of Practice will ensure that our procedures and processes for REF 2021 do not discriminate unlawfully against, or otherwise have the effect of harassing or victimising individuals because of age, disability, faith/belief, gender identity, marriage/civil partnership, pregnancy and maternity, race, sex and sexual orientation.

In developing and implementing its REF 2021 Code of Practice, the University is committed to the principles behind the key policy decisions underpinning the requirement that Higher Education Institutions (HEIs) submit all staff with SRR. The University acknowledges that this change has been introduced in response to concerns that selecting staff in previous assessment exercises had potentially deleterious effects on individuals, their career choices, progression and morale.

The REF 2021 Code of Practice is consistent with the HR Excellence in Research Award, which was awarded to the University by the European Commission in 2011 and retained after an 8 year peer review in 2019. Fixed-term and part-time staff will not be treated any less favorably than comparable employees on open contracts or working full-time.

Central to our submission to REF 2021 will be an institutional-level environment statement, providing evidence about how equality and diversity in research careers is supported and promoted across the institution.

Definition of Research and Impact for REF 2021

The following REF 2021 definition of Research and Impact, as cited and detailed in the REF 2021 (2019) Guidance on Submissions, will underpin the REF 2021 Code of Practice and wider REF 2021 activities.

Definition of Research for REF 2021 (Further details in REF 2021 (2019) Guidance on Submissions)

For the purposes of REF 2021 research is defined 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; 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 analytical 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.

Definition of Impact for REF 2021 (Further details in REF 2021 (2019) Guidance on Submissions)

For the purposes of REF 2021, impact is defined as an effect on, change or benefit to the economy, society, culture, public policy or services, health, the environment or quality of life, beyond academia.

Definition of Scholarship for REF 2021 (Further detail in REF 2021(2019) Guidance on Submissions)

Scholarship for REF 2021 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.

Key REF 2021 Dates

Definition	Date or Time Period	Description
Census Date	31 July 2020	Census date for staff at the end of assessment period (for research impacts, the research environment, and data about research income and research doctoral degrees awarded).
Publication Census Period	1 January 2014 to 31 December 2020	Details of assessable outputs that the submitted unit has produced during the publication period.
Impact Census Period	<u>Impact Achieved</u> 1 August 2013 to 31 July 2020 <u>Underpinning Research Produced</u> 1 January 2000 to 31 December 2020	Case studies describing specific examples of impacts achieved during the assessment period that are underpinned by excellent research.
Research Income and Doctoral Degrees Awarded	1 August 2013 to 31 July 2020	Data about research doctoral degrees awarded, research income and income-in-kind related to the period.
Environment Institutional and Unit Level Census Period	1 August 2013 to 31 July 2020	An institutional level environment statement, and a completed template describing the submitted unit's research and impact environment, drawing on quantitative indicators as appropriate, and related to the period.
Submission Date	27 November 2020	Closing Date for Submissions.

How the REF 2021 Code of Practice Relates to Broader Institutional Policies/ Strategies that Promote and Support Equality and Diversity and Update on Actions taken since REF 2014

Introduction

The institution's approach to developing, consulting on and implementing the processes detailed in the REF 2021 Code of Practice has been informed by, and are embedded in the University's equality and diversity policies and strategies. This first section sets out the broader institutional approach.

Mainstreaming Equality

Mainstreaming describes the process by which equality and diversity are brought into the core of an institution's work and integrated into day-to-day activities. It is the process by which equality and diversity are considered in relation to all functions, including the development, implementation and review of policies and processes, supported by training and development. For the University, it means ensuring that equality sits at the heart of its mission, strategy, and operational delivery, in order to create a structure and a culture that embraces and advances equality and diversity.

We consider that there has been significant movement towards mainstreaming equality and diversity throughout the University in the period since the publication of the University's original Mainstreaming Report in April 2013. Equally, however, we recognise that we need to continue to establish outcomes where we have evidence to suggest inequality, with such evidence providing the basis for targeted action, including enhanced policy and practice.

The University has due regard to the general duties as specified under the Equality Act 2010, and which require the University to:

- Eliminate unlawful discrimination, harassment, and victimisation.
- Advance equality of opportunity by having due regard to removing or minimising disadvantage, meeting the needs of a particular group that are different from the needs of others and by encouraging participation in public life.
- Foster good relations by tackling prejudice and promoting understanding.

The equality outcomes reflect the protected characteristics of age, disability, faith/belief, gender identity, marriage/civil partnership, pregnancy and maternity, race, sex and sexual orientation.

University Governance

Embedding equality and diversity in our governance structures and in our strategic planning process is critical to mainstreaming equality and diversity, as is defining responsibilities, setting performance measures and monitoring progress against those measures.

While responsibility for mainstreaming equality and diversity within the University rests with all staff and students, the University Court is, as a matter of law, responsible for ensuring compliance with the Equality Act 2010 and for ensuring that the University meets its Public Sector Equality Duty (PSED) and the specific duties relevant to Scotland.

The University Court has a role therefore in overseeing the University's performance of its legal duties and in ensuring appropriate mechanisms are in place to provide the necessary assurances from the senior management team that legal requirements are being met.

The University Court exercises such oversight through the Equality and Diversity Committee (EDC). The EDC is responsible to the University Court for the development of the strategic framework for equality in service provision and in employment across the University. The Committee is a Standing Committee of the Court, to which it reports at each meeting on its discussions, on the development of specific initiatives, and to which it presents policies and procedures for approval. In so doing, it has a function that reflects the general duties.

The EDC has a remit to eliminate discrimination, advance equal opportunities and foster good relations by tackling prejudice and promoting understanding, thereby ensuring the University avoids the potential for discrimination on grounds of the protected equality strands.

The Committee's remit goes beyond legislative compliance. It aims to support delivery of key elements of the University's Strategic Plan through policy development and the promotion of examples of good practice from both internal and external sources. It also seeks to develop and maintain effective networking and liaison in equality and diversity issues. This applies internally within the University and externally, with a particular focus on working relationships with professional equality experts and equality bodies such as the Equality and Human Rights Commission and Advance HE (formerly the Equality Challenge Unit).

Along with its responsibility to develop and agree the institutional mission, the University Court has a role in 'establishing a vision for equality, and in moving the agenda beyond compliance to an approach that ensures the richness and diversity of society are reflected and celebrated within the institution'.

We consider that we have made significant progress over the last 5 years in particular in terms of the University Court's approach to its equality duties, evidenced through policy development and through systematic review of the diversity of its membership. Progress in terms of the latter is described below.

We have moved to collecting equality data in relation to Court members in support of our commitment to ensuring that there is an appropriate balance of independent members on the University Court in terms of equality and diversity. The data assists the Court in meeting its equality and diversity goals by identifying where gaps in representation arise, allowing the Court to target recruitment activity to ensure that an appropriate balance is achieved.

Recruitment for independent or lay members during 2015-17 continued to address directly the diversity of membership in line with the commitment set out in our Mainstreaming Report and Outcomes that 'all committees and decision making bodies of the University are representative of its community'. A diversity audit of current membership was conducted by the Nominations Committee so that recruitment took account fully of the balance of skills, attributes and experience of the current lay membership.

With advice from Advance HE, we have particularly sought expressions of interest from women, disabled people, ethnic minorities and applicants who would further enhance the diversity of the Court. Advertisements for vacancies are placed in a range of media, including, Women on Boards (WOB), with the intention of encouraging more female applicants. WOBs exists to provide information, encouragement and connections to help women get to the top within their own company or to take on a board or committee role as a non executive director (NED), trustee or governor. Again with the advice of Advance HE, the person specification was revised so as to accommodate those without previous board level experience, but who were able to demonstrate a track record of success in professional areas of expertise.

At its meeting in December 2014, the University Court approved goals and policies in regard to the balance of its independent members in terms of equality and diversity as follows:

'Queen Margaret University is committed to ensuring that the University Court (Court), Senate and all committees and decision making bodies of the University are representative of its community. In particular, the University will seek opportunities to address gender balance and to strengthen the representation and voice, amongst its lay membership, of all groups represented by Court'.

To this end, the University is committed to achieving the following goals and targets:
- The University will work towards achieving practical gender balance amongst lay

members of Court. Practical gender balance will be achieved where the lay membership of Court constitutes not less than 40% of either gender.

- The University will undertake an annual review of the equality and diversity characteristics of the Court or as a specific need for review is identified.

- In undertaking any recruitment activity concerning the appointment of lay members of Court, the Court will have regard to equality and diversity characteristics of the Court and will take positive actions to increase the likelihood of applications being submitted from applicants that would enhance the representative character of the Court.

- The University will harness appropriate opportunities to further promote and improve gender balance and enhance the representative character of the Court, Senate and other committees and decision-making bodies within the University including but not limited to making training on equality and diversity available to members of the Court.

A number of other Committees and structures within the University are concerned with eliminating discrimination, advancing equal opportunities and fostering good relations by tackling prejudice and promoting understanding, These include the Research Strategy Committee, REF 2021 Strategy Group, REF 2021 Equality and Inclusion (Code of Practice) Group and our Graduate School, responsible for our Doctoral Candidates.

Wider Institutional Mission, Vision and Strategic Planning

The University's refreshed Vision (April 2015) is to be 'a University of ideas and influence'. The University's Mission reflects the Vision, with a stated commitment to social justice and to being a community without borders. Underpinning the Mission and the Vision are the Values to which the University aspires, including 'recognising equality and diversity in all we do'.

Through supportive leadership, staff are encouraged to think creatively and take considered risks. We will attract and retain good staff by valuing them through transparent promotion opportunities, appropriate staff development, inclusivity and equality, and through instilling in our staff a strong sense of social responsibility. The policy and practice of the University is that staff are afforded equal opportunities within employment. Entry into employment, and progression within employment, is determined by personal merit and the application of criteria related to the duties of each particular post and the relevant salary structure.

We are committed to ensuring that our staff population is representative of the wider community. Monitoring of that is conducted through profiling of staffing. Evidence in support of that is published every two years, with the most up to date report being published in April 2019.

Equality Policy

The University adopted a revised Equality Policy in 2015, which, with the Mainstreaming Report, replaced the University's Single Equality Scheme. The Equality Policy articulates the University's approach to Equality in relation to staff and students. Amongst its provisions are:

- Staff and students at the University are expected to treat others with respect at all times and to challenge discriminatory behaviour, attitudes or practices whenever they occur.

- In support of the above, the University will provide opportunities for staff and students to participate in learning opportunities that enable them to consider their own prejudices and adopt good practice.

- In relation to staff, the policy confirms the University's position, which is that staff are afforded equal opportunities within employment, and that entry into employment with the institution, and progression within employment, will be determined only by personal merit

and the application of criteria which are related to the duties of each particular post and the relevant salary structure.

- It is in the best interests of the University and everyone who works within the University to ensure that whenever employment opportunities arise, we consider the human resources, talents and skills available throughout the community. Within the framework of the law, we are committed, whenever practicable, to achieve and maintain a workforce that broadly reflects the community in which we operate and this will include using diverse sources of recruitment and adverts which target specific groups where permissible. The University will also provide fair and accessible opportunities for training and promotion for staff.

- The University will promote the use of inclusive language and avoid the use of words or phrases which are discriminatory or exclusive in all University publications and correspondence.

- The Court shall promote mainstreaming and ensure equality is an integral part of the planning process. The Court shall also take active measures to encourage diversity in membership and the business of the Court and actively involve students in decision making and policy development.

- In research, the University will continue to advance equality and diversity in REF 2021 and build on this good practice in the future. The University will celebrate and promote equality and diversity in research through the use of case studies, engagement in sector working groups, events, nominated champions and promotional material.

- The University will maintain its Athena SWAN awards and seek to obtain further recognition to promote its good practice.

- The EDC will ensure that the Equality Policy and its aims are enacted throughout the University by the scrutiny of emerging policy and procedure under the Equality Impact Assessments (EIA) regime and through reporting on mainstreaming and the equality outcomes. Employment statistics will be reviewed by the EDC and published in line with the Scottish specific duties to ensure that, in terms of employment, the University is meeting the aims under this policy.

Institutional Mainstreaming - Equality Impact Assessment (EIA)

As part of its mainstreaming approach, the University undertakes EIAs when reviewing and developing strategy, policy and process. This is an area where we have made significant progress over the last 5 years, but we recognise that we have more to do in terms of expanding the pool of trained staff. Further narrative is included throughout the REF 2021 Code of Practice.

We have in place management information capability that provides us with the basis to monitor and evaluate our performance across a wide range of indicators. We recognise though that the usefulness of such management information is reliant on our capacity to collect data and to produce resulting meaningful analysis. This is an area in which we have made significant progress over the past 5 years in terms of student data collection and analysis, and through the further development of our Human Resources (HR) iTrent system.

The Use of Equality Impact Assessment (EIA) in the Implementation of the REF 2021 Code of Practice

EIAs have been, and will be conducted routinely during the development of all policies and procedures. In order to understand better the potential barriers to research individuals from protected groups face, the University undertook a survey of all academic staff in early 2019. The data collected from that survey informs our approach to ensuring our processes eliminate bias

and promote equality in research. EIAs have been and will be used to inform the development, application and outcome of the REF 2021 Code of Practice and at the following stages identified in **Figure 1**.

Figure 1 The use of EIA in the development and application of REF 2021 processes

Equality Impact Assessment (EIA)	Committee responsible for EIA of Process Development and EIA of Application of Processs and Timing
Development of the REF 2021 Code of Practice	Final Code of Practice: REF 2021 Equality and Inclusion (Code of Practice) Group May 2019
REF 2021 Identification of Staff with Significant Responsibility for Research and Research Independence	Process Development : REF 2021 Equality and Inclusion (Code of Practice) Group - December 2018 - Process Application: REF 2021 Staff Panels January 2019, January 2020, July 2020
REF 2021 Staff Appeals	Process Development : REF 2021 Equality and Inclusion (Code of Practice) Group - March 2019 Process Application: REF 2021 Appeals Panel - May 2019, October 2019 May 2020, October 2020
REF 2021 Procedures for taking into account staff circumstances	Process Development : REF 2021 Equality and Inclusion (Code of Practice) Group - May 2019 Process Application: REF 2021 Staff Circumstances Panel July 2019, March 2020
Spread of outputs across staff (in relation to their protected characteristics) and how these have infomed the REF 2021 final selection of outputs	Process Development : REF 2021 Equality and Inclusion (Code of Practice) Group - Septemer 2019 Process Application: REF 2021 UoA Group January 2020, July 2020, October 2020
REF 2021 Submission Outcome	Final Submission Outcome: REF 2021 Equality and Inclusion (Code of Practice) Group December 2021

EIAs have been and will be undertaken on the process development (to assess potential effects) and process application (outcome of the application of the process). The frequency and timings of EIAs are key to the delivery of the REF 2021 Code of Practice. EIAs have been undertaken where the key processes above have been developed and will be repeated each time the process is applied by the relevant REF 2021 Panel or Group. The results of the EIAs will be used to inform processes as stated in each of the sections of the REF 2021 Code of Practice. All EIAs will be considered by the institutional EDC and made available to all staff via the REF 2021 Intranet Site.

The EIA on the final submission to REF 2021 by the University on the distribution of outputs across staff (in relation to their protected characteristics) will be informed by the final selection of outputs submitted at UoA Level. This will be completed by REF 2021 Unit of Assessment (UoA) Leads, supported by HR. Actively addressing and responding to issues identified by EIAs in relation to output selection is a specified criterion for output selection in the REF 2021 Code of Practice.

An EIA of this Code of Practice is provided in **Appendix 19.** Additional individual EIAs on the development of underpinning processes are published on the EDC and REF 2021 staff intranet sites.

Human Resources (HR) Strategy

In support of our commitment to embedding transparent and fair practices in the recruitment and selection of our staff, all HR policies including those concerned with the recruitment and selection of staff are subject to robust EIA.

In order to ensure fair treatment the University adopts a competency based approach to interviews; all those participating in appointment panels are offered training and HR support in order to enrich their understanding and ensure consistent application of the competency based approach. The competency based approach supports the objective assessment of competencies linked to the job description reducing the potential for bias in selection decisions.

In addition to face-to-face training and HR support, the University launched in February 2015 a range of e-learning modules, including specific training on unconscious bias. These modules have been made available to all staff. In April 2016, unconscious bias e-learning training was made mandatory for all staff participating in selection panels for staff recruitment and from 2018 became a mandatory training requirement for all new staff. Most recently in March 2017 and in March 2018, unconscious bias training was extended to members of the EDC and University Court members. The University continues to offer equality and diversity training for all staff on an annual basis.

We are committed to the principle of equal pay for work of equal value, free from bias and based on objective criteria. The University recognises that under the Equality Act 2010, both women and men have the right to equal pay for work of equal value. This applies to all employees regardless of full or part-time status, casual or temporary contract or length of service. Equally, the University also recognises its duty to provide equal pay for work of equal value regardless of differences in age, disability, faith/belief, gender identity, marriage/civil partnership, pregnancy and maternity, race, sex and sexual orientation.

The University has in place a pay and grading system which is used to assist in determining equal pay across the University. The pay and grading system is applied transparently, based on objective criteria, and free from unlawful bias. The University's policies and procedures associated with pay and remuneration have been developed and implemented with a view to eliminating unlawful bias and are systematically monitored and reviewed.

In order to put the University's commitment to equal pay for work of equal value into practice we:

- Conduct an equal pay review on an annual basis in accordance with the PSED for all current staff and starting pay for new staff.

- Monitor the impact of our policies and procedures associated with pay and remuneration and take appropriate action where necessary.

- Provide guidance for managers involved in decisions about recruitment, pay, benefits and promotions.

We are one of 6 universities in Scotland that have made the real Living Wage commitment by becoming an accredited Living Wage employer. The University welcomed the Scottish Government's Higher and Further Education Minister, Shirley-Anne Somerville, to celebrate the this commitment during Living Wage Week (30 October - 5 November 2016).

All HR polices are subject to review on an annual basis or as legislation changes, and are subject to an EIA and to consultation with the University's Trade Unions.

The University has developed policies for Special Leave arrangements which offer a degree of work flexibility for those staff with caring responsibilities. The University provides for flexible working requests from all staff. Managers work with staff members to establish working patterns and arrangements that meet the needs of the individual and of the University. The University accommodates a high volume of flexible working requests, both formal and informal to support employees in managing their caring responsibilities.

Return to work from periods of absence is given particular emphasis to ensure staff feel welcomed back. Flexibility of working patterns is discussed and supported either short or long-term to assist a smooth transition back to work.   Re-induction and re-training may be considered, especially if significant changes have occurred during staff absence. For nursing mothers, a designated, private nursing room with fridge storage facilities is available.

All employees have access to a confidential Employee Assistance Programme (EAP) external to the University. The EAP may be useful for individuals returning to work, services include: counselling, a health information helpline, work-life management support and access to online information and support.

Awareness of HR policies continues to be raised through the University induction process and through the QMU@Work booklet.

Institutional activity in support of Athena SWAN

The University was awarded an institutional Athena SWAN Bronze Award in April 2013 and successfully renewed the Bronze Award in 2017. Since then, our Athena SWAN team has continued to progress gender equality across the institution by addressing actions set out in our Action Plan. There is a clear commitment to embedding Athena SWAN principles across our workforce. We have implemented a rolling programme for departmental award applications across academic divisions in Science, Technology, Engineering, Mathematics and Medicine (STEMM) and Arts, Humanities, Social Sciences, Business and Law (AHSSBL) over the next 4 years. The University also currently holds a Bronze departmental award for the Division of Nursing.

Institutional activity to address the Disability Profile of Staff

As a 'Disability Confident' accredited employer, the University is committed to implementing core actions and activities to support disabled people under the themes, 'Getting the right people for your business' and 'Keeping and developing your people'. 'Disability Confident' is a scheme that is designed to help organisations recruit and retain disabled people and people with health conditions for their skills and talent. The University offers recruitment applicants who meet the essential criteria for a role a guaranteed interview and consider reasonable adjustments for new and existing staff declaring a disability. The University accommodates many adjustments for staff on the basis of disability both in relation to workstations and working arrangements such as adjustments to working hours, start and finish times etc. By their nature many of the adjustments made are specific to the individual staff member; however consideration is given to whether the adjustment could be implemented for all staff.

Institutional activity to address the Gender Profile of Staff

The majority of our staff are female, this reflects the gender balance of the student bodies in the disciplines we teach and reflects the gender balance of the professional workforces. The University's work in progressing gender equality focusses on ensuring that females are as likely to as males to progress to senior positions. We are currently working to review our procedures for the reward, recognition and progression of staff in support of this.

Institutional activity to address the Ethnicity Profile of Staff

Only 4.6% of University staff are BME which is below the Scottish HEI benchmark of 8.6%. We continue to ensure our recruitment and retention strategies are aligned to both BME and Non BME staff.

Institutional activity to address the Gender Pay Gap

The University's Equal Pay Review for 2018 shows that we have an overall pay gap in favour of female staff of 0.27%. We continue to review our pay data on an annual basis and advance actions related to gender pay via our Athena SWAN action plan.

Alignment with Institutional Research and KE Strategy

The REF 2021 Code of Practice aims to support the University's Research Strategy 2015-20 which states our commitment to:

- Improving the quality of life and building the evidence-base for policy and practice through world leading multidisciplinary, translational research and international collaboration.

- Initiating and sharing research ideas that are demand led and focused on a broader perspective - the value of our work is measured by its impact and the social usefulness, practicality and applicability of its outcomes.

- Working at the intersection of conventional disciplinary groupings to create innovative approaches to contemporary societal challenges and public discourse; and to making a significant contribution to the creation and sharing of knowledge that reaches and influences a broad range of regional and international stakeholders.

With input from staff across the institution, a post REF 2014 Away Day took place on 28 March 2014 to reflect on the REF 2014 submission and EIA and to develop future strategy for REF 2021.

Themes emerging from the event and an update on how some of these have been addressed are summarised below:

Action Identified post REF 2014 - Improve equality and diversity monitoring and data.
Update at REF 2021   • Regular EIAs underpin all University policies relating to research and knowledge exchange.   • Feedback from EIAs are used to inform and shape the implementation of policies at a grassroots level.   • Recruitment and Selection Policy and Procedures improved, with further work underway.   • Generic role profiles for all research roles developed and incorporated into QMU's DEVELOP tool as a research job family.   • An HR induction conducted with staff during their first weeks in post, with an overview of key HR policies.   • Enhanced staff management information reports implemented.

Action Identified post REF 2014 - Identify ways to promote clarity and celebrate diversity in QMU academic identities.

Update at REF 2021

- New Research and KE webpages launched in 2016.
- Curation and celebration of QMU Inspiring Female Researcher Exhibition in 2015 – also on the University webpages.
- EntreprenHER event with our Chancellor Prue Leith in 2019.
- Dedicated support and funding for female researchers to attend events i.e. Soapbox Science and AcceleratHER.
- Success in Athena SWAN with a rolling programme of applications.
- Eight year retention of the HR Excellence in Research Award.

Action Identified post REF 2014 - Improve and enhance opportunities for mentoring, sabbaticals and researcher development.

Update at REF 2021

- Researcher development budgets allocated to Schools and Research Centres.
- Institutional membership of Vitae and subscription to the Vitae Researcher Development Framework (RDF) Planner. Workshops on using the RDF planner run four times a year and are used to encourage uptake by new staff, but also as a refresher for existing subscribers.
- Mentoring and introduction of research development plans launched by Research Centres.
- Specific initiatives around mentoring and local peer to peer buddying for female researchers introduced.
- Dedicated institutional contract research staff mentor appointed.
- Sabbaticals Policy reviewed and refreshed.
- Four female academic staff members (including two contract researchers) supported to attend the Aurora Leadership development programme.
- New multidisciplinary strategic Research Centres launched in 2015 and reviewed annually.
- Twice yearly meetings between Contract Research Staff and the Deputy Principal, Research and Knowledge Exchange Development Unit, Human Resources and the University REF 2021 Academic Lead.
- Collegial support for writing a key aspect of the Research Centre environment. e.g. Heads of Division / Research Centres have allocated time for early career researchers to write papers and bids, resulting in some notable successes, e.g. won Best Early Career Scholar's Article of the Year.
- Enhanced and accessible support for high quality research grant applications through a new restructured Research Grants and Contracts Unit based in Finance.
- Maximised opportunities for international researchers by increasing QMU's role as a partner in the British Council's EURAXESS programme and other researcher mobility networks to support our ability to attract an increased number of international researchers.

Action Identified post REF 2014

- Increase strategic dialogue between UoA Leads, Heads of Division and Deans to look at Performance Enhancement Review (PER), Workload Allocation Model, promotions and academic identities in research and learning and teaching.

- Embed parity of esteem in research, KE and impact.

- Harmonise the reporting, structural and operational boundaries between Schools, Divisions, UoA and Research Centres in order to promote and incentivise research and KE.

Update at REF 2021

- New Workload Allocation Model launched in 2019.
- New PER programme rolled out across the institution in 2019.
- Heads of Division now integrated into REF 2021 submission planning and strategy.
- New Teaching and Scholarship contract launched in 2019.
- Introduction of University Planning Cycle to ensure workload allocation, PER and promotions processes are aligned.
- New multidisciplinary strategic Research Centres launched and subject to annual equality and diversity monitoring.
- Multidisciplinary REF audit meetings introduced to monitor output activity against protected characteristics (prior to the issue of new guidance on SRR and independence).
- New REF2021 UoA Groups and Staff Panels launched.
- Enhanced staff management information reports implemented.

- Barriers to Research Staff Survey in 2019.

Action Identified post REF 2014

- Ensure compliance with sector Concordats and contemporary standards of good practice to ensure quality and integrity in research.

Update at REF 2021

Signatory to the:

- Concordat for Research Careers (8 Year HR Excellence in Research Award retained).

- Concordat for Public Engagement with Research and Manifesto for Public Engagement.

- Concordat for Research Integrity.

- Concordat for Open Research Data.

- Research Metrics - DORA/Leiden Manifesto.

- Signed a new Manifesto with the Edinburgh Beltane Network for Public Engagement.

- Active member in a collaborative group across all Scottish Universities looking at Equality and Diversity in Research and Innovation supported by the Scottish Funding Council's University Innovation Fund (UIF).

- Institutional membership of the UK Research Integrity Office (UKRIO) in 2018 and research integrity training rolled out to all staff in 2019.

> **Action Identified post REF 2014** - Establish mechanisms to fully capture the positive impact of our research on the economy, health, society, culture, and public discourse.
>
> **Update at REF 2021**
> - New Research Impact Strategy and investment plan launched and implemented from 2016 onwards.
> - Dedicated initiatives have targeted specific groups i.e. women and early career researchers to support their wider translational and impact skills, including media and blog training, engagement with the Scottish Parliament and third sector engagement events.
> - Investing in a refreshed collaborative partnership through the Beltane Public Engagement Network with the University of Edinburgh, Heriot Watt University and Edinburgh Napier University. This has helped promote collaboration with a greater and diverse pool of researchers.

In September 2018 we were part of the first cohort of UK universities to submit to the Concordat for Research Careers HR Excellence in Research Award Eight Year Review. Retention of the award after eight years is a significant achievement and we have welcomed the timely production of the UKRI Review of the Concordat to Support the Career Development of Researchers (June 2018). We have embraced some of the helpful key themes presented in this Review, relating to Researcher Independence, Freedom to Innovate and Equality and Diversity in the delivery of our Concordat Action Plan 2018-2020. In March 2019 we received confirmation that we had been successful in our eight year retention of the award.

Our Welcome to Research@QMU staff booklet, which sets out our commitment to equality and diversity in research, is available on the website, in hard copy at key points across the campus and is sent to all new members of staff by HR. In 2015, as part of our post REF 2014 strategy, we invested in a new institutional structure of strategic Research Centres to help drive equality and diversity at disciplinary level. Specific initiatives around mentoring and peer to peer buddying for female researchers were introduced. Through the annual review of Research Centres, taking place every November, the University monitors progress in addressing and responding to equality and diversity issues and KPIs have been set.

Since REF 2014, we have sought to establish mechanisms to fully capture the positive impact of our research on the economy, health, society, culture, and public discourse. In 2015 a new Research derived Impact Strategy and investment plan was launched and implemented from 2016 onwards.

On the commercialisation of research we are working with other Scottish Universities through the Scottish Funding Council's (SFC) University Innovation Fund (UIF) collaboration to improve baseline data on equality and diversity for innovation and enterprise activities including the translation of research to industry, start-ups and spin-out. We are actively involved in a UIF working group, tasked at addressing Equality and Diversity in research and innovation. Specifically we have been championing Female Entrepreneurship, building on the success of our 2019 EntreprenHER event with our Chancellor Prue Leith. We are committed to ensuring that our mandates for equality and diversity and social innovation cut across all of our research and innovation activities, rather than acting as discrete, unsustainable, stand-alone initiatives.

We have continued to promote equality and diversity in research careers building on initiatives such as the curation and promotion of the QMU Inspiring Female Researcher Exhibition in

2015 and QMU Inspiring Female Entrepreneur Exhibition in 2017. We remain committed to championing equality and diversity in research careers both within and beyond the traditional domains of STEMM and Athena SWAN.

The University is fully committed to the REF 2021 principle that there are multiple reasons why an excellent researcher may have fewer or more outputs attributable to them in the assessment period and, therefore, the University does not expect that all submitted staff will be returned with the same number of outputs pro-rata.

Central to the University's strategy is the underpinning principle of REF 2021 that all types of research and all forms of research output across all disciplines shall be assessed on a fair and equal basis, including interdisciplinary and collaborative research. We welcome recognition by REF 2021 of the essential role of interdisciplinary research in addressing complex problems and research questions posed by global social, economic, ecological and political challenges.

Appendix 3 sets out categories of output types under which outputs can be submitted in REF 2021. The University will not regard any particular form of output as of greater or lesser quality than another per se including:

- (Parts of) books.
- Journal articles.
- Physical artefacts.
- Exhibitions and performances.
- Other documents.
- Digital artefacts.
- Other.

How the institution is addressing the principles of Transparency, Consistency, Accountability and Inclusivity in demonstrating fairness

The University is committed to demonstrating fairness to its staff by addressing the following REF 2021 principles through its REF 2021 Code of Practice:

Transparency

- Appointment of a University REF 2021 Academic Lead to champion the REF 2021 Code of Practice and promote understanding of the processes that underpin it.

- Investment in a new dedicated, independent central post in the Research and Knowledge Exchange Development Unit (RKEDU) to oversee the operational implementation of the REF 2021 Code of Practice process specifically on the selection and attribution of outputs across all UoAs.

- Transparency in processes that are made available in an easily accessible format and publicised to all academic staff across the institution, including on the staff intranet, hard copy and the University website and drawn to the attention of those absent from work.

- Promotion of an institutional programme of communication activity that will be used to disseminate the REF 2021 Code of Practice and explain the processes relating to it.

- Implementation of a supporting institutional statement, supported by a programme of planned staff training, on the use of research metrics in research assessment. By using a defined and balanced set of measures that are normalised by subject and aligned to REF 2021 (2019) Panel Criteria and Working Methods, the University will apply the use of quantitative metrics in research assessment responsibly. Any areas of potential sources

of bias will be addressed. It is recognised, for example, that the most commonly used citation databases are not fairly representative of all our disciplines or output types (e.g. monographs), and that publishing practices vary by gender.

Consistency

- Appointment of a REF 2021 Equality and Inclusion (Code of Practice) Group, with nominated representatives from the Trade Unions and the institutional EDC, to ensure that the REF 2021 Code of Practice is uniformly implemented across the institution.

- Promotion of an independent, institutional role for RKEDU to ensure responsibility for the day to day operational implementation of the REF 2021 Code of Practice and maintaining oversight of its transparent and consistent application.

- An institutional directive that all decisions relating to the implementation of the REF 2021 Code of Practice are logged centrally using standard institutional forms and follow approved processes.

- Provision of secretariat by RKEDU to all meetings across the institution relating to the implementation of the REF 2021 Code of Practice – Selection of Outputs. Minutes of all meetings logged centrally.

- Provision of secretariat by HR to all meetings across the institution relating to SRR, Research Independence and Staff Circumstances. Minutes of all meetings logged centrally.

- Provision of support from HR Partners to REF 2021 UoA Leads in undertaking EIAs. All EIAs logged centrally and sent to the institutional EDC.

- Robust and auditable decision-making processes implemented to ensure that all eligible staff are treated fairly and consistently.

Accountability

- Through the institutional EDC, ensure that all REF 2021 structures and processes are deeply embedded in wider institutional support for equality and diversity.

- The REF 2021 Code of Practice describes in detail the governance structures for REF 2021. REF 2021 decision making processes are set out in **Appendix 4**.

- Specific REF 2021 Equality and Diversity training for all staff involved in REF 2021 decision making processes.

- An Independent REF 2021 Appeals Panel, including two external members with extensive experience in research assessment in other HEIs, who will support processes for SRR and Research Independence.

- All decisions based on auditable evidence and in line with the REF 2021 Code of Practice.

- A commitment, through a new institutional membership to the UK Research Integrity Office (UKRIO), to maintaining the highest standards of research integrity and compliance with the Concordat to Support Research Integrity. This Concordat seeks to provide a comprehensive national framework for good research conduct and its governance and supports our work with UK Research and Innovation (UKRI) to maintain accuracy, honesty and transparency. The institutional assessment of research integrity will also form part of the environment section of REF 2021. A staff training programme to support our commitment to research integrity has taken place and will be repeated.

- A Research Support Librarian available to help all staff with open access and publishing, research metrics, resources to assist with developing and measuring impact, and research data management.

Inclusivity

- Rolling processes running until the REF 2021 census date, that will enable the University to identify all eligible staff, including those who are independent researchers and those with protected characteristics, and to consider all of their eligible outputs.

- Identified all 'eligible' staff on teaching and research and research only contracts and seeks to include in its submissions outputs from all staff that meet the criteria set out in the REF 2021 Code of Practice.

- A programme of REF 2021 Staff Training on self assessment of outputs and understanding REF quality ratings and the use of metrics, adapted to the working methods and criteria of the different REF 2021 Main Panels.

- A Staff REF 2021 'drop-in' clinic, led by the REF 2021 Academic Lead, running every month from March 2019 until the REF 2021 census date to encourage informal discussion and dialogue.

- Feedback from a staff survey to identify barriers to research, undertaken prior to the publication of the REF 2021 Code of Practice, and addressed and implemented going forward.

- Promotion of an inclusive research environment by establishing, maintaining and updating EIAs at all key stages of the process.

- Ensure that our commitment to the principles of Transparency, Consistency, Accountability and Inclusivity are reflected and underpin the Environment and Impact sections of our REF 2021 Submission.

Reference will be made to the principles, as appropriate, throughout the implementation of the REF 2021 Code of Practice.

How the REF 2021 Code of Practice is being communicated to staff across the institution (including to those on leave of absence) through the various mechanisms and channels, including the staff intranet

A comprehensive programme of communication has and will be implemented as follows:

- Publication of ongoing drafts and of the REF 2021 Code of Practice on the University's intranet and website (in accessible formats).

- Ongoing discussions at committees, staff meetings and dedicated REF 2021 Code of Practice meetings with the Trade Unions to ensure meaningful consultation.

- An institution wide staff consultation on SRR and Research Independence from 1 March to 1 May 2018.

- Promotion of ongoing opportunities for staff consultation in the development of the REF 2021 Code of Practice in the Principal's Monthly Newsletter.

- REF 2021 Strategic Update emails sent to all staff from the Principal.

- REF 2021 Regular Update emails from the Deputy Principal.

- Tailored communication programmes for specific groups i.e. contract research staff.

- Promotional material and visual awareness campaigns around the campus including REF 2021 'Pop-Ups'.

- Appointment of an institutional REF 2021 Academic Lead to champion the REF 2021 Code of Practice.

- All academic staff away from the University, including those on sick leave, sabbatical, career break and child related leave, will receive a copy of the REF 2021 Code of Practice at their home address.

- A Staff REF 2021 'drop-in' clinic, led by the REF 2021 Academic Lead, running every month from March 2019 until the census date to encourage informal discussion and dialogue.

- New members of REF 2021 Eligible Staff, joining the University after the publication of the REF 2021 Code of Practice, will be sent an email introducing the REF 2021 Code of Practice and alerting them to the University REF 2021 webpage and processes.

- Awareness of the REF 2021 Code of Practice underpins all stages of the REF 2021 submission development throughout the census period. Good practice will be applied and embedded in Impact Case Study selection and development.

- Requirement for Research Centre Directors to embed the institutional spirit and commitment to the REF 2021 Code of Practice in our wider research environment beyond REF 2021. This will be monitored and progress published via the Research Centre Annual Reviews that take place in November each academic year.

- The University has also prepared a user friendly, quick reference guide to support this document. This will be made available to all academic staff including those away from the University.
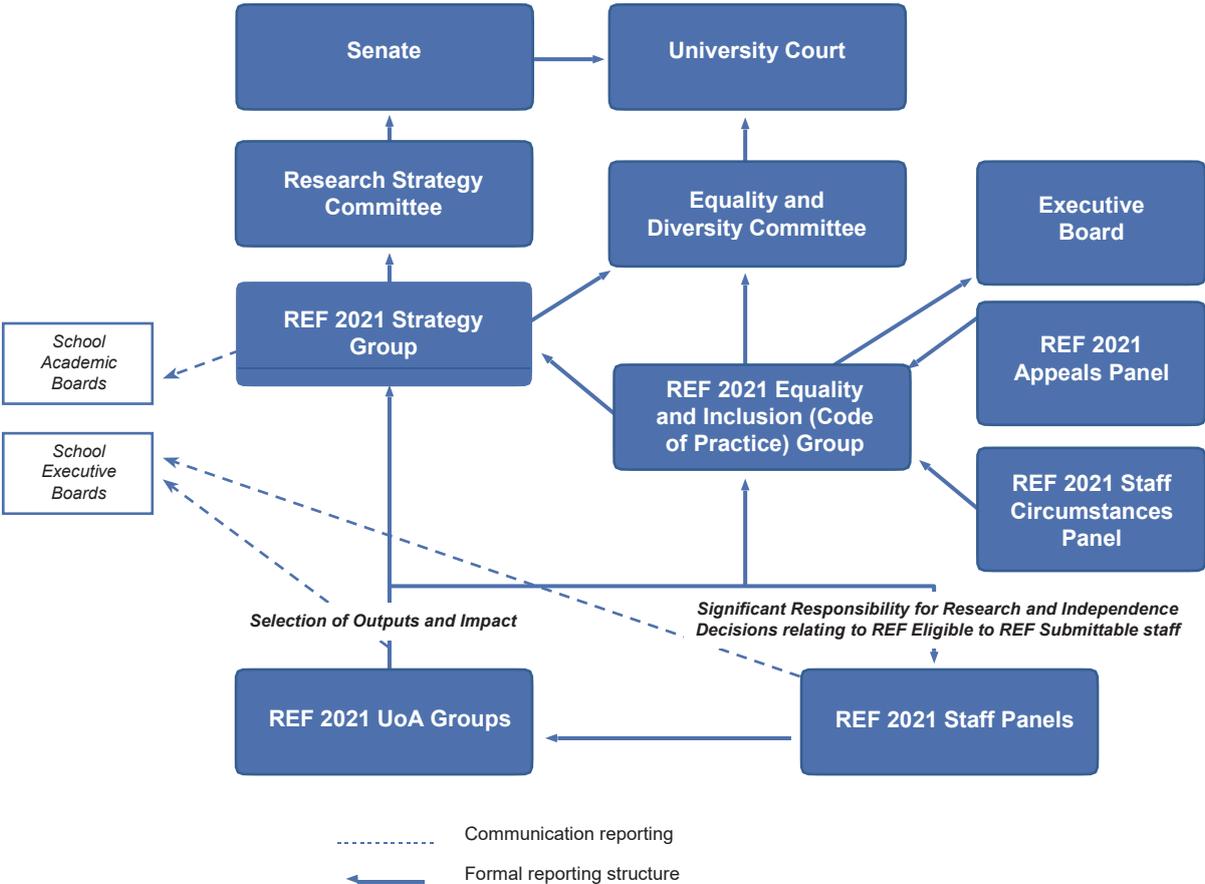
Staff, Committees and Training

The staff and committees involved in all of the processes covered by the REF 2021 Code of Practice are briefly summarised in **Figure 2b (Refer to Appendix 4 for further detail)**. All staff involved in the processes have and will be provided with training on equality and diversity, tailored to the purposes of REF 2021. The QMU REF 2021 Equality and Diversity Training Programme **(Refer to Appendix 5)** details the equality training that designated persons will either undertake or have undertaken during the assessment period and the level of understanding of the issues they will be required to attain. This includes training schedules for staff and committees, with criteria for training clearly recorded.

The University is a small HEI with approximately 250 REF 2021 Eligible Staff. A strategic decision, in consultation with staff, was taken not to undertake a mock REF exercise and to prioritise embedding the structures, training and values that will support the REF 2021 Code of Practice and remove any unconscious bias **before** making any decisions on quality.

Figure 2a Structures to support the REF 2021 Code of Practice (Full details in Appendix 4)

University Court	• Responsible for carrying out the objectives of the University, ensuring the financial sustainability of the University and approving the strategic plan.
Senate	• Maintain the academic standards of the University.
Research Strategy Committee	• Approve the work of the REF 2021 Strategy Group.
Equality and Diversity Committee	• Set the strategic framework for equality in service provision and in employment across the University. Receive all Equality Impact Assessments.
Executive Board	• Approve the submission to REF 2021 and advise on matters relating to HR policy and finance.
REF 2021 Strategy Group	• Oversee the strategic development and management of the University's submission to REF 2021 in line with the principles of Transparency, Consistency, Accountability and Inclusivity.
REF 2021 Equality and Inclusion (Code of Practice Group)	• Develop and oversee the implementation of the REF 2021 Code of Practice.
REF 2021 Staff Panels	• Apply criteria and make decisions on staff regarding Significant Responsibility for Research and Research Independence. Produce the list of REF 2021 Submittable Staff.
REF 2021 UoA Groups	• Make recommendations on the quality and selection of outputs, UoA level submission strategy, environment and impact.
REF 2021 Appeals Panel	• Receive, consider and make decisions on all requests for appeals.
REF 2021 Staff Circumstances Panel	• Receive and make decisions on all requests for staff circumstances.

Figure 2b Summary Diagram of all REF 2021 Committees and Groups

| Senate | → | University Court |

Research Strategy Committee

Equality and Diversity Committee

Executive Board

REF 2021 Strategy Group

REF 2021 Equality and Inclusion (Code of Practice) Group

REF 2021 Appeals Panel

School Academic Boards

School Executive Boards

REF 2021 Staff Circumstances Panel

Selection of Outputs and Impact

Significant Responsibility for Research and Independence Decisions relating to REF Eligible to REF Submittable staff

REF 2021 UoA Groups

REF 2021 Staff Panels

------- Communication reporting

←—— Formal reporting structure

PART 2 AND PART 3 IDENTIFYING STAFF WITH SIGNIFICANT RESPONSIBILITY FOR RESEARCH AND RESEARCH INDEPENDENCE POLICIES AND PROCEDURES

Background

The UK Higher Education Funding Bodies' REF 2021 guidance states that criteria for identifying staff for submission to REF 2021 should be developed collaboratively with the academic staff body, and that evidence of institution-wide consultation on the criteria should be available in the institution's REF 2021 Code of Practice.

The University made the decision to seek the early views of academic staff on the University's proposed criteria for identifying those staff with SRR and Research Independence in preparation for REF 2021. Identifying criteria for REF 2021 Submittable Staff at an early stage has allowed us to further mainstream equality and diversity in research careers by setting clear expectations of transparency in strategic REF 2021 preparations and monitoring at UoA level.

A University Staff Consultation on Criteria for Identifying Staff with SRR and Research Independence took place from 1 March 2018 to 1 May 2018. This was a high profile exercise, led by the Deputy Principal and included a range of staff events and input from the Trade Unions. Details of the consultation are available in **Appendix 6.** At the end of the consultation period, feedback was provided to academic staff on the results of this initial, first stage early scoping and the process approved. The consultation proposals were then aligned to and met the requirements of the REF 2021 Draft (2018) and Final (2019) Guidance on Submissions and Panel Criteria and Working Methods. An EIA was undertaken to support the process, and on the potential impact of the identification of REF 2021 Submittable Staff prior to the submission of the REF 2021 Code of Practice to the UK Higher Education Funding Bodies on 7 June 2019.

The University has combined Parts 2 and 3 of the REF 2021 Code of Practice as the underpinning structures, processes, and decision making are the same. The decisions will be recorded for both outcomes relating to SRR and Research Independence by the REF 2021 Staff Panel using the REF 2021 Staff Panel Meeting Outcome Record **(Refer to Appendix 7)** and the Minutes from these meetings, together with the supporting evidence, will reflect this.

The following process will be used by the University to determine which staff have SRR and are eligible to be submitted to REF 2021. For the purpose of REF 2021, the following definitions are used:

REF 2021 Definitions (Extract from the REF 2021 (2019) Guidance on Submissions) 'Category A Eligible' Staff:

- All staff on Teaching and Research or Research-only contracts.

- Considered to be Independent Researchers.

- Minimum of 0.2 FTE.

- Substantive connection with the submitting institution.

'**Category A Submittable' Staff**:
- Staff from total pool identified as having SRR on the REF 2021 census date (31 July 2020).

REF 2021 Staff with SRR (Extract from the REF 2021 (2019) Guidance on Submissions) are those whom:

'Explicit time and resources are made available'. Indicators of this could include:

- A specific proportion of time allocated for research, as determined in the context of the institution's practices and applied in a consistent way.
- Research allocation in a workload model or equivalent.

'To engage actively in independent research'. Indicators of this could include:

- Eligibility to apply for research funding as the lead or co-applicant.
- Access to research leave or sabbaticals.
- Membership of research centres or institutes within the HEI.

'And that is an expectation of their job role'. Indicators of this could include:

- Current research responsibilities as indicated in, for example, career pathways or stated objectives.
- Expectations of research by role as indicated in, for example, job descriptions and appraisals.

Institutional criteria used for identifying staff with SRR, including information about how the criteria are being applied, and grounds for decisions taken

The following menu of indicators (based on the REF 2021 (2019) Guidance on Submissions and Panel Criteria and Working Methods) will be used to identify staff with SRR:

- Full membership of a Research Centre (Associate Membership or above for Early Career Researchers).
- Principal Investigator on an external research grant or equivalent as recorded on PFact (the institution's research grants and contracts financial database).
- Promotion on the basis of research within the REF 2021 staff census period of 1 January 2014 to 31 July 2020.
- Research Only Contract.
- REF 2021 Objectives specifically identified in Performance Enhancement Review document and workload priorities.
- Exceptionally, independence may be considered as part of the process of identifying staff with SRR.

These criteria will be applied to all REF 2021 Category A Eligible Staff. Where two or more of the criteria are applicable, the staff member will be considered to have SRR.

Criteria for determining staff who meet the definition of an Independent Researcher, including information about how the criteria are being applied, and grounds for decisions taken

For the purposes of REF 2021, an Independent Researcher is defined as an individual who undertakes self-directed research, rather than carrying out another individual's research programme.

Staff employed on 'research only' contracts must be Independent Researchers to meet the definition of REF 2021 Category A Eligible. All staff on 'research only' contracts who are Independent Researchers will be returned as REF 2021 Category A Submittable.

Research Assistants (sometimes also described as research associates or assistant researchers) are not eligible to be returned to REF 2021 unless, exceptionally, they meet the definition of an Independent Researcher on the REF 2021 census date and satisfy the definition of REF 2021 Category A Eligible Staff. They must not be listed as REF 2021 Category A Submittable purely on the basis that they are named on one or more research outputs.

The following menu of indicators (based on the REF 2021 (2019) Guidance on Submissions and Panel Criteria and Working Methods) will be used to identify staff who are independent researchers:

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

- Holding an independently won, competitively awarded fellowship where research independence is a requirement. **(Refer to Appendix 8)**

- Acting as a Co-Investigator on an externally funded research project. This will be applied at the discretion of the Head of Division (justification formally recorded and logged centrally by RKEDU) and, where appropriate, taking account of any disciplinary variances in line with the relevant REF 2021 (2019) Panel Criteria and Working Methods (and with reference to Main Panels C and D indicators of research independence in their disciplines).

- Leading a research group or a substantial work package.

- Significant input into the design, conduct and interpretation of the research.

These criteria will be applied to all REF 2021 Category A Eligible Staff. Where two or more of the criteria are applicable, the staff member will be considered to be an Independent Researcher.

### How decisions are made and communicated to staff, including timescale

Decisions on SRR and Research Independence will be made by REF 2021 Staff Panels. REF 2021 UoA Leads will not be involved in the application of this criterion to ensure that no judgements are made about the quality of research in determining SRR and Research Independence. Where the Head of Division is also the REF 2021 UoA Lead, the REF 2021 Manager will sit on the REF 2021 Staff Panel to uphold this principle and ensure that decisions relating to SRR and Research Independence are not conflated with research quality decisions.

REF 2021 Staff Panels first met in December 2018 to identify staff with SRR and Research Independence. The exercise is scheduled to be repeated in December 2019 and after the REF 2021 census date of 31 July 2020.

Secretariat will be provided by HR to all REF 2021 Staff Panel meetings across the institution. Decisions will be recorded by HR using the REF 2021 Staff Panel Meeting Outcome Record **(Refer to Appendix 7).** All Minutes of the meetings will be confidential and logged centrally together with supporting evidence which may be required for audit purposes. The outcome of the REF 2021 Staff Panel meeting will be communicated, via HR, to staff by letter to their home address within 6 weeks of the REF 2021 Staff Panel meeting taking place. The letter will also advise staff of the REF 2021 Appeals Process.

The REF 2021 Appeals Process is actively promoted via all of the mechanisms described in Part 1 on how the REF 2021 Code of Practice is communicated. The University is committed to promoting and raising awareness of the REF 2021 Appeals Process. RKEDU has an important central and independent role in ensuring staff are alerted to and informed of the Process.

Figure 3 Stages of Approval for SRR and Research Independence
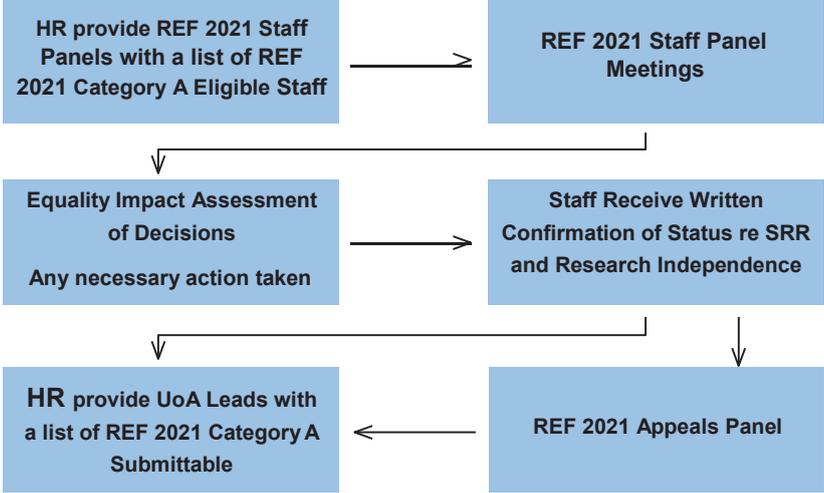
The above process was undertaken in December 2018, and is scheduled to be repeated in December 2019 and after the REF 2021 census date of 31 July 2020.

REF 2021 Staff Panels (Refer to Appendix 4 for full details) will:

- Apply approved criteria and make decisions on staff with SRR and Research Independence, including information about how the criteria are being applied, and grounds for decisions taken.

- From the list of REF 2021 Eligible Staff make decisions on REF 2021 Submittable Staff.

- Apply approved criteria and make decisions on staff who meet the definition of an independent researcher, including information about how the criteria are being applied.

- Record and communicate all decisions to staff in accordance with an agreed timescale.

- Provide a list of REF 2021 Submittable Staff to the relevant REF 2021 UoA Groups and REF 2021 UoA Leads and RKEDU.

Equality Impact Assessment (EIA)

An EIA has been completed for the development of this process and shall be repeated each time the REF 2021 Staff Panel meet and the process is applied. **(Refer to Part 1 for more detail on EIAs.)**

Variations in approach to identifying staff with SRR and Research Independence

The process for identifying staff with SRR and Research Independence will be standard across all UoAs. There will be no variation in employment practices by the UoA.

Exceptions for new REF 2021 Eligible Staff

It is recognised that staff who are new to the University may not yet meet the criteria as set out above and therefore for operational purposes, new staff who meet the definition of a REF 2021 Category A Staff and are therefore REF 2021 Eligible, will be assessed to determine whether they hold SRR prior to the next stage of scheduled REF 2021 Staff Panel meetings.

Where such cases exist the relevant Head of Division or Dean may apply an exception to the criteria and designate a staff member as having SRR or Research Independence without applying the minimum threshold.

Process

Within 30 working days of their start date all REF 2021 Eligible Staff will be given a PER to identify their SRR and Research Independence status and will be invited to a meeting with their relevant Research Centre Director to identify their Research Centre Membership. The Head of Division or Dean will be responsible for arranging this as part of the new staff members' local induction. This process will also be followed where existing staff change contracts and the new contract results in the staff member becoming REF 2021 Eligible.

Where the Head of Division or Dean designates a new REF 2021 Eligible Staff member with SRR they must notify their HR Partner, providing the rationale for the decision, the HR Partner will record the decision in HR, confirm to the employee in writing and update the relevant REF 2021 UoA Lead.

The new staff member will then be considered against the full criteria at the next round of staff selection meetings prior to the REF 2021 census date.

REF 2021 Appeals Process

Background

Both as an employer and public body, the University is required to ensure that its REF 2021 procedures do not discriminate unlawfully against, or otherwise have the effect of harassing or victimising individuals because of age, disability, faith/belief, gender identity, marriage/civil partnership, pregnancy and maternity, race, sex and sexual orientation.

Staff have the right to appeal against the outcomes of the SRR and Research Independence process.

The University would aim to resolve any issues that staff may have through informal discussion. Staff should therefore ensure that they have spoken with their Head of Division, before submitting a formal appeal.

If, however, any issues cannot be resolved and staff wish to appeal then they should submit to the REF 2021 Appeals Process by completing the REF 2021 Appeals Form **(Refer to Appendix 15).** Appeals may be made at the following stages:

Area	Timescale	Contact Person for Informal Discussion	Contact Person for application of the REF 2021 Code of Practice
SRR	After receipt of formal written feedback from HR. (6 weeks after the relevant REF 2021 Staff Panel meet)	Head of Division	RKEDU or REF 2021 Academic Lead
Research Independence	After receipt of formal written feedback from HR. (6 weeks after the relevant REF 2021 Staff Panel meet)	Head of Division	RKEDU or REF 2021 Academic Lead

The REF 2021 Appeals Form **(Refer to Appendix 15)** should be submitted to the dedicated confidential, institutional mailbox REF2021Appeals@qmu.ac.uk, 3 weeks prior to the REF 2021 Appeals Panel meeting. Staff will receive acknowledgement of receipt of their REF 2021 Appeal Form within two working days.

The REF 2021 Appeals Panel will meet bi-annually from April 2019, following the first REF 2021 Staff Panel meetings in December 2018, and will run up to 31 August 2020, to allow staff the opportunity to appeal before the final submission to REF 2021.

Timetable of REF 2021 Appeals Panel Meetings

Deadline for REF 2021 Appeals	Date of REF 2021 Appeals Panel Meeting	Written Feedback deadline - no later than 3 weeks
2019		
Monday 8 April 2019	Monday 29 April 2019	Monday 20 May 2019
Monday 2 September 2019	Monday 23 September 2019	Monday 14 October 2019
2020		
Monday 6 April 2020	Monday 27 April 2020	Monday 18 May 2020
Monday 10 August 2020	Monday 31 August 2020	Monday 21 September 2020

Grounds for Appeal

Grounds for Appeal are as follows:

- Exclusion on personal protected characteristics based on the REF 2021 (2019) Guidance on Submissions and the guidance given by the UK Higher Education Funding Bodies, relating to age, disability, faith/belief, gender identity, marriage/civil partnership, pregnancy and maternity, race, sex and sexual orientation.

- Failure to take into account fully the impact of work pattern or absence according to the guidance given by the UK Higher Education Funding Bodies on the REF 2021 Code of Practice.

- Inappropriate application of the criteria of the REF 2021 Code of Practice.

- Inappropriate application of the criteria as set out in the REF 2021 (2019) Guidance on Submissions and Panel Criteria and Working Methods.

The following are **NOT** grounds for appeal:

- Validity or standing of the University's judgements concerning the selection of outputs based on quality.
- University's overall strategy for submission related to selection of UoAs and the quality criteria for submission.
- Allocation of individual's research outputs to a specific UoA.

Communication to staff on the REF 2021 Appeals Process

- Details of the REF 2021 Appeals Process will be included in letters sent to staff advising them of the outcome of the REF 2021 Staff Panel Meetings. HR will send these letters to staff at their home address.
- The REF 2021 Appeals Process is available on the Staff intranet.
- Messages will be sent out to all staff to make them aware of the REF 2021 Appeals Process. These will include the timetable of REF 2021 Appeals Panel meetings, and the deadlines for the submission of REF 2021 Appeal Forms.
- Heads of Division who are the first point of contact for informal discussion, will make staff aware of the REF 2021 Appeals Process.
- A Staff REF 2021 'drop-in' led by the REF 2021 Academic Lead, running every month from March 2019 until the census date will include advice on the REF 2021 Appeals Process.
- The REF 2021 Equality and Inclusion (Code of Practice) Group will actively promote the REF 2021 Appeals Process.

Decisions and timescales

Written feedback will be provided to staff within 3 weeks after the REF 2021 Appeals Panel meeting takes place. Where possible, staff will be provided with the outcome as soon as possible after the meeting.

The outcome of the REF 2021 Appeals Panel meeting will be sent to the relevant REF 2021 Staff Panel to make them aware of the decision. Records which are logged centrally, will be updated with the outcome of the REF 2021 Appeals Panel meeting.

Anonymised outcomes of Appeals will be reported to the REF 2021 Equality and Inclusion (Code of Practice) Group. Feedback from the REF 2021 Appeals Panel will also be provided to the Group in respect of the University's processes. The REF 2021 Equality and Inclusion (Code of Practice) Group will also receive EIAs each time this process is followed.

REF 2021 Appeals Panel (Refer to Appendix 4 for full details) will:

- Oversee the REF 2021 Appeals Process.
- Ensure that REF 2021 Appeals are considered before the final submission is made.
- Consider formal complaints between 1 April 2021 and 22 May 2022, where it is believed that agreed processes set out within our REF 2021 Code of Practice have not been followed.
- Consider and make decisions on REF 2021 Appeals from staff after they have received feedback on the reasons behind REF 2021 submission decisions in accordance with the established criteria in relation to the REF 2021 Appeals Process including:
- Identifying staff with SRR.
- Determining Research Independence.

The REF 2021 Appeals Panel are independent from earlier decision making processes about identifying staff with SRR and Research Independence and has two external members with extensive experience in research assessments in other HEIs on the Panel. The REF 2021 Appeals Process is managed centrally by RKEDU.

Equality Impact Assessment (EIA)

An EIA has been completed for the development of this process and shall be repeated each time the REF 2021 Appeals Panel meet and the process is applied **(Refer to Part 1 for more detail on EIAs).**

HR will provide each REF 2021 UoA Lead with a list of REF 2021 Category A Submittable Staff. This list will then be used, in line with the REF 2021 Code of Practice, to make decisions on the selection of outputs.

Processes established to identify staff with significant responsibility for research (SRR) received agreement from staff via the following mechanisms:

Outcome of the Staff Consultation on SRR that took place between 1 March 2018 and 1 May 2018 and Staff Agreement Received

SRR Staff Consultation Document Discussed at the following Committees

- Research Strategy Committee – 25 April 2018
- Senate – 28 March 2018
- School Academic Board (Health Sciences) – 11 April 2018
- School Academic Board (ASSaM) – 22 March 2018
- Trade Unions – 14 March 2018
- Outcome of Consultation Published on 31 May 2018 – SRR processes approved

SRR Staff Consultation Document Approved and Signed Off By Staff

- Research Strategy Committee – 11 September 2018
- Senate – 24 October 2018
- Equality and Diversity Committee - 27 September 2018

SRR Processes incorporated into the final REF 2021 Code of Practice and Staff Agreement Received

- REF Equality and Inclusion (Code of Practice) Group – 4 June 2019 with nominated representative from Trade Unions and Equality and Diversity Committee
- Senate – 8 May 2019
- REF Strategy Group– 29 April 2019
- Research Strategy Committee – 6 June 2019
- Equality and Diversity Committee – 31 May 2019 virtual approval by email confirmed at meeting on 7 June 2019
- Equality and Diversity Committee – 7 June 2019 final approval
- Ongoing staff approval via university wide staff consultation exercise that ran from 30 April to 1 June 2019
- Final approval by Trade Unions 4 June 2019. Meetings with Trade Unions 9 April 2019, 26 April 2019, 17 May 2019, 4 June 2019

PART 4 SELECTION OF OUTPUTS FOR REF 2021 POLICIES AND PROCEDURES

Background

REF assessments are a process of peer review, carried out by an expert sub-panel in each Unit of Assessment (UoA). Every element submitted to the REF will be graded on a 5 point scale going from unclassified (falls below or does not meet REF criteria) to 4* (world leading). The primary criterion in the selection of outputs is quality. Quality assessments will therefore rely on academic judgement.

The decoupling of staff and outputs in REF 2021 aims to break the direct link between staff and outputs in the assessment process. This offers more flexibility when making submissions, and also removes the need to take account of the effect of staff circumstances on productivity. This permits the development of a portfolio of outputs that best represents the excellent research undertaken, within the context of the 'output pool' (FTE x 2.5 less any reductions that apply).

REF 2021 necessitates that a minimum of one output may be attributed to each REF 2021 Submittable Staff and a maximum of five. No individual is allowed to have more than five outputs attributed to them, although it is possible to be a co-author on other outputs attributable to other individuals. In exceptional circumstances it is possible for staff to be submitted with zero outputs.

REF 2021 recognises that there are multiple reasons why an excellent researcher may have fewer or more outputs attributable to them in the assessment period and, therefore, the University does not expect that all submitted staff will be returned with the same number of outputs pro-rata.

REF 2021 recognises the essential role of interdisciplinary research in addressing complex problems and research questions posed by global social, economic, ecological and political challenges. The University is committed to supporting and promoting the fair and equitable assessment of all research, including interdisciplinary research, submitted to the assessment exercise. For the purposes of REF 2021, interdisciplinary research is understood to achieve outcomes (including new approaches) that could not be achieved within the framework of a single discipline. Interdisciplinary research features significant interaction between two or more disciplines and/or moves beyond established disciplinary foundations in applying or integrating research approaches from other disciplines.

An underpinning principle of REF 2021 is that for each discipline all types of research and all forms of research output shall be assessed on a fair and equal basis. In the selection of outputs, the University will recognise, and treat on an equal footing, excellence in research across the spectrum of applied, practice, basic and strategic research, wherever that research is conducted; and for identifying excellence in different forms of research endeavor including interdisciplinary and collaborative research, while attaching no greater weight to one form over another.

The University acknowledges that no REF 2021 Sub-panel will use journal impact factors or any hierarchy of journals in their assessment of outputs. No output will be privileged or disadvantaged on the basis of the publisher, where it is published or the medium of its publication.

The University is committed to supporting the inclusive and transparent career development of all of its researchers. The career development of researchers is not based solely on REF 2021. The University will not take into account the number of outputs returned that were attributable to or co-authored by any individual. It will only take into account their being returned to REF 2021.

The processes for the selection of outputs in REF 2021 are summarised in **Figure 4**.

Figure 4 Process for the provision of outputs for assessment

The University REF 2021 UoA and UoA Leads

The University is considering submission to the following REF 2021 UoAs. Each submission will be led by the nominated REF 2021 UoA Lead below.

Main REF 2021 Panel	REF 2021 UoA Lead	REF 2021 Unit of Assessment (UoA) – Subject to confirmation
Main Panel A/ Main Panel C	Professor Alastair Ager	**UoA 2 Public Health, Health Services, and Primary Care/UoA 22 Anthropology and Development Studies**
Main Panel A	Professor Brendan McCormack	**UoA 3 Allied Health Professions, Dentistry, Nursing and Pharmacy**
Main Panel A	Professor Chris McVittie	**UoA 4 Psychology, Psychiatry and Neuroscience**
Main Panel C	Professor Claire Seaman	**UoA 17 Business and Management Studies**
Main Panel C	Dr Marion Ellison	**UoA 21 Sociology**
Main Panel D	Professor James M Scobbie	**UoA 26 Modern Languages and Linguistics**
Main Panel D	Dr David Stevenson	**UoA 34 Communication, Cultural and Media Studies, Library and Information Management**

Structures (Refer to Appendix 4 for full details) to support the assessment of the quality of outputs are summarised as follows:

REF 2021 Staff Panels
- Provide the independent list of REF 2021 Submittable Staff to the REF 2021 UoA Groups.

REF 2021 UoA Groups
- Apply institutional guidance on the fair and transparent selection of outputs.
- Monitor OA compliance and non–compliance within the required thresholds.

- Make recommendations to the REF 2021 Strategy Group on the quality and final selection of outputs.

- Advise the REF 2021 Strategy Group on the strategic placement of staff to specific UoA.

- Implement the decisions of the REF 2021 Staff Circumstances Panel on the application of procedures for taking into account staff circumstances at UoA level.

REF 2021 Equality and Inclusion (Code of Practice) Group

- Develop and oversee the procedures to ensure the fair and transparent selection of outputs and the rationale.

- Receive EIAs used to inform decisions by the REF 2021 UoA Groups on the criteria for output selection.

REF 2021 Staff Circumstances Panel

- Advise on and oversee the application of staff tariff reductions, taking into account staff whose circumstances have affected their ability to research productively throughout the period in relation to the unit's total output requirement.

- Advise on and oversee the application of tariff reductions, taking into account the effect and range of circumstances that have had an exceptional effect on the ability of an individual staff member to research productively throughout the period so that they do not have the required minimum of one output.

- Receive updates and monitor the application of procedures for taking into account staff circumstances at UoA Level.

Internal Review Stage 1 – REF 2021 Staff Submittable and UoA Lead Parallel Assessment

The total available pool of eligible research outputs will comprise of REF 2021 eligible outputs entered onto eResearch, the University repository.

The relevant REF 2021 UoA Lead and REF 2021 Submittable Staff will be provided with an eResearch report from the Learning Resource Centre (LRC) over the following time periods: from 1 January 2014 to 30 September 2019; and 1 January 2014 to 31 August 2020, to support the planning stages of the submission.

In recognition of the value the University places on the contribution and input of REF 2021 Submittable Staff, it is committed to a process of parallel internal evaluation of outputs by both REF 2021 UoA Leads and REF 2021 Submittable Staff. Before the process of self-evaluation takes place, all REF 2021 Submittable Staff and REF 2021 UoA Leads will be invited to attend a training session on REF 2021 and quality ratings. This will reinforce and uphold the University's commitment to the REF 2021 Equality and Diversity principles of Transparency, Consistency, Accountability and Inclusivity. The training session will cover the basic REF 2021 (2019) Guidance and Panel Criteria and highlight more complex issues such as discussion of the option of double weighting, author contribution and reserve outputs as well as double counted outputs (Main Panel D only). This will be led by the University REF 2021 Academic Lead and will be delivered at the level of Main Panel. While the University strongly encourages self-evaluation, after training, staff will be given the option of opting out of self-evaluation. All training materials will also be published on the Staff intranet.

REF 2021 UoA Leads will invite REF 2021 Submittable Staff using Form 1 **(Refer to Appendix 10)** to rate (using the quality definitions in **Figure 5**) all of their outputs they consider 2* or above, identifying the highest 5 (or more if available) from those on the eResearch report. At the same time the REF 2021 UoA Lead will make their own quality assessment decisions using Form 2 **(Refer to Appendix 11).** For UoAs in Main Panel A, quality ratings will be informed by the use of Citation Data as outlined in the REF 2021 (2019) Panel Criteria and Working Methods.

Figure 5 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.

The above process will take place in October 2019, and August 2020. REF 2021 Submittable Staff and UoA Leads will be given 10 working days (extended to 28 days to allow for impact of COVID 19 and unprecedented challenges of the start of the semester) to make their quality judgement. The REF 2021 UoA Lead will then meet with each REF 2021 Submittable staff member to discuss their respective rankings. The REF 2021 UoA Lead is ultimately responsible for the final quality rating and will complete Form 3 (**Refer to Appendix 12**) confirming what these quality ratings are and send a copy to RKEDU.

REF 2021 Submittable Staff will be advised, in writing, of the decision 10 working days after the staff meeting takes place. Quality decisions relating to individual staff outputs will be treated in strict confidence. Written communication will come from RKEDU on behalf of the REF 2021 UoA Lead and logged centrally.

In the case of an output being ranked more than 1* difference between the REF 2021 Submittable Staff and REF 2021 UoA Lead, it will be considered for moderation of their assessment by a third internal person who will be another senior researcher in the UoA. Moderation shall be blinded for authorship as far as possible. Rankings that remain unresolved after this stage may be considered for External Review.

The process will be overseen and all decisions and processes recorded by RKEDU to ensure full compliance with the REF 2021 Code of Practice.

To alleviate any additional burden, if REF 2021 Submittable Staff do not meet the extended deadline, which has been put in place to allow for the impact of COVID 19 and the unprecedented challenges of the start of the semester, the University will assume that **they wish to opt out of this part of the process** and agree to their REF 2021 UoA Lead making the quality ratings of any additional outputs on their behalf. This *does not* affect the previous ratings of outputs already reviewed at Phase 1, which took place in October 2019. A Form 3 recording

the final ratings by the REF 2021 Lead will be sent to RKEDU so that these are logged for audit purposes, and a copy sent to REF 2021 Submittable Staff for their own records.

REF 2021 Submittable Staff are asked to advise their REF 2021 UoA Lead of any additional outputs to follow, which fall within the REF publication period (must be in public domain by 31 December 2020).

Internal Review Stage 2 – Output Selection and Attribution

The REF 2021 UoA Group will review all outputs and determine those outputs that should be attributed and submitted to REF 2021, informed by the outcomes of Stage 1 above. These will be detailed on Form 4 **(Refer to Appendix 13).** Quality decisions will be governed by an institutional commitment to developing a portfolio of outputs which best represents the excellent research undertaken within the context of the 'output pool'. REF 2021 UoA Group membership has been determined primarily according to:

- Track record of research of international excellence in their particular field of specialisation and aligned to the UoA.

- Proven research profile with an excellent internationally rated publication record.

- Specific disciplinary knowledge and expertise, based on research outputs recorded on the institutional repository and leadership of Research Centres. AND/OR

- Line management responsibilities and alignment/implications for associated Academic Division.

The REF 2021 UoA Group will implement the decisions of the REF 2021 Staff Circumstances Panel on the application of procedures for taking into account staff circumstances at UoA level and Individual level.

The REF 2021 UoA Group will make final recommendations on the appropriate placement of staff to specific UoA for approval by the REF 2021 Strategy Group.

The REF 2021 UoA Group will be responsible for the selection of outputs, those outputs deemed to represent the best research attributed to the individual whether as sole or co-author.

REF 2021 UoA Leads and Deans will read all outputs for consideration at REF 2021 UoA Group Meetings. REF 2021 UoA Leads will make recommendations, based on Stage 1, on the selection of outputs, to the REF 2021 UoA Group for approval.

Process for the Selection of the REF 2021 UoA Lead Outputs and where the REF 2021 UoA Lead is also the Head of Division

Assessment of the UoA Lead Outputs

- The REF 2021 UoA Lead will undertake a self-assessment of their outputs and log these in Form 1 **(Refer to Appendix 10)** with RKEDU as part of the overall UoA process in Stage 1 of Internal Review. The Dean will verify this assessment by approving Form 1 for the REF 2021 UoA Lead.

- The REF 2021 UoA Lead will follow the standard REF 2021 UoA Group process in Stage 2 Output Selection and Attribution. RKEDU will formally record all decisions and criteria for the allocation of outputs to the REF 2021 UoA Lead and ensure full compliance with the REF 2021 Code of Practice.

Process where the UoA Lead is also the Head of Division

- RKEDU will record all decisions and criteria for the allocation of outputs to the REF 2021 UoA Lead and Head of Division and ensure full compliance with the REF 2021 Code of Practice.

- The Convenor of the REF 2021 Equality and Inclusion (Code of Practice) Group will approve Form 4 (Refer to Appendix 13) for all REF 2021 UoA Leads who are also Heads of Division.

Criteria for Output Selection and Attribution in REF 2021

The University is committed to the underpinning principles of the REF 2021 **(Refer to Appendix 3)** that all types of research and all forms of research output will be assessed on a fair and equal basis. The University will not regard any particular form of output as of greater or lesser quality than another per se.

The following criteria will be used in the selection of outputs attributed to individual staff to ensure representation of the highest levels of excellent research undertaken in the UoA. Outputs required to make up the 'output pool' will be selected by the REF 2021 UoA Group using the following criteria:

Primary Criterion for Output Selection

- Return of the highest quality outputs as determined in **Stage 1** and **Stage 2** (above).

- In UoAs in Main Panel A, the use of citation data will be applied in line with REF 2021 (2019) Final Guidance on Submissions and the Institutional Statement on the Use of Metrics in Research Assessment.

Secondary Criterion to differentiate between outputs considered to be of equal quality for the purposes of the submission

- Transparent and reasonable distribution of co-authored outputs.

- Citation data for UoAs in Main Panel A.

- Open Access **(Refer to Appendix 14)** status of outputs in meeting the requirements of REF 2021 and potential to violate the tolerance level of non-compliance.

- Positioning with the UoA Impact Case Studies to support the reach and significance of underpinning research and the diversity of REF 2021 Submittable Staff included in the return.

- Positioning with the UoA Environment Statement to ensure vitality and sustainability of research undertaken in the UoA and the diversity of REF 2021 Submittable Staff included in the return.

- Where all relevant criteria have been considered and are considered equal, priority will be given to outputs from existing rather than former staff. Outputs from former members of staff will be assessed and allocated in exactly the same way as those from current staff.

- Maximum 5 outputs attributed to each REF 2021 Submittable Staff.

- Actively addressing and responding to issues identified by EIAs in relation to output selection.

- Recognition of the University's commitment to supporting and promoting the fair and equitable assessment of all research, including interdisciplinary research, submitted to the assessment exercise.

- Potential implications of double weighting and required reserve on the overall available output pool.

- Exceptionally, external peer review ratings.

Where an output has more than one author who is REF 2021 Submittable in the REF 2021 UoA, the output will be attributed based on the optimum outcome for the University as a whole. The following criteria will be applied:

- Author contribution.

- Actively addressing and responding to issues identified by EIAs in relation to output selection.

- Additional outputs available to an author for submission to the REF 2021 UoA to optimise the benefit of the available pool of outputs.

The process will be overseen and all decisions and processes recorded formally by RKEDU on behalf of the REF 2021 UoA Group using Form 4 **(Refer to Appendix 13).**

RKEDU will attend all meetings to ensure full compliance with the REF 2021 Code of Practice and consistency in its application across the University.

Author Contribution

The following guidance is extracted from the REF 2021 (2019) Guidance on Submissions and Panel Criteria and Working Methods.

- Outputs may only be attributed to co-authors who made a substantial research contribution to the output. This information will be made available to the REF 2021 Panels to enable them to establish whether a substantial research contribution has been made. The REF 2021 (2019) Panel Criteria and Working Methods sets out whether the panels require any additional information for co-authored outputs.

- Main Panel A require additional information to determine the contribution of the attributed co-author where there are 16 or more authors and they are not the lead or corresponding author.

- No additional information is required for Main Panels C or D or for Panel A if 15 or fewer authors. However, the substantial research contribution criteria still apply and are subject to audit. If a contribution is cited on the paper then that will take precedence, regardless of the number of authors.

Institutions may not submit any output produced by a research assistant or research student supervised by a Category A Eligible Staff member employed in the unit, unless the staff member co-authored or co-produced the output.

REF 2021 and Open Access Publishing Requirements

The UK Higher Education Funding Bodies have issued a policy **(refer to Appendix 14)** on open access in REF 2021. Essentially, all journal articles and conference proceedings, with an International Standard Serial Number (ISSN), **accepted for publication after 1 April 2016 must** be made available on an **open access** basis.

The open access policy **does not** apply to monographs or other long form publications, to non-text outputs, research data, conference proceedings published with an International Standard Book Number (ISBN), or publications that must remain confidential for security or commercial reasons.

Embargo periods

Any embargo periods imposed by journal publishers must not exceed the following lengths:

- 12 months for REF Main Panels A and B.
- 24 months for REF Main Panels C and D.

Outputs still under embargo can be selected for REF 2021 provided that the date of first publication is still within the REF 2021 reporting period.

Version to use

REF 2021 Submittable Staff should use the final draft author manuscript, as accepted for publication, including modifications based on referees' suggestions, but before it has undergone copy-editing and proof correction. This is sometimes known as the post-print, accepted manuscript (AM), author accepted manuscript (AAM), author version, or personal copy. It is important to have the correct version of the file to upload and to check for copyright restrictions. It is often not permissible to make the publisher's final version, sometimes known as the version of record (VoR) accessible via an institutional repository. The Sherpa Romeo website can help staff to find out more about a journal or publisher's copyright restrictions. Alternatively, please contact the Library's eResearch@qmu for assistance.

Exceptions

There are a limited number of situations where an output may be exempt from the open access policy, which fall under the headings deposit, access and technical exceptions. Exceptions to the policy can also be made for 'gold' open access papers, where an article processing charge (APC) has been paid to the publisher.

Any output that falls within the scope of this policy, and is submitted to the post-2021 REF but does not meet the requirements without a valid exception, will be given an unclassified score and will not be assessed.

Research Support Librarian

A Research Support Librarian, in the Library Services team, is available to help all staff with information on REF 2021 open access and publishing, research metrics, resources to assist with developing and measuring impact, and research data management. The Research Support Librarian is a member of the REF 2021 Strategy Group and attends the monthly REF 2021 'drop-in' clinics for all staff. A REF 2021 and Open Access webpage is available on the University website and a range of awareness raising promotional material is available across the campus and has been sent to the home address of all staff away from the University including those on sick leave, sabbatical, career break and family related leave.

Equality Impact Assessment (EIA)

The REF 2021 UoA Lead will undertake an EIA on the outcome of the application of criteria for output selection with input from the relevant HR partner, in December 2019, May 2020, and September 2020. This will be used to inform decisions relating to criterion for output selection. This will support Stages 1 and 2 above and will be reported back to the REF 2021 Equality and Inclusion (Code of Practice) Group. **(Refer to Part 1 for more detail on EIAs).**

Output Reduction (Cross refer with section on staff circumstances on page 42)

It is accepted that those who work part-time or who have caring responsibilities, or periods of ill health, or family-related leave, or career breaks for personal reasons, or who are ECRs, during the assessment period might contribute fewer outputs than others. The impact of each circumstance on the ability of an individual to generate excellent outputs is unique. REF 2021 UoA Groups will select the best portfolio of outputs that best represents the excellent research from those available to make up the UoA output pool.

Staff output/progression responsibilities will be adapted through their PER and workload planning. The University is committed to ensuring that those who declare staff circumstance, for whatever reason, are not only not disadvantaged but are supported in a way appropriate to their individual circumstances.

The decoupling of staff from outputs permits greater flexibility in presenting a portfolio of outputs. We recognise that UoAs may have been disproportionately affected by individual staff circumstances to the extent that the size of the overall output pool is adversely affected. To underpin a fair and consistent approach to such staff circumstances across UoAs, the University will ask all REF 2021 Submittable Staff, on a voluntary basis, to declare if they consider that individual circumstances have adversely affected their ability to produce outputs. On receipt of these declarations, the REF 2021 Staff Circumstances Panel will assess them against the output pool for the relevant UoA and apply to the UK Higher Education Funding Bodies REF 2021 Team for output reductions where appropriate.

There may be exceptional circumstances where an excellent researcher is not able to produce any outputs in the assessment period. Examples may be prolonged periods of ill health (more than 46 months) or two or more periods of family-related leave. In such cases, the University may apply to the REF 2021 Team to reduce the minimum attributed outputs from one to zero on the basis of exceptional staff circumstances. If approval is granted, the person requirement will be reduced to zero and the output pool reduced by one. Staff will be advised that the process to declare circumstances which could lead to the removal of the minimum of one output is the same process as the reduction of outputs.

In considering output reductions to zero outputs, the University is required to ensure that the proposed reduction to zero outputs would not result in a smaller total output requirement than the number of Category A Submitted Staff in the unit for whom a minimum of one output is required.

On confirmation of the final size of the output pool, the REF 2021 UoA Group will select a portfolio of outputs that best represents the excellent research undertaken in that UoA.

Institutional Statement on the Use of Metrics in Research Assessment

The University will apply fair and transparent mechanisms in the use of research metrics for the selection of outputs for REF 2021 as outlined in our Institutional Statement on the Use of Metrics in Research Assessment. This statement is published on the University website and is included in **Appendix 9.** This will be supported by a programme of staff training.

This statement is a guide to responsible research assessment. It provides a set of principles outlining good practice. These principles reinforce the key role of peer review and support an inclusive and transparent process to research assessment, respectful of researchers and of the plurality of research.

It outlines the University's commitment to:

- Becoming a signatory to the San Francisco Declaration on Research Assessment (DORA) to underpin its commitment to the responsible use of research metrics.

- Adopting the principles of the Leiden Manifesto.
- Implementing the recommendations of the Forum for Responsible Research Metrics (FFRM) and the principles of the Metric Tide Report.

External Review

External Review may be used, where appropriate to validate internal assessment of the quality of outputs. Requests to use External Review for a subset of outputs should be made to the REF 2021 Strategy Group by the REF 2021 UoA Lead and in consultation with the REF 2021 UoA Group. If an individual member of staff has outputs that are recommended for External Review, they will be advised by RKEDU that this is taking place and advised of the outcome as recorded on Form 4 **(Refer to Appendix 13).**

Statement on Staff Made Redundant

HR will write to any former REF 2021 Eligible Staff where the reason for leaving the University was redundancy, asking for their explicit permission to include their outputs in REF 2021. Outputs will only be included without permission where all reasonable attempts to seek permission have been pursued. For this purpose the University will consider redundancy to include voluntary severance and the end of fixed term contracts.

REF 2021 and Small UoA

REF 2021 regulations allow an exception for submission for small UoAs, i.e. units where the combined FTE of staff employed with SRR in the unit is lower than 5 FTE and where the research focus of these staff:

- Falls within the scope of one UoA.
- Is clearly academically distinct from other submitting units in the institution; and
- The environment for supporting research and enabling impact of each proposed submitted unit is clearly separate and distinct, from other submitting units in the institution.

HEIs are invited to submit requests for exceptions from submission for small units from **11 April 2019**, and by **6 December 2019** at the latest, via the REF 2021 submission system. If an HEI wishes to request an exception for more than one unit, a separate application will be required for each request.

The REF 2021 Strategy Group will consider whether to request an exception for certain small units as defined above, if:

- The research is in the scope of a UoA in which the institution has not previously submitted, and has not been an area of investment and growth for the institution; or
- Where a previous REF submission has been made to the UoA, there has since been a change in the staff profile in the research area in the institution.

Within QMU, decisions relating to Small UoA will be informed by the outcomes of the identification of staff with SRR exercise, once that exercise has been completed. Where there is potential for a submission to fall into the Small UoA Category, a meeting of the relevant REF 2021 UoA Group will be prioritised and associated REF 2021 Submittable Staff advised accordingly.

If such an exemption is accepted, the records of the affected staff will be updated to note that the decision was taken on strategic grounds and not as a reflection of their individual contribution/ profile.

Figure 6 - Procedure for Output Eligibility for Category A REF 2021 Submittable Staff
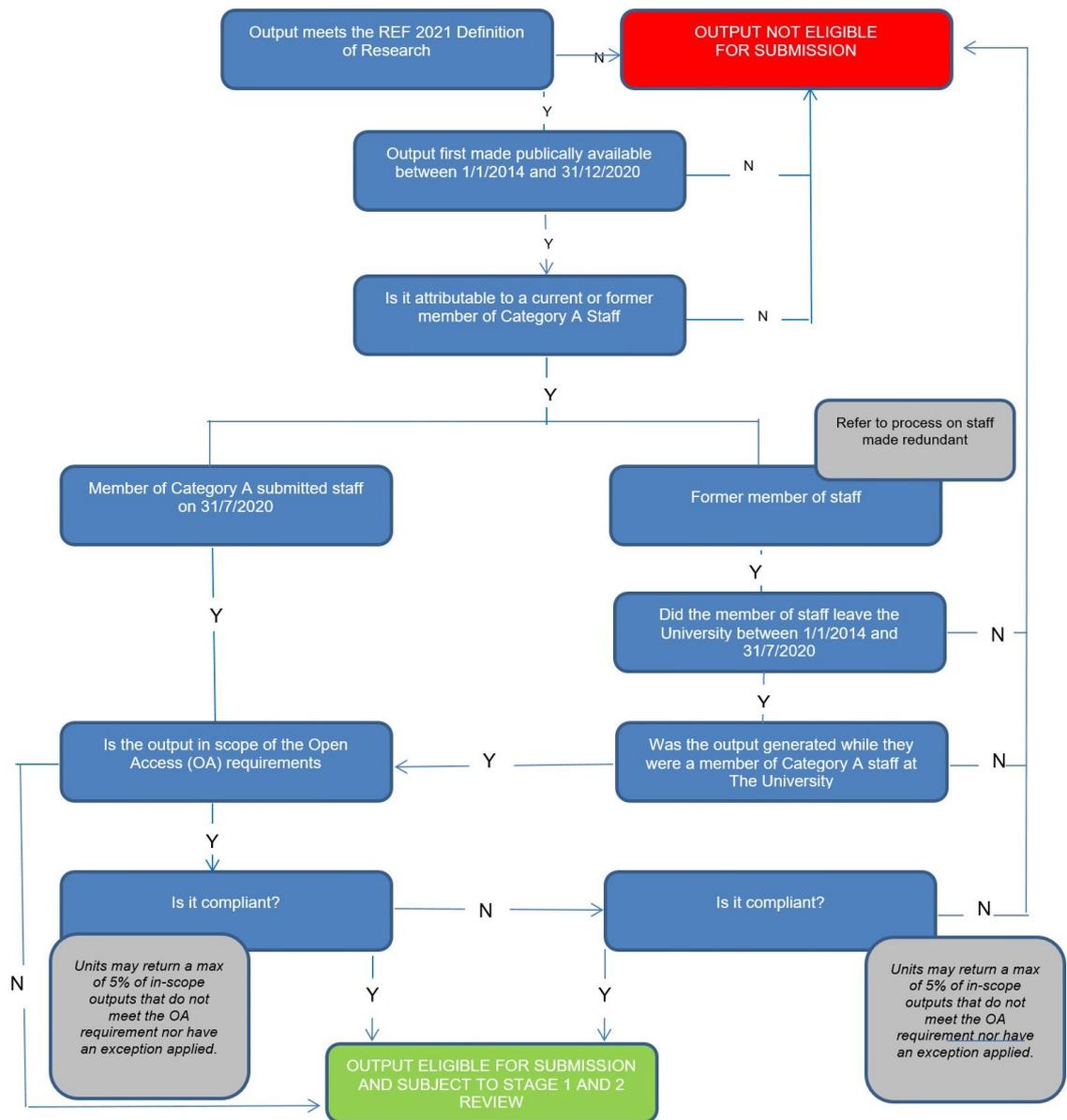
Figure 7 - Procedure for the Selection and Attribution of Outputs for Category A REF 2021 Submittable Staff
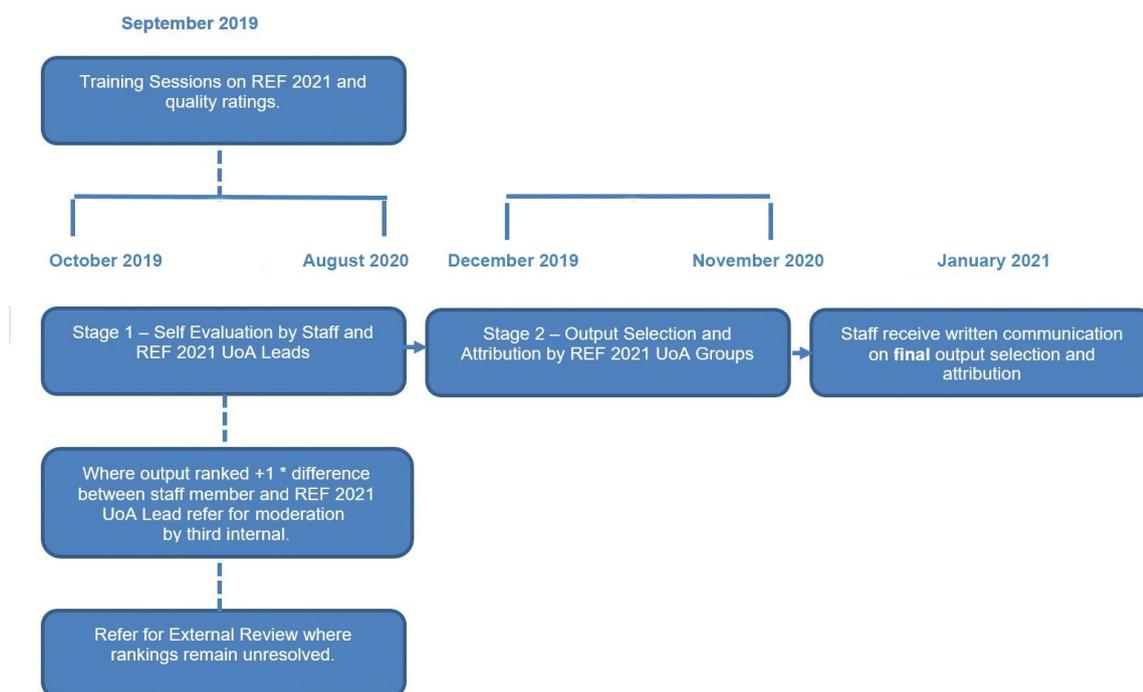
REF 2021 Staff Circumstances

Policies and Procedures

The following procedure provides a safe and supportive structure for staff to declare equality related circumstances that may have affected (or have the potential to affect) their research productivity and particularly their ability to produce research outputs at the same rate as staff not affected by circumstances, during the REF 2021 census period.

The purpose of this procedure is threefold:

- To enable staff who have not been able to produce a REF 2021 eligible output during the assessment period to be entered into REF where they have:

  - Circumstances that have resulted in an overall period of 46 months or more absence from research during the assessment period, due to equality-related circumstances (see below).

  - Circumstances equivalent to 46 months or more absence from research due to equality-related circumstances (Equivalence to absence, determined through consultation with the individual researcher, HR and the REF 2021 Staff Circumstances Panel).

  - Two or more qualifying periods of family-related leave.

- To recognise the effect that equality-related circumstances can have on an individual's ability to research productively, and to adjust expectations in terms of expected workload/ production of research outputs.

- To establish whether there are any UoAs where the proportion of declared circumstances is sufficiently high to warrant a request to the UK Higher Education Funding Bodies for a reduced required number of outputs to be submitted.

Scope of Procedure

This procedure is applicable to all staff designated as having SRR and Research Independence at the REF 2021 census date. This procedure also applies to new staff members that are yet to be assessed against the University's SRR criteria and that meet the definition of a Category A Staff.

Ownership of Procedure

This procedure has been devised by HR taking into account the guidance provided by the UK Higher Education Funding Bodies. HR together with the REF 2021 Staff Circumstances Panel and the REF 2021 Equality and Inclusion (Code of Practice) Group are responsible for ensuring the fair, transparent and consistent application of this procedure.

This procedure has been subject to consultation and negotiation with the recognised Trade Unions.

Equality and Diversity

The University is committed to embedding equality and diversity and it is the responsibility of all the University employees to promote "equality and diversity" in the application of this procedure ensuring that there is no discrimination on the grounds of age, disability, faith/belief, gender identity, marriage/civil partnership, pregnancy and maternity, race, sex and sexual orientation.

Confidentiality

This is a confidential procedure. Internally only HR and the REF 2021 Staff Circumstances Panel will be privy to the information disclosed by staff members. Exceptionally it may be appropriate to share information disclosed by a staff member with their line manager in order for appropriate supportive action to be put in place, if these circumstances arise permission to share information will be requested from the relevant staff member. It is a requirement, where a reduction is requested, for the University to submit staff circumstances data to the UK Higher Education Funding Bodies by March 2020. Data will be kept confidential to the REF 2021 Team, the REF 2021 Equality and Diversity Advisory Panel (EDAP) and Main Panel Chairs. The REF 2021 Team will destroy the submitted data about individual circumstances on completion of the assessment phase.

The REF 2021 Data Collection Statement provides further information **(Refer to Appendix 17)**. Information regarding individuals already disclosed to the University cannot be relied upon for this process, this includes information held by HR and by line managers.

SRR and Research Independence

The University has developed criteria to identify staff with SRR and as Independent Researchers **(Refer to Part 2 and Part 3).** All Category A Eligible Staff were assessed against this criteria during December 2018 and provided with a letter detailing the outcome of the assessment for them. All Category A Eligible Staff will be assessed against these criteria again, at REF 2021 Staff Panel meetings scheduled for December 2019 and after the REF 2021 census date.

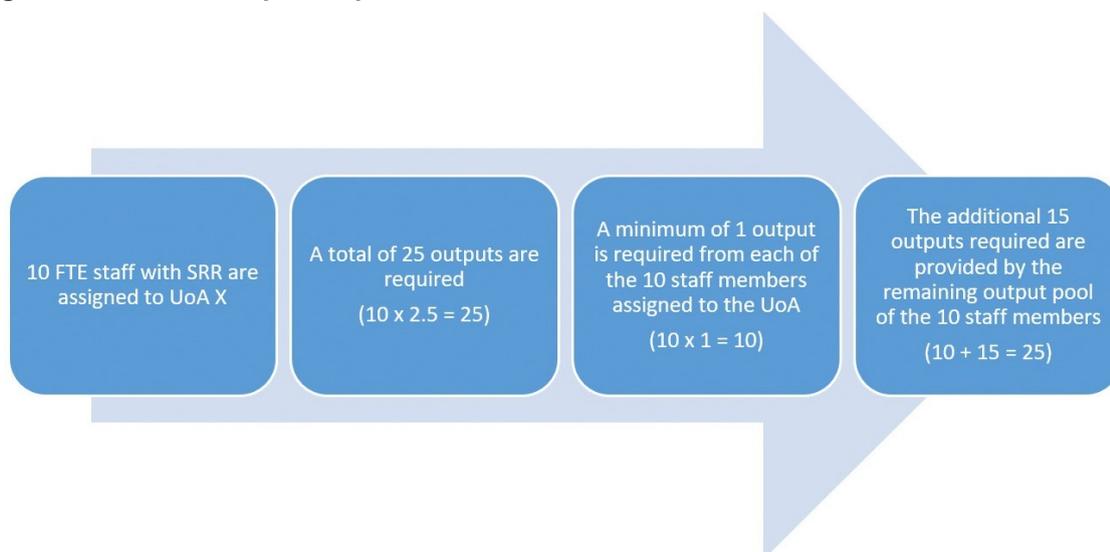All staff identified as having SRR and meeting these criteria for Research Independence at the REF 2021 census date will be submitted to REF 2021.

Output Requirements

The University will be submitting staff outputs to REF 2021 under a number of UoAs. The total number of outputs returned from each submitting unit must be equal to 2.5 times the combined FTE of submitted staff included in the submission.

All REF 2021 Submittable Staff are required to submit a minimum of one output, a maximum of five may be submitted where appropriate. An example is shown below:

Figure 8 REF 2021 Output Requirements

| 10 FTE staff with SRR are assigned to UoA X | A total of 25 outputs are required (10 x 2.5 = 25) | A minimum of 1 output is required from each of the 10 staff members assigned to the UoA (10 x 1 = 10) | The additional 15 outputs required are provided by the remaining output pool of the 10 staff members (10 + 15 = 25) |

However, it is recognised that there are many reasons why an excellent researcher may have fewer or more outputs attributable to them in the census period.

Where it is established that equality related circumstances have impacted on an individual's ability to produce research outputs the University can request a reduction in the number of outputs required for submission. There are two possible options open to the University, which are detailed below.

- Request a reduction in the total number of outputs required for a submission. It is expected that requests will only be made where the cumulative effects of circumstances has disproportionately affected the unit's potential output pool.

- Request that an individual may be returned without the required minimum of one output where the nature of the individual's circumstances has had an exceptional effect of their ability to work productively throughout the period.

Any cumulative effects as outlined in point 1 above will be assessed prior to March 2020. It is the responsibility of the REF 2021 Strategy Group to make decisions regarding the cumulative effect of circumstances disclosed. In order for a reduction request to be considered a request must be made by the individual staff member.

Applicable Circumstances

The following circumstances may be disclosed by staff:

1. Qualifying as an ECR (started career as an independent researcher on or after 1 August 2016).

2. Absence from work due to secondments or career breaks outside the HE sector.

3. Qualifying periods of family-related leave.

4. Junior clinical academics who have not gained a Certificate of Completion of training by 31 July 2020.

5. Disability (including chronic conditions).

6. Ill heath, injury or mental health conditions.

7. Constraints relating to family leave that fall outside of the standard allowances.

8. Caring responsibilities.

9. Gender reassignment.

10. COVID-19 (Applicable only where requests are being made for the removal of the minimum of one requirement)

It is important to note that circumstances can apply where an individual has not been absent from work however the circumstances have still had an impact on their ability to produce research outputs.

Part time working (reduced FTE) is taken into account in the calculation of the required outputs so is not listed above as an applicable circumstance however can be considered in certain circumstances, 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.

Defined Reductions

These are reductions for which there is set guidance on the permitted number of output reductions the University is able to support. From the list above numbers 1-4 are considered as defined reductions. The REF 2021 Staff Circumstances Panel will be responsible for supporting a reduction based on the circumstances disclosed by the staff member and following the REF 2021 (2019) Guidance on Submissions - Reductions for Staff Circumstances. **(Refer to Appendix 18)**
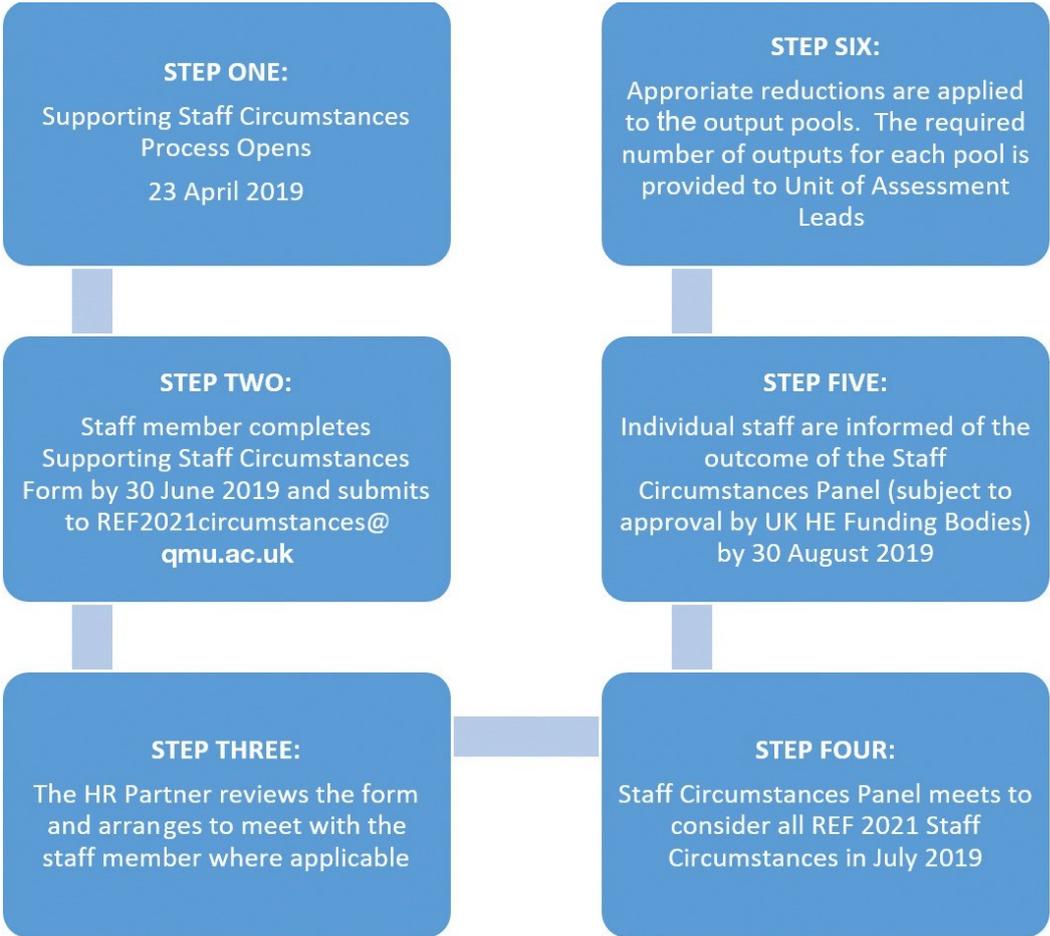
Undefined Reductions

These reductions do not have set guidance on the permitted number of output reductions the University is able to support. From the list above numbers 5-9 are not considered as defined reductions. The REF 2021 Staff Circumstances Panel will be responsible for considering the impact of the circumstances described by the staff member and determining an appropriate reduction based on equivalence to the guidance provided for defined reductions. There may be instances where a number of circumstances apply, in such cases a reduction may be accumulated up to a maximum reduction of 1.5 outputs.

REF 2021 Supporting Staff Circumstances Process

The University is committed to supporting staff to come forward to disclose their circumstances through a safe and supportive procedure. Declaration of circumstances is voluntary and no staff member should feel under any pressure to disclose information they do not wish to disclose.

Figure 9 Process for staff to disclose their circumstances

STEP ONE:
Supporting Staff Circumstances Process Opens
23 April 2019

STEP SIX:
Approriate reductions are applied to the output pools. The required number of outputs for each pool is provided to Unit of Assessment Leads

STEP TWO:
Staff member completes Supporting Staff Circumstances Form by 30 June 2019 and submits to REF2021circumstances@ **qmu.ac.uk**

STEP FIVE:
Individual staff are informed of the outcome of the Staff Circumstances Panel (subject to approval by UK HE Funding Bodies) by 30 August 2019

STEP THREE:
The HR Partner reviews the form and arranges to meet with the staff member where applicable

STEP FOUR:
Staff Circumstances Panel meets to consider all REF 2021 Staff Circumstances in July 2019

It is recognised that staff circumstances may change between the closing date for circumstances to be submitted on 30 June 2019 and the census date of 31 July 2020. Where it is the case that staff circumstances change after the process has concluded, staff may submit an updated Supporting Staff Circumstances Form to their HR Partner for consideration by the REF 2021 Staff Circumstances Panel. As staff circumstances require to be submitted to the UK Higher Education Funding Bodies by March 2020 the last date on which forms can be accepted will be 31 January 2020. Any applicable circumstances of staff who join the unit on or before the census date, but after the original request submission date of March 2020, may submit circumstances beyond this deadline.

An additional provision to incorporate circumstances related to COVID-19 in the reduction process for removing the minimum of one output requirement has been added and included within the updated Staff Disclosure Form for Individual Circumstances.

The University has therefore re-opened the above Staff Circumstances process to make staff aware of this provision, and to allow staff the opportunity to declare any additional circumstances. It is important to emphasise that disclosing circumstances via this procedure is completely voluntary and at the discretion of individual staff members.

If staff have already submitted a form they do not need to resubmit their form unless they feel their circumstances have changed or they would like to add any additional information.

Supporting Staff Circumstances Form

The Declaration of Individual Staff Circumstances Form 6 **(Refer to Appendix 16)** is available on the Staff intranet. Should staff require any support in completing this form they should contact their HR Partner.

The REF 2021 Staff Circumstances Panel will meet to review the declarations made and apply the appropriate reductions, making recommendations for appropriate support measures where applicable. One single REF 2021 Staff Circumstances Panel has been appointed to consider the submitted circumstances of individuals across the University, this not only ensures that the information shared as part of this process has a limited distribution but also ensures consistency in the application of reductions.

REF 2021 Staff Circumstances Panel (For full details Refer to Appendix 4) will:

- Develop and implement procedures for taking into account staff whose circumstances have affected their ability to research productively throughout the period in relation to the unit's total output requirement.

- Develop and implement procedures for taking into account the effect and range of circumstances that have had an exceptional effect on the ability of an individual staff member to research productively throughout the period so that they do not have the required minimum of one output.

- For both of the above cases, develop and implement procedures for staff to disclose circumstances in a confidential manner.

- Receive updates and monitor the application of procedures for taking into account staff circumstances at UoA Level.

Equality Impact Assessment (EIA)

An EIA has been completed for the development of this process and shall be repeated each time the REF 2021 Staff Circumstances Panel meet and the process is applied **(Refer to Part 1 for more detail on EIAs).**

APPENDICES

APPENDIX 1 - List of Abbreviations

AHSSBL	Arts, Humanities, Social Sciences, Business and Law
DORA	San Francisco Declaration on Research Assessment (DORA)
EAP	Employee Assistance Programme
ECR	Early Career Researcher
EDC	Equality & Diversity Committee
EIA	Equality Impact Assessment
FFRM	Forum for Responsible Research Metrics
HEI	Higher Education Institution
HR	Human Resources
OA	Open Access
PER	Performance Enhancement Report
PI	Principal Investigator
PSED	Public Sector Equality Duty
QMU	Queen Margaret University
REF	Research Excellence Framework
RKEDU	Research & Knowledge Exchange Development Unit
SRR	Significant Responsibility for Research
STEMM	Science, Technology, Engineering, Mathematics and Medicine
UIF	University Innovation Fund
UKRI	UK Research Innovation
UKRIO	UK Research Integrity Office
UoA	Unit of Assessment
WOB	Women On Board

APPENDIX 2 - REF 2021 Definitions

Term	Definition
Census date	The date on which staff must be in post at the submitting institution and meet the eligibility criteria to be returned as Category A submitted staff is 31 July 2020.
Category A eligible staff	Academic staff with a contract of employment of 0.2 FTE or greater, on the payroll of the submitting institution on the census date, and whose primary employment function is to undertake either 'research only' or 'teaching and research'. Staff should have a substantive connection with the submitting institution. Staff on 'research only' contracts should meet the definition of an independent researcher. Staff meeting these criteria will form the total eligible staff pool but may not necessarily be submitted.
Category A submitted staff	Category A eligible staff who have been identified as having significant responsibility for research on the census date.
Category C staff	Individuals employed by an organisation other than an HEI, whose contract or job role (as documented by their employer) includes the undertaking of research, and whose research is primarily focused in the submitting unit.
Codes of practice	Each institution making a submission is required to develop, document and apply a code of practice on determining who is an independent researcher and the selection of outputs in their REF submissions. Those institutions not submitting 100 per cent of Category A eligible staff, will be required to include the criteria and processes, agreed with staff, for identifying staff with significant responsibility for research.
Double-weighting	Institutions may request that outputs of extended scale and scope be double-weighted (count as two outputs) in the assessment.
Early career researcher (ECR)	Category A staff who started their careers as independent researchers on or after 1 August 2016.
Expert panels (main and sub-panels)	In each of the 34 UOAs an expert sub-panel will conduct a detailed assessment of submissions. The sub-panels will work under the leadership and guidance of four main panels.
Impact	An effect on, change or benefit to the economy, society, culture, public policy or services, health, the environment or quality of life, beyond academia.
Independent researcher	Independent researchers undertake self-directed research, rather than carrying out another individual's research programme.
Interdisciplinary research	For the purposes of the REF, interdisciplinary research is understood to achieve outcomes (including new approaches) that could not be achieved within the framework of a single discipline. Interdisciplinary research features significant interaction between two or more disciplines and/or moves beyond established disciplinary foundations in applying or integrating research approaches from other disciplines.

Term	Definition
Output	The product of research, as defined in the REF. An underpinning principle of the REF is that all forms of research output will be assessed on a fair and equal basis.
Publication period	Outputs submitted to REF 2021 must have been first made publicly available between 1 January 2014 and 31 December 2020.
Research	For the purposes of the REF, research is defined as 'a process of investigation leading to new insights, effectively shared'.
Research assistant	Academic staff whose primary employment function is 'research only' and who are employed to carry out another individual's research programme rather than as independent researchers in their own right.
Significant responsibility for research	Staff with significant responsibility for research are those for whom explicit time and resources are made available to engage actively in independent research, and that is an expectation of their job role.
Staff circumstances	Measures to take account of the effect of individuals' circumstances on research productivity during the period. These measures will allow an optional reduction in the unit's output requirement. They also allow an individual to be returned without the required minimum of one output without penalty in the assessment, where the circumstances have had an exceptional effect on productivity, so that the staff member has not been able to produce an eligible output.
Starred level definitions	Each of the three elements of the assessment – outputs, impact and environment – will receive a sub-profile, showing the proportion of the submission that meets each of four starred quality levels.
Submission	A submission comprises a complete set of data about staff, outputs, impact and the research environment, returned by an HEI in any of the 34 UOAs.
Submitted unit	A group or groups of staff identified by the HEI as working primarily within the remit of a UOA and included in a submission, along with evidence of the research produced during the publication period, examples of impact underpinned by research in the unit, and the structures and environment that support research and its impact.
Underpinning research	Impacts described in the impact case studies must be based on underpinning research of at least two-star quality that was produced during the period from 1 January 2000 to 31 December 2020.
Unit of Assessment	Submissions in REF 2021 will be made in 34 discipline-based 'units of assessment'. There is an expert sub-panel for each UOA.

APPENDIX 3 - **Extract from the REF 2021 (2019) Guidance on Submissions - Glossary of Outputs**

As outlined in the University REF 2021 Code of Practice under Part 4 – Selection of Outputs - an underpinning principle of REF 2021 is that all forms of re   - search output will be assessed on a fair and equal basis.

The table below sets out categories of output types under which outputs will be submitted in REF 2021, the collection formats for the dif   ferent output types, and a broad definition of each category. This includes examples, which are provided for guidance only and do not represent a definitive list.

Category	Upload to submission system	Physical output (deposit to REF warehouse)	Definition
(Parts of) books			
A – Authored book	PDF	Actual book	An authored book written entirely by a single author or by joint authors who share responsibility for the whole book. Includes: • scholarly books • research monographs • textbooks based on significant research (as defined above) by the author(s) • revisions/new editions of the above, providing this includes substantial new research material • novels, plays and screenplays • collections of plays, poems, short stories or other creative writing by the author(s).
B – Edited book	PDF	Actual book (if the edition is in multiple volumes, submit representative volume in the first instance)	A book or volume in which individual chapters or contributions have been written by different authors. To submit a work in this category the editor must have had sole responsibility, or be identified as having made a substantial contribution to the editing, choices for inclusion and underpinning process of investigation. Includes: • edited books or volumes • textbooks or encyclopaedias where significant background research is required • annotated anthologies where research informs the annotations • revisions or new editions of the above providing this includes substantial new research material • literary translations, where these contain significant editorial work in the nature of research.

C – Chapter in book	PDF upload of chapter and page(s) of the book that bear the title, publisher, editor and publication date	Actual book or hard copy of chapter including a copy of the page(s) of the book that bear the title, publisher, editor and publication date	This category includes contributions to edited books. This may include scholarly work, such as: • chapters in edited books • entries in textbooks incorporating significant research content • entries in scholarly editions • entries in revisions or new editions providing this includes substantial new research material. • translations where these contain significant editorial work which constitutes research.
R – Scholarly edition	If not available in print, PDF upload of short written description of the scholarly edition, including details of how it can be freely accessed (e.g. URL, DOI)	Actual scholarly edition	An edition of another author's original work or body of works informed by critical evaluation of the sources (such as, earlier manuscripts, texts, documents and letters) often with a scholarly introduction and explanatory notes or analysis on the text and/or original author. This may include a translation of the original text(s) where this constitutes part of the research.

Journal articles			
D – Journal article	Submit with DOI: REF team to source. If REF team is unable to source then HEI to upload PDF of article/ conference contribution	n/a (if only hard copy is available the HEI should upload a scanned PDF)	A scholarly paper, usually on a specific topic, published in an externally circulated scholarly or professional journal that has an ISSN. This may include: • full research articles • critical scholarly texts which appear in article form • review articles, where these meet the definition of research for the REF • evidence synthesis, including systematic reviews, analyses, meta-analyses, meta-syntheses, where these meet the definition of research for the REF • rapid communication (short papers, usually published swiftly, in scholarly journals presenting original material) • discussion paper (short articles in scholarly journals that critically address specific results or data provided in a published research paper) • creative articles, including photographic essays.
E–Conference contribution			A conference paper or other contribution published in conference proceedings. The conference proceedings will usually have an ISSN or ISBN and may be published in a number of formats such as: • volume of proceedings • special or normal edition of a journal • book or a monograph • website. Submitted outputs may include: • full written papers that appear in published conference proceedings • other conference contributions which meet the definition of research.

U–Working paper	PDF upload of working paper or details of how it can be freely accessed (e.g. URL, DOI) and evidence of year of publication	n/a (if only hard copy is available the HEI should upload a scanned PDF)	Research papers disseminated to encourage discussion and suggestions for revision. This may be through pre-print dissemination, lodging in an institutional repository or self-publication for distribution.
Physical artefacts			
L –Artefact	PDF upload of photographic/ visual record of output, or details of how it can be freely accessed (e.g. URL, DOI)	Photographic/ visual record of output (paper and/or DVD/CD/ USB)	Artefacts, objects or craftworks, exhibited, commissioned or otherwise presented or offered in the public domain, for example visual arts, craft and cultural creations. This may take the form of moving image, sonic, visual or other digital media or written text, or a combination of these, as appropriate, to enable the panel to access the research dimensions and/or the researcher's contribution to the artefact and to assess its significance, originality and rigour. This can include (but is not limited to): • illustration • sculpture • media installations • ceramics • jewellery • metalwork • buildings • cultural artefacts such as large permanent public sculptures. The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination.

P – Devices and products	PDF upload of photographic/ visual record of output, or details of how it can be freely accessed (e.g. URL, DOI)	Photographic/ visual record of output (paper and/or DVD/CD/ USB)	An element, system or substance developed to perform a particular function, set, or combination of functions. Incorporates developing the concept and the design and development of any chemical, mechanical, electronic and software components, and where appropriate the overall system architecture. • use may be functional, aesthetic or commercial • may be physical including chemical or compound, i.e. medicines • may include digital/virtual products for particular functions, i.e. gaming, analysis, display • may include services, i.e. transportation, energy supply, public broadcasting, healthcare systems • may be associated with the manufacturing, extraction and refinement of other devices.
Exhibitions and performances			
M–Exhibition	PDF upload of photographic/ visual record of output, or details of how it can be freely accessed (e.g. URL, DOI) and evidence of year of dissemination	Representation of the output (e.g. recording or photographic/ visual record) and evidence of year of dissemination (paper and/ or DVD/CD/USB)	A single or series of public events, or short-term, long-term or permanent installations, at which works of interest are displayed. This may take the form of moving image, sonic, visual or other digital media or written text, or a combination of these, as appropriate, to enable the panel to access the research dimensions and/or the researcher's contribution to the exhibition and to assess its significance, originality and rigour. Submissions can be: • solo exhibitions • curation of exhibitions • contributions to collaborative group exhibitions. Submissions may include: • original artistic works and/or designs • historical, political, social, technical/technological or scientific research and information • works exhibited in a gallery, museum, artist's book or electronic format • works exhibited in non-standard environments • curating an exhibition. The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination.

I–Performance	PDF upload of photographic/ visual record of output, or details of how it can be freely accessed (e.g. URL, DOI) and evidence of year of dissemination	Representation of the output (e.g. recording or photographic/ visual record) and evidence of year of dissemination (paper and/or DVD/CD/ USB)	A live or recorded performance (by, for example, an actor, musician, dancer, conductor, artist) to an external audience. The 'author' can have one (or more) of a variety of major roles (e.g. lead performer, director, writer) in the production, which should meet the REF definition of research. The role should be specified within the additional details required, with details of other participants involved in the research.
			This may take the form of moving image, sonic, visual or other digital media or written text, or a combination of these, as appropriate, to enable the panel to access the research dimensions and/or the researcher's contribution to the performance and to assess its significance, originality and rigour.
			Includes (but is not limited to):
			• performance of a play, musical, opera, concert, television or radio production, performance artwork
			• theatre productions (stage play, mime, circus, puppet show, variety act, comedy show)
			• concerts and recitals (music or dance)
			• broadcast performances and other modes of presentation
			• production of an audio/visual medium (such as CD or DVD recording)
			• artistic direction of a staged production
			• input into a theatre production (for example, design, dramaturgy).
			The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination.

Other documents			
F–Patent/ published patent application	PDF upload of published patent application/ granted patent	Published patent application/ granted patent (paper)	Granted patents, copyrights, trademarks, or registered designs on specific products or processes. Patents can have been granted in the UK or another patent-awarding country. The patent should have been granted for the first time during the assessment period.
J– Composition	Details of how audio recording (if available) can be freely accessed (e.g. URL, DOI), and/ or PDF upload of score and evidence of year of dissemination	Audio recording (if available) and/or score and evidence of year of dissemination (paper and/or DVD/CD/USB)	An original published/publicly available score, first performance or first recording by a record label of a musical composition. Can include (but is not limited to): • compositions created while being played for example, electronic compositions, jazz improvisation • published/publicly available score • recordings • sound component of a film or video, lyrics, multimedia composition • commissioned works • combinations or developments of the above. The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination.

K – Design	PDF upload of photographic/ visual record of design or details of how it can be freely accessed (e.g. URL, DOI) and evidence of year of dissemination	Photographic/ visual record of design and evidence of year of dissemination (paper and/or DVD/CD/USB)	A creative research/problem-solving output in the form of design drawings, books, models, exhibitions, websites, installations or built works. This may take the form of moving image, sonic, visual or other digital media or written text, or a combination of these, as appropriate, to enable the panel to access the research dimensions and/or the researcher's contribution to the design and to assess its significant originality and rigour. This can include (but is not limited) to: • fashion design • textile design • graphic design • interior design • industrial design • architectural design • multimedia design • sound design • exhibition design (i.e. not the content of the exhibition) • theatre design • other designs. The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination.
N – Research report for external body	PDF upload of report or details of how it can be freely accessed (e.g. URL, DOI bearing year of publication/ dissemination	Hard copy of report bearing year of publication/ dissemination.	Non-confidential reports, commissioned and/or funded by an external organisation, including reports for private companies, government departments and non- governmental organisations. May also include non-commissioned reports.
O – Confidential report for external body	PDF upload of report and evidence of year of receipt (e.g. letter, email, delivery notice)	Hard copy of report and evidence of year of receipt (e.g. letter, email, delivery notice)	Confidential reports commissioned and/or funded by an external organisation, including reports for private companies, government departments and non- governmental organisations. For clarity, confidential material is not in scope of the open access requirements (see main text, paragraphs 223 to 224 for details of in-scope outputs).

Digital artefacts			
G – Software	PDF upload of written description of the software and details of how the software, and if relevant, the source code, can be accessed (e.g. URL, DOI)	n/a	Originally researched, created and published software (computer programs and their associated documentation, consisting of a set of instructions written by a programmer) or database products of commercial quality, which has been made publicly available. May include (but is not limited to): • operating systems • utilities • application programs • interactive multimedia • video games • logic systems. The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination.
H – Website content	PDF upload of content as at date of publication (e.g. a date certified electronic copy of content) or details of how it can be freely accessed (e.g. URL, DOI)	Content as at date of publication e.g. a date certified electronic copy of content (DVD/ CD/USB) or date-stamped printout of content (paper)	A collection of material which embodies research and is undertaken on a systematic basis specifically for dissemination through a website and/or as an interactive approach to allow users to engage directly with the process or products of the research. Web content is the textual, visual, or aural content encountered as part of the user experience on websites. It may include – among other things – text, images, sounds, videos and animations. May present factual information, analysis or data, or fictional, imaginative and/or creative work, using pictorial, video, audio, etc.

Q – Digital or visual media	Details of how it can be freely accessed (e.g. URL, DOI) and evidence of year of dissemination	Either a copy of the published DVD, CD or other visual output; or for outputs that were broadcast, a digital or other visual copy of the content and evidence of year of dissemination	Research outputs presented in digitised and/or audio-visual format. This may take the form of moving image, sonic, visual or other digital media or written text, or a combination of these, as appropriate, to enable the panel to access the research dimensions and/or the researcher's contribution to the output and to assess its significance, originality and rigour. Includes but is not limited to: • films • documentaries • audio-visual presentations • computer games • animation. Encoded in digital format, machine readable and presenting information and forms of communication not limited to verbal and text-based means. The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination.
S – Research data sets and databases	PDF upload of written description of the data set or database and details of where it can be accessed (e.g. URL, DOI) where relevant. Do not submit copies of actual data sets or databases	n/a	Submissions may include: • Data sets: May come in a variety of formats, for instance in spreadsheet, but also any collection of data on which analysis can be performed. Most commonly a data set corresponds to the contents of a single database table, or a statistical data matrix, where every column of the table represents a particular variable, and each row corresponds to a given member of the data set. • Databases: Collections of data specifically organised and presented for the ease of viewing, retrieval and analysis. May comprise multiple data sets. Often characterised by data field structuring and searchability tools. The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination.

Other			
V – Translation	PDF upload of output or description of the output, or details of how it can be freely accessed (e.g. URL, DOI)	The actual output (paper or USB)	A translation of a work or body of works by another author or authors, informed by critical evaluation of the sources (such as earlier manuscripts, texts, documents and letters), and by critical analysis of the work's original cultural context for the new readership. Translations may also include a scholarly introduction and explanatory notes or contextual analysis. Translation may enhance existing understanding of the material in question, and may provide evidence of creativity in its own right.
T – Other	PDF upload of representation of the output or details of how it can be freely accessed (e.g. URL, DOI) and, if not clear from the output, evidence of year of dissemination	Either the actual output or a representation of the output; and, if not clear from the output, evidence of year of dissemination (paper and/or DVD/CD/USB)	Other forms of assessable output meeting the definition of research but not captured within any of the above categories. This may include (but is not limited to): • new materials • structures • images • buildings • food products and processes • published geological and/or geomorphological maps • creative bodies of enquiry • design processes / programme of research • multi-platform projects • curatorial projects • a creative writing collection (a number of related works that were published in forms other than a book length collection) • a collection of creative and/or critical work (for example, related articles, books, choreographic materials, essays, dramaturgical works, films, recordings etc.) on a related topic that address different aspects of a single project and are collectively greater than the sum of their parts • substantial dictionary or encyclopaedia entries and groups of short items including groups of entries.

Notes

1. The table sets out the requirement for providing either a copy of the output itself or a representation of the output (e.g. a visual record or recording of the output). In addition:
   a. For non-text outputs, practice-based outputs or any other output where the research dimensions are not evident within the output/representation of the output itself: a written description of the research process and/or content should be provided. Wherever possible this should be submitted in REF2 in the 'additional information' field (maximum 300 words). Only where necessary to enable the panel to assess the research dimensions of the output, a fuller written description of the research process and/or content should be provided instead of the written description in REF2. The fuller written description should be included as part of an uploaded PDF, or on paper together with a physical output.
   b. For outputs submitted in UOAs within Main Panel C: non-text and practice-based outputs should be submitted either as a PDF or on paper, and a written description provided. Where the form of the output makes this essential, it may be supplemented by limited additional visual material in an accessible format. Further information can be found in 'Panel criteria', paragraphs 259 to 262.
   c. For outputs submitted in the UOAs within Main Panel D: an output will either consist of a single item (e.g. a journal article, a book etc.), or an integrated presentation of a range of material that makes clear the research dimensions of the submitted work. Further information can be found in 'Panel criteria', paragraphs 263 to 269, and Annex C.

Staff, Committees and Training to support REF 2021 decision making processes

Diagram A
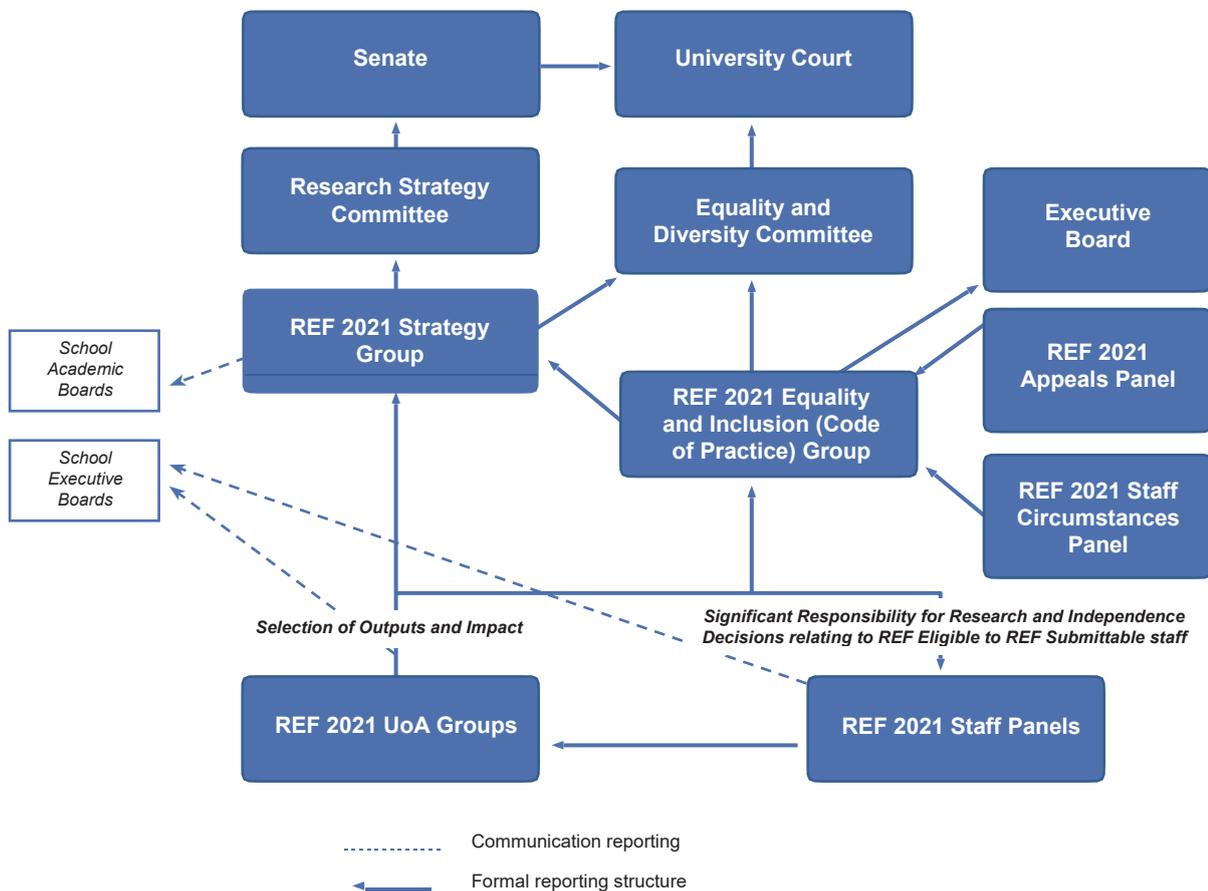
University structures to support the development and application of the REF 2021 Code of Practice.

1. **REF 2021 Strategy Group**
2. **REF 2021 Equality and Inclusion (Code of Practice) Group**
3. **REF 2021 Appeals Panel**
4. **REF 2021 Staff Circumstances Panel**
5. **REF 2021 Staff Panels**
6. **REF 2021 UoA Groups**
7. **Unit of Assessment (UoA) Lead**
8. **University Academic Lead for REF 2021**

1. REF 2021 Strategy Group

Membership

Appointed by the Principal

Deputy Principal, (Convener)
University REF 2021 Academic Lead
Member of the University Court

Appointed by the Deputy Principal

Deans of School

Dean, Health Sciences
Dean, Arts, Social Sciences and Management

REF 2021 Unit of Assessment (UoA) Leads

UoA 3 Lead - Allied Health Professions, Dentistry, Nursing and Pharmacy
UoA 26 Lead - Modern Languages and Linguistics and University REF 2021 Academic Lead
UoA 2/22 Lead - Public Health, Health Services and Primary Care/ Anthropology and Development Studies
UoA 4 Lead – Psychology, Psychiatry and Primary Care
UoA 34 Lead – Communication, Cultural and Media Studies, Library and Information Management
UoA 21 Lead – Sociology
UoA 17 Lead – Business and Management

Ex Officio

Research Support Librarian
Academic Support Services Manager, Library Services
HR, Representative and member of Equality and Diversity Committee
REF 2021 Project Officer, (Minute Secretary).
Head, Research and KE Development Unit (RKEDU) and member of Equality and Diversity Committee, (Secretary)
REF 2021 Project Officer, (RKEDU) (Minute Secretary)
Other senior officers may be co-opted as necessary

1. **Terms of Reference**

•   Respond to all guidance and criteria from the UK Higher Education Funding Bodies on REF 2021 and ensure compliance and understanding at an institutional level. Gather information, advise on criteria and their application that are likely to yield the optimum quality profile for the University.

•   Monitor the progress made towards the University's submission to REF 2021 including oversight of the REF 2021 Project Plan, key actions and milestones.

•   Oversee the strategic development and management of the University's submission to REF 2021 in line with the REF 2021 Equality and Diversity principles of Transparency, Consistency, Accountability and Inclusivity.

•   Following the publication, by the UK Higher Education Funding Bodies of the REF 2021 (2019) Guidance on Codes of Practice, implement a REF 2021 Code of Practice drawn up

and overseen by the REF 2021 Equality and Inclusion (Code of Practice) Group on:

- The fair and transparent identification of staff with Significant Responsibility for Research.
- Determining who is an Independent Researcher.
- And the selection of outputs.

- Work in accordance with the REF 2021 Code of Practice to be proactive in adhering to broader institutional policies and strategies that support equality and diversity.

- Provide reports to the REF 2021 Equality and Inclusion (Code of Practice) Group as required.

- Roll out a communication plan to ensure that all staff are aware and informed of the University's REF 2021 Strategy.

- Receive recommendations from REF 2021 UoA Group Meetings on emerging implications of REF 2021 proposals.

- Receive recommendations from REF 2021 UoA Groups and approve the final allocation of staff to specific UoA.

- Make final decisions on the need for exemption for Small UoA.

- Make final decisions on which UoA to submit to, based on the recommendations of the REF 2021 UoA Groups and institutional strategy.

- Receive requests from UoA Groups on the appointment and requirement for External Reviewers.

- Provide feedback on and approve draft submissions, including evaluation of environment narratives and impact case studies.

- Report and make recommendations in the context of the University's Strategic Plan and submit regular reports to the Research Strategy Committee, Senate and Executive Board on the work of the Group and the progress of the University's planning and preparations for REF 2021.

- Receive an EIA on the final REF 2021 Submission from the REF 2021 Equality and Diversity (Code of Practice) Group to be submitted to the UK Higher Education Funding Bodies. The Group will oversee the final analysis of data, outcomes and actions to be taken.

2. Appointment Process

The Deputy Principal was appointed by the Principal and Senior Management Team. Group members were appointed by the Deputy Principal on the basis of their collective professional knowledge and judgement to prepare, implement and oversee the University's submission to REF 2021.

REF 2021 UoA Leads were appointed on their specific disciplinary knowledge and expertise, based on research outputs recorded on the institutional repository and leadership of Research Centres and Groups.

3. Mode of Operation

- The Group will be a sub-group of the Research Strategy Committee. The Group will report to the Equality and Diversity Committee, Research Strategy Committee and Senate.

- Compliance with the REF 2021 Code of Practice will be overseen and monitored by the REF 2021 Equality and Inclusion (Code of Practice) Group.

- Fundamental to the work of the Group is ensuring Transparency, Consistency, Accountability and Inclusivity in all of its work.

- The Group will meet quarterly with other meetings being convened as required.

- The Convenor will have executive authority to act on behalf of the Group.

4. Record Keeping Procedure

Agendas and minutes of all meetings will be logged centrally and made available on the staff intranet. The REF 2021 Project Officer, based in RKEDU will act as Minute Secretary to the Group. The Head of RKEDU will be the Secretary to the Group.

5. Fit within wider Institutional Management Structure

The work of the Group will feed formally into the University committee structure as outlined in **Diagram A**.

6. Details of Training Provided

All members will participate in the University's REF 2021 Equality and Diversity Training Programme.

6.1. Timescale

The Group will oversee the submission to REF 2021 from 30 August 2018 until the submission deadline of 27 November 2020. The Group will continue to meet until the end of the REF 2021 census period and up until 31 December 2021.

6.2. Content Tailored to REF 2021

Equality and Diversity training will be contextualised for REF 2021 purposes.

7. Advisory or Decision Making Role

The Group will have an Advisory and Decision Making role.

2. REF 2021 Equality and Inclusion (Code of Practice) Group

Membership

University REF 2021 Academic Lead (Convener)
Dean of School of Health Sciences*
Dean of School of Arts, Social Sciences, and Management*
Acting Head of HR and member of the Equality and Diversity Committee*
Head of Research and Knowledge Exchange Development Unit (RKEDU) and member of the Equality and Diversity Committee. (Secretary)*
REF 2021 Project Officer (Minute Secretary)
Union Representative
Policy Adviser (Governance and Compliance)
Nominated Head of Division
Nominated representative from the Equality and Diversity Committee

*member of the Athena Swan and Concordat Steering Group

1. Terms of Reference

- Following the publication, by the UK Higher Education Funding Bodies, of the REF 2021 Guidance on Submissions published in draft in 2018 and the final guidance published in 2019, including the REF 2021 Code of Practice, the Group will support QMU in drawing up and overseeing the implementation of a REF 2021 Code of Practice across QMU on:
  - The fair and transparent identification of staff with significant responsibility for research.
  - Determining who is an independent researcher.
  - And the selection of outputs.

- Act as the custodian of the principles of Transparency, Consistency, Accountability and Inclusivity in demonstrating fairness; and ensure these are embedded, upheld and promoted throughout the REF 2021 process.

- Develop and oversee the implementation of policies and procedures on identifying staff with Significant Responsibility for Research.

- Develop and oversee the implementation of policies and procedures on determining who is an Independent Researcher.

- Develop and oversee the implementation of procedures to ensure the fair and transparent selection of outputs and rationale for adopted methods. Approve the application of these procedures and adopted methods, by the REF 2021 UoA Groups, to ensure the fair and transparent selection of outputs.

- Develop and communicate the REF 2021 Appeals Process that will be overseen by the REF 2021 Appeals Panel. This will include detailing the process, including how cases are submitted and eligible grounds for appeal.

- Develop all procedures for the confidential disclosure of staff circumstances.

- Ensure that the precepts laid down are specifically applied in providing clear details of the processes and structures to be used by QMU in REF 2021.

- Ensure the effective and appropriate communication of the REF 2021 Code of Practice to staff across the institution (including to those on leave of absence) through various mechanisms and channels, including the staff intranet.

Equality Impact Assessment

- Undertake an EIA on the REF 2021 Code of Practice to be submitted to the UK Higher Education Funding Bodies.

- Receive and monitor EIAs from the REF 2021 UoA Groups on the criteria for output selection.

- Receive and monitor EIAs from the REF 2021 Staff Panels.

- Receive and monitor EIAs from the REF 2021 Staff Circumstances Panel.

- Undertake and EIA of the final REF 2021 Submission to be submitted to the UK Higher Education Funding Bodies.

2. Appointment Process

Group members were appointed by the Deputy Principal on the basis of their collective professional knowledge and judgement to prepare, and oversee the implementation of the University's REF 2021 Code of Practice.

3. Mode of Operation

- The Group will report to the Executive Board, REF 2021 Strategy Group and the Equality and Diversity Committee. The REF 2021 Code of Practice will require the approval of the Executive Board, REF 2021 Strategy Group, Equality and Diversity Committee, Research Strategy Committee and Senate.

- Monitor and oversee the implementation of the REF 2021 Code of Practice by the REF 2021 Strategy Group, REF 2021 Staff Panels, REF 2021 Appeals Panel, REF 2021 Staff Circumstances Panel and the REF 2021 UoA Groups.

- Reinforce and uphold the University's commitment to the REF 2021 Equality and Diversity principles of Transparency, Consistency, Accountability and Inclusivity in all of its work.

- The Group will normally meet monthly with other meetings being convened as required.

- The Convenor will have executive authority to act on behalf of the Group.

- Additional members may be appointed as work moves from the development phase to the implementation phase.

4. Record Keeping Procedure

Agendas and minutes of all meetings will be available on the staff intranet. The REF 2021 Project Officer, based in RKEDU will act as Minute Secretary to the Group. The Head of RKEDU will be the Secretary to the Group.

5. Fit within wider Institutional Management Structure

The work of the Group will feed formally into key University Committee Structure as outlined in **Diagram A**.

6. Details of Training Provided

An initial Equality and Diversity Training briefing will be provided at the first formal meeting of the Group. All members will participate in the University's REF 2021 Equality and Diversity Training Programme.

6.1. Timescale

The work of the Group will commence on 1 September 2018 with a submission of the REF Code of Practice by 7 June 2019 to the Scottish Funding Council at the latest. The Group will continue to meet until the end of the REF 2021 census period and up until 31 December 2021.

6.2. Content Tailored to REF 2021

Equality and Diversity training will be contextualised for REF 2021 purposes.

7. Advisory or Decision Making Role

The Group will have an Advisory and Decision Making role.

3.   REF 2021 Appeals Panel

Membership

Member of University Court with senior level experience in REF/RAE

University Secretary (Chair)*

External Member with senior level experience in REF/RAE

Head of RKEDU (Secretary)

*Convener of the Equality and Diversity Committee

1. Terms of Reference

- Oversee the REF 2021 Appeals Process.
- Consider formal complaints between 1 April 2021 and 22 May 2022, where it is believed that agreed processes set out within our REF 2021 Code of Practice have not been followed.
- Ensure that REF 2021 Appeals are considered before the final submission is made.
- Consider and make decisions on REF 2021 Appeals from staff after they have received feedback on the reasons behind REF 2021 submission decisions in accordance with the established criteria in relation to the REF 2021 process including:
  - Identifying staff with SRR.
  - Determining Research Independence.
- Undertake an EIA on the work of the Panel.

2. Appointment Process

Appointed by the Deputy Principal on:

- The Panel's independence from earlier decision making processes on identifying staff with SRR and Research Independence
- The Panel's collective professional knowledge and judgement to apply approved criteria.

3. Mode of Operation

The Panel will reinforce the University's commitment to the REF 2021 Equality and Diversity principles of Transparency, Consistency, Accountability and Inclusivity in all of its work.

4. Record Keeping Procedure

All Minutes from meetings will be logged centrally with RKEDU using standard institutional forms. The Head of RKEDU will be the Secretary to the Panel.

5. Fit within wider Institutional Management Structure

The work of the Group will feed formally into the University Committee Structure as outlined in **Diagram A.**

6. Details of Training Provided

All Panel members will participate in the University's REF 2021 Equality and Diversity Training Programme.

6.1. Timescale

The work of the Panel will commence from 1 April 2018 to 22 May 2022.

6.2. Content Tailored to REF 2021

Equality and Diversity training will be contextualised for REF 2021 purposes.

7. Advisory or Decision Making Role.

The Panel will have an Advisory and Decision Making role.

4. REF 2021 Staff Circumstances Panel

Membership

Deans

Head of HR (Chair)*

Senior HR Partner (Secretary)

University REF 2021 Academic Lead

*Member of the Equality and Diversity Committee

1. Terms of Reference

- Develop and implement procedures for taking into account staff whose circumstances have affected their ability to research productively throughout the period in relation to the UoA's total output requirement.

- Develop and implement procedures for taking into account the effect and range of circumstances that have had an exceptional effect on the ability of an individual staff member to research productively throughout the period so that they do not have the required minimum of one output.

- For both of the above cases, develop and implement procedures for staff to disclose circumstances in a confidential manner.

- Receive updates and monitor the application of procedures for taking into account staff circumstances at UoA Level.

- Undertake an EIA on the work of the Panel.

2. Appointment Process

Appointed by the Deputy Principal on:

- The Panel's collective professional knowledge and judgement to apply approved criteria.

3. Mode of Operation

The Panel will reinforce and uphold the University's commitment to the REF 2021 Equality and Diversity principles of Transparency, Consistency, Accountability and Inclusivity in all of its work.

4. Record Keeping Procedure

All Minutes from meetings will be treated as confidential and logged centrally, using standard institutional forms, with HR. The Senior HR Partner will be Secretary to the Panel.

5. Fit within wider Institutional Management Structure

The work of the Panel will feed formally into the University Committee Structure as outlined in **Diagram A.**

6. Details of Training Provided

All Panel members will participate in the University's REF 2021 Equality and Diversity Training Programme.

6.1. Timescale

The work of the Panel will commence from 1 October 2018 to 31 December 2020.

6.2. Content Tailored to REF 2021

Equality and Diversity training will be contextualised for REF 2021 purposes.

7. Advisory or Decision Making Role.

The Panel will have an Advisory and Decision Making role.

5. REF 2021 Staff Panel

Membership

Dean of School (Chair)
Head of Division
HR Representative* (Secretary)
*Member of the Equality and Diversity Committee

1. Terms of Reference

Working within the parameters of the REF 2021 Code of Practice in relation to Significant Responsibility for Research and Research Independence:

- Apply approved criteria and make decisions on staff with Significant Responsibility for Research and Research Independence, including information about how the criteria are being applied, and grounds for decisions taken.

- From the list of REF 2021 Eligible Staff make decisions on REF 2021 Submittable Staff.

- Apply approved criteria and make decisions on staff who meet the definition of an independent researcher, including information about how the criteria are being applied.

- Record and communicate all decisions to staff in accordance with an agreed timescale.

- Provide a list of REF 2021 Submittable staff to the relevant REF 2021 UoA Groups and REF 2021 UoA Leads and RKEDU.

- Undertake an EIA on the work of the Panel.

2. Appointment Process

Appointed by the Deans based on:

- The Panel's collective professional knowledge and judgement to apply approved criteria.
  - Head of Division - Line management responsibilities and alignment/implications for associated Academic Division.
  - Professional Services Staff from HR – Specified Duty in Job Description to support the REF process and technical/legislative knowledge to support the Panel.

3. Mode of Operation

The Panel will reinforce and uphold the University's commitment to the REF 2021 Equality and Diversity principles of Transparency, Consistency, Accountability and Inclusivity in all of its work.

4. Record Keeping Procedure

All Minutes from meetings will be treated as confidential and logged centrally, using standard institutional forms, with HR. The HR Partner will be the Secretary to the Panel.

5. Fit within wider Institutional Management Structure

The work of the Panel will feed formally into the University Committee Structure as outlined in **Diagram A.**

6. Details of Training Provided

All Panel members will participate in the University's REF 2021 Equality and Diversity Training Programme.

6.1. Timescale

The work of the Panel will commence from 1 October 2018 to 31 December 2020.

6.2. Content Tailored to REF 2021

Equality and Diversity training will be contextualised for REF 2021 purposes.

7. Advisory or Decision Making Role.

The Panel will have an Advisory and Decision Making role.

6. REF 2021 Unit of Assessment (UoA) Group

Membership

REF 2021 UoA Lead

Head of Division

Dean of School (Chair)

Head of Research and Knowledge Exchange Development Unit (RKEDU)/OR REF 2021 Project Officer

1. Terms of Reference

Working within the parameters of the REF 2021 Code of Practice in relation to UoA level submission strategy, selection of outputs, environment and impact:

- Receive a list of REF 2021 Submittable staff from the relevant REF 2021 Staff Panel.
- Advise the REF 2021 Strategy Group on the strategic placement of staff to specific UoA.
- Oversee the development and submission of the UoA to REF 2021 in relation to Outputs, Impact and Environment in line with the appropriate Main and Sub Panel Criteria and Working Methods.
- Apply approved procedures, developed by the REF 2021 Equality and Inclusion (Code of Practice) Group, to ensure the fair and transparent selection of outputs.
- Implement the decisions of the REF 2021 Staff Circumstances Panel on the application of procedures for taking into account staff circumstances at UoA Level.
- Make recommendations to the REF 2021 Strategy Group on the quality and final selection of outputs.
- Advise the REF 2021 Strategy Group on the strategic placement of staff to specific UoA.
- Make other recommendations to the REF 2021 Strategy Group.
- Monitor OA compliance and non–compliance within the required thresholds.
- Adhere to and comply with the QMU REF 2021 Project Plan.
- Receive eResearch Reports from the institutional repository.
- Undertake an EIA on the outcome of the application of criteria for output selection with input from the relevant HR partner

2. Appointment Process

Appointed by the Deans based on:

- The Group's collective professional knowledge and judgement to prepare, implement and oversee the University's submission to REF 2021.
- UoA Leads - Their specific disciplinary knowledge, research expertise and leadership, based on research outputs recorded on the institutional repository and leadership of Research Centres and Groups.
- Head of Division - Line management responsibilities and alignment/implications for associated Academic Division.
- Professional Services Staff from RKEDU – Specified Duty in Job Description to support the REF process and technical/legislative knowledge to support the Group.

3. Mode of Operation

The Group will reinforce and uphold the University's commitment to the REF 2021 Equality and Diversity principles of Transparency, Consistency, Accountability and Inclusivity.

4. Record Keeping Procedure

All Minutes from meetings will be treated as confidential and logged centrally, using standard institutional forms, with RKEDU. The REF 2021 Project Officer, based in RKEDU will act as Minute Secretary to the Group. The Head of RKEDU will be the Secretary to the Group.

5. Fit within wider Institutional Management Structure

The work of the Group will feed formally into the University Committee Structure as outlined in **Diagram A.**

6. Details of Training Provided

All Group members will participate in the University's REF 2021 Equality and Diversity Training Programme.

6.1. Timescale

The work of the Panel will commence from 1 October 2018 to 31 December 2020.

6.2. Content Tailored to REF 2021

Equality and Diversity training will be contextualised for REF 2021 purposes.

7. Advisory or Decision Making Role

The Panel will have an Advisory and Decision Making role.

7. REF 2021 Unit of Assessment (UoA) Lead

1. Terms of Reference

Working within the parameters of the REF 2021 Code of Practice in relation to UoA level submission strategy, selection of outputs, environment and impact:

- Receive a list of REF 2021 Submittable staff from the relevant REF 2021 Staff Panel.

- Provide leadership and vision, ensuring that each UoA makes the strongest REF 2021 submission possible.

- Take ownership and responsibility, individually and jointly with leads from other UoAs, for a specific UoA and its related UoAs.

- Optimise the UoA submission and that of related UoAs by working to mitigate weaknesses and to highlight strengths across all aspects of the submission.

- Ensure that outputs undergo rigorous review, internally and, in selected cases, externally, in order to assess quality prior to inclusion for REF 2021.

- Within the UoA and in consultation with staff, identify potential outputs for double weighting (where applicable) and ensure compliance with Open Access requirements.

- Understand the potential implications of co-authorship within and between UoAs.

- Present options and represent the UoA at the REF 2021 Strategy Group.

- Lead on REF 2021 communications within divisions represented in the UoA, sharing knowledge of guidance and acting as a local expert on REF 2021 requirements and University preparations.

- Develop a coherent and accurate UoA-level narrative for the environment section of the submission.

- Manage and co-ordinate the development of REF 2021 Impact Case Studies.

- Manage and report on REF 2021 Impact Budget Spend.

- Adhere to and comply with the QMU REF 2021 Project Plan.

- Implement decisions from the REF 2021 Strategy Group and apply recommendations from the REF 2021 UoA Group.

2. Appointment Process

Appointed by the Deans based on:

- Track record of research of international excellence in their particular field of specialisation.

- Proven research profile with an excellent internationally rated publication record.

- Research Group Co-ordinator or Research Centre Director.

- Specific disciplinary knowledge and expertise, based on research outputs recorded on the institutional repository and leadership of Research Centres and Groups.

3. Mode of Operation

The REF 2021 Leads will reinforce and uphold the University's commitment to the REF 2021 Equality and Diversity principles of Transparency, Consistency, Accountability and Inclusivity in all of their work.

4. Record Keeping Procedure

- All Minutes from the internal review of outputs will be treated as confidential and logged centrally using standard institutional forms with RKEDU.

5. Details of Training Provided

REF 2021 Leads will participate in the University's REF 2021 Equality and Diversity Training Programme.

5.1. Timescale

The work of the REF 2021 UoA Lead will commence from 1 October 2018 to 31 December 2020.

5.2. Content Tailored to REF 2021

Equality and Diversity training will be contextualised for REF 2021 purposes.

6. Advisory or Decision Making Role

The REF 2021 UoA Lead will have an Advisory and Decision Making role.

8. University REF 2021 Academic Lead

1. Terms of Reference

- Provide strategic direction in the development of our submission to REF 2021.

- Support and represent the UoA Leads in the development of REF 2021 Strategy across outputs, impact and environment.

- Act as the Convenor of the REF 2021 Equality and Inclusion (Code of Practice) Group.

- Deputise for the Deputy Principal and represent the University at events and forums in relation to REF 2021.

- Approve the selection of outputs where the UoA Lead is also the Head of Division.

- Run monthly staff REF 2021 'drop-in' clinics.

- Deliver REF 2021 staff training on REF 2021 self evaluation of outputs and quality ratings.

2. Appointment Process

Appointed by the Deputy Principal on the basis of:

- Academic credibility and track record of outstanding, peer reviewed, achievement in their discipline and evidence of developing and delivering research excellence, including managing and delivering a world leading REF/RAE submission.

- Experience of developing and implementing research strategy at an institutional level.

3. Mode of Operation

- The University REF 2021 Academic Lead will reinforce and uphold the University's commitment to the REF 2021 Equality and Diversity principles of Transparency, Consistency, Accountability and Inclusivity in all of his work.

4. Details of Training Provided

The University REF 2021 Academic Lead will participate in the University's REF 2021 Equality and Diversity Training Programme.

4.1. Timescale

The work of the REF 2021 UoA Lead will commence from 1 October 2018 to 31 December 2021.

4.2. Content Tailored to REF 2021

Equality and Diversity training will be contextualised for REF 2021 purposes.

5. Advisory or Decision Making Role

The University REF 2021 UoA Academic Lead will have an Advisory and Decision Making role.

APPENDIX 5 - REF 2021 EQUALITY AND DIVERSITY TRAINING PLAN

Group Name	Responsible For	Training Requirements	Level of Under-standing	Mode of Delivery	Timing
Executive Board	Approval of final submission to REF, advise on issues relating to HR and finance	• Legal context of REF • Equalities Act and overview of protected characteristics • Dealing with staff circumstances • Equality Impact Assessment Overview • Significant responsibility for research and Independence • Unconscious Bias	Overview	E-learning (required) Face to face (optional)	Face to Face Nov & Dec 2018 E-learning Summer 2019
REF 2021 Strategy Group	Implementation of the Code of Practice	• Legal context of REF • Equalities Act and overview of protected characteristics • Dealing with Staff Circumstances • Equality Impact Assessment • E&D in research environment and impact • Significant responsibility for research and Independence • Unconscious Bias	Overview	E-learning (required) Face to face (optional)	Face to Face Nov & Dec 2018 E-learning Summer 2019
REF 2021 Equality and Inclusion Code of Practice Group	Draw up and oversee implementation of the Code of Practice	• Legal context of REF • Equalities Act and overview of protected characteristics • Dealing with Staff Circumstances • Equality Impact Assessment • E&D in research environment and impact • Significant responsibility for research and Independence • Unconscious Bias	In depth	Face to face (required) E-learning (required)	Face to Face Nov & Dec 2018 E-learning Summer 2019

Group Name	Responsible For	Training Requirements	Level of Under-standing	Mode of Delivery	Timing
REF 2021 Appeals Panel	Oversee the REF 2021 appeals process	• Legal context of REF • Equalities Act and overview of protected characteristics • Dealing with Staff Circumstances • Equality Impact Assessment • E&D in research environment and impact • Significant responsibility for research and Independence • Unconscious Bias	In depth	Face to face (required) E-learning (required)	Face to Face Nov & Dec 2018 E-learning Summer 2019
REF 2021 Staff Circumstances Panel	Develop and implement procedures for taking account of staff circumstances	• Legal context of REF • Equalities Act and overview of protected characteristics • Dealing with Staff Circumstances • Equality Impact Assessment • E&D in research environment and impact • Significant responsibility for research and Independence • Unconscious Bias	In depth	Face to face (required) E-learning (required)	Face to Face Nov & Dec 2018 E-learning Summer 2019
REF 2021 Staff Panel	Apply the approved criteria for significant responsibility for research to all REF eligible staff	• Legal context of REF • Equalities Act and overview of protected characteristics • Dealing with Staff Circumstances • Equality Impact Assessment • Significant responsibility for research and Independence • Unconscious Bias	In depth	Face to face (required) E-learning (required)	Face to Face Nov & Dec 2018 E-learning Summer 2019

Group Name	Responsible For	Training Requirements	Level of Under-standing	Mode of Delivery	Timing
REF 2021 Unit of Assessment (UoA) Group	Selection of outputs, environment and impact	• Legal context of REF • Equalities Act and overview of protected characteristics • Significant responsibility for research and Independence • Unconscious Bias	Overview	E-learning (required) Face to face (required)	Face to Face Nov & Dec 2018 Face to Face Summer/Autumn 2019 E-learning Summer 2019
Equality and Diversity Committee	Set the strategic framework for equality across the university	• Legal context of REF • Equalities Act and overview of protected characteristics • Equality Impact Assessment • Significant responsibility for research and Independence • Unconscious Bias	Overview	E-learning (required) Face to face (optional)	Face to Face Nov & Dec 2018 E-learning Summer 2019

APPENDIX 6 - Staff Consultation on Criteria for Identifying Staff with Significant Responsibility for Research

Queen Margaret University

EDINBURGH

Research Excellence Framework (REF) 2021
Staff Consultation on Criteria for Identifying Staff with Significant Responsibility for Research

1. **Introduction**

   This consultation document is provided to academic staff and trade unions to seek views on institutional criteria, and to consider measures and processes for identifying staff with significant responsibility for research, in line with the published requirements of REF 2021.

   This is a first stage in scoping QMU proposals and will be subject to further clarification from the Joint UK Funding Councils when they publish Draft Guidance on REF 2021 Panel Criteria in Summer/Autumn 2018.

2. **Background**

   In November 2017, REF 2021 guidance stated that criteria for identifying staff for submission to REF 2021 should be developed collaboratively with the academic staff body, and that evidence of institution-wide consultation on the criteria should be available in the institution's Code of Practice.

   QMU is fully committed to the Joint UK Funding Councils requirements, and these proposals are the first stage in scoping possible criteria.

3. **Requirements of REF 2021 Proposals**

   3.1. REF 2021 Staff Definitions

   All staff with **significant responsibility** for research should be returned to REF 2021 and who meet the following criteria:

   - **'Category A eligible' staff:**

     o All staff on Teaching and Research or Research-only contracts.
     o Considered to be Independent Researchers. (The Main REF 2021 Panels will provide further guidance on the definition of independent research as part of the panel criteria setting process, due to report in Summer/Autumn 2018).
     o Minimum of 0.2 FTE.
     o Substantive connection with the submitting institution.

   - '**Category A submitted'**: staff from total pool identified as having **significant responsibility** for research on the census date (31 July 2020).

   3.2. Code of Practice

   All submitting HEIs are required to provide information on the institution's processes for ensuring a fair approach to selecting outputs. Those not submitting 100% of staff will also need to cover the institution's processes for identifying 'Category A submitted' staff for any Unit of Assessment (UoA) in which it is not submitting 100% of 'Category A eligible' staff. Guidance and a Code of Practice template will be developed by the Joint UK Funding Funding Councils, and provided to institutions mid-2018.

4. **Measures of Significant Responsibility for Research REF 2021**

   4.1. Significant responsibility for research in REF 2021 – Joint UK Funding Councils (Extract from the Joint UK Funding Councils published guidance on decisions relating to the submission of staff and outputs to REF 2021[i].)

   Staff with significant responsibility for research are those for whom explicit time and resources are made available to engage actively in independent research, and that is an expectation of their job role. Research is defined as a process of investigation leading to new insights, effectively shared. Staff

engaged exclusively in scholarship would not be considered to have a significant responsibility for research.

In recognition of differences across institutions in how staff responsibilities are determined, it is not considered appropriate to set a generic criterion relating to a minimum proportion of time allocated for research. However, it was recognised in the HEFCE Circular Letter – Initial Decisions on REF 2021 33/2017 [ii]that many institutions would want to draw on the proportion of time that is allocated for research to identify staff in scope. The Joint UK Funding Councils consider that this will be an appropriate approach, where there is a clear and agreed rationale for the proportion that is set.

Responses to HEFCE Circular Letter – Initial Decisions on REF 2021 33/2017[iii] outlined several key attributes that would identify staff actively engaged in research. However, responses also highlighted differences in these attributes by discipline area. Working with the Main REF 2021 Panels, The Joint UK Funding Councils will provide further guidance on identifying staff with significant responsibility in the guidance on submissions and panel criteria. This guidance will not prescribe a fixed set of criteria that all staff would be required to meet, but will set out a 'menu' of what is considered an appropriate indicator of significant responsibility.

4.2. QMU Proposed Measures of Significant Responsibility for Research REF 2021

Since the publication of the Joint UK Funding Councils guidance in November 2017[iv], QMU has appointed an Academic Contracts and Career Pathways Working Group[v] to consider alternative measures and processes for identifying which staff have significant responsibility for research.

The Group has made the following proposals for initial scoping criteria for measures of significant responsibility for research as a result of an iterative combination of attendance at HEFCE Town Hall Meetings; Universities Scotland sector briefings; QMU REF 2021 Strategy Group discussions; meetings with Heads of Divisions and Research Managers; and through the ongoing work of the Group.

The Group has proposed the following menu of indicators:

• Full membership of a Research Centre.
• Identified as Research Active with potential for inclusion in the next REF as part as the ongoing QMU REF Audit exercises (prior to the issue of the HEFCE November 2017 guidance), with outcomes verified in minutes and eResearch reports.
• PI on an external research grant[vi] or equivalent as recorded on PFact.
• Promotion on the basis of research within the REF 2021 staff census period of 1 January 2014 to 31 July 2020.
• Research Only Contract.
• REF 2021 Objectives specifically identified in PER and workload priorities.

5. Consultation Process

5.1. Consultation Period

The purpose of the consultation period is to seek the early views of academic staff on the university's proposed criteria for identifying those staff with significant responsibility for research in preparation for REF 2021.

At the end of the consultation period, feedback will be provided to academic staff on the results of this initial, first stage scoping.

We are mindful that this will be further informed by the Joint UK Funding Councils Draft Guidance on REF 2021 Panel Criteria, due for publication in Summer/Autumn 2018.

5.2. Consultation Timeline

The consultation process commences on 1 March 2018, and will run for 2 months, with an end date of 1 May 2018.

1 March 2018 – Staff Consultation phase begins.
1 May 2018 – Staff Consultation phase concludes.
31 May 2018 - Outcome of consultation communicated to staff.

5.3. Staff Briefing Sessions

Three **Staff Briefing Sessions** have been arranged:

Staff Briefing 1 - Thursday 1 March 2018 , 9am-10am, Large Boardroom
Staff Briefing 2 - Wednesday 21 March 2018, 2-3pm, Large Boardroom
Staff Briefing 3 - Monday 23 April 2018, 1-2pm, Large Boardroom

The purpose of the staff briefing sessions is to provide staff with an overview of what is currently known about REF 2021 and to propose criteria to identify staff with significant responsibility for research. Each of the briefings will follow the same format and cover the same material.

The briefing sessions will be led by Dr Richard Butt, Deputy Principal, and all academic staff are encouraged to attend.

5.4. Discussion at QMU Committees

The proposals will also be discussed at the following committees and Groups:

- Research Strategy Committee – 1 March 2018
- Senate – 28 March 2018
- School Academic Board (Health Sciences) – 11 April 2018
- School Academic Board (ASSaM) – 22 March 2018
- Research and Knowledge Exchange Strategy Group (Health Sciences) – 5 April 2018
- Research and Knowledge Exchange Strategy Group (ASSaM) – 12 April 2018

5.5. Consultation with Trade Unions

The proposals will also be discussed with the Joint Negotiation and Consultation Committee (JNCC) and at the QMU TU Meeting.

5.6. Feedback

Feedback and comments on the university's proposals should be submitted in writing to the Research and Knowledge Exchange Development Unit rkedu@qmu.ac.uk by 1 May 2018.

---

[i] http://www.ref.ac.uk/media/ref,2021/downloads/REF%202017_04%20Decisions%2023.11.2017.pdf
[ii] http://www.hefce.ac.uk/pubs/year/2017/CL,332017/
[iii] http://www.hefce.ac.uk/pubs/year/2017/CL,332017/
[iv] http://www.ref.ac.uk/media/ref,2021/downloads/REF%202017_04%20Decisions%2023.11.2017.pdf
[v] http://intranet.qmu.ac.uk/sites/REF2021/Academic%20Contracts%20and%20Career%20Pathway%20Working%20Grou/Forms/AllItems.aspx
[vi] REF Eligible Research Income

APPENDIX 7 - REF 2021 Staff Panel Meeting Outcome Record

School:	
Division:	
Staff Member Name:	
Date of REF 2021 Staff Panel Meeting:	
Panel Members:	

Outcome: REF 2021 Submittable	Yes	No
Alignment with UoA:	UoA 2 Public Health, Health Services, and Primary Care/UoA 22 Anthropology and Development Studies	
	UoA 3 Allied Health Professions, Dentistry, Nursing and Pharmacy	
	UoA 4 Psychology, Psychiatry and Neuroscience	
	UoA 17 Business and Management Studies	
	UoA 21 Sociology	
	UoA 26 Modern Languages and Linguistics	
	UoA 34 Communication, Cultural and Media Studies, Library and Information Management	
	Other or unallocated	
Signature of Panel Chair:		

Table 1 - Menu of indicators will be used to identify staff with Significant Responsibility for Research			
	Yes	**No**	**Evidence**
1. Full membership of a Research Centre (Associate Membership or above for Early Career Researchers).			**RKEDU to provide Research Centre Staff list.**
2. PI on an external research grant[1] or equivalent as recorded on PFact.			**Finance to provide a list of all Principal Investigators**
3. Promotion on the basis of research within the REF 2021 staff census period of 1 January 2014 to 31 July 2020.			**HR to provide list of all staff promoted on the basis of research.**
4. Research Only Contract.			**HR to provide list of all staff on Research only contracts. Apply measures in Table 2.**
5. REF 2021 Objectives specifically identified in PER and workload priorities.			**• Deans and Heads of Division to provide evidence of PER objectives.** **• Research Centre Budgets allocated to staff with explicit funding to produce REFable outputs or grants etc… not including development funding.** **• Where there is no auditable evidence of PER or workload priorities the default will be no Significant Responsibility for Research.**
6. Independent Researcher.			**Staff on Teaching and Research contracts are considered to be independent researchers. Exceptionally, independence may be considered as part of the process of identifying staff with Significant Responsibility for Research.**
Outcome			
These criteria are applied to REF 2021 Category A Eligible Staff, both research-only and teaching+research. Where two or more of the criteria are applicable, the staff member is considered to have Significant Responsibility for Research.		**Yes**	**No**
	Significant Responsibility for Research		

_____

1   REF Eligible Research Income

Table 2 - Menu of indicators will be used to identify Research Independence – (To be applied to all staff on Research Only Contracts and exceptionally to staff on Teaching and Research Contracts).			
	Yes	**No**	**Evidence**
1. Leading or acting as principal investigator or equivalent on an externally funded research project.			**Finance to provide a list of all PIs and co-investigators.**
2. Holding an independently won, competitively awarded fellowship where research independence is a requirement.[2]			**Finance/Head of Division to provide evidence of any awarded Fellowships.**
3. Acting as a co-investigator on an externally funded research project.			**Finance to provide a list of all PIs and co-investigators.**
4. Leading a research group or a substantial work package.			**Head of Division/Centre Director to provide evidence. Not hired as a post-doc to undertake research on behalf of another member of staff.**
5. Significant input into the design, conduct and interpretation of the research.			**Head of Division/Centre Director to provide evidence. Not hired as a post-doc to undertake research on behalf of another member of staff.**
Outcome			

		Yes	**No**
These criteria are applied to REF 2021 Category A Eligible Staff, both research-only and teaching+research Where two or more of the criteria are applicable, the staff member is considered to be an Independent Researcher			
	Independent Researcher		

---

2   http://www.ref.ac.uk/guidance/

APPENDIX 8 - Research Fellowships

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

Table 1

Funder	Fellowship scheme
AHRC	AHRC Leadership Fellowships - Early Career Researchers
AHRC	AHRC Leadership Fellowships
BBSRC	BBSRC David Phillips Fellowships
BBSRC	BBSRC Future Leader Fellowships (from 2018 known as BBSRC Discovery Fellowships)
British Academy	BA/Leverhulme Senior Research Fellowships
British Academy	British Academy Postdoctoral Fellowships
British Academy	JSPS Postdoctoral Fellowships
British Academy	Mid-Career Fellowships
British Academy	Newton Advanced Fellowships
British Academy	Newton International Fellowships
British Academy	Wolfson Research Professorships
British Heart Foundation	Career Re-entry Research Fellowships
British Heart Foundation	Clinical Research Leave Fellowships
British Heart Foundation	BHF-Fulbright Commission Scholar Awards
British Heart Foundation	Intermediate Basic Science Research Fellowships
British Heart Foundation	Intermediate Clinical Research Fellowships
British Heart Foundation	Senior Basic Science Research Fellowships
British Heart Foundation	Senior Clinical Research Fellowships
British Heart Foundation	Springboard Award for Biomedical Researchers
British Heart Foundation	Starter Grants for Clinical Lecturers
Cancer Research UK	Advanced Clinician Scientist Fellowship
Cancer Research UK	Career Development Fellowship
Cancer Research UK	Career Establishment Award
Cancer Research UK	Senior Cancer Research Fellowship
EPSRC	EPSRC Early Career Fellowship
EPSRC	EPSRC Established Career Fellowship

EPSRC	EPSRC Postdoctoral Fellowship*[1]
ESRC	ESRC Future Cities Catapult Fellowship
ESRC	ESRC Future Leaders Grant
ESRC	ESRC/Turing Fellowships
ESRC/URKI	Early Career Researcher Innovation Fellowships
European Research Council	ERC Advanced Grants
European Research Council	ERC Consolidator Grants
European Research Council	ERC Starting Grants
Health Education England	Integrated Clinical Academic Programme Clinical Lectureship*
Health Education England	Integrated Clinical Academic Programme Senior Clinical Lectureship
Leverhulme Trust	Early Career Fellowship
Leverhulme Trust	Research Fellowship
Leverhulme Trust	Emeritus Fellowship
Leverhulme Trust	Major Research Fellowship
Leverhulme Trust	International Academic Fellowship
MRC	MRC Career Development Awards*
MRC	MRC New Investigator Research Grants (Non-clinical)*
MRC	MRC New Investigator Research Grants (Clinical)*
MRC	MRC Clinician Scientist Fellowships*
MRC	Senior Non-Clinical Fellowships
MRC	Senior Clinical Fellowships
NC3R	David Sainsbury Fellowship
NC3R	Training fellowship
NERC	Independent Research Fellowships
NERC/UKRI	Industrial Innovation Fellowships
NERC/UKRI	Industrial Mobility Fellowships
NIHR	Advanced Fellowship*
NIHR	Career Development Fellowship
NIHR	Clinical Lectureships*
NIHR	Clinician Scientist*
NIHR	Post-Doctoral Fellowship*
NIHR	Research Professorships

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

NIHR	School for Primary Care Post-Doctoral Fellowships*
NIHR	Senior Research Fellowships
Royal Academy of Engineering	RAEng Engineering for Development Research Fellowship
Royal Academy of Engineering	Industrial Fellowships
Royal Academy of Engineering	RAEng Research Fellowship
Royal Academy of Engineering	RAEng Senior Research Fellowship
Royal Academy of Engineering	UK Intelligence Community (IC) Postdoctoral Research Fellowship
Royal Society	Royal Society Wolfson Fellowship
Royal Society	Dorothy Hodgkin Fellowship*
Royal Society	JSPS Postdoctoral Fellowship
Royal Society	Newton Advanced Fellowship
Royal Society	Royal Society/Leverhulme Trust Senior Research Fellowship
Royal Society	University Research Fellowship*
Royal Society and Wellcome Trust	Sir Henry Dale Fellowship*
Royal Society of Edinburgh	RSE Arts & Humanities Awards (for permanent staff)
Royal Society of Edinburgh	RSE Personal Research Fellowship
Royal Society of Edinburgh	RSE Sabbatical Research Grants (for permanent staff)
Sêr Cymru	Research Chairs
Sêr Cymru	Rising Stars
Sêr Cymru	Recapturing Talent*
Sêr Cymru	Research fellowships for 3 -5 year postdocs
STFC	CERN Fellowships
STFC	Ernest Rutherford Fellowship
STFC	ESA Fellowships
STFC	Innovations Partnership Scheme Fellowships
STFC	Returner Fellowships
STFC	RSE/STFC Enterprise Fellowships
STFC	Rutherford International Fellowship Programme

UKRI	UKRI Future Leaders Fellowships
UKRI	UKRI Innovation Fellowships
Wellcome Trust	Intermediate Fellowship in Public Health and Tropical Medicine
Wellcome Trust	Principal Research Fellowships
Wellcome Trust	Research Award for Health Professionals

Wellcome Trust	Research Career Development Fellowship
Wellcome Trust	Research Fellowship in Humanities and Social Science
Wellcome Trust	Senior Research Fellowship

1. Introduction

QMU will apply fair and transparent mechanisms in research assessment and the principles in this statement will underpin the institutional 2015–2020 Research and KE Strategy. Both qualitative and quantitative indicators will be used by QMU to assess individual and institutional performance and we acknowledge the limitations of using either approach in isolation. QMU recognises the potential consequences of research metrics, if applied in isolation, on academic careers, and pledges to support the responsible use of research indicators.

QMU also acknowledges the need for fair and transparent use of the increasing use of quantitative indicators in the external measurements of our reputation, as measured by league tables and funding agencies.

QMU will not use single, non-normalised metrics in research assessment. It will only use indicators that are transparent and contextualised with citation practices within the relevant discipline.

2 Purpose

This statement is a guide to responsible research assessment. It provides a set of principles outlining good practice. These principles reinforce the key role of peer review and support an inclusive and transparent process to research assessment, respectful of researchers and of the plurality of research.

It outlines QMU's commitment to:

- Becoming a signatory to the [San Francisco Declaration on Research Assessment (DORA)](#) to underpin its commitment to the responsible use of research metrics.

- Adopting the principles of the [Leiden Manifesto](#).

- Implementing the recommendations of the [Forum for Responsible Research Metrics (FFRM)](#) and the principles of the [Metric Tide Report.](#)

QMU commits to considering research outputs within the context of the Unit, Centre, Division and University research environment and the research objectives of the researcher.

QMU will work with the sector to explore, develop and share best practice in relation to the responsible use of research metrics and new approaches to evaluating research.

QMU researchers will uphold the highest level of research integrity, including acknowledging the contributions of others and citing original research.

3. Background

DORA is a worldwide initiative, with recommendations covering all scholarly disciplines, which recognises the need to improve the ways in which the outputs of scholarly research are evaluated and seeks to develop and promote best practice. In particular DORA seeks to address the practice of using journal impact factors as a proxy for quality.

Further frameworks have emerged since the publication of DORA (2013) on the use of quantitative research indicators in the assessment and management of research and QMU is committed to the recommendations of the FFRM Report, the [Metric Tide (2015)](#) and the principles of the [Leiden Manifesto (2015).](#)

In 2017 the FFRM partnership between HEFCE (now Research England), Research Councils UK, the Wellcome Trust, Universities UK and JISC, was created to develop a series of initiatives to support the responsible use of metrics in the HE sector and research organisations across the UK. Although the FFRM focuses on the recommendations made in the Metric Tide Report it supports the principles set out in both Leiden and DORA.

The Leiden Manifesto brings together accepted but disparate principles of good practice in research evaluation. The manifesto represents the "distillation of best practice in metrics-based research assessment so that researchers can hold evaluators to account and evaluators can hold their indicators to account".

Both of these initiatives have come from groups of researchers who share a concern with the way the outputs from research are evaluated by funders, academic publishers, institutions and other parties. While appreciating the value of quantitative research metrics, they are concerned about their inappropriate use in decision making, for example around the allocation of funds and in academic career progression.

4. What are quantitative indicators?

4.1. Citation-based metrics

Many of the quantitative indicators used in research assessment are citation-based bibliometric indicators such as citation counts; journal impact factors; and the h-index. These are derived from the data found in Web of Science, Scopus, or in Google Scholar. These metrics are used in many commonly used sources, such as on publisher's journal web sites and in QMU reports derived from eResearch. It is important that all staff involved in research, and not just those directly involved in the assessment of research, have an understanding of the underpinnings, benefits and limitation of these indicators and their responsible use.

4.2. Altmetrics

Alternative metrics ('altmetrics') are a relatively new kind of indicator which provide information about attention to research outputs in social media such as Twitter and also information about captures, shares and number of views and downloads. There are still many uncertainties about these developing metrics, including about their reliability. The FFRM therefore recommends that altmetrics should not be used in REF style evaluations of outputs although there may be some value in their use in assessment of impact.

5. Guiding Principles

5.1. Quantitative evaluation could support qualitative, expert assessment

- Implement assessment procedures that only use quantitative indicators in parallel with peer review. Indicators may be used in a variety of processes but will not supplant peer review of both research outputs and their environment.

5.2 Diversity should be recognised and accounted for

- Research assessment approaches should align to the plurality of research and recognise that indicators will not serve all disciplines equally.

- The diverse research objectives of individual researchers and of Research Centres should be taken into account.

- Recognise and value research that informs policy and practice – celebrate the value of research outputs in public engagement, impact creation and dissemination to users.

- Acknowledge varying publication and citation practices across disciplines and that quantitative metrics work better for some forms of research output than others.

- Recognise that the timeframes involved will vary according to disciplines and outputs.

- Best practice is to apply quantitative indicators responsibly and normalise use by discipline.

- Many citation tools and quantitative indicators are inherently skewed to English language outputs. QMU values the international dimension of much of its research and encourages publication in the appropriate language for the research user.

- Recognise areas of potential bias and aim to address them: such a consideration applies to the most widely used citation databases and their alignment with QMU disciplines and output types and gender bias in citation practices.

5.3. Processes should be open and transparent

- Openly declare when quantitative indicators are used and promote researcher awareness, understanding and scrutiny of assessment methodologies, ensuring that processes are transparent and documented.

- Aim for a balance between simplicity and accuracy in the use of quantitative indicators.

- Ensure research assessment expectations are transparent, fair and consistent by setting expectations in advance through the QMU PER process.

- Encourage researchers to understand and challenge the indicators used in relation to their outputs.

- Roll out new processes in 2020/21 to ensure that all researchers are registered for an OR-CID ID to ensure consistent, reliable attribution of work.

5.4. Misplaced concreteness and false precision should be avoided

- Use metrics only where their strengths, weaknesses and limitations are understood and where placing undue significance on quantitative differences could be avoided.

- Include caveats responsibly in research assessment data and reports.

- Undertake regular reassessment of any indicators used.

5.5 The systemic effects of assessment and indicators should be recognised

- Anticipate and mitigate any unintended effects established by using indicators by encouraging researcher feedback and review.

6. Application of Quantitative Indicators in Research Assessment

6.1. Assessment of individual research outputs

- These should be assessed primarily by expert peer review of the output, for example using the REF approach to assessment based on originality, significance and rigour.

- Citation counts should only be used if interpreted in the light of disciplinary norms and with an understanding of the factors which affect citation counts, including paper, journal and author related factors. For example, an article in an English-language journal, written by several authors in an international collaboration is likely to be cited more often than an article written by a single author in a journal published in a language other than English.

- Article level metrics are more appropriate than journal level metrics in the assessment of individual outputs and can inform peer review, but all indicators must be normalised to the discipline.

- Journal impact factors will not be used as an indicator of the quality of the output.

6.2. Assessing a researcher's body of work

- This should be assessed by expert peer judgement of the researcher's portfolio and their personal research objectives.

- Criteria used for academic recruitment, promotion and review should be founded in expert judgement reflecting the academic quality of outputs and the wider impact of the work.

- The publication and citation practices within the subject area should be taken into account.

- The use of eResaerch as the source of output data for research assessment and management is recommended as researchers will be able to check and maintain their outputs and the source of this data will be transparent.

- Research quality indicators are affected by equality and diversity factors; career stage and discipline and these should be accounted for in interpreting indicators.

- Recognise that researchers undertake a wide range of activities, not all of which can be easily measured or benchmarked, eg Practice as Research.

6.3. Research Income, Doctoral Supervision and Doctoral Degrees Awarded

- Research income secured, diversity of income sources, doctoral candidates supervised and doctoral degrees awarded are QMU research KPIs and metrics used by REF and in league tables. Application of such metrics at individual or unit level will be normalised in line with discipline variations and career stage.

6.4. Recruitment, Performance Management and Promotion

- When utilising indicators to inform decisions on recruitment, performance management and promotion, provide advanced specification on criteria used for selection.

- When assessing the performance of individuals, consideration should be given to as wide a view of their expertise, experience, activities and influence as possible.

- Make assessments based on research content rather than quantitative indicators.

7. Implementing the statement

QMU supports its researchers in challenging research practices that rely inappropriately on quantitative indicators and in teaching best practice that focuses on the value and influence of a broad range of research outputs.

A staff training programme will be introduced on the responsible use of research indicators. It is important that QMU researchers are empowered, both with the necessary understanding and knowledge of process to use research indicators appropriately.

Where practice is found to contravene the principles of DORA or the Leiden Manifesto please contact RKEDU@qmu.ac.uk. We are committed to providing a route for researchers to support the implementation of this statement, report poor practice and advise us of priority areas for review.

RKEDU
30 April 2019

Implementation of the Institutional Statement on the Use of Metrics

Action	Responsible	Deadline for Delivery
Consult on and launch the QMU statement on the use of metrics in research assessment.	**RKEDU**	**End of May 2019**
Communicate the statement to staff through intranet, webpage, committees, Principal's newsletter, REF Briefing events.	**RKEDU**	**September 2019**
Review recruitment and promotions policies and monitor to embed the principles of the statement.	**HR**	**December 2019**
Deliver staff training on research metrics and the use of research indicators with specific sessions for ECR and contract research staff.	**LRC**	**December 2019 and ongoing**
Incorporate training on the uses and limitations of research indicators in the Doctoral Training programme	**Graduate School**	**October 2019 and ongoing**
Embed the responsible use of metrics in training on research integrity.	**RKEDU**	**End of May 2019 and ongoing**
Launch an internal communications campaign to promote ORCID ID with the aim of all REF Eligible Staff having ORCID IDs by the July 2021.	**Individual Staff Members**	**Immediate**
Ensure processes for the selection of REF outputs combine quantitative (Main Panel A only) and qualitative data with peer review.	**RKEDU**	**7 June 2019**
Embed the statement in the REF 2021 Code of Practice.	**RKEDU**	**7 June 2019**
Update the promotions process to specify and justify which quantitative indicators will be used and ensure that these data are available to individual academic staff.	**HR**	**December 2019**
Identify the research data requirements of the University and agree the use of consistent definitions.	**RKEDU**	**December 2019**

APPENDIX 10 - FORM 1 - REF 2021 Output Quality Rating – Staff Self Evaluation

REF 2021 Submittable Staff Member Name:		
Date:		
Signature of Staff Member:		
Alignment with UoA (Tick)	UoA 2 Public Health, Health Services, and Primary Care/UoA 22 Anthropology and Development Studies	
	UoA 3 Allied Health Professions, Dentistry, Nursing and Pharmacy	
	UoA 4 Psychology, Psychiatry and Neuroscience	
	UoA 17 Business and Management Studies	
	UoA 21 Sociology	
	UoA 26 Modern Languages and Linguistics	
	UoA 34 Communication, Cultural and Media Studies, Library and Information Management	
	Other or unallocated	

Note – For the purposes of Audit all forms must be signed and returned to REF2021Project@qmu.ac.uk

QMU fully recognises the effect that equality-related circumstances can have on an individual's ability to research productively. We encourage you to use the "Declaration of Individual Staff Circumstances Form" and to contact **REF2021circumstances@qmu.ac.uk** if you would like to declare, in confidence,

- o 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
- o Circumstances equivalent to 46 months or more absence from research due to equality-related circumstances
- o Two or more qualifying periods of family-related leave.

Such declarations will be evaluated in confidence by the REF 2021 Staff Circumstances Panel. Please see the REF 2021 Code of Practice for full details.

- **Outputs (Minimum of 1 – Maximum 5 for REF 2021) If additional outputs are available that you would like to put forward for quality review, these can be added at the end of this Form.**

- **REF 2021 Panel Specific Guidance will be issued to support the completion of this Form.**

- **Self-Evaluation – Please assign a quality rating from 1* to 4* (2* is the minimum quality rating for REF 2021) using the following**

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.

Output 1		Pending Publication (must be in the public domain by 31 December 2020 evidence i.e. Letter from the Publisher or equivalent will be required)		Open Access Compliant – Yes or No	
		Yes		Yes	
		No		No	
Output Name					

Output URI from eResearch Report					
Author Self Evaluation Quality Rating – Please tick appropriate box.	**4***	**3***	**2***	**1***	**Unclassified**
Output identified for double weighting and reserve. Please provide rationale (100 words max)					
Information about the research process and/or content where this is not evident from the output itself. (300 words max).					
Does the output include significant material published prior to 1 January 2014? Statement on how far the work was revised to incorporate new material. (100 words max)					

Output 2	**Pending Publication** (must be in the public domain by 31 December 2020 evidence i.e. Letter from the Publisher or equivalent will be required)		**Open Access Compliant – Yes or No**	
	Yes		**Yes**	
	No		**No**	

Output Name	
Output URI from eResearch Report	

Author Self Evaluation Quality Rating – Please tick appropriate box.	**4***	**3***	**2***	**1***	**Unclassified**
Output identified for double weighting and reserve. Please provide rationale (100 words max)					
Information about the research process and/or content where this is not evident from the output itself. (300 words max).					
Does the output include significant material published prior to 1 January 2014? Statement on how far the work was revised to incorporate new material. (100 words max)					

Output 3		Pending Publication (must be in the public domain by 31 December 2020 evidence i.e. Letter from the Publisher or equivalent will be required)		Open Access Compliant – Yes or No	
		Yes		Yes	
		No		No	
Output Name					
Output URI from eResearch Report					
Author Self Evaluation Quality Rating – Please tick appropriate box.	4*	3*	2*	1*	Unclassified
Output identified for double weighting and reserve. Please provide rationale (100 words max)					
Information about the research process and/or content where this is not evident from the output itself. (300 words max).					
Does the output include significant material published prior to 1 January 2014? Statement on how far the work was revised to incorporate new material. (100 words max)					

Output 4		Pending Publication (must be in the public domain by 31 December 2020 evidence i.e. Letter from the Publisher or equivalent will be required)		Open Access Compliant – Yes or No	
		Yes		Yes	
		No		No	
Output Name					
Output URI from eResearch Report					
Author Self Evaluation Quality Rating – Please tick appropriate box.	4*	3*	2*	1*	Unclassified

Output identified for double weighting and reserve. Please provide rationale (100 words max)	
Information about the research process and/or content where this is not evident from the output itself. (300 words max).	
Does the output include significant material published prior to 1 January 2014? Statement on how far the work was revised to incorporate new material. (100 words max)	

Output 5	**Pending Publication** (must be in the public domain by 31 December 2020 evidence i.e. Letter from the Publisher or equivalent will be required)		**Open Access Compliant – Yes or No**	
	Yes		**Yes**	
	No		**No**	
Output Name				
Output URI from eResearch Report				

Author Self Evaluation Quality Rating – Please tick appropriate box.	4*	3*	2*	1*	Unclassified

Output identified for double weighting and reserve. Please provide rationale (100 words max)	
Information about the research process and/or content where this is not evident from the output itself. (300 words max).	
Does the output include significant material published prior to 1 January 2014? Statement on how far the work was revised to incorporate new material. (100 words max)	

APPENDIX 11 - **FORM 2 - REF 2021 Output Quality Rating – UoA Lead - Evaluation of Outputs**

UoA	
UoA Lead	
Date:	
REF 2021 Submittable Staff Member Name:	
Signature of UoA Lead	

Outputs selected from eResearch List Name and Output URI from EResearch Report	Census Period: 1 January 2014 – 31 December 2020	
Outputs (Minimum of 1 – Maximum 5 for REF 2021)	**Please assign a quality rating from 1* to 4* (2* is the minimum quality rating for REF 2021)**	**Other comments**
1.		1.
2.		2.
3.		3.

4.		
5.		
Other Outputs if available		

Any output identified for double weighting and reserve Please provide rationale.	
Any output identified for double counting (Main Panel D Only) Please provide rationale and relevant authors.	

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.

APPENDIX 12 - **FORM 3 - REF 2021 Output Quality Rating – Evaluation of Outputs**

Outcome of meeting between REF 2021 Submittable Staff Member and UoA Lead - Final decision on quality ratings

UoA	
UoA Lead	
REF 2021 Submittable Staff Member Name:	
Date of Meeting	
Signature of UoA Lead	

Outputs selected from eResearch	Census Period: 1 January 2014 – 31 December 2020				
Outputs (Minimum of 1 – Maximum 5 for REF 2021)	quality rating from 1* to 4* (2* is the minimum quality rating for REF 2021)				
Output Name and Output URI from eResearch Report	**REF 2021 Submittable Staff Quality Rating**	**UoA Lead Quality Rating**	**Final Quality Rating /Outcome of Meeting**	**Comments**	**Third Party Review required Yes/No**
1.					
2.					

3.					
4.					
5.					
Other Outputs if available					

Any output identified for double weighting and reserve. (Main Panel C and D only) Please provide rationale.	

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.

APPENDIX 13 - **FORM 4 - REF 2021 UoA Group– Selection of Outputs Outcome Record**

UoA:	
Date of REF 2021 UoA Group Meeting:	
Panel Members:	
REF 2021 Submittable Staff Member Name:	**FTE:**
Staff Circumstances apply YES/NO (informed by Staff Circumstances Panel)	
Former Staff (Category A Eligible)	
Signature of UoA Group Chair:	

Selection of outputs (As identified in Stage 1, 2 and 3 of the REF 2021 Procedures for the Selection of Research Outputs)					
Outputs selected from eResearch	**Census Period: 1 January 2014 – 31 December 2020**				
	Confirm Output Name and Output URI from eResearch Report				
Primary Criterion for Output selection	**Output 1**	**Output 2**	**Output 3**	**Output 4**	**Output 5**
Reaches criteria for highest quality research output					
Secondary criterion to differentiate between outputs considered to be of equal quality for the purposes of the submission					

Transparent and reasonable distribution of co-authored outputs.					
Open access status of outputs in meeting the requirements of REF 2021 and potential to violate the tolerance level of non-compliance.					
Citation data for UoAs in Main Panel A.					
Positioning with the UoA Impact Case Studies to support the reach and significance of underpinning research and the diversity of REF 2021 submittable staff included in the return.					
Positioning with the UoA Environment Statement to ensure vitality and sustainability of research undertaken in the UoA and the diversity of REF 2021 submittable staff included in the return.					
Actively addressing and responding to issues identified by EQIAs in relation to output selection.					
Recognition of QMU's commitment to supporting and promoting the fair and equitable assessment of all research, including interdisciplinary research, submitted to the assessment exercise.					
External peer review ratings (Where requested)					
Additional Information:					
Outputs Pending publication Double–weighted outputs Reserve-outputs					
(Outputs Pending publication must be in the public domain by 31 December 2020 –evidence i.e. Letter from the Publisher or equivalent will be required)					

Policy for open access in Research Excellence Framework 2021

Updated November 2016

This document sets out the details of a requirement that certain research outputs should be made open-access to be eligible for submission to the next Research Excellence Framework (REF). This requirement will apply to journal articles and conference proceedings accepted for publication after 1 April 2016.

 www.hefce.ac.uk

 Subscribe to email alerts

 @hefce

Policy for open access in Research Excellence Framework 2021: Updated November 2016

To	Heads of HEFCE-funded higher education institutions
	Heads of HEFCW-funded higher education institutions
	Heads of SFC-funded institutions
	Heads of universities in Northern Ireland
Of interest to those responsible for	Research management and administration, Library and information management
Reference	2016/35
Publication date	November 2016
Enquiries to	Research policy team, email openaccess@hefce.ac.uk, tel 0117 931 7038

Executive summary

Purpose

1.   This document sets out the details of a requirement that certain research outputs should be made open-access to be eligible for submission to the next Research Excellence Framework (REF). This requirement will apply to journal articles and conference proceedings accepted for publication after 1 April 2016.

> This document further updates and supersedes the previous 'Policy for open access in the post-2014 Research Excellence Framework (HEFCE 2014/07, www.hefce.ac.uk/pubs/year/2014/201407/), which was published in March 2014 and later updated following feedback from the sector. The only substantive change is an alteration to the timetable – see paragraph 19.

Key points

2.   The policy states that, to be eligible for submission to REF 2021, authors' outputs must have been deposited in an institutional or subject repository. Deposited material should be discoverable, and free to read and download, for anyone with an internet connection. The requirement applies only to journal articles and conference proceedings with an International Standard Serial Number. It will not apply to monographs, book chapters, other long-form publications, working papers, creative or practice-based research outputs, or data. The policy applies to research outputs accepted for publication after 1 April 2016.

3.   The policy allows repositories to respect embargo periods set by publications. Where a publication specifies an embargo period, authors can comply with the policy by making a 'closed' deposit. Closed deposits must be discoverable to anyone with an Internet connection before the full text becomes available for read and download (which will occur after the embargo period has elapsed). If still under embargo at the submission date of the next REF, closed deposits will be admissible to the REF.

4.   There are a number of exceptions to the various requirements that will be allowed by the policy. These exceptions cover circumstances where deposit was not possible, or

where open access to deposited material could not be achieved within the policy requirements. These exceptions will allow institutions to achieve near-total compliance, but the REF 2021 will also include a mechanism for considering any other exceptional cases where an output could not otherwise meet the requirements.

Action required

5.　　Higher education institutions are now advised to implement processes and procedures to comply with this policy, which may include using a combination of the 'green' and 'gold' routes to open access. Institutions can achieve full compliance without incurring any additional publication costs through article processing charges.

This document further updates and supersedes 'Policy for open access in the post-2014 Research Excellence Framework (HEFCE 2014/07, www.hefce.ac.uk/pubs/year/2014/201407/), which was published in March 2014 and later updated following feedback from the sector (see 'Open access in the next Research Excellence Framework: policy adjustments and qualifications' (HEFCE Circular letter 20/2015, www.hefce.ac.uk/pubs/year/2015/CL,202015/)). It incorporates the latest changes to the policy, as set out in 'Open access in the Research Excellence Framework: Extension of flexibility' (HEFCE Circular letter 2016/32, www.hefce.ac.uk/pubs/year/2016/CL,322016/). The only substantive change is an alteration to the timetable – see paragraph 19.

Introduction

6.   The four UK higher education funding bodies believe that research arising from our funding should be as widely and freely accessible as the available channels for dissemination allow. Open access to research enables the prompt and widespread dissemination of research findings. It benefits the efficiency of the research process and allows publicly funded research to drive economic growth. It delivers social benefits through increased public understanding of research.

7.   This document sets out the details of an open access policy relating to the successor to the 2014 Research Excellence Framework (now REF 2021). We formulated this policy following an extensive period of consultation with the higher education sector and other stakeholders during 2013. In February 2013, we wrote to all higher education institutions to ask for advice on how we might implement an open access requirement in the 2021 REF[1]. Following advice received in reply to that letter, the four UK higher education funding bodies formally consulted on an updated set of policy proposals in July 2013[2]. The outcomes of the formal consultation and a summary of responses can be found respectively at Annexes B and C to HEFCE 2014/07, available at www.hefce.ac.uk/pubs/year/2014/201407/.

8.   This policy makes a number of assumptions about aspects of REF 2021 that have not yet been formally decided. This has been necessary to provide due notice to the sector of the policy requirement. The main assumption is that REF 2021 will operate on substantially the same basis as the 2014 REF. For example, we assume that there will be four main panels with disciplinary remits broadly similar to those of the REF 2014 main panels.

Details of the policy

9.   To fulfil our aim of increasing substantially the proportion of research that is made available by open access in the UK, the four UK higher education funding bodies are

---

[1] The letter is available on request from openaccess@hefce.ac.uk.
[2] 'Consultation on open access in the post-2014 Research Excellence Framework' (HEFCE 2013/16), available online at www.hefce.ac.uk/pubs/year/2013/201316/.

introducing a requirement that outputs submitted to REF 2021 be made available in an open-access form[3]. This policy document sets out the details of this requirement.

10.   The requirement will apply at the level of the individual research output. Set out below are the **definition** of the outputs within the scope of this policy, the **criteria** that these outputs must fulfil to be considered open-access, and a list of **exceptions** to the requirements.

Definition of outputs within the scope of this policy

11.   The requirement to comply with the open access policy applies only to particular outputs, as defined below.

   a.   The type of output is a journal article **or** the type of output is a conference proceeding with an International Standard Serial Number (ISSN).

   b.   The output is accepted for publication after 1 April 2016.

Any output that fits **both aspects** of this definition will need to meet the open access criteria outlined in paragraphs 16 to 36, unless an exception applies.

12.   Conference proceedings published with an International Standard Book Number (ISBN) or as part of a book series with an ISSN do not meet this definition.

13.   The criteria will apply to outputs that are accepted for publication after 1 April 2016. We strongly encourage institutions to work towards full compliance by the start date.

Outputs not meeting the definition

14.   Outputs that sit outside the above definition will still be eligible for submission to the REF 2021 without needing to meet the open access criteria. Specifically, this policy does not apply to monographs and other long-form publications, or to non-text outputs, or to the data which underpins some research. Further, this policy does not apply to those particular output types that are delivered confidentially for security or commercial reasons.

15.   Where a higher education institution (HEI) can demonstrate that it has taken steps towards enabling open access for outputs outside the scope of this definition, credit will be given in the research environment component of REF 2021. It is reasonable for institutions to take a proportionate view of the costs and benefits of making other types of outputs (including monographs) available as open access.

Criteria for open access

16.   Outputs that meet the definition at paragraphs 11 to 13, and thus fall within the scope of this policy, must fulfil all of the following criteria to be treated as open-access, except where there is an allowable exception. The criteria consist of deposit requirements, discovery requirements and access requirements.

---

[3] The policy only applies to research submitted to the 'outputs' component of the REF. It does not apply to material forming part of the case studies submitted to the 'impact' component.

Deposit requirements

17.   The output must have been deposited in an institutional repository, a repository service shared between multiple institutions, or a subject repository[4].

18.   The output must have been deposited as soon after the point of acceptance as possible, and no later than three months after this date (as given in the acceptance letter or email from the publication to the author).

19.   To take account of the need for systems to be developed to support deposit-on-acceptance, during the first two years of the policy (1 April 2016 – 1 April 2018), outputs can be deposited up to three months after the date of publication[5]. This flexibility will be subject to a review of the readiness of systems within the sector in autumn 2017.

20.   The output must have been deposited as the author's accepted and final peer-reviewed text (which may otherwise be known as the 'author manuscript' or 'final author version' or 'post-print'), though this may be replaced or augmented with an updated peer-reviewed manuscript or the final published version of record at a later date[6].

21.   Outputs that are published by a journal or conference that does not require peer review are within the scope of this policy; in this instance, we would require the author's final accepted version.

22.   Outputs that have been provisionally accepted for publication, under the condition that the author makes revisions to the manuscript that result from peer review, are not considered as the final text.

Discovery requirements

23.   The output must be presented in a way that allows it to be discovered by readers and by automated tools such as search engines.

24.   The discovery requirements should typically be fulfilled through the storage and open presentation of a bibliographic or metadata record in the repository.

25.   Once discoverable, the output should remain so.

26.   Where a deposited output is later replaced or augmented with an updated peer-reviewed manuscript or the version of record, this must also meet the discovery requirements.

---

[4] Individuals depositing their outputs in a subject repository are advised to ensure that their chosen repository meets the requirements set out in this policy. Further guidance on 'what is a repository' can be found at https://scholarlycommunications.jiscinvolve.org/wp/2016/10/14/in-the-context-of-open-access- policies-in-the-uk-what-is-a-repository/.

[5] 'Date of publication' means the earliest date that the final version-of-record is made available on the publisher's website. This generally means that the 'early online' date, rather than the print publication date, should be taken as the date of publication.

[6] In addition, if the published version of record is available for deposit within the required timeframe, and if the journal or conference permits it, the version of record may be deposited instead of the accepted manuscript.

Access requirements

27.   The output must be presented in a form that allows anyone with internet access to search electronically within the text, read it and download it without charge, while respecting any constraints on timing (as detailed in paragraphs 29 to 35) [7]. While we do not request that outputs are made available under any particular licence, we advise that outputs licensed under a Creative Commons Attribution Non-Commercial Non-Derivative (CC BY-NC-ND) licence would meet this requirement.

28.   Once accessible, the output should remain so.

29.   The required timing of compliance with the access requirements depends on whether an embargo is specified. Two routes are given below.

Route 1: For outputs deposited with no embargo

30.   The output must meet the access requirements as soon as possible and no later than one month after deposit.

Route 2: For outputs deposited under embargo

31.   The output must meet the access requirements as soon as possible and no later than one month after the end of the embargo period. The embargo period typically begins at the point of first publication (including online publication).

32.   Embargo periods should not exceed the following maxima:

- 12 months for REF Main Panel A and REF Main Panel B

- 24 months for REF Main Panel C and REF Main Panel D[8].

33.   Outputs deposited under embargo must fulfil all of the deposit and discovery requirements above.

34.   Outputs still under embargo will be admissible to REF 2021, provided that the date of their first publication is within the REF publication period.

35.   Where a deposited output is later replaced or augmented with an updated peer-reviewed manuscript or the version of record, this must also meet the access requirements. Embargo periods may not re-start with subsequent deposits: they are always linked to the date of first publication.

Text-mining

36.   Outputs do not need to allow automated tools to perform in-text search and download (those activities commonly known as text-mining) to meet the access requirement. However, where an HEI can demonstrate that outputs are presented in a form that allows re-use of the work, including via text-mining, credit will be given in the research environment component of REF 2021. We further recommend that institutions fully consider the extent to which they currently retain or transfer the copyright of works

---

[7] Outputs whose text is encoded only as a scanned image do not meet the requirement that the text be searchable electronically.

[8] Interdisciplinary research being submitted to Main Panel A or B that would be also admissible to Main Panel C or D may respect the longer of the two embargo periods.

published by their researchers, as part of creating a healthy research environment. For further information on text-mining, see Annex A.

Exceptions

37. All outputs that meet the definition in paragraphs 11 to 13 must fulfil the open access criteria in paragraphs 16 to 36, except where the following exceptions apply. Where one of the following exceptions applies to an output, this exception should be indicated in the submission to REF 2021.

Deposit exceptions

38. The following exceptions deal with cases where the output is unable to meet the deposit requirements, or where the output is being made open access via another route. In the following cases, the output will not be required to meet any of the open access criteria, and should be considered beyond the scope of this policy, though we recognise that in some cases open access to the output may be achievable at a later date or by another route.

    a.   The individual whose output is being submitted to the REF was unable to secure the use of a repository at the point of acceptance.

    b.   The individual whose output is being submitted to the REF experienced a delay in securing the final peer-reviewed text (for instance, where a paper has multiple authors).

    c.   The individual whose output is being submitted to the REF was not employed by a UK HEI at the time of submission for publication.

    d.   It would be unlawful to deposit, or request the deposit of, the output.

    e.   Depositing the output would present a security risk.

    f.   The output was published as 'gold' open access (for example, RCUK-funded projects where an open access article processing charge has been paid)[9].

Access exceptions

39. The following exceptions deal with cases where deposit of the output is possible, but there are issues to do with meeting the access requirements. In the following cases, the output will still be required to meet the deposit and discovery requirements, but not the access requirements. A closed-access deposit will be required, and the open access requirements should be met as soon as possible.

    a.   The output depends on the reproduction of third party content for which open access rights could not be granted (either within the specified timescales, or at all).

    b.   The publication concerned requires an embargo period that exceeds the stated maxima, and was the most appropriate publication for the output.

    c.   The publication concerned actively disallows open-access deposit in a repository, and was the most appropriate publication for the output.

---

[9] We would strongly encourage these outputs to be deposited in a repository to facilitate preservation, aggregation and text-mining.

Technical exceptions

40.   The following exceptions deal with cases where an output is unable to meet the criteria due to a technical issue. In the following cases, the output will not be required to meet the open access criteria. We would strongly urge HEIs to ensure the criteria are met retroactively, as soon as possible and no later than the REF 2021 submission point.

   a.   At the point of acceptance, the individual whose output is being submitted to the REF was at a different UK HEI which failed to comply with the criteria.

   b.   The repository experienced a short-term or transient technical failure that prevented compliance with the criteria (this should not apply to systemic issues).

   c.   An external service provider failure prevented compliance (for instance, a subject repository did not enable open access at the end of the embargo period, or a subject repository ceased to operate).

Other exceptions

41.   In very exceptional cases, it may not be possible for an output to meet the open access requirements set out by this policy for a reason not covered by the exceptions listed above. We will require a short written explanation for why the output could not meet the open access requirements at the point of submission to the REF. We expect that such cases should be extremely rare. We will establish the process for considering them as part of our more detailed work to develop the REF 2021.

Compliance with these requirements

42.   Evidence for outputs meeting the criteria, the definition, or any of the allowed exceptions will not be required to be submitted to the REF 2021.

43.   We will establish the detailed verification and audit process as part of the implementation of the next REF, but we initially intend that compliance will be measured by verifying the data provided in the REF submission. Any audit will require institutions to provide assurance about their processes and systems for recording open-access information, as well as taking a light-touch approach to verifying supporting information. Further details of the information and audit requirements are given on our website[10].

44.   Any output submitted to REF 2021 that falls within the scope of this policy but does not meet its requirements or exceptions will be treated as non-compliant. Non-compliant outputs will be given an unclassified score and will not be assessed in the REF. However, we will be tolerant of occasional failures where institutions have made best endeavours towards achieving full compliance. Audits by the REF will allow for legitimate human error or oversight, and will take account of how the varied mix of disciplines across institutions can affect progress. The number of exceptions claimed within a submission will not affect the REF results.

---

[10] The information and audit requirements document can be found under 'Technical resources' at www.hefce.ac.uk/rsrch/oa/Policy/.

Further provisions

<u>Researchers moving between higher education institutions</u>

45.   When a researcher moves between two HEIs, it will be acceptable for their deposited outputs to move to the new institution's repository, as long as there is no interruption to discovery or access during the transition. We recognise that the use of unique researcher identifiers, such as Open Researcher and Contributor ID (ORCID), can facilitate this process.

46.   We will not require the submitting institution to seek and retain evidence of the previous HEI's compliance with the deposit requirements, but it is our aim that the submitting institution provides information on accessibility levels for these outputs where information is readily available. Further information about this will follow in due course.

<u>Repositories and research information systems</u>

47.   Institutions' research information management systems that can support the open access requirements through repository-like functionality can be thought of as institutional repositories for the purposes of this policy.

<u>SHERPA services and publisher policies</u>

48.   We recognise that information on deposit permissions, licences and embargoes can sometimes be unclear, complex, or hard to find. Until significant progress has been made to address this issue (including developing machine-readable licences and permissions), it is reasonable for the sector to rely on shared services, including those offered by SHERPA. Authors and institutions should feel comfortable acting on the information provided by SHERPA in meeting our open access requirements, and should not undertake additional work to verify this information.

Further information

49.   Frequently asked questions (FAQ) on the HEFCE website have been updated to reflect the adjusted policy and can be accessed at www.hefce.ac.uk/rsrch/oa/faqs

50.   For further information, please contact Claire Fraser (tel 0117 931 7147) or openaccess@hefce.ac.uk

List of abbreviations

APC	Article processing charge: a payment to a publisher in return for providing open access to an article.
CC	Creative Commons (further information below).
DoA	Deposit on acceptance: research outputs are uploaded to a repository at the point the article is accepted for publication.
DoP	Deposit on publication: research outputs are uploaded to a repository at the point the article is published.
HEI	Higher education institution
ISBN	International Standard Book Number
ISSN	International Standard Serial Number
ORCID	Open Researcher and Contributor ID, a registry of unique researcher identifiers and a method of linking research activities and outputs to these identifiers.
RCUK	Research Councils UK
REF	Research Excellence Framework

Explanation of Creative Commons licences

CC BY	**Attribution**. This licence lets others distribute, remix, tweak, and build upon your work, even commercially, as long as they credit you for the original creation.
CC BY-NC	**Attribution Non-Commercial**. This licence lets others remix, tweak, and build upon your work non-commercially,
CC BY-ND	**Attribution Non-Derivative**. This licence allows for redistribution, commercial and non-commercial, as long as it is passed along unchanged and in whole, with credit to you.
CC BY-NC-ND	**Attribution Non-Commercial Non-Derivative**. This licence allows others to download your works and share them with others as long as they credit you, but they can't change them in any way or use them commercially.

For further information on the Creative Commons licences, see
http://creativecommons.org/licenses/.

Annex A: Text-mining

1.   Text-mining refers to a range of activities to interact with and analyse electronic documents using software. A commonly understood form of text-mining is the bulk electronic analysis of a large number of documents. Often, this means moving beyond simple search queries and into text analytics, semantic searches, pattern learning, opinion mining, concept extraction, and other types of electronic usage.

2.   Text-mining is a rapidly evolving practice. It is not yet possible to predict its full potential; many of the technologies that enable text-mining are in the early stages of development. However, it is clear that text-mining presents a sizeable opportunity for the research base to interact with the corpus of knowledge more effectively and efficiently, helping to overcome what some commentators refer to as 'information overload' created by the publishing trends of the last several decades.

3.   Text-mining is currently limited in its uptake for a number of reasons. Some of the biggest limitations are connected with licensing and copyright. We note with interest that the Government is planning changes to copyright law in response to the findings of the Hargreaves Review of Intellectual Property and Growth, including legislating for a copyright exception for text- and data-mining. We will continue to monitor developments in this area as the changes are implemented. Debates are still under way about the extent to which some of the Creative Commons licences allow for text-mining; bound up with this is the question of whether the process of text-mining constitutes the creation of derivative works. Arguments that text-mining requires more permissive Creative Commons licences (such as Attribution, CC BY) must be seen alongside the increased charges that some journals levy for publishing under a more permissive licence. In short, the licensing question is yet to be fully resolved.

4.   There are technical challenges. Text-mining activity requires documents to be presented in a particular way, and for the Internet infrastructure to handle the high volume of requests typically made by text-mining software. Commonly used document formats, such as some variants of PDF, are not easily comprehensible to text-mining software. File servers, particularly those run by subject repository services, may elect to restrict bulk access and download by software on grounds of cost.

5.   We have received advice that research outputs deposited in the institutional repository as full text, and with a Creative Commons Attribution Non-Commercial (CC BY-NC) licence, would be enough to guarantee text-mining. However, we are continuing to listen to advice in this area, and are watching the debates and developments as they unfold. We believe that efforts made by institutions to solve the technical and other challenges associated with text-mining and increase its uptake should be rewarded, and we intend to do this through the environment component of the next REF.

Further reading

6.   For more information, see 'Value and benefits of text-mining' at www.jisc.ac.uk/reports/value-and-benefits-of-text-mining, and 'Changes to copyright law' at https://www.gov.uk/government/publications/changes-to-copyright-law.

APPENDIX 15 - FORM 5 - REF 2021 Appeals Form

Please ensure that prior to entering into the REF 2021 Appeals process that you contact your Head of Division for an informal discussion.

Please also ensure that you have read the information on the REF 2021 intranet site about the Appeals process and dates of REF 2021 Appeals Panel meetings.

Notes to help you complete the form

1. Complete your name (A) and Division (B).

2. Identify the Unit of Assessment (UoA) with which you think your work best fits (C). Units of assessment details are given on the REF 2021 Intranet site.

3. Identify the Grounds for Appeal (D) details of which are also to be found on the REF 2021 Intranet site.

4. Make your case for the appeal (E) (500 word maximum). If you have additional evidence to support your claim, this should be sent along with your form by the deadline for submission.

5. The Appeals Form should be submitted to REF2021Appeals@qmu.ac.uk 3 weeks prior to the Appeals Panel meeting. No late appeals will be considered.

Outcome

You will be informed in writing of the outcome no later than 3 weeks after the meeting date.

REF 2021 Appeals Form

A. Name	
B. Division	
C. Unit of Assessment	
D. Grounds for Appeal	

E. Case for Appeal (500 words maximum)

Please state why you wish to appeal and provide any evidence to support your claim.

Signed (applicant):

F. Recommendation of Appeal Panel

G. Reasons for Decision

Signed (Chair)	

APPENDIX 16 - **FORM 6 REF 2021 Declaration of Staff Circumstances Form**

To submit this form you should send to REF2021circumstances@qmu.ac.uk Should you have any queries about this form please speak with your HR Partner in the first instance.

Name:
Department: Click here to insert text.
Do you have a REF-eligible output published between 1 January 2014 and 31 July 2020?

       Yes   ❑

       No   ❑

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

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

Ill health or injury *To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Constraints relating to family leave that fall outside of standard allowance *To include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Caring responsibilities *To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Gender reassignment *To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Any other exceptional reasons e.g. bereavement. *To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
COVID-19 (Applicable only where requests are being made for the removal of the minimum of one requirement) *To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.* *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.*	Click here to enter text. Click here to enter text.

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below

- I realise that the above information will be used for REF purposes only and will be seen by HR and the Staff Circumstances Panel

- I realise it may be necessary to share the information with the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs.

  I agree ❑

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

❑ I give my permission for an HR partner to contact me to discuss my circumstances, and my requirements in relation this these.

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

I would like to be contacted by:

Email ❑ Insert email address

Phone ❑ Insert contact telephone number

APPENDIX 17 – Staff Data Collection Statement for the REF2021

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

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

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

Sharing information about you

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

- Department for the Economy, Northern Ireland (DfE)

- Higher Education Funding Council for Wales (HEFCW)

- Scottish Funding Council (SFC).

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

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

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

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

Publishing information about your part in our submission

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

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

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

Data about personal circumstances

You may voluntarily disclose personal circumstances to your submitting unit, which could permit us to submit your information to the REF without the 'minimum of one' requirement (without penalty), or to submit a reduced number of outputs without penalty. If (and only if) we apply either form of reduction of outputs, we will need to provide UKRI with data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see the 'Guidance on submissions' document (paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted. QMU has developed its own Supporting Staff Circumstances Procedure, which details how staff can disclose circumstances to the University, this procedure can be found at the following link .

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

Internally only Human Resources and Staff Circumstances Panel will be privy to the information disclosed by staff members. Exceptionally it may be appropriate to share information disclosed by a staff member with their line manager in order for appropriate supportive action to be put in place, if these circumstances arise permission to share information will be requested from the relevant staff member.

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

Accessing your personal data

Under the Data Protection Act 2018 and the GDPR, you have the right to see and receive a copy of any personal information that UKRI holds about you. Further information about the Act and GRPR, and guidance on making a subject access request, can be found on the RE 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

QMU's Worker Privacy Notice can be viewed at the following link

Data Collection Statement for the REF2021 – Non-Staff

About the REF
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 outcomes are used to calculate about £2 billion per year of public funding for universities' research, and affect their international reputations. The results also inform strategic decisions about national research priorities. The next REF will be undertaken in 2021.

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

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

Data collection

The REF is managed by the REF team, based at Research England (RE), on behalf of the four UK higher education funding bodies. RE is part of UK Research and Innovation (UKRI), and under this arrangement UKRI has the role of 'data controller' for personal data submitted by us to the REF.

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

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

Sharing information about you

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

•   Department for the Economy, Northern Ireland (DfE)

•   Higher Education Funding Council for Wales (HEFCW)

•   Scottish Funding Council (SFC).

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

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

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

Publishing information about your part in our submission

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

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

Accessing your personal data

Under the Data Protection Act 2018 and the GDPR, you have the right to see and receive a copy of any personal information that UKRI holds about you. Further information about the Act and GRPR, and guidance on making a subject access request, can be found on the RE 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

APPENDIX 18 - Reductions for staff circumstances – Extract from REF 2021 (2019) Guidance on Submissions

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

Early career researchers

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

Table L1: Early career researchers: Permitted reduction in outputs

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

Absence from work due to secondments or career breaks

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

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

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

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

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

Qualifying periods of family-related leave

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

   a. Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2014 to 31 July 2020, regardless of the length of the leave.

   b. Additional paternity or adoption leave[22], or shared parental leave[23] lasting for four months or more, taken substantially during the period 1 January 2014 to 31 July 2020.

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

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

   a. By applying a reduction in outputs where there are additional circumstances, for example where the period of leave had an impact in combination with other factors such as ongoing childcare responsibilities.

   b. By combining the number of months for shorter periods of such leave in combination with other circumstances, according to Table L2.

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

---

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

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

Combining circumstances

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

11. Where Table L1 is combined with Table L2, the period of time since 1 January 2014 up until the individual met the definition of an ECR should be calculated in months, and Table L2 should be applied.

12. When combining circumstances, only one circumstance should be taken into account for any period of time during which they took place simultaneously.

13. Where an individual has a combination of circumstances with a defined reduction in outputs and additional circumstances that require a judgement, the institution should explain this in the reduction request so that a single judgement can be made about the appropriate reduction in outputs, taking into account all the circumstances. The circumstances with a defined reduction in outputs to be requested should be calculated according to the guidance above (paragraphs 2 to 10).

Other circumstances that apply in UOAs 1–6

14. In UOAs 1–6, the number of outputs may be reduced by up to one, without penalty in the assessment, for Category A submitted staff who are junior clinical academics. These are defined as clinically qualified academics who are still completing their clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or its equivalent prior to 31 July 2020.

15. This allowance is made on the basis that the staff concerned are normally significantly constrained in the time they have available to undertake research during the assessment period. Where the individual meets the criteria in paragraph 14, and has had significant additional circumstances – for any of the other reasons set out in the 'Guidance on submissions' in paragraph 160 – the institution can make a case for further reductions in the unit reduction request.

Circumstances requiring a judgement about reductions

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

APPENDIX 19 - **Equality Impact Assessment**

Equality Impact Assessment

Once completed, please email to the Secretary of the Equality and Diversity Committee.
This template uses the term 'policy' to refer to a policy, procedure, strategy, service – the initiative that is being assessed. It is a Word document to enable the table to be expanded to fit your text.

Section 1 - Background Information Sessions 1 & 2 aim to provide a frame for the policy.	
Name of School, Division or Department	**Research and Knowledge Exchange Development Unit**
Name of Person Responsible for the EIA (normally the lead for the policy design/review)	Professor James M Scobbie
Names of Members of EIA group (if applicable)	Professor James M Scobbie, Angela Smith, Dr Pelagia Koufaki

Section 2 - Policy Detail	
Name of policy to be assessed.	**Code of Practice for REF 2021** – with a focus on Output Selection, Independence and other parts of the Code of Practice not covered by the previous EIA of the Code of Practice for the identification of Staff with Significant Responsibility for Research.
Is this a new or an existing policy?	NEW
If this is an existing policy, is there any existing data available about the policy that can be used in this assessment, such as user feedback?	n.a.

| What is the aim or purpose of the policy? | The "policy" is the Code of Practice for REF2021. The Code of Practice is a requirement of any higher education institution making a submission to REF2021. As such, QMU 'is required to develop, document and apply a code of practice on the fair and transparent identification of staff with significant responsibility for research (where a higher education institute (HEI) is not submitting 100 per cent of Category A eligible staff); determining who is an independent researcher; and the selection of outputs, including approaches to supporting staff with circumstances' (REF-2021 Guidance on codes of practice, 2019_03).

The aim of the policy is to support QMU in meeting its 'responsibilities in respect of promoting equality and diversity, complying with legislation and avoiding discrimination, when preparing submissions to the REF' (ibid).

This EIA informs the Code of Practice drafting, finalisation and initial implementation. REF planning occurs prior to the submission of the Code of Practice to the UK Higher Education Funding Bodies on 7th June 2019, and continues thereafter.

Future EIAs will address the processes, but also analyse data from draft submissions, output selections to help check for imbalances in the process. Final EIAs on the actual submissions to REF will be prepared in light of the final submission details.

This EIA is timed to coincide with the final stages of preparation of the Code of Practice, prior to its submission on 7th June. At this stage in the process, this EIA will focus on potential impacts of the processes that will select REF 2021 outputs by submitted and non-submitted staff (as co-authors), including decisions on impact case studies and other aspects of REF. In addition, this EIA covers aspects of the code relating to the status of research-only staff as "independent".

At this stage we have no data from mock exercises to draw on, but have drawn on our experience in academia, relevant legislation, training materials relevant to REF EIAs and the REF guidance. |
|---|---|
| Does this policy have an impact on people? | Yes, and this is detailed below. |

Who is intended to benefit from the policy and in what way?	All academic staff at the university who engage in one way or another with research. While the policy covered by this EIA primarily affects those QMU academic staff who might contribute to the REF return in a range of ways, the policy has not primarily been driven by an "intention to benefit" any group directly, but is neutral. Rather, the focus of the policy itself is to ensure that the university, in its preparations for REF2021, meets its equality and diversity obligations, and does not disadvantage any researchers with protected characteristics. Through the policy, the University will ensure that processes and decisions do not have a differential negative impact on any groups of researchers' career progression, research opportunities, or morale. The CoP should be designed to benefit all academics engaging with the research culture by not promoting actively or passively any unlawful discrimination. And, if there are identified groups who are judged to specifically benefit from any of the processes, we should attempt to spread the benefit to other groups more widely.
	The processes guided by the Code of Practice primarily affect staff with a significant responsibility for research, but also affect those who are or have been research-active, or who are or have been employed on research-only contracts, and those involved in the creation of impact from research and other aspects of the research environment. It may affect staff who no longer work for the institution at the time of the REF census date, but who are currently members of staff.
	The ultimate results of REF itself, as well as participation in the exercise, may be expected to not just affect staff submitted to it, but also those not submitted, but who engage in other ways with the research community at QMU, such as non-independent contract researchers, research students, impact-creators, and staff who wish to take on a significant responsibility for research in the future.
	The policies and procedures described in the Code of Practice are aligned to a range of guidance sources, primarily those published by the UK Higher Education Funding Bodies in January 2019.
	An Equality and Diversity Inclusion (Code of Practice) Group and the Equality and Diversity Committee have previously considered and approved detailed structures to support the identification of REF 2021 submittable staff, and these will not be covered here: they were addressed in a previous Equality Impact Assessment.

| Does the policy provide opportunity to eliminate unlawful discrimination; better advance equality of opportunity; and positively affect relations between different groups? If not, how could this be improved? | Yes, this is the central purpose of the policy itself. Evaluation of output quality will provide QMU researchers with greater transparency on the qualitative evaluation of their outputs by their senior research leaders, which should help eliminate non-transparent favouritism and bias. These research leaders (e.g. Research Centre directors or Unit of Assessment leads) will need to undertake a comprehensive evaluation of research relevant to their Unit / Centre, using criteria across the institution. These judgements will be recorded on forms that will help ensure equity through reference to appropriate quality factors and transparent justification of quality scores.

Open communication will indicate areas of agreement and disagreement, and the CoP defines processes to alleviate disagreement. These output evaluation and selection processes incorporate a number of checks and balances which will allow the University to review, mitigate and take action where necessary.

In late 2019 there will be an evaluation of outputs. An EIA will be undertaken on the outcome of the process, analysing the distribution of outputs, their ranking, and their potential for selection in relation to staff's characteristics. Further updated evaluation of outputs will be monitored from the same perspective and in the light of any recommendations arising from the EIA.

The process for identifying staff with significant responsibility for research will also be repeated before the final census date. The development of a code of practice to cover the processes that identify staff and evaluate the quality of outputs, along with associated staff training and two-way communication, encourage QMU research leaders and REF managers to give greater focus to equality and diversity in research. The clear expectations of transparency present in strategic REF 2021 preparations, and monitoring at UoA level, can help eliminate unlawful discrimination.

In summary, the main aspects of the Code of Practice which will mitigate negative impacts are as follows:

• Transparency of the relevant factors, and centralised recording of all decisions based on them, in deciding significant responsibility for research, independence and output quality rating

• Independence of decisions about significant responsibility for research (and research independence) from the appeals process

• Independence of decisions about significant responsibility for research (and research independence) from output quality rating

• Training of assessors and staff making self-assessment, to avoid implicit bias in rating the quality of outputs

• Ability of staff to self-declare circumstances that reduce productivity which may reduce the numbers of outputs required by the member or staff and/or the UoA, and promotion of this opportunity without undue pressure

• Decoupling of staff from outputs, which reduces in general the minimum number of outputs required by any member of staff to one |

Who is responsible for the policy? Which Committees are required to approve the policy?	Equality and Diversity Inclusion (Code of Practice) Group. The REF Strategy Group, Research Strategy Committee, Equality and Diversity Committee.
Who are the main internal and external stakeholders in relation to the policy? Have they been asked to participate in this EIA?	Academic staff, contract research staff, staff within HR, the REF2021 staff group in RKEDU. Yes
What data was considered in reviewing the equality impact of this policy?	REF 2021 project plan. REF 2021 project management structure. REF 2021 code of practice.

Section 3 - Protected Equality Groups

This session aims to look at what the policy impact may be on each of the groups.

In which of the following equality areas are there concerns that the policy could have a differential impact?

Assessment

- If you tick 'yes', what concerns do you have that the policy may create a differential impact on protected groups? What existing evidence (presumed or otherwise) do you have to support this?

- If you ticked 'no impact' - what evidence do you have to make this decision?

		Yes	No Impact	

General Note			X	As outlined above, the Code of Practice aims to have a positive, rather than a negative differential impact on protected groups (as defined in the University's EIA process) by enabling the University to promote equality and diversity, and avoid discrimination, when preparing its submission to the REF. Otherwise, it is neutral in intent.
				The Code of Practice (CoP) includes the processes for confidential self-reporting by staff of circumstances which may lead to a reduction of the total number of outputs needed by their Unit of Assessment (UoA). Since declaration is optional, and given the decoupling of staff from outputs, no personal declarations of circumstances will be explicitly linked to any output reductions identified for the group.
				The relevant criteria are summarised in REF 2019_01 Guidance on Submissions paragraph 160 and discussed in greater length in 2019_03 e.g. Table 1. A close link between certain protected characteristics and certain circumstances will be highlighted below.
				In research, there are some general principles relevant to an EIA that should be borne in mind when it comes to qualitative evaluation of individual research outputs.
				We wish to draw attention to the potential for implicit bias against particular research topics or methodologies. It may be the case that those with certain protected characteristics may be drawn to particular research topics. Research focusing on (people with) protected characteristics may even be subjected to the same negative bias as those protected characteristics themselves attract, even when the researcher is not from one of the protected groups. The research interests of staff with protected characteristics may transparently reflect their protected characteristic, or the link may be more indirect. It is thus important to ensure that quality evaluation of research outputs is undertaken independent of any potential bias against the topic as well as against the researcher. In part this is because conscious or unconscious bias against certain topics of research associated with protected characteristics can lead to reduced opportunities for research activity for people with those characteristics, as well as to reduced evaluations of the quality of their research.
				Both staff training and the transparent recording of the independent and joint evaluation of research quality by researcher and research lead, established in the Code, have been designed to alleviate this potential problem. The processes to deal with any remaining disagreements on quality will also help reduce bias.
				We considered the possibility that evaluation of output could be blinded, or author anonymised, but in a small institution where research leads are already familiar with most of the outputs from their research areas, this was judged impractical. If there is a disagreement about quality and a 3rd reviewer or external reviewer is recruited, they should be blinded as far as possible.
				The opportunity to declare the effect of various characteristics, including those considered here, will be promoted, without undue pressure being placed on staff to make such a declaration. Staff will be free to choose whether to declare or not, but initial results suggest that light-touch calls for self-declaration of reasons for reduced research productivity are not going to be sufficient. More pro-active efforts will need to be taken to encourage staff to self-declare, and to make it clear that apparently objective circumstances, like being an Early Career Researcher, will not be automatically allocated, but must be claimed, if so desired.
				Output ranking and selection is one of the most sensitive aspects of the policy, and Unit of Assessment leads and others will be fully appraised of the CoP. Staff will be reassured that HR will forward only anonymised information to the Units of Assessment (except in the case of members of staff who are REF submittable but have no outputs and who declare circumstances to support the removal of the requirement to have an output). In no cases will the nature or reason for the reduction of outputs be disclosed.
				Care is being taken to communicate clearly with staff who are absent from work during the processes leading up to REF.

AGE			X	We expect younger staff who have been in lecturing posts to have had less opportunity to publish outputs, but younger staff who had previously and recently been employed on research-only contracts to have had more opportunity to publish outputs, though not to achieve research independence. We expect older, senior staff who have been principal investigators on research grants to have had more opportunity to publish outputs. We therefore expect variability from these groups in the number of outputs available.
				Young AGE is more likely to have a negative effect on gaining independence for research-only staff. Young researchers on part-time and externally-funded research contracts are less likely to have had the opportunities to gain independence and thus differ from those on teaching-and-research contracts of the same age. The latter are, by default, independent. External funders often will not fund contract-researchers who are also grant-holders, let alone principal investigators, except on personal research fellowships.
				Supporting staff via the Concordat for Contract Research staff to achieve independence or to move onto teaching and research contracts helps mitigate the rules in independence within REF criteria in the longer term.
				We do not expect age to have any general relationship to the quality of outputs.
				In line with the general comments above, the CoP will publicise the options for self-reporting "early career researcher" ECR status to all staff. If a particular age group were more likely to be impacted, then AGE would meet the definition of the circumstance for output reduction under paragraph 160a and paragraph 162 for UoAs 1–6 (as introduced in paragraph 160d), as well as 160c. However, younger AGE must not be automatically conflated with ECR (cf. Table 1 in 2019_03). Even so, because the option to select for ECR status will be promoted for all staff, younger staff will also benefit.
DISABILITY			X	Periods of leave and atypical working patterns due to disability may result in fewer outputs. Unconscious bias towards those with disabilities may result in a lower estimation of output quality if the author has certain disabilities, particularly intellectual/cognitive/communicative ones.
				Some forms of disability may result in fewer outputs even without periods of leave.
				Some forms of disability may lead to a researcher leaving employment before the census date.
				Less tangible or measurable barriers/challenges may affect the number or quality of outputs, e.g., where the protected characteristic limits possibilities for travel, networking, collaboration, conference attendance, access to labs or specific kit etc.
				In line with the general comments, the opportunity to declare the negative effect of disability on research will be promoted, without undue pressure being placed on staff to make such a declaration, in relation to paragraph 160e. The self-declaration routes encoded in the CoP aim to protect this group by potentially reducing the number of outputs required by the UoA, and dissociation of staff from outputs acts by requiring only one output as a minimum contribution.

GENDER RE-ASSIGNMENT			X	Periods of leave are likely to be associated with gender reassignment. Implicit bias against research topics that focus on gender politics etc. will be addressed in staff training, in case there is a tendency for any link between research topic and researchers' protected characteristics. Staff training as required by the CoP is designed to address this issue explicitly. Less tangible or measurable barriers/challenges may affect the number or quality of outputs, e.g., where the protected characteristic limits possibilities for networking, collaboration, conference attendance, etc. These effects can be mitigated through focused research mentorship in the longer term. In line with the general comments, the opportunity to declare the negative effect of gender reassignment on research will be promoted, without undue pressure being placed on staff to make such a declaration, in relation to paragraph 160e. The self-declaration routes encoded in the CoP aim to protect this group by potentially reducing the number of outputs required by the UoA, and decoupling of staff from outputs acts by requiring only one output as a minimum contribution.
MARRIAGE/ CIVIL PARTNERSHIP			X	There are potential detrimental effects to research freedom and access to independent line management and mentorship in cases where spouses are in a close working relationship with other members of staff, especially if they are working in the same research group and have different levels of seniority. Academic spouses may feel the need to differentiate their research topics away from each other in order to secure employment in the same institution. One spouse (even if not academic) may take priority over the other in choice of their family's home location: this may lead to the employment of a researcher in a research group or institution less suited to the researchers' specialisation, requiring re-training or otherwise negatively affecting productivity. In the longer term, research mentorship can mitigate these effects. Any negative effects can be mitigated within the REF 2021 process through the CoP's independent and transparent rating of outputs, and provision for 3rd party rating if required, plus flexibility in the assignment of staff to UoA. In line with the general comments, the opportunity to declare a status as an Early Career Researcher will be promoted, without undue pressure being placed on staff to make such a declaration, which may help staff who are early in their career and are in the process of re-aligning their research in this context.

PREGNANCY/ MATERNITY			X	Periods of leave, a change from full time to part-time working and atypical working patterns are likely to be associated with pregnancy/maternity/adoption etc.
				The characteristic is likely to negatively affect staff's ability to fulfil their significant responsibility for research by affecting their availability during contracted hours, and through other impacts on ability to undertake aspects of research. The flexible working policy and tapered return-to-work options can mitigate the effects of returning from extended periods of leave, as in this category.
				Less tangible or measurable barriers/challenges may affect the number or quality of outputs, e.g., where the protected characteristic limits possibilities for travel/networking, collaboration, conference attendance, access to labs or specific kit etc.
				In line with the general comments, the opportunity to declare the negative effects of this characteristic on research productivity will be promoted, without undue pressure being placed on staff to make such a declaration, in relation to paragraphs 160c and 160e. The self-declaration routes encoded in the CoP aim to protect this group by potentially reducing the number of outputs required by the UoA, and decoupling of staff from outputs acts by requiring only one output as a minimum contribution.
RACE			X	There may be a negative evaluation of research outputs not written in English. It may also be the case that in cases where English is not the native language of the researcher, there may be negative consequences on the quantity of outputs.
				Research metrics (where relevant) may indicate lower citation of authors whose names cause negative implicit bias due to assumptions about their ethnicity/race etc.
				Both these factors, along with any implicit bias against research that focuses on race and ethnicity will be addressed in staff training, in case there is a tendency for any link between research topic and researchers' protected characteristics.
				In line with the general comments, the opportunity to declare the negative effect of this characteristic on research will be promoted, without undue pressure being placed on staff to make such a declaration, in relation to paragraph 160e.
				Further work is required in the longer term to mitigate less tangible or measurable barriers/challenges e.g. where the protected characteristic limits possibilities for effective networking, collaboration, or acceptance. In the short term, the general provision in the CoP for promotion of diversity within the UoA in the selection of outputs once the primary quality-related aspects are satisfied, will work to mitigate such negative experiences.

RELIGION, BELIEF			X	Atypical working patterns and unusual periods of leave may arise through participation in religious observance or belief. This characteristic may affect opportunities for research travel, networking, collaboration, conference attendance etc. This may result in fewer outputs. In line with the general comments, the opportunity to declare any negative effect of this characteristic on research will be promoted, without undue pressure being placed on staff to make such a declaration, in relation to paragraph 160e. The decoupling of staff from outputs acts to mitigate reduced numbers of outputs by requiring only one output as a minimum contribution. Implicit bias against research topics which focus on particular religions etc. will be addressed in staff training, in case there is a tendency for any link between research topic and researchers' protected characteristics.
SEX			X	In contexts were the sex of authors and applicants for research funding is known, female researchers tend to be under-represented. Female academics also tend to under-evaluate the quality of their own research outputs. It is also likely that female researchers on research-only contracts may find it harder to achieve independence. It is therefore necessary to counteract conscious and unconscious bias among those evaluating research where the sex of the authors is known. Research metrics (where relevant) may indicate lower citation of authors whose forenames cause negative implicit bias due to assumptions about author sex. It is important to recognise some intersectionality issues involving some non-protected characteristics. For example, women researchers are more likely to be in part-time contracts which may make it harder to get independence for those in research-only contracts, or to be accepted as principal investigators or grant holders. Implicit bias will be addressed in staff training, to mitigate any tendency for any link to this protected characteristic. The reasons for the quality rating of outputs will be transparent and centrally recorded, which is also intended to mitigate implicit bias.
SEXUAL ORIENTATION			X	Implicit bias against outputs that focuses on sexual orientation will be addressed in staff training in case there is a tendency for any link between research topic and researchers' protected characteristics. In line with the general comments, the opportunity to declare any negative effect of this characteristic on research will be promoted, without undue pressure being placed on staff to make such a declaration, in relation to paragraph 160e. Implicit bias will be addressed in staff training, to mitigate any tendency for any link to this protected characteristic. The reasons for the quality rating of outputs will be transparent and centrally recorded, which is also intended to mitigate implicit bias.

| CARERS | | | X | Caring responsibilities can negatively impact on ability to fulfil contractual hours and have other impacts on ability to undertake research.

In line with the general comments, the opportunity to declare the negative effect of this characteristic on research productivity will be promoted, without undue pressure being placed on staff to make such a declaration, in relation to paragraphs 160c and 160e. The self-declaration routes encoded in the CoP aim to protect this group by potentially reducing the number of outputs required by the UoA, and decoupling staff from outputs acts by requiring only one output as a minimum contribution. |

Additional Notes

See:
The 'Equality briefing for REF panels' which is available at www.ref.ac.uk, under the Publications tab.
REF 2019_01 Guidance on Submissions: paragraphs 44 to 48 for the equality and diversity guidance (with an overview at paragraph 20b).
REF 2019_01 Guidance on Submissions: paragraphs 156 to 200 on guidance to institutions about how to take into account the effect of individual circumstances on the ability of staff to work productively during the assessment period.
REF 2019_03 Guidance on Codes of Practice.
REF 2014 Equality Impact Assessment.
A brief description of the REF Equality and Diversity Advisory Panel (EDAP) and its membership is available at www.ref.ac.uk under the Panels tab.
REF's own equality impact assessment (EIA) undertaken for the policy development phase of the REF is available at www.ref.ac.uk under the Equality and Diversity tab.

Section 4 – Outcome and sign off

	Comments	
Are there any risks associated with the policy (that may create a differential impact?)	No specific risks from the Code of Practice per se. The intention and content of the code of practice is to reduce negative impacts during REF 2021, and follows closely the guidance as published.	
If so, could these risks lead to an adverse impact on a protected group/s?	The code of practice includes additional protections for staff in relation to career progression etc. Identification as having a significant responsibility for research, inclusion in REF, being a co-author of outputs chosen for REF, being involved in an impact case study and other factors that are evaluated in REF are not, in themselves, indicative of positive or negative performance against targets. Line management, recognition and reward processes, and other evaluations of staff will be based on individual performance expectations and achievements, and inclusion or otherwise in various aspects of REF will not be used as a proxy for quality or performance.	

Can this adverse impact be justified, for example: on the grounds of promoting equality of opportunity for one protected groups or any other reason?	After receiving advice from EDAP at Research England via the Universities Scotland REF Managers Group and participating in the REF 2021 Webinar on Codes of Practice, led by the Chair of EDAP, we have developed structures to underpin our Code of Practice. These structures were informed by: • A staff consultation on Significant Responsibility for Research (March–May 2018) • A review of the Good Practice in Institutional REF 2014 Codes of Practice. • Survey on impediments to research (2019) The Code of Practice will be approved by: a. REF 2021 Equality and Diversity (Code of Practice) Group. b. Equality and Diversity Committee. c. REF Strategy Group. d. Research Strategy Committee. e. Senate.	
Date EIA completed	27 May 2019	
Date for future review	Ongoing, with EIA to build on output evaluation and selection	
Name of person responsible for EIA	Professor James M Scobbie	

Signature (can be electronic)	Professor James M Scobbie	
Signature, Convener of the Equality and Diversity Committee (on behalf of the Committee) DATE: 3 June 2019	Irene Hynd, University Secretary, Convener, EDC	