



**Leeds Trinity
University**

**Code of Practice for the
Research Excellence Framework 2021**

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Part 1: Introduction

The Research Excellence Framework (REF) 2021 is the current system for assessing the quality of research in UK higher education institutions and is administered by Research England.

REF 2021 is a process of expert review of all universities, carried out by expert panels for each of the 34 subject-based units of assessment (UoAs). UoA panels are made up of senior academics, international members, and research users, and they assess three distinct elements: the quality of outputs (e.g. publications, performances, and exhibitions), their impact, and the environment in the University that supports the research.

Leeds Trinity University entered 20.1 FTE staff in REF 2014 in 5 UoAs and is preparing a larger submission for the REF2021 assessment.

The main purpose for Leeds Trinity University to enter REF2021 is to showcase the high-quality research that goes on in our University, which contributes to the achievement of our strategic plan and enhances our reputation locally, regionally, nationally and internationally. The demonstration of progression and development since REF2014 will also assist us in securing Research Degree Awarding Powers (RDAP). As we develop and enhance our research culture this external exercise is a helpful measure of our progress. Results from REF also determine Quality Related (QR) funding, which is the University's annual allocation of grant funding from Research England, and contribute to national research league tables.

Each university that intends to submit to REF 2021 is required to develop, consult, agree, document and apply a Code of Practice (CoP) on the fair and transparent identification of staff who are in REF terms "independent researchers" with a "significant responsibility for research" (SRR) and the selection of outputs that will be submitted.

How the code relates to broader institutional policies / strategies that promote and support E&D.

This CoP aims to address the institutional requirements of REF 2021 (Assessment Framework and Guidance on Submissions and Panel Criteria and Working Methods), by ensuring a fair and equitable approach when preparing submissions to the REF. This code relates to the following Leeds Trinity University (LTU) policies and strategies that promote and support Equality and Diversity:

- Equality and Diversity Policy
<http://www.leedstrinity.ac.uk/Key%20Documents/Equality%20and%20Diversity%20Policy.pdf>
- Equality, Diversity and Inclusion Strategy 2018-21
<http://www.leedstrinity.ac.uk/Key%20Documents/Equality-Diversity-and-Inclusion-Strategy.pdf>
- Research Strategy 2018-21
www.leedstrinity.ac.uk/Key%20Documents/leeds-trinity-university-research-strategy-2018-2021.pdf
- University Strategic Plan
<http://www.leedstrinity.ac.uk/documents/leeds-trinity-university-strategic-plan-2018-2021.pdf>

Equality, Diversity and Inclusion (EDI) across LTU is overseen by the Equality, Diversity and Inclusion Committee (EDIC), which is chaired by the Director of Finance and University Secretary and reports to Academic Board. Academic and professional staff across our University are represented on the EDIC. The development of this CoP has been reviewed, with recommendations and suggestions for edits and modifications, and the final CoP endorsed prior to submission by a representative group of academic staff across the University (Reference Group, RG), the Research and Knowledge Exchange Committee (RKEC), the EDIC, the REF group and Academic Board.

The Equality Act 2010 harmonised and consolidated previous anti-discrimination legislation to protect the rights of individuals and advance equality of opportunity for all. It covers discrimination on the basis of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation. These categories are known in the Act as 'protected characteristics'.

The Act introduced a new public sector equality duty applying to the protected characteristics listed above and, to a more limited extent, to the protected characteristic of marriage and civil partnership. This duty requires us to have due regard to the need to:

- eliminate discrimination, harassment and victimisation and any other conduct prohibited by or under the Equality Act 2010
- advance equality of opportunity between people who share a protected characteristic and those who do not share it.
- foster good relations between people who share a protected characteristic and those who do not share it.

We need to ensure that our REF procedures do not discriminate unlawfully against, or otherwise have the effect of harassing or victimising individuals because of age, disability, gender identity, marriage and civil partnership, race, religion or belief, sexual orientation or because they are pregnant or have recently given birth or become a parent/carer (including adoption and fostering).

As well as prohibiting direct discrimination, the Act also prohibits indirect discrimination, which occurs when a provision, criterion or practice appears to affect everyone in the same way, but its impact particularly disadvantages people with a protected characteristic, unless the person or organisation applying the provision can justify it as a proportionate means of achieving a legitimate aim.

To show compliance with the requirements of the public sector equality duty in the Equality Act, we need to consider the effect our REF policies and processes have on equality. To demonstrate that we have shown due regard, we will conduct equality impact assessments on our processes for selecting staff for the REF, which include criteria for being an independent researcher and having a SRR.

With the exceptions of marriage and civil partnership, and pregnancy and maternity, protection from discrimination extends to people who are perceived to have, or are associated with, someone who has a protected characteristic. For example, if a researcher is treated less favourably because they care for a disabled relative, that could be unlawful disability discrimination.

Our University is also committed to working to raise awareness of the risks of unconscious bias and to protecting the privacy and security of the personal information of all staff and will manage all processes within this CoP in accordance with the Data Protection Act (2018) and the General Data Protection Regulation (GDPR). The mandatory training completed by staff of our university on GDPR is helpful in this regard.

- **An update of actions taken since REF 2014.**

Our University has developed new policies and processes related to both Research and EDI since REF2014 that inform our approach to REF 2021. A new Research Strategy was approved in 2018, following on from the development of a new University Strategic Plan 2018-21. Of relevance to this CoP are the new Equality, Diversity and Inclusion Strategy 2018-21 and the related policy.

As stated in our Research Strategy, we will ensure a vibrant and sustainable research community for our students and staff, focused on the delivery of our strategic plan, thereby enhancing the reputation of the University for excellent, ethical and impactful research across the institution. The Schools of the University now have Research and Knowledge Exchange (RKE) strategies written with the expectation that this will facilitate a wider and deeper engagement with RKE across our University, as well as supporting the strongest possible return in REF 2021.

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

Our University is addressing the principles of transparency, consistency, accountability and inclusivity in demonstrating fairness in a number of ways:

a. **Transparency:** All processes for identifying staff with significant responsibility for research (SRR), determining research independence, and selecting outputs for inclusion in REF submissions are transparent, having been initially developed through the senior committee for Research in the University (RKEC), the REF group, and with input from Human Resources (HR). These processes were then consulted on with a representative group of staff, including academic staff from across the University, through the Reference Group (RG) and any changes made that improved the processes and helped with effective communication across our University. The agreed processes are presented within this code of practice, with the evidence of consultation and collaboration in Appendix 1.

Key developments of elements of the CoP, together with the evidence of consultation and collaboration with representative staff have been communicated to all academic staff, explaining the processes related to i). identifying staff with SRR, ii). determining research independence and iii). selecting outputs for submission. This programme of communications is documented in Appendix 2 of this code.

To maximise the accessibility of the final version of the CoP it will be made available to all staff in PDF and Word format through LTU's webpages. All staff on academic or research contracts will be e-mailed the links to the CoP on its publication, in addition a hard copy will be posted to staff who are absent at the time of distribution. Academic and research staff starting after the date of publication will be provided with the CoP as part of their induction.

b. **Consistency:** The principles governing the processes covered by this CoP are consistent across the University, given that employment practices for academic staff on standard academic contracts that incorporate research do not vary across LTU. The approach to identifying staff with SRR is consistent throughout the University, with no differences between UoAs. The code of practice sets out the principles that will be applied to all aspects of the processes at all levels within the institution and identifies where decisions will be made and by whom. The small size of the University and the use of the Research Office for central REF support both aid uniform implementation.

c. **Accountability:** Ultimate responsibility for the REF process rests with the Deputy Vice Chancellor. Responsibility for submission rests with the REF group and the Appeals Group. Initial recommendations for submission are made by the REF Group in consultation with each UoA coordinator, who are all members of the REF group. Responsibilities are clearly defined for individuals, committees and groups that are involved in i). identifying staff with SRR, ii). determining research independence and iii). selecting outputs for REF submissions. The training already undertaken and that which will happen after submission of the CoP by those who are involved in the processes is also outlined. Operating criteria and terms of reference for individuals, committees and groups involved in these processes, have been made available to all individuals and groups concerned and are detailed here in the CoP in the Appendices.

d. **Inclusivity:** The processes described in our CoP are consistent with our EDI policy and strategy in that they promote an inclusive environment that identifies all staff who have a SRR, all staff who are independent researchers, and the research produced by staff across all protected groups of staff within the University. The EDIC has been consulted on the development of the CoP. All research-active academic staff in UoAs where the University can make a viable submission are encouraged and supported to be included in the University's REF submission, principally through the work of the University Research Office and UoA Coordinators. The REF group will endeavor, where possible, to include staff whose outputs would most obviously fall within a UoA that turns out not to be viable at LTU to be returned within an alternative UoA that will be viable.

- **How the code is being communicated to staff across the institution (including to those on leave of absence), through various mechanisms and channels, including the staff intranet.**

The code is being communicated to all staff across the University (including those on leave of absence or working away from the campus) electronically via the staff intranet and email, as well as via staff briefings. This has happened as part of the consultation process for the draft CoP over a two-week period beginning in the week of April 22nd, 2019. Once completed and approved by the EDAP the final version of the code of practice will be circulated to all staff by email, be placed on the intranet and be published on our external website to coincide with publication by REF.

Part 2: identifying staff with significant responsibility for research

Policies and procedures.

- **Criteria used for identifying staff with significant responsibility for research (SRR), including information about how the criteria are being applied, and grounds for decisions taken.**

We will not be submitting all of our staff on standard academic contracts (teaching and research) as we know that not all academic staff are engaged in research. We will submit all staff on research contracts that meet the criteria of an "Independent Researcher". REF Guidance on Submissions (REF 2019/01) published in January 2019, defined staff with SRR in paragraph 141 as those for whom:

- a. **'Explicit time and resources are made available'**. Indicators of this could include
 - a specific proportion of time allocated for research, as determined in the context of the institution's practices and applied in a consistent way
 - research allocation in a workload model or equivalent.

- b. **'To engage actively in independent research'**. Indicators of this could include:
- eligibility to apply for research funding as the lead or co-applicant
 - access to research leave or sabbaticals
 - membership of research centres or institutes within the HEI.
- c. **'And that is an expectation of their job role'**. Indicators of this could include:
- current research responsibilities as indicated in, for example, career pathways or stated objectives
 - expectations of research by role as indicated in, for example, job descriptions and appraisals.

Our policy for identifying staff who have a SRR is based on the fact that some academics in our University are not engaged in research activity as independent researchers, are not given specific resources to undertake such research and it is not an expectation of their job role, whereas some are. We have therefore developed fair and transparent procedures for the identification of those staff in our University that do and do not have a SRR. Our policy and procedures for establishing staff with a SRR, as outlined in this part of our CoP and in relevant appendices, received staff agreement through consultation with our University Reference Group on March 25th, 2019 and with our academic staff between April 24th and May 7th, 2019 (Appendix 1). This has been confirmed by our Vice-Chancellor, Professor Margaret House OBE, in a letter to Research England in response to a clarification requested following the assessment of our CoP (Appendix 16).

Our policy is to engage with all academic staff on standard academic contracts (teaching and research) and research only contracts to work with them to identify who does and does not have a significant responsibility for research.

Our procedures begin with each member of staff on a standard academic contract (teaching and research) completing two questionnaires that address the indicators outlined above in a., b., and c. (Staff on a research only contract will only complete the independent researcher questionnaire (see part 3)). These two questionnaires allow staff to provide their own self-assessment against the indicators, together with their evidence, to demonstrate whether or not they consider that they fulfil the criteria defined by REF as having a SRR as outlined above. Part 3 of this CoP addresses the specific criteria and indicators for being an independent researcher, which is a requirement to be considered as having a SRR for REF 2021.

These completed questionnaires will then be cross-checked with line managers in terms of confirmation or otherwise of allocation of specific time for research and resources, and an expectation of their job role to conduct research for academic year 2019 -20 using the application of criteria outlined below. It is recognised that this is only one academic year out of the REF audit period, but this is because the CoP will not be approved for application until after the completion of academic year 2018-19 and the staff census date for REF 2021 is July 31st 2020.

However, should a member of staff meet the criteria of independent researcher but cannot evidence time and resources to conduct research, or agreed research objectives for academic year 2019-20, due to a change in role or deployment, they will be able to provide evidence agreed in writing through the University appraisal process for other academic years in the REF audit period.

The completed questionnaires and cross-checked information from the line manager will then be used by the REF group to decide on whether or not an individual member of staff has a SRR

A member of staff will be considered as having a SRR if their line manager and the REF group can confirm evidence that:

- **‘Explicit time and resources are made available’ for research**
 - This would normally be for academic year 2019-20, but where this is not appropriate due to a change in deployment, evidence of explicit time and resources for research from completed written appraisal documents for previous years within the REF audit period can be used (January 2014 to August 2019).
 - Staff would qualify against this criterion if they could evidence any deployment above the 165 hours Research, Knowledge Exchange and Scholarly Activity (RKESA) time in 2019-20 (which is a contractual right for all staff at Leeds Trinity University on a standard academic contract for teaching and research), which is identified for undertaking research activity based on research objectives agreed in their appraisal with their line manager (time for studying for a doctorate is excluded).
 - Staff who were not deployed above the 165 hours for RKESA to conduct research, but who could provide evidence to match at least 50% of the 165 hours of RKESA time identified within the 165 hours in 2019-20 against agreed REF-related research objectives (e.g. writing peer reviewed outputs, writing grant applications) would also qualify against this criterion (i.e. greater than 5% of total deployment time for the year against agreed research objectives, which is applied *pro rata* for fractional appointments of 0.2 FTE or above).
- **‘To engage actively in independent research’**
 - See part 3 for the application of criteria to be used by the REF group to reach a decision on status as an independent researcher (this is not cross-checked by the line manager).
- **‘And that is an expectation of their job role’.**
 - This would normally be for academic year 2019-20 in the form of research objectives agreed in the appraisal process by the line manager, but if not, as outlined above, any evidence of agreed research objectives in appraisals during the REF audit period would be matched against evidence of deployment.
 - Staff would qualify against this criterion if they are employed on a research only contract (e.g. Research Assistant, Post-doctoral researcher or Research Fellow).
 - Staff, including Professors, would qualify against this criterion if they could evidence agreed research objectives in the University appraisal process that are matched to deployed time as outlined above.
- In order to qualify as having a SRR a member of staff would need to satisfy the application of at least one of the criteria for each of:
 - **‘Explicit time and resources are made available’.**
 - **‘And that is an expectation of their job role’.**

And meet the minimum criteria:

- **'To engage actively in independent research' (see part 3)**

Our indicators of criteria to have a SRR in terms of explicit time to conduct research are based on the deployment processes at Leeds Trinity University, which allow variation in use of the 165 RKESA time that all staff who are on a standard academic contract for teaching and research get each year. None or all of this time can be used for research or for knowledge exchange or other scholarship as agreed in annual staff appraisals. Given the decoupling of research outputs from staff in REF2021, with a minimum requirement of normally only 1 research output in the 7 year audit period, and deployment practices at our University, 50% of 165 hours represents a reasonable minimum expectation for an independent researcher to be able to produce one research output. However, this minimum criterion is likely to be exceeded in many cases for independent researchers who receive additional time in their deployment for research as defined by REF. Research active staff who deliver outputs and outcomes against research objectives agreed with their line manager in their annual appraisal are likely to receive additional time the following year to undertake research in their job role. However, our aim, given the variation in agreed deployment of time for research, in applying the minimum time of 50% of 165 hours is to include all our independent researchers in REF 2021.

- **How decisions are being made and communicated to staff, including timescale.**

Decisions on whether or not staff have a SRR are made by the REF group. This group comprises the University's Research Manager, experienced researchers, most of whom are UoA coordinators and one of which is a UCU representative, a senior member of staff from HR and is chaired by the LRKE (Appendix 3).

These decisions will be made at meetings of the REF group and communicated to staff in an email. Staff will be requested to take the opportunity to meet with a member of the REF group to seek an informal resolution if they are not satisfied with the application of the CoP in the decision reached by the REF group that they do not have a SRR (either the UoA Coordinator, University Research Manager (URM) or LRKE). They will also be advised in the email that they have the right of formal appeal and how they can lodge such an appeal should they wish to do so.

Approval process:

Staff on standard academic contracts complete the two questionnaires (one month window: 9th September to 9th October 2019):

1.1. Am I an Independent Researcher? (Part 3 and Appendix 4)

1.2. Do I have a SRR? (Appendix 5)

(Note: staff must meet the criteria to be an independent researcher to qualify as eligible for having a SRR in REF)

2. The URM coordinates cross check with Line Managers (2 weeks after closing date of 9th October 2019 for submission of questionnaires)
3. REF group then meets to make decisions on staff who are independent researchers and have a SRR.
4. Email to staff with decision on whether or not they have a SRR as defined by REF criteria and

indicators (no more than 5 working days after REF group decision)

5. Deadline for submission of appeals is three weeks from receipt of email on decision regarding SRR.
6. Hear any appeals by end of November 2019 for decisions made by REF group.
7. Any new staff joining the University who are eligible for return to REF2021 after this process has been completed will be given the opportunity to go through this process as part of their staff induction, including the appeals process outlined below.

Staff, committees and training

- **Procedures for appointing designated staff and committees / panels responsible for identifying staff with significant responsibility for research (distinguishing between those with advisory and those with decision making roles).**

The University lead for Research and Knowledge Exchange (LRKE) has a substantive role as a Head of one of three Schools and was allocated a cross-university role by the Deputy Vice-Chancellor which includes leadership for REF2021 and of the University Research Office. (The DVC has Executive responsibility for Research in the University and line manages the LRKE).

The LRKE is the Chair of RKEC (advisory group) and Chair of the REF group (decision making group).

The URM has a responsibility to facilitate and support preparation for REF2021 and is line managed by the LRKE.

The Appeals group (AG) is chaired by the DVC and also comprises the LRKE (advisory capacity only), the Director of HR and a Head of School not involved in other REF decisions (decision making group, see sub-section on appeals on page 12, and Appendix 6).

The REF group is chaired by the LRKE and also comprises experienced researchers from each of the three schools of the University, most of whom are UoA Coordinators and one of which is a UCU representative, and the URM (decision making group, Appendix 3).

RKEC is the senior committee of the University which has oversight of research and knowledge exchange, reporting to Academic Board (advisory role for development of the procedures, Appendix 7).

Equality, Diversity and Inclusion Committee (EDIC) (advisory capacity on development of the CoP and performance of the Equality Impact Assessment (EIA), Appendix 8).

Academic staff line managers cross-check data provided by staff regarding having a SSR (Advisory role).

The procedures for appointing these individuals, the REF group, the Appeals group to have the specific roles identified above for REF2021 were made via recommendations for endorsement by papers submitted by the LRKE to:

- RKEC
- EDIC

Final Approval was given by Academic Board on 22nd May 2019.

The Reference Group (RG) is chaired by the DVC and considers new initiatives or changes proposed within the University and provides feedback and suggestions to those staff leading on the work and is not part of the deliberative structure. RKEC, EDIC and Academic Board are all part of the existing deliberative structure (Figure 1 and Appendix 10).

- **Role descriptions for individuals and terms of reference for committees / panels, modes of operation, and record-keeping procedures.**

The role descriptions for the LRKE and URM are provided in Appendix 9.

The terms of reference for the following committees and groups are provided as outlined below:

The REF group (Appendix 3) (Formed specifically for REF, record keeping performed by the URM)

The Appeals group (Appendix 6) (Formed specifically for REF, record keeping performed by DVC administration)

RKEC (Appendix 7), part of the deliberative structure of the University, with record keeping in the form of minutes provided by Admin Support from the University Research Office.

EDIC (Appendix 8), part of the deliberative structure of the University, with record keeping in the form of minutes provided by Executive admin support.

RG (Appendix 10), Chaired by the DVC, with record keeping provided as notes by DVC admin support.

Academic Board (Appendix 11), part of the deliberative structure, with record keeping in the form of minutes provided by the Academic Quality Office.

Figure 1 shows how these individuals, groups and committees fit into the wider management and deliberative structure of the University.

Details of training provided to individuals and committees involved in identifying staff, the timescale for delivery, and content (including how it has been tailored to REF).

Various types of training will be provided to individuals, groups and committees involved in decision making on staff status as independent researchers having a SRR and those acting in an advisory capacity. This training will take place before the period of consideration of staff status as independent researchers making a SRR in Autumn 2019. The University has provided generic Equality and Diversity training led by staff from Human Resources during academic year 2018-19 as part of the delivery of our EDI strategy and our preparation for submission for a Race Equality Charter award. All staff involved in decision making for REF2021 will have completed this training by the end of September 2019. Further REF specific training will be provided to the REF group, the REF appeals group and RKEC before October 2019.

The URM attended the Advance HE REF specific EDI training on April 3rd 2019 and, working with the REF representative in Human Resources, REF specific EDI training will be provided to the REF group, the REF appeals group and RKEC before October 2019. This training will

cover: the legislative context provided by the Equality Act 2010 and the associated legal responsibilities of the University; *Guidance on the Code of Practice* and our own Code of Practice, focusing on decisions on staff who are and are not independent researchers having a SRR, selection of outputs and staff circumstances.

A register of completion of the University's generic Equality and Diversity training and the REF specific training for all those involved in decision making on staff status, appeals, selection of outputs and staff circumstances will be held in Human Resources. Alternative arrangements will be put in place for individuals who cannot attend training sessions. The URM and LRKE are providing REF awareness briefings across the University based on the slides provided by Research England together with local content which reflects our CoP and approach to REF2021. These are voluntary briefings open to all.

Appeals

- **How the appeals process has been communicated to staff.**

The appeals process is part of the CoP and has been communicated electronically to all staff via the staff intranet and email, and via staff briefings prior to submission for approval in June 2019.

In addition, the appeals process will be communicated as an attachment to the email to all staff when they receive decisions in October 2019 (after approval of the submitted CoP) on their status as:

- An independent researcher
- Having a SRR
- **Details of the process, including how cases are submitted, eligible grounds for appeal.**

1. Informal Process

Staff who do not agree with the decision of the REF group regarding their status as either not being independent researchers or not having a significant responsibility for research are strongly encouraged to attempt to seek informal resolution prior to submission of a formal appeal with a relevant member of the REF group (either the relevant Unit of Assessment Coordinator, the URM or the LRKE).

If the member of staff remains dissatisfied after completion of the informal process or does not complete the informal process they can lodge a formal appeal.

Formal Appeal

Applications for appeal must normally be made by staff via email to DVC admin within three weeks after receiving the decision from the REF group on their status as independent researchers with a SRR. This allows sufficient time after the final decisions have been communicated by email to all academic staff, and for the informal process to take place before an appeal is lodged.

Grounds for an appeal include:

- New information and evidence not submitted in the questionnaires returned by the staff member that were used to inform the decisions regarding status as an independent researcher and/or having a SRR.

- Disagreement on the application of the code of practice regarding the evidence supplied by a member of staff and line manager for either:
 - **‘Explicit time and resources are made available’** for research.
 - **‘And that it [research] is an expectation of their job role’.**
- Disagreement between the member of staff and the REF group on the application of the CoP to establish status as an independent researcher, after explanation through the informal process.
- Perceived discrimination based on individual staff circumstances, including protected characteristics, that are related to decisions made on staff status as not being either an independent researcher or having a SRR.

There is no right of appeal in relation to selection of outputs.

- **Details of those involved in hearing any appeals (demonstrating their independence from earlier decision processes), timescales, and how decisions are being communicated to staff.**

Appeal panel members:

Chair of the appeals panel: Deputy Vice-Chancellor (no other role in decisions on staff as either independent researcher or having a SRR, member of Executive and Academic Board so would have provided feedback on the policy and procedures in the CoP).

The Director of HR, who will not be involved in any decision making for individual staff in the REF process.

Head of School not involved in any REF decisions other than appeals.

The LRKE to advise the panel on the basis for decisions taken by the REF group (not part of the decision making on the Appeals panel, leaving the room before discussion of the decision begins).

The staff member bringing the appeal may also attend (and may be accompanied by a member of staff of their choice), (both leave the room before discussion of the decision begins). However, the member of staff is not obliged to attend and the Appeals panel may proceed in their absence.

DVC admin support to record the meeting.

Timescale and communication of appeal outcome:

Any appeals from the independent researcher and SRR decisions communicated in October 2019 must be lodged by staff within three weeks of receiving the decision and will be heard by the end of November 2019, with the decision notified to the staff member and URM by email within five working days of the appeal taking place

Any new staff who join the University after completion of the two questionnaires in October 2019 will go through the same process as part of their induction, including the appeal process up until 30th June 2020.

Equality impact assessments

Equality impact assessments (EIAs) will be carried out at several key points up to the final evaluation of the submission to REF 2021. These EIAs will allow us to assess the profile of staff who are identified as independent researchers having a SRR, and the profile of staff with selected outputs to be returned

to REF 2021, compared to the profile of all academic staff in our University and within the UoA in the case of selection of outputs. This will inform the extent to which certain groups of staff are over or under represented relative to the overall profile in terms of protected characteristics as defined in the Equality Act 2010, type of contract (fixed term and permanent), working pattern (full time and part time), grade, role and Early Career Researchers.

Any data on protected characteristics is held in confidence on “My View” (Software data base overseen by Human Resources) and is entered voluntarily by staff. There is no obligation to provide this information, but it will improve the quality of our EIAs if staff choose to provide it. We will ensure confidentiality and anonymity of individual’s information in the reporting of EIAs in the University and in the final report to REF 2021 once our submission has been completed.

An initial EIA has been carried out comparing the University’s Academic staff population profile (n = 167) with those who self-identified as Independent Researchers in the initial survey (n = 72; carried out between December 2018 and February 2019). The data were generally very consistent between the overall academic staff and sample of researchers. The largest difference was in age categories, with up to a 9% difference suggesting a pattern for higher representation of older age categories in the research sample (5% – 9%). Variations between categories for gender, nationality, ethnicity, disability, marital status, sexual orientation and religion were all less than or equal to 6% different between the two groups (e.g. gender: 56% female and 44% male for the academic staff versus 62% female and 38% male for the researchers, suggesting a larger proportion of female academic staff and researchers, with 6% representing close to 4 staff in the research group).

The data gathered in this mock exercise has helped inform the development of this CoP in terms of:

1. Identification of staff with SRR (e.g. appeals process to include possible consideration of staff circumstances)
2. Identification of staff who are independent researchers (e.g. appeals process to include possibility for consideration of staff circumstances)
3. Selection of outputs (e.g. review of profile of outputs selected based on quality in terms of representation of staff within the UOA and commitment to make changes where quality is not significantly reduced).

We are required to complete EIAs in these three parts of the application of the CoP, which we will do in 2019-20, as well as reporting on our final EIA to REF2021 after we have made our submissions.

All EIAs will be coordinated by the HR representative on the REF group and the URM, and will be evaluated by the REF group, with oversight of the EDIC. Any decisions made as a result of the evaluation of EIAs will be recorded, with a clear rationale, in the EIAs and be reported to the EDIC.

Part 3: Determining research independence.

Policies and procedures

- **Criteria used for determining staff who meet the definition of an independent researcher, including information about how the criteria are being applied.**

All academics in all Universities that have their research returned to REF2021 must first provide evidence that they are independent researchers. The criteria to be used for determining staff who meet the definition of an independent researcher are based on the REF guidance, and are as follows:

Generic Criteria:

1. Leading a research group or a substantial or specialised work package. (This includes having acted as a leader of any size of group brought together to conduct a research project; also as a leader for a completed substantial or specialised work package that was part of a large research project with multiple teams undertaking a number of separate work packages; and individual researchers who have taken sole responsibility for all aspects of a completed research project in their specialist area of work).
2. Leading or acting as principal investigator or equivalent on an externally funded research project (This must be a successfully completed research project).
3. Holding an independently won, competitively awarded fellowship where research independence is a requirement.

Additional Indicators of Independence for Main panel C and D:

4. Significant input into the design, conduct and interpretation of research. (This includes your research activity and research that you have supervised that was carried out by research staff and doctoral students that has led to successfully completed research projects).
5. Being named as a co-investigator on an externally funded research grant /award.

A copy of the form to be used to gather evidence from staff can be viewed in Appendix 4.

Application of generic criteria:

A member of staff will be designated as an independent researcher at LTU by the REF group if they can:

- Either provide evidence that satisfies all three **or** two out of three of the generic criteria between January 2014 and January 2020 (at either LTU or a previous HEI for staff who have moved) then they are deemed eligible for return to a UoA in any main panel.
- Or provide evidence that they have satisfied criterion 1 in having led either a successful research project completed by a research group or a substantial or specialised work package that has produced at least one research output appropriate to the area of work (i.e. would be an acceptable form of output to the likely REF UoA) between January 2014 and January 2020 (at LTU or a previous HEI). Where the output is co-authored and the staff member is not the first author a brief explanation should be provided explaining why this is

the case. Satisfaction of this criterion would mean the member of staff is eligible for return to a UoA in any main panel.

Application of additional criteria for main panel C and D:

- Where a member of staff provides evidence against the generic criteria as outlined above they will be deemed eligible as an independent researcher for a UoA in main panel C and D, and may also offer additional evidence for criterion 4 and 5.
- Where a member of staff cannot provide evidence of compliance with any of the generic criteria they will still be eligible for UoAs in main panel C and D if they can:
 - Either provide evidence that they satisfy both criteria 4 and 5 above for the same successful research project that has produced at least one research output appropriate to the area of work (i.e. would be an acceptable form of output for the likely REF UoA between January 2014 and January 2020). The staff member should provide evidence of their role in the research project, which can be corroborated by the University.
 - Or provide evidence that they satisfy criterion 4, having made a significant input into the design, conduct and interpretation of more than one successful research project that has produced more than one research output appropriate to the area of work (i.e. the outputs would be acceptable forms for the likely REF UoA) between January 2014 and January 2020. The staff member should provide evidence of their role in the research project, which can be corroborated by the University.
 - Being named as a co-investigator on an externally funded research grant /award on its own does not constitute sufficient evidence to be considered an independent researcher.

How decisions are being made and communicated to staff, including timescale.

The same processes as used in Part 2.

The same timeline as outlined in Part 2.

Staff, committees and training.

The same processes as in part 2.

- **Procedures for identifying designated staff and committees / panels responsible for determining research independence.**
The same as for part 2.
- **Role descriptions for individuals and terms of reference for committees / panels, modes of operation, and record-keeping procedures, as well as information about where these roles / committees / panels fit into the wider institutional management structure.**
The same as for part 2.
- **Details of training provided to individuals and committees involved in identifying staff, the timescale for delivery, and content (including how it has been tailored to REF).**
The same as for part 2.

Appeals

- **How the appeals process has been communicated to staff.**
See part 2.
- **Details of the process, including how cases are submitted, eligible grounds for appeal.**
See part 2.
- **Details of those involved in hearing any appeals, timescales and how decisions are being communicated to staff.**

See part 2

Equality impact assessment

- **How an equality impact assessment has been used to inform the identification of staff and make final decisions.**

See part 2. The profile of staff identified as independent researchers will be compared against the profile of all academic staff of the university, which will help the University surface any issues that need to be considered in ensuring equality, diversity and inclusion of support for staff engagement in the REF for 2021, but also for supporting the further development of research in the University beyond REF 2021.

Part 4: Selection of outputs

Policies and procedures

- **Details of procedures that have been developed to ensure the fair and transparent selection of outputs**

REF 2021 requires an average of 2.5 outputs per FTE returned in a UoA, with normally at least one output from each staff member returned, and 5 as a maximum for any individual.

The REF group will make the final decision on the selection of outputs to be returned in each UoA.

The criteria that will be applied by the REF group are:

1. Select the best quality single output for each individual member of staff that is eligible for submission (i.e. they have a SRR and are an independent researcher). This is the normally expected minimum for each member of staff submitted in a UoA (unless there are exceptional circumstances that have prevented an eligible researcher from producing a REFable output, see section below entitled Disclosure of Circumstances and Appendix 13).
2. Select the best combination of remaining outputs available in terms of REF quality.
3. Review the balance of research represented across the group and make adjustments to the selection of the remaining outputs to best reflect this balance without significantly reducing the quality of the submission.
4. Review the combination of selected outputs for the UoA to assess whether a different combination may be more representative and inclusive of all eligible staff without significantly decreasing the overall quality of the submission (i.e. considering individual circumstances in terms of protected characteristics, fairness, transparency, consistency, accountability, inclusivity, contract of employment and any cases for exemption of staff due to circumstances during the audit period).

REF guidance makes clear there is no expectation of an appeal process against the selection of outputs as this is a matter of academic judgement, with the final decision resting with the REF group.

To help the REF group select the best combination of outputs and to give authors the opportunity to contribute to consideration of which of up to five outputs are selected, staff will be asked to complete the table in Appendix 12, by identifying their priority order of outputs, their assessment of * quality rating and any other reasons supporting the order of priority they have selected (e.g. best representation of one theme of work within the Unit or compliments other research outputs to be returned providing evidence of the strength of the Unit, such considerations become important when members of staff have more than one output that is

rated the same in terms of quality).

If a member of staff is unsure on how to self-assess quality rating they should consult an appropriate member of the REF group for guidance, ideally the UoA Coordinator. They should also indicate any output that they believe warrants consideration for double weighting and a reserve output in case the REF group decides it should not be treated as double weighted.

The REF group, where it improves the submission to a UoA, will use outputs from staff who have left Leeds Trinity University during the audit period (1st January 2014 to 31st December 2020) but who are no longer employed. This will include academic staff who are made redundant during the audit period. Some UoAs will comprise small numbers of staff, so it is probable that we will include outputs from staff who have left the University but who are eligible for return in order that we can best represent University research activity during the REF audit period. This is particularly important to the University in supporting our preparation for submission for RDAP, which will follow our submission to REF 2021.

As a courtesy and as requested by the local UCU branch, the University Research Office will contact former staff to inform them of our intentions to submit their outputs in REF2021 and to ask for their written consent to do so, which would be by email reply. Failure to gain written informed consent will mean Leeds Trinity University will not return outputs published by that individual, unless they are a co-author with a current member of staff who has a significant responsibility for research.

- **Procedure development process and the rationale for adopted methods.**

The procedure was initially developed following a REF event on development of CoPs in London on 21st February 2019, which was attended by the LRKE and the URM. The CoP was then put out for consultation to RKEC, the REF group, EDIC and RG (which includes UCU representation). The rationale is based on the principle of involving research staff at each stage of the selection process, with the REF group using staff priorities as a guide and sharing the rationale for final decisions on selection of outputs with the staff in each UoA.

- **Stages of approval**

1. Staff complete the form identifying their priority order of up to five research outputs (Appendix 12) (to be distributed in October 2019 with decision on status as an independent researcher having a SRR). For outputs that are practice or artefact based, supporting information must also be included that specifies the originality, significance and rigour of the output (300 word limit).
2. The REF group, which includes all UoA Coordinators, meet to agree selection of the outputs for FTE to be returned in each Unit using criteria outlined in points 1 to 4 above.
3. The UoA Coordinators meet with the researchers to be submitted to share the selection of outputs with them, explaining the rationale for selection and obtaining feedback from the group.
4. The REF group meet again with feedback supplied by UoA coordinators from researchers in

the UoA and decide on the final selection of outputs to be returned in REF 2021.

The UoA Coordinators meet with the researchers again to share the final selection of outputs with them, explaining the rationale for selection.

Staff, committees and training

Procedures for identifying designated staff and committees / panels responsible for selecting outputs (distinguishing between those with advisory and those with decision making roles):

The REF group (see part 2 for details).

- **Information provided should include role descriptions for individuals and terms of reference for committees / panels, modes of operation, and record-keeping procedures, as well as information about where these roles / committees / panels fit into the wider institutional management structure.**

The REF group (see part 2 for details).

Details of training provided to individuals and committees involved in the output selection process, the timescale for delivery, and content (including how it has been tailored to REF).

Disclosure of circumstances

- **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.**

AND

- **Procedures for taking into account the effect 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.**

Staff who will be returned in the REF because they have a SRR will be given the opportunity to volunteer information regarding any personal circumstances that have affected their ability to research productively throughout the REF period via email to the HR representative who is a member of the REF group.

This opportunity will be communicated by email, the intranet and staff briefings together with the form that staff will complete regarding their self-assessment of the quality of their outputs and their personal view on the priority order that they recommend for consideration by the REF group (Appendix 12). The document for completion will be attached to the email and will also be available from the University Research Office and Human Resources, from the URM and REF HR representative respectively (Appendix 13). This document is based on a generic form supplied specifically for REF 2021, which has been contextualised to Leeds Trinity University.

The information provided in the form will be returned to HR and will then be discussed only by a sub-group of the REF group comprising the Chair, the URM and the HR representative.

Decisions on adjustment of expectations and the need to apply for an exemption due to exceptional circumstances that mean the staff member does not have the required minimum of one output will be made by this sub-group of the REF group and shared by email with the member of staff.

Any actions or communications that need to happen as a result of the decisions of this group will

be discussed and agreed with the member of staff prior to any communication to other staff that need to understand the requirement for any adjustment or the decision to apply for exemption.

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

For both of the above cases a confidential email will be sent by staff on a voluntary basis to the HR representative that sits on the REF group. HR hold confidential electronic records on all protected characteristics from staff who voluntarily report these via the on-line HR system, so it is logical that confidential disclosure of circumstances related to REF 2021 are made directly to the HR representative that is part of the REF group.

The information provided will then be discussed only by a sub-group of the REF group comprising the Chair, the University Research Manager and the HR representative.

Decisions on adjustment of expectations and the need to apply for an exemption due to exceptional circumstances that mean the staff member does not have the required minimum of one output will be made by this sub-group of the REF group and shared by email with the member of staff. The detail of the personal circumstances will remain confidential to these three staff. However, any actions or communications that need to happen as a result of the decisions of this group will be discussed and agreed with the member of staff prior to any communication to other staff that need to understand the requirement for any adjustment or the decision to apply for exemption, but they will not be privy to the detail of the personal circumstances.

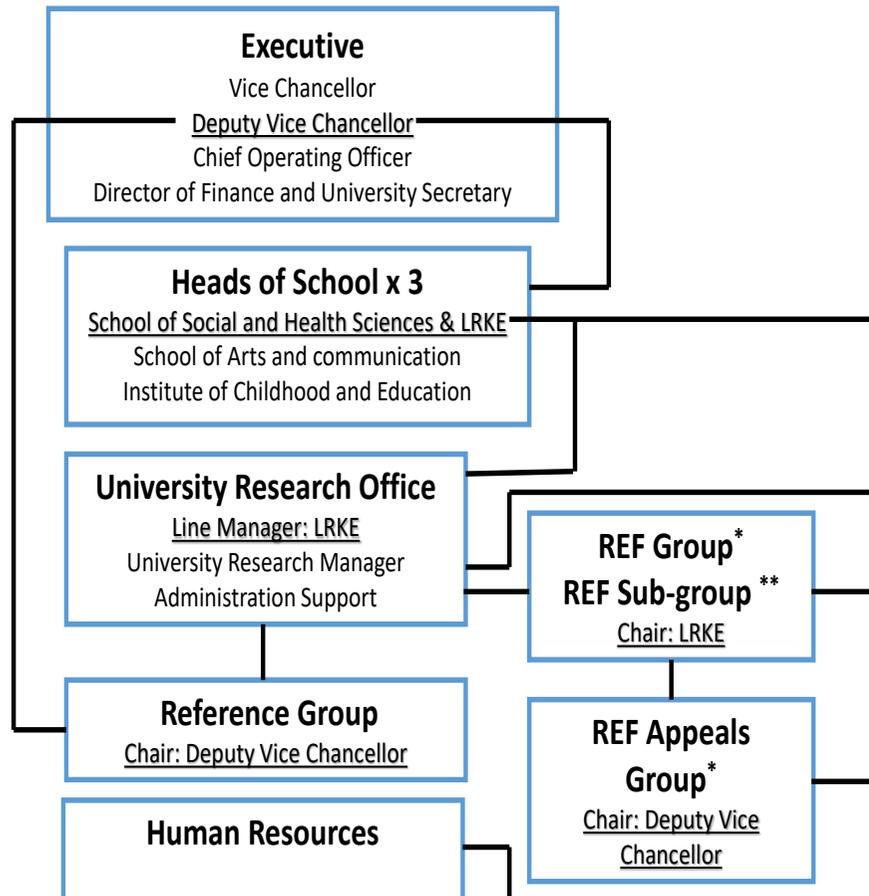
Equality impact assessment

- **How an equality impact assessment on the spread of outputs across staff (in relation to their protected characteristics) has been used to inform the final selection of outputs to be submitted.**

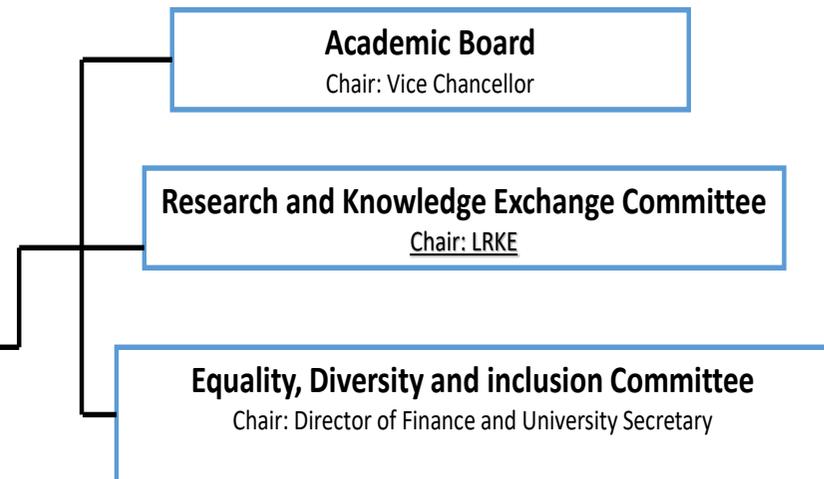
The profile of staff representation in terms of selection of outputs from each UoA pool will be compared with all staff in each UOA, as well as with the profile of all academic staff. This will help inform the REF group as to any changes it might make in the selection of outputs in the profile of staff within each UoA to make it more representative of all staff within the UoA without significantly decreasing the selected outputs.

**Figure 1. Leeds Trinity University
(REF2021: Involvement in development of the Code of Practice)**

Academic Management Structure



Deliberative Structure



Notes:

1. *The REF Group and the REF Appeals Group are the only two new groups set up specifically for the purposes of REF2021.
2. *They are also the only decision making groups for staff status as “Independent Researchers” and having a “Significant Responsibility for Research”.
3. *The REF Group also decides on inclusion of staff output.
4. **The REF Sub-group considers submissions for “Individual Staff Circumstances”.
5. All other groups and committees exist in the University’s structure and their terms of reference are applicable for advice, guidance, oversight and agreement on the development of the Code of Practice for REF2021.
6. LRKE = University Lead for Research and Knowledge Exchange.

Appendix 1. Programme of consultation and collaboration in the development of the CoP

1. Consultation on and completion of the mock exercise for establishing who is an independent researcher

- 1.1 Academic Leadership Forum, * 12th November 2018
- 1.2 Research and Knowledge Exchange Committee, 15th November 2018
- 1.3 Academic staff completed the exercise: 13th December 2018 to January 18th 2019

2. Consultation on Development of the CoP

- 2.1 Academic Leadership Forum, 25th February 2019
- 2.2 Research and Knowledge Exchange Committee, 27th February 2019
- 2.3 REF group, 1st March 2019
- 2.4 Reference Group, 25th March 2019
- 2.5 Equality, Diversity and Inclusion Committee, 28th March 2019
- 2.6 REF group, 16th April 2019
- 2.7 All academic staff, 24th April to 7th May 2019
- 2.8 Diversity Network Leads, by e-mail, April/May 2019
- 2.9 UCU LTU branch representative (resigned April 2019) with HR REF group representative (March/April 2019)
- 2.10 New UCU LTU branch representatives, 7th May 2019
- 2.11 Research and Knowledge Exchange Committee, 7th May 2019
- 2.12 REF group, 17th May 2019
- 2.13 Academic Board, 22nd May 2019
- 2.14 Equality, Diversity and Inclusion Committee, 23rd May 2019
- 2.15 Submission of CoP, 6th June 2019

* Academic Leadership Forum is chaired by the DVC and attended by the Heads of School, the Director of HR, the Director of Business Development and Knowledge Exchange, Director of Student Services. It is not part of the deliberative structure, but provides a forum for considering strategic and operational issues related to academic matters.

Appendix 2. Programme of Communication on the Code of Practice

1. Academic staff completed the mock exercise to establish who is an independent researcher, which included a brief overview of REF 2021 in the introductory email and guidance notes in the attached document: 13th December 2018 to January 18th 2019
2. All academic staff, 24th April to 7th May 2019 – Consultation on the draft CoP
3. May 2019 – two REF 2021 awareness briefings (13th & 23rd) offered to all staff, covering the key aspects of the process, with a focus on the CoP
4. End of May 2019 circulation of PowerPoint used in the University wide briefings to all University staff with an introductory email.
5. Once the LTU CoP has been approved, the final version will be communicated to all staff, added to the Internet and IR/SRR briefings will be held (probably in September 2019) to support staff in completing the IR/SRR form.

Appendix 3. REF Group Terms of Reference

REF Group Terms of Reference

1. Role and Responsibilities

The REF group is responsible for the development of policies, procedures and processes to be used by the University, and any associated staff development and training to be provided across the University, in preparation for and submission to REF2021. The REF group will be responsible for decisions and advice as outlined below, which will be approved by and recommended to the Research and Knowledge Exchange Committee (RKEC), who will in turn make recommendations to Academic Board on policies and associated procedures to be adopted across the University.

2. Terms of Reference

Areas where the REF group will be responsible for decision-making:

- 2.1 To ensure compliance with the external requirements of REF2021 in the development and oversight of the policies, procedures and processes associated with preparation for and submission to REF2021 approved by RKEC and Academic Board.
- 2.2 To decide on individual academic staff status as Independent Researchers by applying LTU indicators of the criteria defined for REF2021 as agreed in the University's Code of Practice.
- 2.3 To decide on individual academic staff status as having a Significant Responsibility for Research by applying LTU indicators of the criteria defined for REF2021 as agreed in the University's Code of Practice.
- 2.4 To decide on the selection of outputs to be returned to REF2021 by individual academic staff using indicators of criteria as defined in the University's Code of practice for REF2021.
- 2.5 To decide on the selection of impact case studies to be submitted to REF2021.
- 2.6 To exercise responsibility for proposing the units of assessment that the University returns in.
- 2.7 Communication on REF related issues across the University.
- 2.8 Review, evaluate and action LTU REF Equality Impact Assessment data generated by HR
Areas where the REF group will act in an advisory capacity:

Areas where the REF group will act in an advisory capacity:

- 2.9 To advise RKEC and Academic Board on matters of policy and related procedures for REF2021, including the Code of Practice.
- 2.10 To advise RKEC and Academic Board on the units of assessment that the University could return in.

- 2.11 To advise RKEC and Academic Board on the final submissions for each unit of assessment
- 2.12 To advise the Equality, Diversity and Inclusion Committee (EDIC) on the REF requirements for Equality, Diversity and Inclusion staff development and training.
- 2.13 To advise EDIC and Human Resources on the REF requirements for Equality Impact Assessments (EIA).
- 2.14 To provide advice and guidance to academic staff on all aspects of REF2021 through a variety of briefings, training and staff development sessions.

3. Membership

Chair: Prof C Cooke (University Lead for Research and Knowledge Exchange)

Secretary: Dr J Rule (Research Manager)

S Carr (Human Resources)

Prof Jane de Gay (School of Arts and Communication)

Prof J Leach (Institute for Childhood and Education)

Dr Suzanne Owen (School of Arts and Communication)

Prof M Russell (School of Social and Health Sciences)

Prof G Roberts (School of Arts and Communication)

Prof K Sayer (School of Arts and Communication)

Dr J Simons (School of Arts and Communication)

Prof H Stain (School of Social and Health Sciences)

Dr N Uglow (School of Arts and Communication)

Dr L Webster (School of Social and Health Sciences, one of four new UCU representatives as of May 2019)

Dr C Wells (School of Social and Health Sciences)

Membership will be subject to change as the University decides on which units of assessment to return in and Unit of Assessment Coordinators are agreed.

Other staff will be invited to attend meetings for specific agenda items (e.g. open access, the repository, PURE, EIAs).

4. Quorum (half number of members + one)

5. Frequency of Meetings

Minimum of 6 per annum

Appendix 4. Am I an Independent Researcher for REF2021?

Guidance

We are asking all academic staff on at least 0.2FTE (fixed term or open-ended contract for teaching and research) on scale 7, 8, 9 or 10, and staff on research contracts to evidence their research independence by responding directly to the REF2021 generic indicators of independence. These generic indicators are from paragraph 132 of the REF 2021 Guidance on Submissions document:

https://www.ref.ac.uk/media/1092/ref_guidance_on_submissions.pdf

In addition to the generic criteria, Main Panels C1 and D2 also consider that additional attributes may generally indicate research independence. However, because no decisions on who will be returned in which Units of Assessment have yet been made, and some researchers are eligible for return in more than one Unit of Assessment, we would like all staff to complete all parts of the questionnaire with their best evidence. These additional indicators are from paragraph 189 of the REF 2021 Panel Criteria and Working Methods document:

https://www.ref.ac.uk/media/1084/ref-2019_2-panel-criteria-and-working-methods.pdf

The generic and panel specific criteria to be used for determining staff who meet the definition of an independent researcher are as follows:

Generic Criteria:

1. Leading a research group or a substantial or specialised work package. (This includes acting as a leader of any size of group brought together to conduct a research project; acting as a leader for a substantial or specialised work package that is part of a large research project with multiple teams undertaking a number of separate work packages; and individual researchers taking sole responsibility for all aspects of a research project in their specialist area of work).
2. Leading or acting as principal investigator or equivalent on an externally funded research project.
3. Holding an independently won, competitively awarded fellowship where research independence is a requirement.

Additional Indicators of Independence for Main panel C and D:

4. Significant input into the design, conduct and interpretation of research. (This includes your research activity and research that you supervise that is carried out by research staff and doctoral students).
5. Being named as a co-investigator on an externally funded research grant /award.

Here at Leeds Trinity University the criteria are being applied in the following way by the REF group to **decide** staff status as an independent researcher. The member of staff will be designated as an independent researcher if they can:

- Either provide evidence that satisfies all three **or** two out of three of the generic criteria between January 2014 and January 2020 then they are deemed eligible for return to a unit of assessment in any main panel
- Or provide evidence that satisfies criterion 1 and either 2 or 3 in the period from January 2014 to January 2020 then they are deemed eligible for return to a unit of assessment in any main panel
- Or provide evidence that they have satisfied criterion 1 in having led either a successful research project completed by a research group or a substantial or specialised work package that has produced at least one research output appropriate to the area of work (i.e. would be an acceptable form of output to the likely REF Unit of Assessment) between January 2014 and January 2020. Where the output is co-authored and the staff member is not the first author a brief explanation should be provided explaining why this is the case. Satisfaction of this criterion would mean the member of staff is eligible for return to a unit of assessment in any main panel.

¹ Main panel C includes units of assessment from 13 to 24 (see Appendix A)

² Main panel D includes units of assessment from 25 to 34 (see Appendix A)

Application of additional criteria for main panel C and D:

- Where a member of staff provides evidence against the generic criteria as outlined above they will be deemed eligible as an independent researcher for a unit of assessment in main panel C and D, and may also offer additional evidence for criterion 4 and 5.
- Where a member of staff cannot provide evidence of compliance with any of the generic criteria they will still be eligible for units of assessment in main panel C and D if they can:
 - Either provide evidence that they satisfy both criteria 4 and 5 above for the same successful research project that has produced at least one research output appropriate to the area of work (i.e. would be an acceptable form of output for the likely REF Unit of Assessment) between January 2014 and January 2020. The staff member should provide evidence of their role in the research project, which can be corroborated by the University.
 - Or provide evidence that they satisfy criterion 4, having made a significant input into the design, conduct and interpretation of more than one successful research project that has produced more than one research output appropriate to the area of work (i.e. the outputs would be acceptable forms for the likely REF Unit of Assessment) between

January 2014 and January 2020. The staff member should provide evidence of their role in the research project, which can be corroborated by the University.

- Being named as a co-investigator on an externally funded research grant /award on its own does not constitute sufficient evidence to be considered an independent researcher.

Document for completion

PLEASE COMPLETE ALL FIVE PARTS OF THE QUESTIONNAIRE BELOW WITH YOUR BEST EVIDENCE, IRRESPECTIVE OF WHICH MAIN PANEL OR UNIT OF ASSESSMENT YOU THINK YOU MAY BE RETURNED IN. Most of you will have completed a very similar document in December 2018, but the criteria have changed slightly based on the final decisions taken for REF2021 that were published in January 2019. Once received, the individual cases for research independence will be reviewed by a REF group chaired by the University lead for Research and Knowledge Exchange, comprising experienced research active staff from across the University, the University Research Manager and a representative from HR. If you are able to evidence research independence in the questionnaire, a decision about your research independence will be made, but please ensure you offer all possible evidence against as many criteria as possible. However, we will have to take into account only the three generic criteria for staff that will be returned in Units of Assessment in Main Panel A and B (most probably only colleagues that will be returned in Unit 4: Psychology, Psychiatry and Neuroscience). In contrast, all five criteria for Units in Main Panel C and D will be used, so again offer as much evidence in each part of the form as you can. Table 1 below shows the Units of Assessment by Main Panel.

For REF2021 purposes, an independent researcher is defined as “*an individual who undertakes self-directed research, rather than carrying out another individual’s research programme*”. The REF2021 documents make it explicit that a member of staff is not deemed to have undertaken independent research “*purely on the basis that they are named on one or more research outputs*”.

Please note there is a requirement for all academic staff members to complete the form below. Do not be concerned in any way if you have no evidence or can only complete some of the information in the boxes, but please put your best evidence forward and put “not applicable” in any empty boxes. If you are in any doubt as to how to complete the form please contact the University Research Manager and/or attend one of the REF briefing sessions on “Self-completion of Information for REF2021”.

Please complete this form (You can extend any parts of the document as necessary to communicate your evidence and put “not applicable” in any part that does not apply to you).

This must be received by the University Research Office (J.Rule@leedstrinity.ac.uk) by 9th October, 2019. This form should be completed by all academic staff on at least a 0.2 FTE standard academic contract, including those on fixed term contracts.

Name:

Academic Subject Group:

Generic Indicator of Independence³	Best evidence of indicator
<p>Leading a research group or a substantial or specialised work package. (This includes acting as a leader of any size of group brought together to conduct a research project; acting as a leader for a substantial or specialised work package that is part of a large research project with multiple teams undertaking a number of separate work packages; and individual researchers taking sole responsibility for all aspects of a research project in their specialist area of work).</p>	
<p>Leading or acting as principal investigator or equivalent on an externally funded research project.</p>	
<p>Holding an independently won, competitively awarded fellowship where research independence is a requirement.</p>	
Additional Indicators of Independence for Main panel C and D	Best evidence of indicator
<p>Significant input into the design, conduct and interpretation of research. (This includes</p>	

your research activity and research that you supervise that is carried out by research staff and doctoral students).	
Being named as a co-investigator on an externally funded research grant /award ¹ .	

³For the purposes of the REF, an independent researcher is defined as an individual who undertakes self-directed research, rather than carrying out another individual's research programme. Possible indicators of independence are listed in the table above. We note that each indicator may not individually demonstrate independence and where appropriate multiple factors will be considered.

⁴This might normally indicate independence in cases where large research programmes have discrete and substantial work packages led by co-investigators, which would be equivalent to a principal investigator role on a smaller grant.

Table 1. Main Panels and Units of Assessment.

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 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 Management

Appendix 5. Do I have a significant responsibility for research (SRR)?

Guidance

REF Guidance on Submissions (REF 2019/01), published in January 2019, defined Staff with significant responsibility for research in paragraph 141 as those for whom:

- a. **‘Explicit time and resources are made available’.**
- b. **‘To engage actively in independent research’ (which is addressed in detail in a separate questionnaire).**
- c. **‘And that is an expectation of their job role’.**

Our policy for identifying staff who have a specific responsibility for research is based on the fact that some academics in our University are not engaged in research activity as independent researchers, are not given specific resources to undertake such research and it is not an expectation of their job role, whereas some are. We have therefore developed fair and transparent procedures for the identification of those staff in our University that do and don't have a significant responsibility for research.

Our policy is to engage with all academic staff on standard academic contracts (teaching and research) and research only contracts to work with them to identify who does and does not have a significant responsibility for research.

Our procedures begin with each member of staff on a standard academic contract (teaching and research) or a research only contract completing two questionnaires that address the indicators outlined above in a., b., and c. These two questionnaires allow staff to provide their own self-assessment against the indicators, together with their evidence, to demonstrate whether or not they consider that they fulfil the criteria defined by REF as having a significant responsibility for research as outlined above. The specific criteria and indicators for being an independent researcher, which is a requirement to be considered as having a significant responsibility for research for REF 2021, is addressed in a separate questionnaire “Am I an Independent Researcher?”.

These completed questionnaires will then be cross-checked with line managers in terms of confirmation or otherwise of allocation of specific time for research and resources, and an expectation of their job role to conduct research for academic year 2019 -20 using the application of criteria outlined below. It is recognised that this is only one academic year out of the REF audit period, but this is because the COP will not be approved for application until after the completion of academic year 2018-19.

Should a member of staff meet the criteria of independent researcher but cannot evidence time and resources to conduct research, or agreed research objectives for academic year 2019-20, due to a change in role or deployment, they will be able to provide evidence agreed in writing through the University appraisal process for other

academic years in the REF audit period.

The completed questionnaires and cross-checked information from the line manager for this questionnaire will then be used by the REF group to decide on whether or not an individual member of staff has a significant responsibility for research, which includes meeting the criteria for being an independent researcher.

The criteria for having a SRR are being applied in the following way in our University to **decide** on staff status. A member of staff will be considered as having a SRR if their line manager and the REF group can confirm evidence that they have:

- **‘Explicit time and resources are made available’.**
 - This would normally be for academic year 2019-20, but where this is not appropriate due to a change in deployment, evidence of explicit time and resources from completed written appraisal documents for previous years within the REF audit period can be used (January 2014 to August 2019).
 - Staff would qualify against this criterion if they could evidence any deployment above the 165 hours Research, Knowledge Exchange and Scholarly Activity (RKESA) time (which is a contractual right for all staff at Leeds Trinity University on a standard academic contract for teaching and research), which is identified for undertaking agreed REF research activity.
 - Staff who were not deployed above the 165 hours for RKESA to conduct research, but who could provide evidence to match at least 50% of the 165 hours of RKESA time identified within the 165 hours in 2019-20 against agreed REF-related research objectives (e.g. writing peer reviewed outputs, writing grant applications) would also qualify against this criterion (i.e. greater than 5% of total deployment time for the year against agreed research objectives).

- **‘To engage actively in independent research’**
 - See the questionnaire “Am I an Independent researcher?” for the application of criteria to be used by the REF group to reach a decision on active engagement as an independent researcher (this is not cross-checked by the line manager).

- **‘And that is an expectation of their job role’.**
 - This would normally be for academic year 2019-20, but if not appropriate, as outlined above, any evidence of agreed REF related research objectives in appraisals during the REF audit period could be matched against evidence of deployment to meet this criterion.
 - Staff would qualify against this criterion if they are employed on a research only contract (e.g. Research Assistant, Post-doctoral Researcher or Research Fellow)
 - Staff, including Professors, would qualify against this criterion if they could evidence any agreed REF related research objectives in the

University appraisal process that are matched to deployed time as outlined above.

- In order to qualify as having a SRR a member of staff would need to satisfy the application of at least one of the criteria for:
 - **'Explicit time and resources are made available'**.
 - **'And that is an expectation of their job role'**.and meet the minimum criteria
 - **'To engage actively in independent research' (see part 3)**

All staff on standard academic contracts (teaching and research) get a standard allocation for Research, Knowledge Exchange and Scholarly Activity of 165 hours as a condition of the agreed contract. However, in many cases this time is not used to conduct independent research but is used for either knowledge exchange activity or other scholarly activity.

This is supported by the number of staff at Leeds Trinity University that do not engage in independent research as indicated by the completion and return of our document "Am I an independent researcher?" circulated in December 2018, that defines an independent researcher using REF criteria available at that time.

Academic roles at Leeds Trinity University for staff on standard academic contracts (teaching and research, grade 7, 8 and 9) therefore do not have an expectation that all such staff will receive explicit time and resources to engage in independent research.

This is also true of Professors in our University, given that research is only one criterion for the award of the title Professor.

However, all Readers, Post-Doctoral Research Fellows do fit the REF definition of staff with significant responsibility for research.

While Research Assistants are employed to conduct research, they would only be viewed as having a significant responsibility for research as defined by REF, if they meet the indicators to be an independent researcher. Where they are only carrying out research that is directed or supervised by others they would not qualify as independent researchers.

Document for completion

All staff should complete the table below by deleting either Y or N, whichever is not the answer, and completing the evidence required (expand the boxes as necessary).

Table 1. Do I have a significant responsibility for research?

<p>a. I receive explicit time and resources to conduct research:</p>	Y / N
<p>1. Research is at least 50% of my 165 hours in the RKESA allocation agreed in my annual Performance and Development review with my line manager against specific objectives related to research;</p> <p>Evidence for Academic Year 2019-20: Time in hours: Research objectives agreed in Performance & Development process:</p>	Y / N
<p>2. I have received other allocated time for REF related research through the Academic Workload Model agreed with my line manager set against agreed research objectives in my annual Performance and Development review</p> <p>Evidence for Academic Year 2019-20: Time in hours: Research Objectives agreed in Performance & Development process:</p>	Y / N
<p>b. I engage in independent research as shown by evidence provided by completion of the “Am I an Independent researcher?” questionnaire</p>	Y / N
<p>c. Research is part of my job role:</p>	Y / N
<p>1. Research forms the basis of my job description and is expected of me in my role (e.g. Reader, Post-Doc Research Fellow, Research Assistant, some Professors)</p> <p>Evidence: Job Title: Indicative research objectives for 2019-20:</p>	Y / N
<p>2. I am on a standard academic contract (teaching and research) but research is part of my role as agreed through setting of objectives in my annual Performance and Development review with my line manager</p> <p>Evidence: Job Title:</p>	Y / N

Evidence for Academic Year 2019-20 (agreed research objectives through the Performance and Development process):	
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In order for staff to be considered to have a significant responsibility for research staff would need to provide suitable evidence in their responses to a. and c. in this questionnaire, which can be corroborated by their line manager and used by the REF group to reach a decision. Staff also need to provide suitable evidence in the “Am I and independent researcher?” questionnaire and a positive response to b. in this questionnaire, both of which will be used by the REF group in reaching their decision.

Please complete this form (You can extend any parts of the document as necessary to communicate your evidence and put “not applicable” in any part that does not apply to you).

This must be received by the University Research Office (J.Rule@leedstrinity.ac.uk) by 9th October 2019. This form should be completed by all academic staff on at least a 0.2 FTE standard academic contract, including those on fixed term contracts.

Appendix 6. Terms of Reference for the Appeals Group

1. Role and Responsibilities

The Appeals group is responsible for hearing formal appeals from academic staff on the grounds of:

- New information and evidence not submitted in the questionnaires returned by the staff member that were used to inform the decisions regarding status as an independent researcher and/or having a SRR.
- Disagreement on the application of the code of practice regarding the evidence supplied by a member of staff and line manager for either:
 - **‘Explicit time and resources are made available’** for research.
 - **‘And that it [research] is an expectation of their job role’.**
- Disagreement between the member of staff and the REF group on the application of the code of practice to establish status as an independent researcher, after explanation through the informal process.
- Perceived discrimination based on individual staff circumstances, including protected characteristics, that are related to decisions made on staff status as not being either an independent researcher or having a significant responsibility for research.

2. Terms of Reference

Areas where the Appeals group will be responsible for decision-making:

2.1 The outcome of the appeals process:

2.1.1 To uphold the appeal and change the status of the academic member of staff to be recognised as either or both of the following:

- An independent researcher
- Having a SRR

Where the appeal results in the member of staff being recognised as an Independent researcher having a SRR, the REF group will be informed of the outcome and be required to work with the member of staff to return them in an appropriate UoA with at least the normal minimum of one research output, or apply for an appropriate exemption from the production of at least one output, or form part of an application for exemption from submission for a UoA. All aspects of the CoP related to selection of outputs and staff circumstances will then be used with the member of staff by the REF group.

2.1.2 To not uphold the appeal, which will result in no change in status as either an independent researcher or having a SRR. However, there may be advice

offered to the REF group and line manager in terms of future support for staff working towards independent researcher status and having a SRR.

2.2 Timescale:

Applications for appeal resulting from decisions on independent researcher status and having a SRR made in March 2020 must be sent by email to DVCadmin by the end of April, 2020 and will be heard by the end of May 2020, with the decision noted to the member of staff and the University Research Manager (URM) within five working days of the appeal. Any staff joining the University after completion of the process to determine status as an independent researcher having a SRR in February 2020 will go through the processes as part of their induction, which will include the right to appeal up to 31st July 2020.

2.3 Appeal panel members:

Chair of the appeals panel: Deputy Vice-Chancellor (no other role in decisions on staff as either independent researcher or having a SRR)

The Director of HR who will not be involved in any decision making for individual staff in the REF process.

Head of School not involved in any REF decisions other than appeals.

The LRKE to advise the panel on the basis for decisions taken by the REF group (not part of the decision making on the Appeals panel, leaving the room before discussion of the decision begins).

The staff member bringing the appeal may also attend (and may be accompanied by a member of staff of their choice; both leave the room before discussion of the decision begins). However, the member of staff is not obliged to attend and the Appeals panel may proceed in their absence.

DVC admin support to record notes in the meeting.

Appendix 7: RKEC, Terms of Reference and Membership

Research and Knowledge Exchange Committee (RKEC)

AY 2018-19

Prof C Cooke (Chair)	Dr N Uglow (LCVS)
Dr J Rule (Vice Chair)	Prof K Sayer (Academic SAC)
Prof G Roberts (DPGRS/IRIS)	Prof M Russell (Professoriate)
Prof H Stain (Associate Head SSHS)	Dr M Barwood (Academic SSHS)
Dr J Simons (Associate Head SAC)	Prof N Stonehouse (UoL representative)
Prof J Leach (Head of ICE)	Mr J Beaumont (PGR)
Mr I Rowe (Director of KEBD)	Mr P Haluch (PGR)
Mr M Joyce (Director of IS)	Mr J Matthews (PGR)
	Mr S Maskeen (PGR)

1 Purpose

Subject to the overall determination of policy by the Academic Board, and taking account of requirements of appropriate external bodies and the requirements of the relevant operating statements in the accreditation agreement with the University of Leeds, the Research and Knowledge Exchange Committee is responsible for:

- leading the development of a research and knowledge exchange culture within the University, promoting its centrality and relevance to operational activity and strategic aims;
- developing, monitoring and reviewing the University's research and knowledge exchange strategies and ensuring their congruence with the requirements of the University's Strategic Plan;
- ensuring that associated policies, procedures and academic regulations remain current, fit for purpose and in alignment with the research and knowledge exchange strategies;
- ensuring that the University is maximising the exploitation of opportunities for research consultancy, knowledge exchange and other external engagement activities;
- developing, enhancing and overseeing activities relating to research and knowledge exchange.

2 Terms of Reference

The Research and Knowledge Exchange Committee will fulfil the above purposes by:

- 2.1 advising the Academic Board on matters of policy relating to research and knowledge exchange;
- 2.2 formulating, reviewing and updating institutional strategies relating to research, knowledge exchange and community engagement, and co-ordinating and monitoring related activities;
- 2.3 promoting research, scholarship and knowledge exchange within the institution and developing a supportive and proactive environment for these activities, including the informing and reviewing of staff development / staff training in this area;
- 2.4 taking responsibility for quality assurance and enhancement matters in relation to research degree programmes in accordance with the Research Degrees Operating Statement of the Accreditation Agreement between the University and the University of Leeds;
- 2.5 overseeing the work of the REF Group in the preparations for submission to the Research Excellence Framework and advising and making recommendations to Academic Board on matters relating to that submission;
- 2.6 promoting and monitoring applications for external research and other funding and identifying trends in applications and success rates;
- 2.7 overseeing the maintenance and development of the support infrastructure for research;
- 2.8 monitoring expenditure against the institutional research budget;
- 2.9 collecting, analysing and disseminating information about research and knowledge exchange within the University, including monitoring outputs and their impact;
- 2.10 developing and monitoring institutional engagement with appropriate external bodies, ensuring that cognisance is taken of local, regional and national developments within and outside the sector and that appropriate responses and actions are set in place;
- 2.11 receiving reports from staff who attend conferences in relation to potential contacts and collaborators;
- 2.12 considering strategic research and knowledge exchange related reports and submissions to external bodies;
- 2.13 promoting within the University opportunities for research consultancy, knowledge exchange and other external engagement activities, including CPD provision and consultancy;
- 2.14 ensuring, by monitoring the work of the Research Degrees Sub-committee, that the University has in place appropriate policies and procedures to ensure effective recruitment, monitoring, training and support of all postgraduate research students;
- 2.15 ensuring, by monitoring the work of the Research Ethics Sub-committee, that the University has in place appropriate policies and procedures to ensure that all research conducted under the auspices of the University meets current ethical guidelines;
- 2.16 monitoring the work of School Boards in relation to research and knowledge exchange.

Research and Knowledge Exchange Committee has the authority to:

- 2.17 commission small scale projects to trial particular enhancement initiatives and encourage research and knowledge exchange across the whole University;
- 2.18 set up steering and task and finish groups as deemed necessary and appropriate and to receive regular summary reports from them.

The Research and Knowledge Exchange Committee is required to:

- 2.19 submit an annual Chair's report to the Academic Board on the Committee's business, normally to the last meeting of the academic year;
- 2.20 make a bi-annual report to the Academic Board on the University's progress towards achieving Research Degree Awarding Powers;
- 2.21 liaise with other committees of the Academic Board to secure an appropriate interface, effective processes and efficient use of resources.

3 Constitution

Heads of Schools (*ex officio*)

Research Manager (*ex officio*)

Director of Postgraduate Research Studies (*ex officio*)

Director of Knowledge Exchange and Business Development (*ex officio*)

Director of Information Services (*ex officio*)

One member of the Professoriate, nominated by the Professoriate Group

One member of academic staff from each School

University of Leeds Representative

Four students nominated by LTSU, at least three of whom are current postgraduate research students

Director(s) of approved research centre(s) who are not members of the Committee in another capacity (*ex officio*)

Chairs of the Sub-committees and Standing Group(s) who are not members of the Committee in another capacity

The Chair to be a senior member of staff appointed from the membership, for report to Academic Board

Total core membership: 18

4 Quorum

10 members

5 Frequency of Meetings

Minimum of three meetings per academic year.

Appendix 8: Equality, Diversity and Inclusion Committee Membership and Terms of Reference

1. Introduction

University's Equality, Diversity and Inclusion (EDI) Committee oversees the development and implementation of University strategies in relation to EDI across the University. The EDI committee will ensure that the University complies with its obligations in respect of the Public Sector Equality Duty (PSED) and that it advances diversity and inclusion within the staff and student body and in our wider relations with the community. Under the PSED the University is required to:

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

Details regarding the main rules, purpose and remit of the Committee, including its make-up, are set out below.

2. Rules

Chair: University Secretary

Deputy Chair (Staffing): Director of Human Resources or nominee

Deputy Chair (Students): Student Union President or nominee

Secretary: PA the University Secretary

Quorum

50% of the membership plus 1 including the chair or Deputy Chair

Frequency of meetings

4 times per year

Reporting Line

Equality & Diversity Committee reports to the Executive Team. In addition, the committee will also provide an Annual Report to the Finance & Resources Committee through to the Board of Governors.

Submission/Availability of Minutes

Minutes will be published on the University website.

The EDI Committee will report to the Executive and will be accountable for ensuring that EDI

strategies, objectives and targets are developed, reviewed and actioned appropriately. Progress

will also be reported to the Board of Governors via its Finance and Resources Committee.

The Equality, Diversity and Inclusion Committee is responsible for:

2.1 Ensuring that the University meets the general requirements of the PSED through delivery of an inclusive University and specifically by:

- 2.1.1 Developing an overarching EDI strategy, supported by objectives, targets and action plans in consultation with appropriately constituted representative groups;
- 2.1.2 Ensuring the delivery of objectives and targets, reporting to the Board of Governors on progress.
- 2.1.3 Where appropriate, develop specific targets in relation to the recruitment, retention, development and progression of under-represented groups within both the staff and student body;
- 2.1.4 Reviewing and making recommendations to the Executive Team, using appropriate benchmarking to ensure equality of opportunity across the whole range of University activities
- 2.1.5 Increasing awareness of equality, diversity and inclusion issues, opportunities and practices across the whole University;
- 2.1.6 Developing opportunities and mechanisms which will enable all constituencies within the University to voice their ideas, views and any concerns, regarding issues relating to equality, diversity and inclusion;
- 2.1.7 Monitoring the effectiveness and impact of EDI training and interventions to the University community;
- 2.1.8 Monitor changes in relevant legislation to ensure compliance and the promotion of best practice within the University;

2.2 Monitor, evaluation and review

- 2.2.1 Receive annual reports based on student achievement and satisfaction data from the Learning and Teaching Committee and consider equality and diversity actions arising.
- 2.2.2 Monitoring compliance with current and future legislations in meeting the Public Sector Equality Duty, including publishing Equality reports in line with the PSED.

2.3 Advice and consultation

- 2.3.1 providing advice on equality, diversity and inclusion issues as and when required, seeking external support where necessary;
- 2.3.2 ensuring that appropriate consultation on equality and diversity issues is conducted with managers, staff and students with the University and with the wider community.

3. Membership

Membership of the committee represents a cross-section of key University management and Student Union roles

Permanent Members:

(Chair) Finance Director and University Secretary

Deputy Chair (Staffing) - Director of Human Resources or nominee

Deputy Chair (Students) – President of Student Union or nominee

Director of Student Services or nominee

Director of Marketing or nominee

UCU Representative

Unison Representative

Student Union representative

Heads of School x 3 (or nominees)*

Chairs of University Diversity Networks

(*Minimum of 1 x Head of School per meeting)

3.1 Co-option/Consultation

The Equality and Diversity Committee will consult with staff and students via the University Diversity Networks and their elected Chairs.

3.2 Sub-Groups

The EDI Committee may set up sub-groups from time to time and as appropriate, to work on specific projects or initiatives, reporting back to the main Committee on progress.

4. Review

The Terms of Reference are owned by the University Secretary and ratified by the Executive. They will be reviewed as app

Appendix 9. Role descriptor for Lead for Research and Knowledge Exchange (LRKE) and University Research Manager (URM)

The LRKE has a substantive role as a Head of School (HOS) (there being two schools and one institute in the University, each of which will comprise two departments from academic year 2019-20). The LRKE is line managed by the Deputy Vice-Chancellor, who carries executive responsibility for research in the University.

In addition to their substantive role, each HOS is required to undertake a University leadership role, one of which is for Research and Knowledge Exchange (LRKE).

The LRKE is responsible for leading Research and Knowledge Exchange in the University, chairing the Research and Knowledge Exchange Committee (reporting to Academic Board), the Knowledge Exchange Group, the REF group, line managing the University Research Manager (URM) and overseeing the University Research Office (Figure 1).

The URM

Reporting to the LRKE, the URM is responsible for managing the Research Office and providing high quality advice and support across the University's research portfolio. Duties include:

Developing systems and processes to facilitate and support the University research strategy and monitoring related Key Performance Indicators (KPIs).

Promoting and encouraging the use of the University research information system (PURE) to academic staff to capture research outputs and activities.

Working with research leads and Unit of assessment coordinators, plan and project manage preparation for the REF.

Working with research leads, plan and project manage preparation for RDAP.

Appendix 10: Reference Group Terms of Reference and Membership

Reference Group

1. Role and Responsibilities

The role of the Reference Group is to receive and discuss new initiatives or proposed changes to strategies, policies and processes, and provide feedback and suggestions to assist those who are leading on the completion of the work for the University.

The role of the group is to provide a sounding board for proposals for new initiatives and changes to existing ways of working that would benefit from consideration by a representative group of staff from across the University.

This group is not part of the deliberative or management structure of the University.

2. Terms of Reference

Areas where the Reference Group will act in an advisory capacity:

2.1 To provide suggestions and feedback on the development of University:

- 2.1.1 Strategies
- 2.1.2 Policies
- 2.1.3 Processes
- 2.1.4 Procedures
- 2.1.5 Systems
- 2.1.6 Initiatives
- 2.1.7 Projects

3. Membership

Chair: Ray Lloyd, Deputy Vice-Chancellor
Note taker: Member of DVC administration
Academic staff from the three Schools²
Professional Services staff from across the University
Union representation

4. Frequency of Meetings

As necessary to consider university initiatives, but no more frequently than monthly.

⁵Including ICE

Appendix 11: Academic Board, Terms of Reference and Membership

Academic Board

1 Role and Responsibilities

The Academic Board is responsible for the development and oversight of the academic work of the University and its academic standards. It undertakes these responsibilities within the framework of the Articles of Association; the overall responsibilities of the Board of Governors and the Vice-Chancellor; and the requirements of validating and accrediting bodies.

2 Terms of Reference

Areas where the Academic Board will be responsible for **decision-making**:

- 2.1 To maintain an oversight of the academic work of the University including policy development and implementation in relation to learning and teaching; research and scholarship; academic external engagement; the admission of students; curriculum content (including arrangements for professional experience); the examination, assessment and award of students; and the expulsion of students for academic reasons.
- 2.2 To exercise responsibility for all academic aspects of the student experience, with a particular focus on those aspects relating to learning and teaching.
- 2.3 To exercise responsibility for the maintenance and assurance of academic standards (including the external examiner system), and the design, approval, monitoring and review of programmes of study.
- 2.4 To determine regulations governing the academic work of the University.
- 2.5 To ensure compliance with external requirements, with particular regard to those set out by government or sectoral agencies and any validating body, on matters relating to 2.1 – 2.4 above.
- 2.6 From time to time, to make regulations relating to the operation and conduct of the Academic Board (e.g. procedures for appointment of members; proceedings at meetings).

Areas where the Academic Board will act in an advisory capacity

- 2.7 To advise the Board of Governors on the educational character and mission of the University.
- 2.8 To engage in debate with the academic community and the University Executive regarding the strategic development of the academic work of the University, including the need to respond to the challenges of the external environment and the nature of academic and support services, and to formulate proposals to the Vice-Chancellor and Board of Governors as appropriate.
- 2.9 To advise the Vice-Chancellor and, as appropriate, the Board of Governors on matters relating to the academic portfolio, its content and

delivery, ensuring appropriate refreshment and currency, and to formulate proposals for new academic activities.

- 2.10 To advise the Vice-Chancellor and, as appropriate, the Board of Governors on matters relating to the oversight of the whole student experience.
- 2.11 To advise the Vice-Chancellor and the Board of Governors on the resources needed to support the academic development of the University.
- 2.12 To advise on such other matters as the Board of Governors or Vice-Chancellor may refer to the Academic Board.

3 Committees

The Academic Board may establish such committees as it considers necessary to enable it to carry out its responsibilities, provided that each establishment is first approved by the Vice-Chancellor and is reported to the Board of Governors. The number of members of any such committee and the terms on which they are to hold and vacate office shall be determined by the Academic Board.

4 Constitution

Ex officio Members:

Vice-Chancellor (Chair)

Deputy Vice-Chancellor (Vice-Chair) Chief Operating Officer

Director of Finance and University Secretary

Heads of Schools

Director of Information Services

Director of Library and Learning Resources

Director of Student Services

Director of Marketing, Communications and Recruitment

Head of Academic Quality

Leeds Trinity Students' Union (LTSU) President

Other Members:

Three members of the lecturing staff elected by and from the lecturing staff of

each School

Two members of support staff elected by and from the support staff

Two student members nominated by the LTSU Executive Committee

In attendance

Secretary to the Academic Board – Academic Quality Officer

Senior Officers as defined by the Chair from time to time

5 Quorum

14 members

6 Frequency of Meetings

Minimum of three meetings per academic year.

Appendix 12. Staff recommendations for selection of outputs

REF 2021 requires an average of 2.5 outputs per Full Time Equivalent (FTE) staff returned in a Unit of Assessment, with normally at least one output from each staff member returned, and 5 as a maximum for any individual.

The REF group will make the final decision on the selection of outputs to be returned in each Unit of Assessment. As you are a member of staff that has a significant responsibility for research, including being an independent researcher, the REF group need to work with you to select the best outputs to return.

The criteria that will be applied by the REF group will be:

1. Select the best quality single output for each individual member of staff that will be submitted in the REF (i.e. they have a SSR and are an independent researcher). This is the normally expected minimum for each member of staff submitted in a Unit of Assessment (unless there are exceptional circumstances that have prevented an eligible researcher from producing a REFable output, see part 4 of the Code of Practice and Appendix 13).
2. Select the best combination of remaining outputs available in terms of REF quality from the pool of available outputs that could be submitted in a Unit of Assessment.
3. Review the balance of research represented across the group and make adjustments to selection of the remaining outputs to best reflect this balance without significantly reducing the quality of the submission.
4. Review the combination of selected outputs for the Unit of Assessment to assess whether a different combination may be more representative and inclusive of all eligible staff without significantly decreasing the overall quality of the submission. (I.e. considering individual circumstances in terms of protected characteristics, fairness, transparency, consistency, accountability, inclusivity, contract of employment and any cases for exemption of staff due to circumstances during the audit period).

REF guidance makes clear there is no expectation of an appeal process against the selection of outputs as this is a matter of academic judgement, with the final decision resting with the REF group.

To help the REF group select the best combination of outputs and to give you the opportunity to contribute to consideration of which outputs are selected please complete the table below, by identifying your priority order of outputs, your assessment of * quality rating and any other reasons supporting the order of priority you have selected.

(E.g. best representation of one theme of work within the Unit or compliments other research outputs to be returned providing evidence of the strength of the Unit; such considerations become important when you have more than one output that is rated the same in terms of quality).

If you are unsure on how to assess quality rating please attend one of the REF workshops and/or consult an appropriate member of the REF group for guidance, preferably your Unit of Assessment Coordinator.

Suggested priority order of outputs (extend the table as much as you need too).

Name:

Indicative UoA:

Priority 1	* Rating = ; other reasons:
Output 1	<i>Full citation please</i>
Priority 2	* Rating = ; other reasons:
Output 2	
Priority 3	* Rating = ; other reasons:
Output 3	
Priority 4	* Rating = ; other reasons:
Output 4	
Priority 5	* Rating = ; other reasons:
Output 5	

Notes:

1. For outputs that are practice or artefact based, supporting information must also be included that specifies the originality, significance and rigour of the output (300 word limit).

2. Please indicate any output you think should be considered for double weighting and submit a reserve if you have one in case the REF group decide it is not double weighted.

This form must be received as an email attachment by the University Research Office (J.Rule@leedstrinity.ac.uk) by 22 November, 2019.

Appendix 13

Declaration of Individual Staff Circumstances

Guidance:

This document is being sent to all Category A academic and research staff who are deemed independent researchers with significant responsibility for research 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 are independent researchers with a significant responsibility for research 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.

Applicable circumstances

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

If your ability to research productively during the assessment period has been constrained due to one or more of the circumstances outlined above, you are

requested to complete the attached form. Further information can be found in 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. unless you complete the form. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

Ensuring Confidentiality

Your completed form will only be reviewed by a sub-group of the REF group in the first instance comprising: the Human Resources representative, the Chair of the REF group, and the Research Manager. This sub-group will consider the circumstances that you have identified and seek to verify these circumstances with you by using appropriate internal and external sources. Any verifications will be kept to a minimum and be dealt with in the strictest confidence.

The REF sub-group will then reach a decision on action related to staff circumstances at a scheduled meeting and contact you with the outcome and rationale for the decision by email within 10 working days of the meeting. The decisions will fall into the following categories:

- Circumstances meet the criteria identified above for staff not producing a REF-eligible output during the assessment period to be entered into REF2021.
- Equality-related circumstances are accepted that have had an effect on an individual's ability to research productively during the REF period, and these warrant an adjusted expectation in terms of expected workload / production of research outputs within Leeds Trinity University.
- Circumstances that on their own, or in combination with others, effect 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, or support a case to not submit in very small units of assessment.
- Circumstances do not warrant any further action either in the University or in submission to REF2021.

Where circumstances warrant an application for adjustment to REF2021, only the decision of the REF sub-group will be shared with members of the REF group, which includes the unit of assessment coordinators.

Where circumstances warrant an adjusted expectation for the member of staff, only the decision will be shared with the REF group and the appropriate Head of School and Head of Department for action with the member of staff.

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

Changes in circumstances

The university recognises that staff circumstances may change between completion of the declaration form and the census date (31 July 2020). If this is the case, then staff should contact Sue Carr who is the HR representative on the REF Group by email to provide the updated information as far in advance of the census date as is practicably possible.

Declaration of Individual Staff Circumstances Form

To submit this form you should email it as an attachment to **Sue Carr in Human Resources (S.Carr@leedstrinity.ac.uk)**, who is a member of the REF sub-group that will consider staff circumstances. **This form should be submitted at the latest by 22 November 2019.**

Name: Click here to insert text.

Department: Click here to insert text.

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

Yes

No

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

Circumstance	Time period affected
<p>Early Career Researcher (started career as an independent researcher on or after 1 August 2016).</p> <p><i>Date you became an early career researcher.</i></p>	Click here to enter a date.
<p>Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2020.</p>	Tick here <input type="checkbox"/>
<p>Career break or secondment outside of the HE sector.</p> <p><i>Dates and durations in months.</i></p>	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>	Click here to enter dates and durations.
<p>Disability (including chronic conditions)</p>	Click here to enter text.

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

<i>unable to research productively. Total duration in months.</i>	
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Please confirm, by ticking the box provided, that:

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

I agree

(Note: if you choose not to agree with these statements your information cannot be used to make a case to REF2021 for any adjustment in requirements for a minimum of one research output).

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

I give my permission for Sue Carr, the HR representative on the REF sub-group, to contact me by email or work telephone to discuss my circumstances, and my requirements in relation these circumstances.

I give my permission for the decisions associated with the information on this form to be passed on to my Head of Department and Line Manager. (Please note, if you do not give permission your department may be unable to adjust expectations and put in place appropriate support for you).

Appendix 14

Leeds Trinity University REF Abbreviations and Glossary

CoP Code of Practice

CRIS Current Research Information System. A database or other information system to store and manage data about research conducted at an institution:

- for researchers: easy access to relevant information and associated software, processor power, storage systems and - where necessary - detectors to collect more data to overcome incomplete or inconsistent information
- for research managers and administrators: easy measurement and analysis of research activity and easy access to comparative information
- for research councils: optimisation of the funding process
- for entrepreneurs and technology transfer organizations: easy retrieval of novel ideas and technology in a knowledge-assisted environment and easy identification of competitors and previously done similar research
- for the media and public: easy access to information, software and computer power to allow easily assimilated presentation of research results in appropriate contexts.

There are a range of CRIS. LTU uses Elsevier's Pure system.

DOI Digital Object Identifier. A persistent identifier for a digital object on a network. It is permanently assigned to an object that allows it to be referenced reliably even if its location or metadata undergo change over time. Valuable for research outputs.

DVC Deputy Vice Chancellor

EIA Equality Impact Assessment - a process designed to ensure that a policy, project or scheme (for example this CoP) does not discriminate against any disadvantaged or vulnerable people.

FTE Full time equivalent

EDIC Equality Diversity and Inclusion Committee

GDPR General Data Protection Regulation

ICE Institute of Childhood Studies and Education

HR Human Resources

LRKE (University) Lead for Research and Knowledge Exchange

LTU Leeds Trinity University

Open access Provision of free access to peer-reviewed academic publications without subscription charges or paywalls.

PDF Printed Document Format

Pure The Elsevier Current Research Information System (CRIS), that includes an institutional repository. Used at LTU and many other HEIs.

QR – Quality related funding. The amount awarded to individual institutions is determined by the REF.

RDAP Research degree awarding powers

REF Research Excellence Framework, the system for assessing research in UK universities. The results are used to determine public funding for universities' research, and affect their reputations. Through the REF expert panels, made up of both practising researchers and research users, assess the academic excellence of research as well as the impact of research beyond academia. Universities can submit all types of research, funded from any source.

Repository A digital repository is a means of managing, storing and providing access to digital content. It is where digital assets are stored and managed to facilitate searching and retrieval for later use. A repository supports mechanisms to import, export, identify, store, preserve and retrieve digital assets. Putting digital content into an institutional repository enables institutions to manage and preserve it, and therefore derive maximum value from it. A repository can support research, teaching, learning, and administrative processes. Although many institutional repositories are primarily established for the benefit of the organisation and its users, there is an increasing movement towards open access to the wider community, sometimes in a global sense.

Research England Funding body success to HEFCE for research.

Research impact A recorded, or otherwise auditable occasion of influence, from academic research on another actor or organisation. Impact is usually demonstrated by pointing to a record of the active consultation, consideration, citation, discussion, referencing or use of a piece of research. Research has an academic impact when the influence is upon another researcher, university organization or academic author, usually demonstrated by citation indicators.

Research output The finished product(s) of the research, rather than the components that make it up. The following are considered research outputs in the Research Excellence Framework:

- Books (authored, edited, chapters, scholarly editions)
- Journal articles (published articles, conference contributions, working papers)
- Physical artefacts, devices and products
- Exhibitions and performances
- Patents and published patent applications
- Composition
- Designs
- Research reports and confidential reports for external bodies
- Digital (software, website content, digital or visual media, research datasets and databases)

- E-theses, teaching materials and administrative data can also be considered research outputs

RG Reference Group

RKE Research and Knowledge Exchange

RKEC Research and Knowledge Exchange Committee

RKESA Research, Knowledge Exchange and Scholarly Activity

SAC School of Arts and Communication

SHSS School of Health and Social Sciences

SRR Significant responsibility for research

UCU University and College Union

UoA Unit of Assessment

URM University Research Manager

Appendix 15

Leeds Trinity University REF Timeline

Dates	Action
December 2018- January 2019	Mock Independent Researcher Survey
April-May 2019	Draft LTU CoP circulated to all academic staff and Diversity Network Group Leads for consultation
13 May 2019	Start of REF Awareness Briefings for all staff
May-6 June 2019	Revised CoP approved internally and submitted.
16 August 2019	Deadline for initial notification of any changes required for the CoP
By September 2019	Completion of REF EDI training for staff on decision making bodies (REF Group, Appeals Group etc.)
9 September 2019	Start of 'Self-completion of Information for REF2021' briefings
9 September – 9 October 2019	Full Independent Researcher and SRR survey
20 September 2019	Deadline for resubmission of CoP (if required)
14-18 October 2019	REF Group decisions on Independent Researcher and SRR survey
Up to 25 October 2019	REF Group decisions feedback to individuals with distribution of prioritisation of outputs and staff circumstances forms as appropriate.
22 November 2019	Return of prioritisation of outputs and staff circumstances forms to inform decisions on applications for exemptions from UoAs and staff outputs.
1- November 2019 – 30 June 2020	Appeals period
6 December 2019	Deadline for submission of application for exemption for small UoAs
Early 2020	REF Deadline for submission of application for

	staff circumstances requests
31 July 2020	REF Census date for staff, end of assessment period for impact, environment, data about research income and research doctoral degrees.
27 November 2020	REF Submission date
31 December 2020	End of publication period (cut-off point for publication of outputs)
December 2021	Publication of outcomes

Appendix 16

Letter from the Vice-Chancellor, Professor Margaret House OBE, to Research England



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20 September 2019

Professor Margaret House PhD OBE
Vice-Chancellor
Tel: 0113 2837 102

Steven Hill
Director of Research
Research England
Nicholson House
Lime Kiln Close
Stoke Gifford
BRISTOL
BS34 8SR

Thank you for your letter of August 16th informing us that our Code of Practice (COP) for REF2021 had been accepted, subject to clarification.

Specifically, further clarification was required to explicitly confirm that staff agreement had been received for the processes established to identify staff with significant responsibility for research.

Whilst not explicitly stated in part 2 of our COP as outlined in paragraph 41 of the Guidance on codes of practice, agreement on our COP regarding processes established to identify staff with significant responsibility for research has been reached with the academic staff of our University.

All processes for identifying staff with significant responsibility for research (SRR), including determining research independence, were initially developed through the senior committee for Research in the University (RKEC), the REF group, and with input from Human Resources (HR). These processes were then consulted on with a representative group of staff, including academic staff from across the University and at all grades, through the University Reference Group (URG) and any changes made that improved the clarity of the processes and helped with effective communication across our University regarding the COP.

Our final consultation with all academic staff took place between April 24th and May 7th, 2019 (COP Appendix 1). Both the URG and the consultation with all academic staff produced agreement for the processes for identifying staff with significant responsibility for research (SRR), including determining research independence. No changes to the

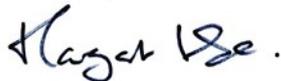
processes for identifying staff with SRR were requested in the final consultation with all academic staff of the University. Indeed, only very minor clarifications were suggested for the introduction, which were included in the final agreed version of the COP that we submitted for assessment

The agreed processes are presented within the COP, with the evidence of consultation with both representatives of academic staff who are members of the URG, including UCU representation, and consultation on the final version of the COP with all academic staff of the University shown in Appendix 1 of the COP.

Please accept this letter as confirmation that academic staff agreement has been obtained for the processes established to identify staff with significant responsibility for research detailed in our COP. We have also appended a signed copy of this letter to the COP and included an explicit statement confirming staff agreement was received from both the URG and the final consultation with all academic staff of the University in part 2 of our COP on page 5. As requested, we have also attached two updated electronic copies of our COP to this email, one with track changes showing, the other a final version with the new appendix containing this letter (Appendix 16, page 65).

We trust that this addresses the requirements of the clarification requested and look forward to hearing from you in due course.

Yours sincerely,

A handwritten signature in black ink, appearing to read "Margaret A House". The signature is written in a cursive, flowing style.

Professor Margaret A House
OBE Vice-Chancellor