

THE UNIVERSITY OF LEEDS

Consultation on the Draft Code of Practice for REF2021

Please send any comments or questions about this draft to leedsref@leeds.ac.uk. To ensure comments can be considered, please submit them no later than 12 noon Thursday 18th April 2019.

THE UNIVERSITY OF LEEDS

REF2021

CODE OF PRACTICE

If you require a copy of this Code in an alternative format (eg Braille, large print or audio), please e-mail leedsref@leeds.ac.uk or telephone 0113 343 4076.

Part 1: Introduction

REF2021

1. The Research Excellence Framework (REF) is an assessment of the research in UK higher education institutions carried out by the national funding bodies. The outcome of the REF informs the allocation of quality research related funding (“QR”). It contributes to the accountability for public funding and demonstrates the benefits of public investment in research and impact.
2. The last REF was REF2014. The submission deadline for REF2021 is 27 November 2020 and the results will be announced in December 2021.
3. Submissions are organised into discipline-based “Units of Assessment” (UOA). A brief summary of the submission requirements is given here.

Section	Description	Weight in the quality profile
Outputs	Outputs produced in the publication period 1.1.2014 – 31.12.2020	The number of outputs required is determined by the total full time equivalent (fte) of staff submitted 60%
Impact	Case studies describing impacts achieved during the period 1.8.2013 – 31.7.2020	The number of cases required is determined by the total full time equivalent (fte) of staff submitted. The minimum number is 2. 25%
Environment	An institutional and a unit-level statement describing the research and impact environment for the period 1.8. 2013 – 31.7.2020	1 (common) institutional statement. 1 UOA-level statement 15%

4. Submissions are assessed by UOA-specific sub-panels (comprising academics and the users of research). UOAs are grouped under four main panels (A – D), whose role is to foster consistency of assessment. The main panels and UOAs are listed in Appendix A for reference.
5. The outcome of the exercise is expressed as a profile across a five-point scale, from 0* (unclassified) up to 4* (world leading). The ratings of individual outputs and impact case studies will not be published, nor will the names of submitted staff.
6. More information about REF2021 can be found on the funding bodies' REF2021 website, ref.ac.uk, or on request from leedsref@leeds.ac.uk.

The University of Leeds Code of Practice for REF2021

7. The University is conducting its preparations for the 2021 Research Excellence Framework (REF2021) in a transparent, consistent, accountable and inclusive manner in accordance with its values (professionalism, inclusiveness, integrity, community and academic excellence), existing policies and codes of practice, including the Equality and Inclusion (E&I) Framework and the policy and procedures on Dignity and Mutual Respect.
8. This Code of Practice ("the Code") is intended to help us ensure that these values are upheld in our REF preparations and to support the University in meeting its legal obligations in relation to equality and diversity, in line with the Equality Act 2010. It does not replace any existing University policy. The Code has been drawn up in accordance with the guidance provided by the funding bodies in the following documents: *REF2021 Decisions on Staff and Outputs* (REF2017/04, updated April 2017), *REF2021 Guidance on Submissions* (REF2019/01); *REF2021 Panel Criteria and Working Methods* (REF2019/02); and, the *Guidance on Codes of Practice* (REF2019/03), all of which are available from the funding bodies' REF2021 website. In addition, the open letter to the sector from the Chair of the funding bodies' Equality and Diversity Advisory Panel (EDAP) has been considered.
9. The Code addresses the following aspects of REF2021 preparations:
 - a. Identifying staff with significant responsibility for research (Part 2)
 - b. Determining research independence (Part 3)
 - c. The selection of outputs for inclusion in the submission (including the voluntary, confidential disclosure of staff circumstances) (Part 4)
 - d. An appeals process
 - e. Equality impact assessment
10. The Code applies to all members of the University involved in REF2021, both those involved in the preparation of submissions and those who will be included within a submission. The processes and policies described in the Code are common to all, with no Faculty or School-specific variations. Likewise, there is a single, common appeals process.
11. All University of Leeds staff involved in making decisions concerning the content of the University's REF2021 submissions will receive role-specific, mandatory training on the content and enactment of the code, plus other relevant University policies and frameworks, as appropriate.

12. Where external advisers are engaged, the Code will be drawn to their attention, and the need to undertake assessments in a transparent, consistent, accountable and inclusive manner reinforced. External advice may inform decisions on the selection of material for inclusion in the submission. External advisers will not be involved in the processes to identify those with significant responsibility for research or to determine independence.

REF2021 at the University of Leeds

13. As indicated above, the REF is an assessment of research activity and output in the assessment period. The assessment is based on discipline-based UOAs and the subset of academic and research staff whose roles fulfil the submission criteria. REF is an assessment of the work submitted in a UOA; it is not an assessment of individual members of staff. The outcome of the REF is published at UOA level only. A list of submitted staff will not be published.
14. The University's preparations for REF2021 are led by the REF2021 Steering Group (REFSG), supported by four REF Review Groups. The Steering Group is responsible for the final decisions on all matters relating to REF2021. In making their decisions, the Steering Group will aim to maximise the overall outcome for the University. The Steering and Review Groups combine senior academic leadership and research assessment expertise (including interdisciplinary research and impact) with appropriate professional administrative support. The terms of reference, membership and equality analyses of these groups are in Appendix C.
15. UOA leaders and deputies are responsible for drawing up the submissions and making recommendations, via the Review Groups, to the REF Steering Group, about the content and configuration of these submissions.
16. These governance arrangements were approved via the University's committee structure (Research and Innovation Board, University Executive Group, and Senate) in January 2018. The committee structure is shown in Appendix B.
17. The terms of reference for the University's REF2021 Steering Groups, Review Groups and UOA leaders include a responsibility to "promote and monitor ethical practice and ensure all equality and diversity standards are adequately met". Equality training (Appendix E) will be undertaken to assist these groups in fulfilling this responsibility, which will include guidance on the interpretation of the equality analyses that will be undertaken as specified in Appendix E.
18. The University is committed to the spirit (as well as the letter) of both the Fixed Term Employee and Part Time Worker Regulations. The requirements for equally favourable treatment have been University policy for many years. All members of fixed-term and part-time staff are treated as favourably as those on continuing or full-time contracts for example in relation to pay, staff benefits, training, promotion and career development opportunities.
19. Wherever possible, REF preparations and processes build on existing processes. For example: annual academic meetings (AAM) and discussions under the staff review and development scheme (SRDS) are used to set academic plans for the forthcoming year, confirm roles, responsibilities and expectations and identify support required to achieve agreed objectives; compilation of the annual Higher Education Statistics Agency (HESA) staff return provides an opportunity to ensure that roles are coded correctly in our Human Resources (HR) systems; and, information about external research grants and research outputs will be taken from the University's core systems. In the interests of transparency this information is visible to members of staff via our in-house research and impact information system ("IRIS"), where research and academic staff can also view REF-

relevant HR information, such as the current classification of their role for REF purposes (i.e. whether or not the role is REF-eligible).

20. Since REF2014, a number of measures have been introduced at the University to support equality and inclusion, informed by benchmarking exercises such as REF and TEF and participation in the Athena SWAN scheme. For example, we have worked to support the attraction, retention and promotion of female academic staff and introduced measures to support staff returning from significant periods of leave, for example reduction in teaching loads. Pilot interventions are being evaluated and recommendations for University-wide adoption will be made where interventions have proved valuable Other measure include:
- The enhancement of the annual academic meeting process, to ensure consistent, fair and equitable treatment of staff across the University.
 - The implementation of an annual outputs review process to help staff understand and apply the characteristics of a high-quality research output.
21. In addition to the generic enhancement of our procedures outlined in paragraph 20 above, a number of REF-specific actions have occurred since REF2014:
- Our REF2014 equality impact assessment action plan identified some opportunities to improve the process for disclosure and assessment of requests for submission with fewer than four outputs. Based on this feedback, our REF2021 processes have given greater emphasis to opportunities for confidential, informal discussion of circumstances with the Head of E&I and/or an E&I professional in advance of the submission of a case. Submitted cases will be considered in batches at a small number of assessment meetings, rather than on a rolling basis. This will enable us to provide greater clarity about the timing of outcomes and will also enable us to achieve consistency by allowing us to consider cases in larger batches. The process will be led by E&I, with input on REF-specific matters from the central REF team.
 - We also fed back to the REF2014 team that the effects of bereavement should be included in information on staff circumstances and this has now been incorporated into the funding bodies standard declaration form, which we shall use in our processes (Appendix F).
 - Consideration was also given to more systematic collection of information about staff circumstances. However, it was decided that, on balance, it would be more appropriate to await specific REF2021 guidance. This would avoid the risk of requesting sensitive information unnecessarily or having to ask for additional information at a later stage.
 - For members of staff who were not included in the REF2014 submission, but indicated a desire to reach the standard for inclusion in future exercises, the AAM/SRDS system was used to discuss relevant support. This might include: personal development plans, mentoring, study leave, reduction in teaching load, or support for conference attendance.

How the Code is being communicated

22. The approved Code will be published on the University intranet. It will also be sent to staff through direct email to all academic and research staff. Heads of Faculty HR are responsible for disseminating the Code to staff who are absent, such as staff on long-term absence or staff working away from the main campus. They will use “keeping in touch” days for staff absent on maternity/paternity leave, for example, to share the Code.

Accessible formats are available on request to the central REF team via leedsref@leeds.ac.uk. Staff are encouraged to raise any queries with either their local HR manager, Faculty E&I contact, central E&I staff or central REF team.

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Part 2: Identifying staff with significant responsibility for research

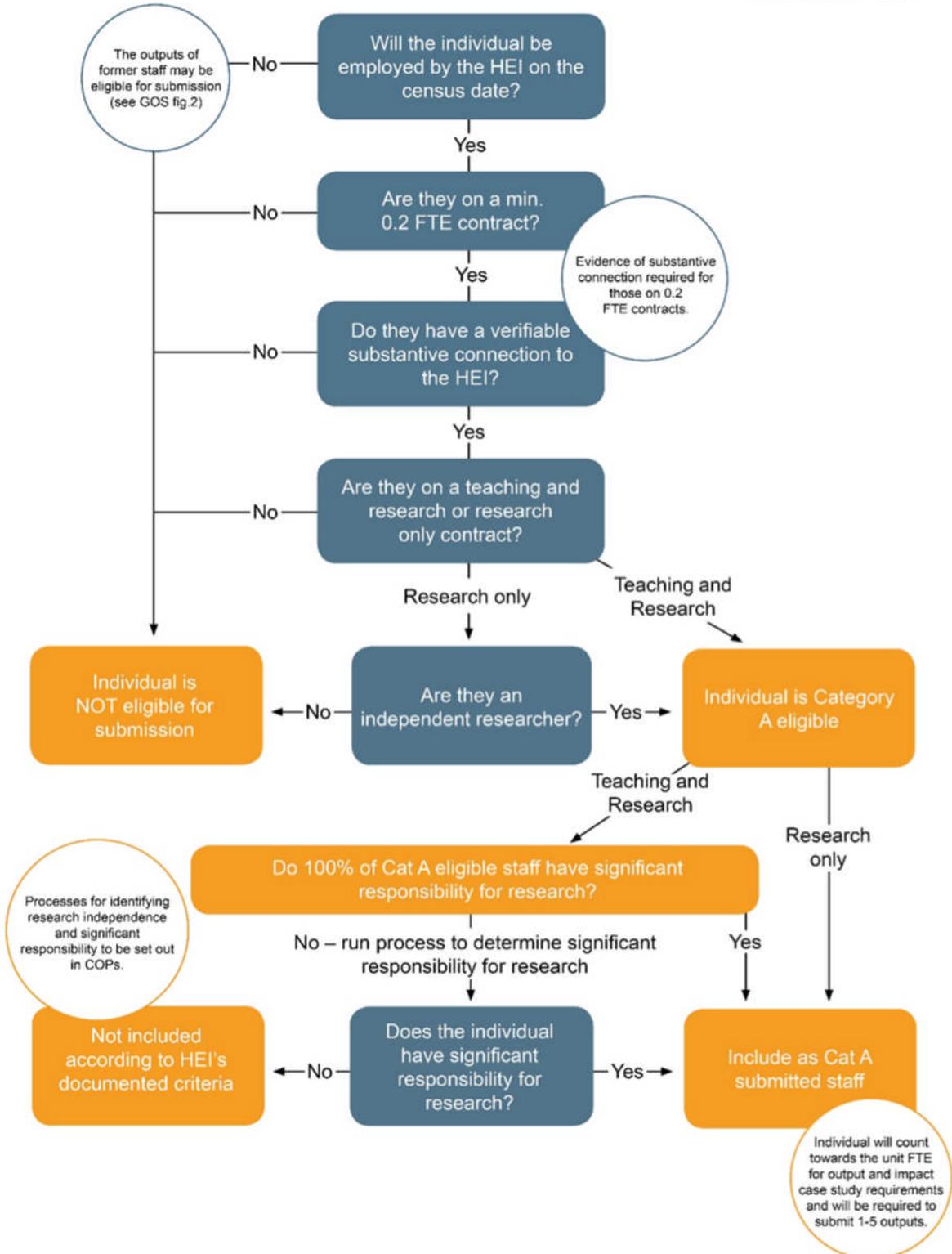
Policies and procedures

23. This section describes the process that we will use to determine which eligible staff have significant responsibility for research and will be submitted. This process will apply to all relevant staff, regardless of which Faculty they are in.
24. For the purpose of REF, the following definitions are used
- a. 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, whose primary employment function is to undertake either ‘research only’ or ‘teaching and research’¹. Staff should have a substantive research connection with the submitting unit (see paragraphs 123 to 127). Staff on ‘research only’ contracts should meet the definition of an independent researcher (paragraphs 128 to 134).” [Guidance on Submissions paragraph 117]*
 - b. Significant responsibility for research: *“... 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.” [in line with Guidance on Submissions paragraph 138]*
 - c. Independent researcher: *“... an individual who undertakes self-directed research, rather than carrying out another individual’s research programme.” [in accordance with Guidance on Submissions paragraph 131]*
25. REF guidelines refer to two sets of staff – “Category A eligible” and “Category A submitted”. Eligible staff are submitted if and only if they have significant responsibility for research. Figure 1 (overleaf), from the Guidance on Submissions summarises REF eligibility.

¹ Individuals whose primary employment function is to undertake either ‘research only’ or ‘teaching and research’ are staff returned to the Higher Education Statistics Agency Staff Collection with an academic employment function of either ‘Academic contract that is research only’ or ‘Academic contract that is both teaching and research’ (identified as codes ‘2’ or ‘3’ in the ACEMPFUN field).

Figure 1

Staff eligibility in REF 2021



26. Academic “teaching and research” staff on Grade 8 or above, whose role fulfils the definition of Category A eligible stated above are deemed to have significant responsibility for research and hence are Category A submitted. No further process is required to determine eligibility for inclusion in the REF submission for these members of staff. In accordance with REF2021 rules, all such staff will be included in the submission.
27. Academic “teaching and research” staff on Grade 7 or lower, will be considered on a case-by-case basis. Faculty Heads of HR will be responsible for identifying these individuals in the first instance.
28. Some Category A eligible staff may not yet have achieved independence as researchers. i.e. they are not undertaking “self-directed research”. As such they do not fulfil the REF definition of having significant responsibility for research and will not be included in the University’s submission to REF2021
29. We recognise that attaining independence is a continuous process, reflecting an individual’s development in their role. Our procedure allows for cases to be revisited if circumstances change. We also recognise that staff may have attained research independence, but may not be in a role where “self-directed” research is an expectation on the REF census date (31 July 2020).
30. The criteria that will be used to determine independence for the purposes of REF2021, will be as set out in the funding bodies’ Guidance on Submissions paragraph 132:
 - leading or acting as principal investigator or equivalent on an externally funded research project
 - holding an independently won, competitively awarded fellowship where research independence is a requirement. An illustrative, but not exhaustive, list of independent fellowships can be found at www.ref.ac.uk, under Guidance (Appendix A)
 - leading a research group or a substantial or specialised work package.
31. For members of staff who would be returned in UOAs within Main Panels C or D (Appendix A) the following additional indicators apply and will be considered:
 - Being named as a co-investigator on an externally funded research grant/award
 - Having significant input into the design, conduct and interpretation of the research
32. As stated in the Guidance on Submissions (paragraph 132), each indicator may not individually demonstrate independence and multiple factors may need to be considered.
33. In accordance with the Guidance on Submissions, a member of staff will not be deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs.
34. The criteria will be applied by reference to relevant information including job description, nature and scope of research grants held and externally-funded research fellowships. As indicated in the Guidance, the assessment will be based “upon the expectations of staff as a function of employment, and not upon the quality or volume of what has been delivered as a result of that employment function”.

Decision making

35. For each Faculty, an *ad hoc* panel will be formed comprising the Faculty Head of HR, a member of the central REF team, and all the Head(s) of School (or Institute within the Faculty of Medicine and Health) that employ staff whose roles are being assessed for independence. The composition of these panels reflects local academic leadership and

line management responsibility, supported by equality and inclusion and REF professional support.

36. Each Faculty panel will assess the evidence of independence against the relevant REF criteria (including any main panel-specific criteria designed to recognise disciplinary differences). Decisions will be made by the Heads of School, advised by the HR Manager and REF team member.
37. As far as practicable, all cases for a Faculty will be considered at the same meeting to enhance consistency. Where the volume of cases precludes a thorough consideration of all cases at one sitting, the Faculty Head of HR will be responsible for ensuring consistency of approach with the Faculty.
38. The outcome of the assessment will be:
 - a. The member of staff is deemed to be independent and eligible and must be submitted to REF2021, or
 - b. The member of staff is not yet independent as defined by REF2021 and is currently not eligible for submission, but is expected to be so by the REF staff census date, 31 July 2020. A further review date will be set in accordance with the anticipated achievement of independence, or
 - c. The member of staff is not yet independent and it is not an expectation of their job role that they will achieve independence as defined by REF2021 by the REF census date. The member of staff is not expected to be eligible for submission, or
 - d. There is insufficient evidence to arrive at an assessment. The panel will identify what additional information is required and how it will be obtained, and will set a further review date.
39. Once all Faculty panels have undertaken their assessment, the Faculty Heads of HR will meet to share the outcomes and examine any apparent variations to ensure that they are justified. Where differences are not justified, cases will be revisited and additional evidence may be sought if necessary to arrive at a fair judgement. To inform this discussion an equality impact analysis (EIA) will be carried out on the cases and outcomes and any differential impact on groups with protected characteristics examined to mitigate the risk of inadvertent discrimination in our processes, and how greater inclusion can be achieved in the future.
40. A written record will be kept by the Faculty Head of HR to confirm what evidence was considered and the extent to which this demonstrated that the criteria had been met. This information will be retained by HR and may be submitted to the funding bodies in the event of an audit of the University's REF2021 submission. It will form the basis of feedback to the member of staff on the evidence informing the final decision.
41. The anonymized outcome of the assessment of independence will be reported to the REF Steering Group, alongside the relevant equality analysis to assist the Group in fulfilling its responsibilities in relation to equality and inclusion.

Communication

42. When we communicate about the Code, we will draw attention to the processes for identifying staff with significant responsibility for research and determining independence.
43. Tailored follow-up emails will be sent to staff to either confirm their REF eligibility or to confirm that their role will be reviewed through the processes described in paragraphs 35-38 above.

44. The outcome will be communicated to the member of staff by email by their Head of School (or Institute in the Faculty of Medicine and Health), and will outline the evidence considered and how the criteria were applied. The feedback will include a reminder about the appeals process and the arrangements for declaring staff circumstances (for those staff deemed eligible).
45. In the interests of transparency, the current REF status (i.e. whether their role is not REF eligible, Category A eligible or Category A submitted) will be visible to the individual member of staff via the University's REF system, IRIS. This information is visible to the member of staff and other authorised users (for example, Heads of School) only.

Timing

46. We aim to complete the identification of our pool of academic Category A submitted staff as soon as possible. To that end we will proceed with reviews as soon as possible after the Code has been accepted by Senate and Council and panel members have taken part in the REF-specific E&I briefings. We will communicate the initial outcome to members of staff no later than [date].
47. It is recognised that eligibility is determined by an individual's role on the staff census date, 31st July 2020. Changes to the relevant role information in our HR systems will be flagged to the central REF team and changes in relation to REF eligibility considered as indicated above.

Approval of processes

48. The principles underpinning the Code (including those for identifying staff with significant responsibility for research, determining research independence and selecting outputs for submission) have been developed since March 2018 by the REF Steering Group, informed by input from HR staff, the University's Research and Innovation Board, University Executive Committee, Equality and Inclusion Committee, Unit of Assessment leaders, Equality and Inclusion co-ordinators and via staff open meetings (see Appendix D for a schedule of open meetings).
49. [Place holder - outcome of consultation and subsequent approval route].
50. The Code approved for submission to the funding bodies will be communicated as indicated in paragraph 22 above.

Staff, committees and training

51. As indicated above, for each Faculty a panel will be formed comprising the Faculty Head of HR, a member of the central REF team, and all the Head(s) of School (or Institute within the Faculty of Medicine and Health) that employ staff whose roles are being considered. Panel members are *ex officio*. The composition of the panel reflects local line management and leadership responsibility, and provides appropriate professional support for consistent decision-making.
52. UOA leaders take part in monthly briefings on all aspects of REF. These briefings are delivered by the University's central REF team, supported by other professional staff with relevant expertise, and cover all aspects of REF requirements and the University's process for developing the submission. We will use this infrastructure to deliver REF2021 specific Equality and Inclusion training to colleagues: sessions will be delivered by the Head of Research Quality and Policy and the Head of Equality and Inclusion in June 2019. This will include workshops specifically for Heads of School or Institute, to support their role in the decision-making processes described in this code. Individual arrangements will be made for staff taking up REF roles after the scheduled training has been delivered.

53. All staff (including staff involved in the REF decision making roles including the Review and Steering Group members) are required to complete the mandatory on-line, interactive module "[An Introduction to Equality & Inclusion](#)", which provides all University staff the same introductory grounding in key principles of equality, inclusion and diversity.
54. The module covers the type of behaviours that are expected of all members of our university community, information about equality law, and ways in which we support and promote equality and inclusion at Leeds. It also explains the potential impact of unconscious bias and ways through which we can mitigate against it. REF-specific briefings will complement this generic provision.

Complaints and Appeals

55. The University's general approach to complaints will be followed, meaning that attempts will be made to resolve any complaints as quickly and as informally as possible. Any member of staff who wishes to complain of discrimination should raise this through the procedures described in the University's policy and procedures on Dignity and Mutual Respect (Appendix B).
56. Where a member of staff feels that they have not been dealt with in accordance with this code of practice, they should raise the matter informally in the first instance with their Executive Dean of Faculty who will investigate and attempt to resolve the matter. Where the matter remains unresolved, the appeal will be considered by [TBC] (a senior member of academic staff not directly involved in REF2021 decision-making processes described in this Code). The Faculty Executive Dean and [TBC] may take advice from appropriate other staff in investigating the complaint. The member of staff raising the appeal may invite a union representative to attend appeals meetings.
57. Appeals may be raised on whether due process outlined within this Code has been followed. Colleagues may not raise an appeal on the grounds of academic judgement regarding, for example, staff allocation to a UOA assessment, or decisions regarding selection of outputs.
58. Details of our appeals process forms part of this Code of Practice and will be included in the communication of this Code. Information on appeals will also be included when the outcome of the processes to determine eligibility and independence is communicated. The funding bodies have indicated that they will "...put in place measures to enable individuals to make a formal complaint, where it is believed that the agreed processes are not being followed". (REF2019/3) Information on this process will also be provided when this is available.
59. While appeals may be raised at any time, members of staff are strongly encouraged to raise matters informally as soon as they arise. No appeals will be considered after the final, full draft submission is completed for internal review, which is expected to be in late summer 2020. This is to allow appeals to be considered properly and their outcomes to be considered as necessary in the submission itself.
60. Anonymised outcomes of appeals will be reported to the next meeting of the REF Steering Group by [TBC].

Equality impact assessment

61. See paragraph 39 above and Appendix E.
62. We will carry out equality impact assessments at periodic stages leading up to our submission and post-submission to ensure that we pay due regard to equality issues throughout the REF submission process. We will carry these out to:

- understand the representation of the eligible and submitted staff against our academic staff profile
 - understand how the selection of outputs for submission represent the diversity of the eligible and submitted staff community
 - identify where further progress on diversity issues is needed so that this can be incorporated into the delivery of the University's Research Strategy
63. The equality impact assessments will draw on the data that has already been provided to the institution (as part of the employment relationship of an individual to the University). We will fully respect all GDPR regulation and will only publish the information at aggregated levels. No individuals will be identified and we will be careful to address any issues relating to low numbers.
64. The equality impact assessment will be carried out at an institutional level and at UOA level by the relevant UOA lead, supported by the Head of Research Quality and Policy and the Head of Equality and Inclusion.
65. We will aim to use qualitative sources of information and consultation, proportionate to the overall aim and emphasis of the REF2021 exercise.

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Part 3: Determining research independence

66. Staff in “research only” roles who are independent on the census date are eligible for inclusion in REF, and will be included in our submission.
67. Staff whose roles are “research only” may not necessarily be independent researchers. For example, many staff in research only roles are employed to carry out another individual’s work programme and as such are not normally regarded as independent for the purposes of the REF.
68. While grade and/or job title may provide a helpful starting point, these indicators are not sufficient in themselves to fully, fairly and accurately identify independent research roles. A process that draws on a wider set of evidence to make a judgement is required. This section describes that process. The process has been developed and approved through the procedure set out in paragraphs above [reference].

Criteria

69. The criteria, and their application will be as set out in Part 2 above.

Decision Making

70. The process for decision making will be as outlined in Part 2 above.

Communication

71. See Part 1 and 2 above.

Timing

72. See paragraphs 46 – 47 above.

Staff, committees and training

73. See paragraphs [reference] above.

Appeals

74. See paragraphs 55 – 60 above.

Equality Impact Assessment

75. See paragraphs 61 – 65 above and Appendix E.

Part 4: Selection of outputs

Policies and Procedures

76. Final decisions on which work is included in the REF submission, how it is distributed across UOAs, and to which individual staff members it is attributed, is the responsibility of the REF Steering Group, informed by the advice of Review Groups and UOA leaders. Decisions will be taken to deliver the best outcome from REF2021 for the University as a whole.
77. The total available pool of eligible research outputs will comprise REF eligible outputs registered by staff in the University's publications database ("Symplectic Elements").
78. The selection of outputs for inclusion and their allocation to submitted Category A staff in the submission will be guided by the REF2021 outputs eligibility criteria and rules about the maximum and minimum number of outputs that may be attributed to an individual in the submission.
79. Within the parameters defined by the rules of REF2021, the primary criterion in the selection of outputs will be quality. As the REF is an institutional assessment, this primary criterion will be applied to achieve the best outcome for the University overall.
80. The assessment of quality will take account of local independent reviews and those commissioned via the University Annual Review. As such the assessment will necessarily rely on academic judgement. Items for review may be nominated by members of staff, their Heads of School or UOA leaders.
81. Following an initial selection of outputs based on quality, the following secondary indicators will be considered to differentiate between outputs deemed to be of equivalent quality for the purposes of the submission. The indicators are listed alphabetically, and no hierarchy exists.
 - Avoidance of the submission of outputs with significant material in common (to limit the risk of panels' disregarding a second output if the overlap is felt to be too great)
 - Citations, where and to the extent that, these are employed by the sub-panel to which the work is to be submitted (and taking account of the limitations of such data)
 - Open Access status of outputs within the scope of the REF2021 Open Access policy (to limit the risk of violating the threshold for submission of non-compliant items, leading to an "unclassified" rating)
 - Relationship of the set of selected outputs to the strategy and achievements described in the unit environment statement (for example, to facilitate the use of submitted outputs to evidence claims made in the environment statement).
82. Where an output has more than one author eligible for submission to the returning UOA, the allocation of the output to an individual for the purposes of the REF submission will be determined to achieve the best outcome for the University as a whole and will take account of:
 - The author contribution (to minimise the risk of submitting an item for which the panel may deem the author contribution to be insufficient, leading to an "unclassified" rating).
 - The UOA to which the work may be submitted (to maximise the benefit of the available pool of outputs).

- The other outputs available to an author for submission to the UOA, based upon the criteria set out in paragraphs 59-61 (to maximise the benefit of the available pool of outputs).

83. Where all relevant criteria have been considered and outputs associated with both former Category A eligible and current Category A submitted staff remain to be allocated, the preference will be to include and/or associate remaining outputs with current staff.

84. When UOAs complete their first full draft submission in late summer/early autumn 2019 they will make a provisional selection of research outputs for inclusion in the submission. These selections will be visible to the individual member of staff via IRIS.

Disclosure of circumstances

85. The same process will be followed for all staff who wish to declare circumstances, and will cover all circumstances described in the Guidance on Submissions paragraphs 160 – 163, i.e.

Summary of applicable circumstances

160. The funding bodies, advised by EDAP, have identified the following equality-related circumstances that, in isolation or together, may significantly constrain the ability of submitted staff to produce outputs or to work productively throughout the assessment period. Details of the permitted reductions are set out in Annex L:

- a. Qualifying as an Early Career Researcher*
- b. Absence from work due to secondments or career breaks outside the HE sector.*
- c. Qualifying periods of family-related leave.*
- d. Other circumstances that apply in UOAs 1–6, as defined in paragraphs 162-163*

Circumstances with an equivalent effect to absence, that require a

- a. judgement about the appropriate reduction in outputs, which are:*
 - i. Disability: this is defined in the 'Guidance on codes of practice', Table 1 under 'Disability'.*
 - ii. Ill health, injury, or mental health conditions.*
 - iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances set out in Annex L.*
 - iv. Other caring responsibilities (such as caring for an elderly or disabled family member).*
 - v. Gender reassignment.*
 - vi. Other circumstances relating to the protected characteristics listed in the 'Guidance on codes of practice', Table 1, or relating to activities protected by employment legislation.*

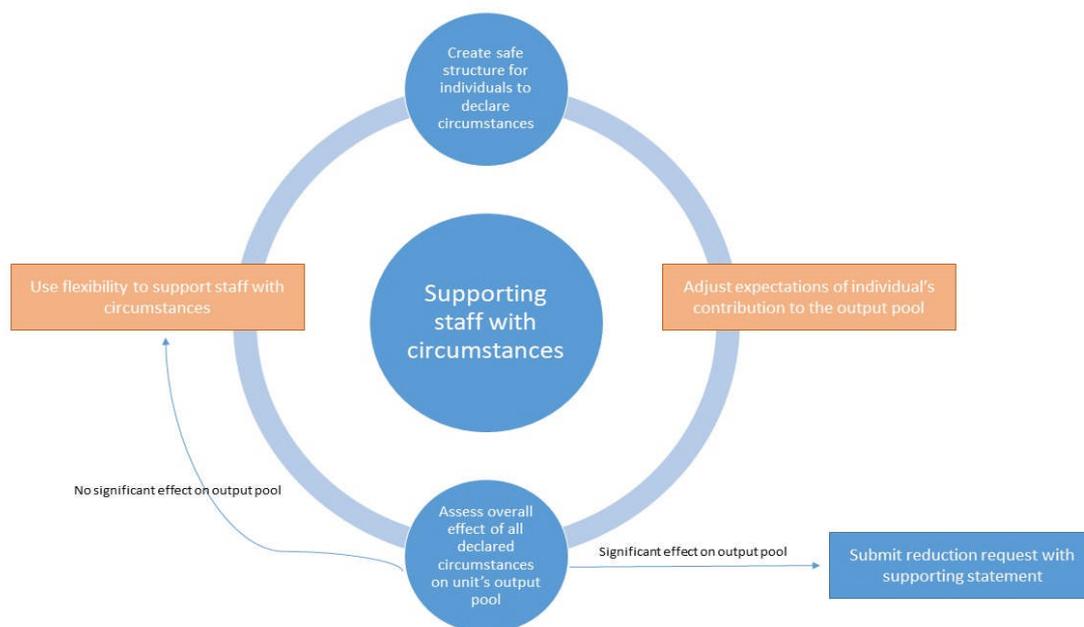
161. As part-time working is taken account of within the calculation for the overall number of outputs required for the unit (which is determined by multiplying the unit's FTE by 2.5) reduction requests on the basis of part-time working hours should only be made exceptionally. For example, where the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

162. 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.

163. This allowance is made on the basis that the clinical 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 162, and has had significant additional circumstances – for any of the other reasons in paragraph 160 – the institution can make a case for further reductions as part of the unit reduction request, using the tariffs set out in Annex L as a guide.

86. Following formal approval of the Code by Council, the Head of Equality and Inclusion will write to all academic and research staff via e-mail to invite them to voluntarily and confidentially declare any circumstances (as set out in the Guidance on Submissions paragraph 160) that have affected their ability to research productively throughout the REF period. The communication will make it clear that this option is voluntary and the individual member of staff may choose to declare circumstances or not. Each case will be dealt with sensitively.
87. Declarations will be made on a standard form via a dedicated, central, confidential email address: refequality@leeds.ac.uk, which will be managed by the central E&I team (Appendix F)
88. As part of the process, staff will be offered the opportunity of a face-to-face confidential discussion(s) with HR and/or E&I to assist them in deciding whether or not to formally declare circumstance(s), and to discuss what evidence would be helpful in cases requiring judgement.
89. Where circumstances are clearly defined they will be validated by reference to relevant HR records and the appropriate reduction in outputs calculated using the tariffs set out in [reference]. Where circumstances require judgement, E&I, HR and the central REF team will review cases in advance of formal consideration to ensure that the information provided is sufficient for the panel to make a fair assessment. Where necessary, further information may be requested before the case is considered.
90. A senior member of academic staff who is not directly involved in the REF preparation process will chair the circumstances panel. In addition, the panel will comprise academic staff from a range of disciplines, trade union involvement, the Head of HR, and the Head of Equality and Inclusion. The terms of reference, membership and equality analysis of this panel are in Appendix C.
91. Cases for consideration will be anonymised as far as practical.

92. For all cases requiring judgement, the panel will determine whether the circumstances would justify a reduction in outputs and calculate the reduction.
93. The panel will also receive reports on clearly defined cases, to ensure that criteria are being applied appropriately and consistently.
94. There will be four deadlines for the submission of requests for circumstances, with clearly stated deadlines for feeding back the outcome of the assessment. The schedule will reflect the funding bodies' deadline for the submission of cases for consideration [precise date in March 2020 to be confirmed]. Where a member of staff joining the University after this date declares circumstances and a it is agreed to make a request for a unit reduction in outputs, this request will be made alongside the submission.
95. The outcome of the assessment of circumstances will be reported to the member of staff and to their Head of School. The Head of School will be asked to confirm how the expectations of the member of staff's contribution to the overall pool of eligible outputs have been (or will be) moderated in light of their circumstances.
96. UOA Leaders will be informed of the reduction in outputs that may be available, subject to approval by the funding bodies. UOA leaders will not receive any information about individual's circumstances.
97. Where a case has been validated by the University's panel a request may be made to the funding bodies to reduce the number of outputs required by the UOA. This is in the interests of ensuring that all circumstances are treated equally and recognises that the affect of an individual's circumstances may be felt beyond the individual directly affected (for example periods of absence of one colleague may lead to a diminution of research time for colleagues who are required to take on additional teaching duties). In addition, it may not be possible to determine, by the deadline for the submission of applications for reductions, whether or not such reductions will be required in the final submission.
98. Where a case has been made for the submission of a Category A submitted member of staff with no output, and accepted by the funding bodies, this will be applied to the submission.
99. Where other cases for a reduction have been accepted by the funding bodies, the actual number of outputs submitted will be determined by the REF Steering Group, on the advice of REF Review Groups and UOA leaders. The figure below illustrates how circumstances are considered in REF2021.



100. All circumstances information will be treated as highly confidential and will only be seen by members of the circumstances panel. The information will be kept securely in the Equality Policy Unit in line with all GDPR requirements. The information will be securely held until the audit functions of the REF2021 have all passed and the results of REF2021 are published. The information will be confidentially destroyed following this point.

Equality Impact Assessment

101. An EIA will be carried out on all circumstance cases and outcomes, as described in paragraphs 39-43. The outcome of the EIA will be to:

- understand any differential impact on groups with protected characteristics.
- understand, and mitigate, any risk of inadvertent discrimination in our processes.

102. Where necessary, processes will be amended to address any issues identified, and cases will be revisited, if appropriate.

Part 5: Appendices

A	Further information about REF
B	University of Leeds committee structure and policies referred to in the Code.
C	University of Leeds REF2021 governance and decision-making panels
D	Training and Communication Plans
E	Equality Impact Assessments
F	Staff declaration form
G	University of Leeds REF2021 - key dates and timetable for submission development

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THE UNIVERSITY OF LEEDS

Consultation on the Draft Code of Practice for REF2021

APPENDICES

A	Further information about REF
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APPENDIX A

Information about REF2021

The following key documents are available via the REF2021 website ref.ac.uk or on request from leedsref@leeds.ac.uk

The Guidance on Submissions (REF2019/01)

The Panel Criteria and Working Methods (REF2019/02)

The Guidance on Codes of Practice (REF2019/03)

The Main Panels and Units of Assessment (UOA) are

Main Panels and Units of Assessment (Annex D, Guidance on Submissions)

Main panel	Unit of assessment	
A	1	Clinical Medicine
	2	Public Health, Health Services and Primary Care
	3	Allied Health Professions, Dentistry, Nursing and Pharmacy
	4	Psychology, Psychiatry and Neuroscience
	5	Biological Sciences
	6	Agriculture, Food and Veterinary Sciences
B	7	Earth Systems and Environmental Sciences
	8	Chemistry
	9	Physics
	10	Mathematical Sciences
	11	Computer Science and Informatics
	12	Engineering
C	13	Architecture, Built Environment and Planning
	14	Geography and Environmental Studies
	15	Archaeology
	16	Economics and Econometrics
	17	Business and Management Studies
	18	Law
	19	Politics and International Studies
	20	Social Work and Social Policy
	21	Sociology
	22	Anthropology and Development Studies
	23	Education
	24	Sport and Exercise Sciences, Leisure and Tourism
D	25	Area Studies
	26	Modern Languages and Linguistics
	27	English Language and Literature
	28	History
	29	Classics
	30	Philosophy
	31	Theology and Religious Studies
	32	Art and Design: History, Practice and Theory
	33	Music, Drama, Dance, Performing Arts, Film and Screen Studies
	34	Communication, Cultural and Media Studies, Library and Information

Fellowships requiring independence (see ref.ac.uk under “Additional Guidance”)

Research Fellowships (list as at 15th March 2019)

The table below 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.

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.

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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	ICA Clinical Lectureship
Health Education England	ICA 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*

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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	Clinical Trials Fellowship
NIHR	Clinician Scientist
NIHR	Development and Skills Enhancement Award
NIHR	Knowledge Mobilisation Research Fellowship
NIHR	Post-Doctoral Fellowship
NIHR	Research Professorship
NIHR	School for Primary Care Post-Doctoral Fellowships
NIHR	Senior Research Fellowship
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

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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

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APPENDIX B

The University of Leeds policies and committee structure referred to in the Code

https://equality.leeds.ac.uk/wp-content/uploads/sites/64/2019/03/9400_EI_Report_2020.pdf

[Add full copy for submitted version of the Code]

The Policy and Procedures on Dignity and Mutual Respect can be downloaded in PDF or Microsoft Word format here

https://www.leeds.ac.uk/forstaff/news/article/1062/new_policy_and_procedures_on_dignity_and_mutual_respect

[Add full copy for submitted version of the Code]

[Add University committee structure]

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APPENDIX C

REF2021 Steering and Review Groups, Panel to Consider Individual Staff Circumstances, Unit of Assessment Leaders

Terms of reference, membership and equality analyses (to be added)

REF STEERING GROUP

Terms of Reference

The Steering Group will be responsible for recommending the University's submission strategy and for approving the final submission to the Research Excellence Framework. Four Review Groups will be formed to advise the Steering Group.

The Steering Group's Terms of Reference are:

- to interpret the REF Working Methods and Criteria for Assessment and the Guidance on Submissions and any other guidance published by the funding councils in relation to the REF
- in light of its interpretation of the published guidance and criteria, prepare the University's submission strategy, including target Grade Point Average for each Unit of Assessment (UOA)
- to develop a guide (including an Equality Code of Practice incorporating equality impact assessment arrangements) for preparing, reviewing and developing submissions and selecting staff for inclusion in the submission
- to co-ordinate communication with staff and unions
- to approve the submission, the Units of Assessment to which submissions will be made, any joint or multiple submissions
- to approve the members of staff to be included in each Unit of Assessment's submission, and the number of outputs submitted per individual
- to determine selection criteria for Unit of Assessment leaders and approve their appointment
- to approve the commissioning and terms of reference of external reviews and benchmarking data
- to co-ordinate responses to HEFCE REF consultations
- to respond to other matters referred to the Steering Group by the Review Groups
- promote and monitor ethical practice and ensure all equality and diversity standards are adequately met

Membership of the Steering Group comprises:

- A chair (DVC Research and Innovation)
- A deputy chair (Dean of Research Quality and Impact)
- Members drawn from the Deans, Pro-Deans, and others with experience of research assessment or with expertise in impact
- Additional members, who may be recruited during the later stages of submission preparation to provide advice on a particular submission or aspect of a submission
- The Deputy Head of Human Resources
- The Head of Research Quality and Policy

REF REVIEW GROUPS

There will be four Review Groups aligned with the REF Main Panels. Their role is to support the Steering Group in achieving the best possible outcome from the REF for the University as a whole.

Review Groups will:

- report via the Chair to the REF Steering Group
- co-ordinate the association of staff with UOAs and, where necessary, facilitate discussion between Unit of Assessment leaders on UOA transfers
- review Units of Assessment submissions in detail and make recommendations to the Steering Group on the submissions
- work closely with UOA leaders and Heads of School in developing all aspects of the submissions (outputs, environment and impact)
- ensure that submissions are in accordance with the University's code of practice on preparing, reviewing and developing submissions
- ensure that reviews are rigorous and independent
- promote and monitor ethical practice and ensure all equality and diversity standards are adequately met

Membership of each Review Group will comprise:

- A Chair (Dean of Research Quality and Impact)
- Members drawn from the Deans, Pro-Deans, and others with experience of research assessment or with expertise in impact
- Additional members, who may be recruited during the later stages of submission preparation to provide advice on a particular submission or aspect of a submission

UNIT OF ASSESSMENT LEADERS

Unit of Assessment leaders will have a pivotal role in the formulation of submissions.

UOA Leaders will:

- report, via the Pro-Dean, to the Review Group with responsibility for their UOA
- liaise with Deans, Pro-Deans, Heads of School and Departments and Directors of Research to produce the REF submission for their UOA
- be responsible for communication with their UOA constituency concerning the development of the submission
- have final authority to make recommendations to the Review Group on behalf of their UOA
- work closely with Deputy UOA leaders/ impact leads and with other UOA leaders, as necessary, and make recommendations to the Review Group concerning the allocation of members of staff to UOAs
- work with data teams and Faculty Research Managers to ensure the accuracy of data in their submission
- be responsible for overseeing the drafting of textual parts of the submission and the impact statement and case studies, working closely with the impact leads
- promote and monitor ethical practice and ensure all equality and diversity standards are adequately met
- remain in the role of UOA leader for the duration of the Exercise, including any audit period

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Deputy UOA lead will:

- support the UOA leader in developing the UOA's submission to REF, drawing on their knowledge of a particular discipline area or School

Impact lead will:

- support the UOA leader in developing the impact case studies for a UOA's submission to REF, drawing on their expertise in impact
- liaise with impact steering group to develop and implement best practice to support the development of impact within their area

COMMITTEE TO CONSIDER INDIVIDUAL STAFF CIRCUMSTANCES

Terms of Reference

1. To ensure that the arrangements for the confidential and voluntary declaration of staff circumstances and their assessment are carried out in accordance with the University's Code of Practice for REF2021 and REF2021 Guidance on Submissions (REF2019/01, January 2019).
2. To receive and assess all declarations of circumstances requiring judgement and identify an appropriate reduction in outputs.
3. To receive a sample of clearly-defined circumstances to ensure that these have been dealt with in accordance with the Code of Practice and the reductions set out by the REF Guidance.
4. To approve the content of the outcome/feedback to members of staff and information to be passed on to the Unit of Assessment Leaders.
5. To consider responses from Heads of School as to the adjustments that have been made to the expectations of the member of staff's contribution to the REF pool of outputs.
6. To specify and consider equality analyses to inform the work of the panel.
7. To report to the University's REF Steering Group on cases considered and their outcome.
8. To provide an assurance report to the University's Equality and Inclusion Committee on the circumstances received and all due processes outlined in the Code have been followed.
9. To lead the production of an Equality Impact Assessment for submission to the funding bodies after the REF2021 submission deadline.

Membership

Chair: Senior academic with experience of Equality and Inclusion

Members:

- Two members of academic staff for each REF2021 Main Panel area. In the interests of independence, members will not be members of the University's REF2021 Steering or Review Groups, nor REF2021 Unit of Assessment Leaders.
- Head of Equality and Inclusion, Faculty Head(s) of HR, a member of the University's central REF2021 team.
- Union representative

APPENDIX C

Training and Communication Plans

Training

The training described below is mandatory for the target audiences specified

Target audience	Scope of training	Delivery	Timing
All UOA leaders, REF Steering and Review Group members, Heads of School (and Institute in Faculty of Medicine and Health), members of the staff circumstances panel	Introductory grounding in key principles of equality, inclusion and diversity, including the potential impact of unconscious bias and ways of mitigating against it. This is a prerequisite for role- and REF-specific training below.	University of Leeds on-line introductory module on Equality and Inclusion.	Pre-requisite for other training listed below.
UOA leaders	Introduction to the Code of Practice, with emphasis on the purpose and method for declaring and assessing individual staff circumstances and seeking reductions in outputs, and the fair and transparent selection of outputs for inclusion in the submission.	Face-to-face presentations delivered by Head of Equality and Inclusion and Head of Research Quality and Policy via regular UOA team meetings.	Spring/Summer 2019
Review group members	Introduction to the Code of Practice	Face-to-face presentations delivered by Head of Equality and Inclusion and Head of Research Quality and Policy	Spring/Summer 2019
Steering group members	Guidance to support the Steering Group in ensuring that the Code is implemented, including the interpretation of equality analyses	Face-to-face presentation at Steering group meeting delivered by Head of Equality and Inclusion	Summer 2019

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Target audience	Scope of training	Delivery	Timing
Heads of School/Institution(Faculty of Medicine and Health)	Introduction to the Code of Practice, with particular emphasis on the role of Heads of School/Institute in the processes to identify Category A submitted staff and in relation to staff circumstances	Face-to-face presentations delivered by Head of Equality and Inclusion and Head of Research Quality and Policy	Spring/Summer 2019
Members of the staff circumstances panel	Introduction to the Code of Practice, with particular emphasis on the process and purpose of declaring and assessing staff circumstances	Face-to-face presentation/workshop delivered by Head of Equality and Inclusion and Head of Research Quality and Policy, including practical session on assessing (fictional) staff circumstances cases using examples from REF2014 training material as appropriate.	Summer 2019

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Communication

Activity	Purpose	Target audience	Delivered by	Timing
Open meeting	To introduce REF2021 in general, referring to draft guidance and provide opportunity to contribute to consultation. Differences from REF2014 highlighted	Any staff, but targeted at research and academic staff	DVC R&I and central REF team, supported by HR and or E&I team	25 th September and 2 nd October 2018
Open meeting	Introduction to topics to be covered by the Code of Practice. Opportunity to contribute to development of Code at an early stage		DVC R&I and central REF team, supported by HR and or E&I team	5 th and 6 th December 2018
Open meeting	To introduce key points from the final guidance and to discuss principles underlying approaches to issues in the Code.		DVC R&I and central REF team, supported by HR and or E&I team	12 th and 19 th Feb 2019
Electronic Circulation of draft code for comment	Consultation - To introduce the full draft code and elicit comments to contribute to the development of the code	All research and academic staff, professional staff supporting implementation of the Code (E&I, HR)	Electronic circulation, supplemented by news item on staff intranet and electronic bulletin, circulation to E&I networks from central REF team	20 th March - 17 th April 2019
		Discussion via Joint Committee of University and Unions		20 th March 2019
Drop-ins	Face-to-face meetings to raise any questions about the draft code of practice, contribute to consultation on the draft Code	Any staff, but targeted at research and academic staff	Central REF team and E&I	At least 3 meetings during the consultation period (20 th March 2019 – 17 th April 2019)
Open meetings	Communicate the content of the Code and provide an opportunity for staff to ask questions and raise any issues of concern.			Summer 2019 (following approval of the Code for

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Activity	Purpose	Target audience	Delivered by	Timing
"Drop-ins"	Face to face meetings to discuss any questions about staff circumstances (in addition to confidential, individual meetings with HR or E&I)			submission to the funding bodies)
Electronic circulation of information about the processes to identify staff with significant responsibility for research/independent researchers	Inform staff of processes, timescales, feedback and appeals arrangements	Staff whose roles are to be considered under these processes		Summer 2019 (following approval of the Code for submission to the funding bodies)
Electronic circulation of invitation to declare staff circumstances	Invite colleagues to confidentially, voluntarily declare circumstances.	Research and academic staff	E&I team (via dedicated email address)	Summer 2019 (following approval of the Code for submission to the funding bodies)
Confidential meetings	Optional face-to-face meetings with HR or E&I to discuss personal circumstances	Staff considering declaring circumstances	HR/E&I	Ongoing from launch of invitation to declare circumstances (Summer 2019)
Open meetings	To up-date on progress with the submission and provide an opportunity to feedback	All staff	DVC R&I and central REF team, supported by HR and or E&I team	Autumn 2019, Early 2020 and Early 2020 (to coincide with rounds of full draft submission preparation).
Electronic circulation	Email and intranet updates complementary to the open meetings described above	All staff	Central REF team	On-going throughout the REF preparation period
Electronic circulation	Confirmation of the completion and thanks to staff for contribution	All staff	REF Steering Group	

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APPENDIX E

Equality Impact Assessments

We will carry out equality impact assessments:

- when identifying staff with a significant responsibility for research
- when determining research independence
- when selecting outputs for submission, including consideration of both co-authorship and attribution of outputs in the submission
- when considering appeals against identification of staff who do not have significant responsibility for research or who are not independent researchers
- when preparing draft submissions
- when preparing the final submission.

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APPENDIX F

Staff declaration form

University of Leeds

Declaration of Individual Staff Circumstances

1. This document is being sent to all Category A staff whose outputs are eligible for submission to REF2021 (see [‘Guidance on submissions’](#), paragraphs 117-122). As part of the University’s commitment to supporting equality and diversity in REF, we have put in place safe and supportive structures for staff to declare information about any equality-related circumstances that may have affected their ability to research productively during the assessment period (1 January 2014 – 31 July 2020), and particularly their ability to produce research outputs at the same rate as staff not affected by circumstances. The purpose of collecting this information is threefold:
 - To enable staff who have not been able to produce a REF-eligible output during the assessment period to be entered into REF where they have:
 - circumstances that have resulted in an overall period of 46 months or more absence from research during the assessment period, due to equality-related circumstances (see below)
 - circumstances *equivalent* to 46 months or more absence from research due to equality-related circumstances
 - two or more qualifying periods of family-related leave.
 - To recognise the effect that equality-related circumstances can have on an individual’s ability to research productively, and to adjust expectations in terms of expected workload / production of research outputs.
 - To establish whether there are any Units of Assessment where the proportion of declared circumstances is sufficiently high to warrant a request to the higher education funding bodies for a reduced required number of outputs to be submitted.
2. **Applicable circumstances**
 - Qualifying as an ECR (started career as an independent researcher on or after 1 August 2016)
 - Absence from work due to secondments or career breaks outside the HE sector
 - Qualifying periods of family-related leave
 - Junior clinical academics who have not gained a Certificate of Completion of training by 31 July 2021
 - Disability (including chronic conditions)

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- Ill health, injury or mental health conditions
- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment

If your ability to research productively during the assessment period has been constrained due to one or more of the following circumstances, you are requested to complete the attached form. Further information can be found paragraph 160 of the Guidance on Submissions (REF 2019/01). Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. This form is the only means by which the University will be gathering this information; we will not be consulting HR records, contract start dates, etc. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

3. Ensuring Confidentiality

Forms and supporting evidence are requested to be submitted to the Equality Policy Unit by post or email at: refequality@leeds.ac.uk, marked 'Confidential: Individual Staff Circumstances'. Returned forms and all supporting evidence forms will be held securely by the Head of Equality and Inclusion.

The Head will review each application and determine if it is a straightforward application under applicable circumstances outlined above and/or if the circumstances are more complex and a panel discussion is required. The panel will comprise academic staff from each REF main panel area, the Head of Equality and Inclusion, the Head of Research Quality and Policy and a trade union observer. The panel will be chaired by a senior academic with experience of equality and inclusion. A member of the central REF team will work with the Head of Equality and Inclusion to review cases and evidence in advance for presentation to the panel. All members of staff involved with this process will demonstrate utmost confidentiality. A decision will be made on the evidence available and presented for the purposes of reduction of outputs from the overall Unit of Assessment. The panel will also review straightforward applications for applicable circumstances described above. All individuals will be informed about the outcome of their application within 3 months, by the Chair of the individual circumstances panel. The Unit of Assessment Lead will be informed about the outcome of the application, via the Head of Equality and Inclusion, but no information on the nature of the circumstances will be shared. We acknowledge that there may be declarations for the purposes of REF2021 which may not be disclosed within the context of the employment relationship of an individual within the University. This information will only be held for the purposes of the REF2021 exercise and will be confidentially destroyed once the exercise is completed, all audit periods have been completed and the results are published.

If the institution decides to apply to the funding bodies for either form of reduction of outputs (removal of 'minimum of one' requirement or unit circumstances), we will need to provide UKRI with data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see the '[Guidance on submissions](#)' document (paragraphs 151-201) for more detail about reductions in outputs

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

4. Changes in circumstances

The University recognises that staff circumstances may change between completion of the declaration form and the census date (31 July 2021). If this is the case, then staff should contact their Faculty Head of HR or the Head of Equality and Inclusion to provide the updated information.

Please complete this form to declare any individual staff circumstances and submit with all appropriate evidence to the Head of Equality and Inclusion at: refequality@leeds.ac.uk, marked: 'Confidential: Individual Staff Circumstances'.

Name: Click here to insert text.

School/Institute: Click here to insert text.

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

Yes

No

Please complete this form if you have one or more applicable equality-related circumstance (see above) 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). <i>Date you became an early career researcher.</i>	Click here to enter a date.
Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2021.	Tick here <input type="checkbox"/>
Career break or secondment outside of the HE sector. <i>Dates and durations in months.</i>	Click here to enter dates and durations.

<p>Family-related leave;</p> <ul style="list-style-type: none"> • statutory maternity leave • statutory adoption leave • Additional paternity or adoption leave or shared parental leave lasting for four months or more. <p><i>For each period of leave, state the nature of the leave taken and the dates and durations in months.</i></p>	<p>Click here to enter dates and durations.</p>
<p>Disability (including chronic conditions)</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Mental health condition</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Ill health or injury</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Constraints relating to family leave that fall outside of standard allowance</p> <p><i>To include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Caring responsibilities</p> <p><i>To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Gender reassignment</p> <p><i>To include: periods of absence from work, and periods at work when unable to</i></p>	<p>Click here to enter text.</p>

Confidential draft for consultation within the University of Leeds
Draft Code of Practice for REF2021, Appendices

<i>research productively. Total duration in months.</i>	
Any other exceptional reasons e.g. bereavement. <i>To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i>	Click here to enter text.

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below
- I realise that the above information will be used for REF purposes only and will be seen by the members of staff described in para 3. above.
- 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 the Head of E&I or Faculty HR Lead/HR Manager to contact me to discuss my circumstances, and my requirements in relation this these.

I give my permission for the details of this form to be passed on to the relevant contact within my department/faculty/centre. (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 G

UNIVERSITY OF LEEDS REF2021 – KEY DATES AND OUTLINE TIMETABLE FOR SUBMISSION DEVELOPMENT

Key dates

Submission data	Date range for the submitted data
Outputs	1 January 2014 – 31 December 2020
Impact	1 August 2013 – 31 July 2020
Outputs underpinning impact	1 January 2000 – 31 December 2020
Research income	1 August 2013 – 31 July 2020
PGR degrees awarded	1 August 2013 – 31 July 2020
Staff - census date	31 st July 2020
Submissions to the funding bodies	
Institutions submit code of practice	Deadline
Institutions submit requests for unit level reductions in outputs and for staff to be submitted with zero outputs due to staff circumstances	Noon 7 June 2019
Deadline for submissions REF2021	March 2020
	Noon 27 November 2020

University of Leeds Submission Development Schedule

Activity	Comment	Deadline (s)
UOAs submit early drafts of Impact Case Studies	Three deadlines available. In due course we will work with UOAs to schedule submissions to these deadlines.	7 March 2019, OR
UOAs submit early drafts of UOA-level Environment templates		4 April 2019, OR
		9 May 2019
Consult on draft code of practice		18 th March 2019 – 17 th April 2019
Invite voluntary declaration of staff circumstances.		Early June 2019
Apply processes to identify Category A submitted staff		
UOAs submit first full draft	Two deadlines available	4 July 2019, OR 12 September 2019
UOAs submit second full draft		January 2020 (To be confirmed)
UOAs submit third full draft	Two deadlines available	May 2020 OR June 2020 (to be confirmed)
Finalising the submission		Ongoing Autumn 2020