

Code of Practice

Preparation of the Research Excellence Framework (REF) 2021 Submission

V4.1 - SEPTEMBER 2019

Notes

- The University of Greenwich intends to make a submission to the Research Excellence Framework 2021 (REF2021). For the purposes of REF2021, we define research as ‘a process of investigation leading to new insights effectively shared’.
- UKRI require that each submitting institution develop, document and apply a Code of Practice (CoP) on staff identification to ensure equality and fairness for staff. The CoP must be submitted to the REF Team on or before 7th June 2019.
- The Research Excellence Framework 2021 Equality and Diversity Advisory Panel (EDAP) will examine these Codes of Practice prior to the submission deadline.
- The Code of Practice is developed in accordance with guidance provided by the AdvanceHE (previously Equality Challenge Unit)¹, with reference to the Equality Act 2010.
- It is a requirement of the REF2021 that as part of the REF submission preparation, internal REF staff members are identified by role in addition to their responsibilities.

¹<https://www.ecu.ac.uk/guidance-resources/research-excellence-framework-ref-equality/>

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Part I Introduction

1. This Code of Practice (CoP) for the University's REF2021 submission builds upon good practice identified during the REF2014 and RAE2008 exercises. The CoP sets out our management approaches to the REF2021 exercise along with formal policies and procedures for handling the University's REF submission. Procedures are designed in such a way as to discharge the University's legal responsibilities in relation to equal opportunities legislation.
2. The Code is developed in accordance with The Equality Act 2010² to ensure that the University's submission reflects its academic community in a fair and equal basis and is not informed by personal characteristics or factors such as age, disability, ethnicity, employment status, gender, gender reassignment, marriage and civil partnership, political opinion, race, religion or belief, sexual orientation, socioeconomic status, or other criteria. It also takes into account the part-time and fixed-term regulations of 2000 and 2002 respectively.
3. In addition to the above legislation, the University of Greenwich (UoG) has developed its Code of Practice following the principles of *Transparency*, *Consistency*, *Accountability* and *Inclusivity* that underpin the guidance provided by Research England to institutions in preparing their submission to REF2021³. The University has also been guided by its own policies and procedures⁴, in particular its Equality and Diversity Policy Statement⁵, Strategic Plan 2017-22⁶, People Strategy 2016⁷, Responsible Use of Metrics⁸, and the Research & Enterprise Strategy 2016-2021⁹.
4. The university has an Equality, Diversity and Inclusion (EDI) Committee tasked with strategic management of EDI policies and practices at the university. Its membership includes representation from Faculties, student union and other central Directorates of the university as well as from the four diversity staff groups in the university (LGBT+, BAME, Faith, and Disability). The Academic Co-chair of this committee will chair the REF-EDI Panel (described in Part IV.2, para. 64 below) and will help in the selection of members for the REF-related panels described in this Code of Practice so as to ensure that the above principles and legislative framework are followed in the composition of these panels. The composition of the REF-EDI Panel will be formally approved by the University EDI Committee in order to ensure that there is appropriate expertise and understanding of the University EDI principles and policies as well as of relevant legislation.
5. The Code of Practice provides a common framework within which all the University's REF Units of Assessment (UoA) submissions must be prepared. The Code is mandatory and applies to all University staff, committees and management structures (Faculties, Schools, Directorates and Offices) within the University.

² [REF 2019/03] 'Guidance on Code of Practice' para. 18-31, available at: <https://www.ref.ac.uk/publications/guidance-on-codes-of-practice-201903/>

³ [REF 2019/03] 'Guidance on Code of Practice' para. 39

⁴ <https://www.gre.ac.uk/about-us/policy>

⁵ <https://docs.gre.ac.uk/rep/human-resources/equality-and-diversity-policy-statement>

⁶ <https://docs.gre.ac.uk/rep/vco/strategic-plan>

⁷ <https://docs.gre.ac.uk/rep/human-resources/university-of-greenwich-people-strategy-guidance>

⁸ <https://docs.gre.ac.uk/rep/vco/responsible-use-of-metrics>

⁹ <https://docs.gre.ac.uk/rep/gre/research-and-enterprise-strategy-2016>

6. The University is also intending to make a joint submission with the University of Kent in respect to the joint Medway School of Pharmacy to UoA 3. As the majority of academic staff at the School have contracts of employment with the University of Kent, the University of Kent Code of Practice will be used for the purpose of this joint submission for all staff submitted.
7. In addition to the consultation and approval processes described in Part II.2, the Code of Practice has been disseminated generally across the institution through its webpages (<http://bit.ly/UoG-CoP>) and internal communications and announcements, including to those on leave during the period of development and consultation.
8. The Research & Enterprise Strategy 2016-2021 was developed following the REF2014 outcome, in which 25% of academic staff were submitted resulting in a GPA of 2.33. In this strategy, the institution has set itself ambitious aims to further develop the research strength of the institution. As part of the strategy, several key actions were undertaken, in particular the development of three distinct academic career pathways in research, learning & scholarship, and enterprise. These pathways aim to provide clarity and focus within the generic Teaching and Research Contract used to employ academic staff at the University. This development was complemented by a staff recruitment and promotion process aligned to the criteria in the academic pathways and a substantial revision of its Balanced Academic Workload (BAW) model in order to better reflect the effort staff devote to research. This academic framework was introduced in 2017/18 session and is now well embedded in the institutional processes in a consistent manner and forms the basis for the procedures used in this Code of Practice.
9. The revision of the Balanced Academic Workload model incorporated recommendations from the REF2014 Code of Practice and accompanying Equality Impact Assessment in relation to Early Career Researchers and to academic staff returning to work following substantial periods of absence due to parental leave, sickness or other reasons. This has resulted in guidance to line-managers in relation to appropriate allocation of research time or maximum allocation of teaching duties. This guidance is under regular review by a workgroup chaired by the Director of Human Resources with representation from the Faculties and the Greenwich Research & Enterprise Directorate.
10. The University of Greenwich contains a mission specific research unit, namely the Natural Resources Institute (NRI), embedded within the Faculty of Engineering and Science. The NRI funds itself through external research and enterprise income and, whilst it follows the academic framework policies and procedures in relation to academic recruitment and progression to the pathways described in paragraph 8, it has adapted the workload allocation model to reflect its distinct funding arrangements in a manner that directly assigns time and resources allocated to individuals on the basis of income secured. This adapted model will be used within the NRI in relation to the processes described in Part II below to identify staff with significant responsibilities for research.
11. In order to prepare the institution for REF2021, the Research & Enterprise Strategy 2016-2021 devised a series of annual exercises - Greenwich REF Assessment Trials (GREAT) - where outputs, impact case studies, environment metrics and more recently narratives were submitted for internal and external assessment. The guiding principles of GREAT are provided in Appendix A.
12. Three full GREAT cycles have now been completed (2016, 2017, and 2018), whilst GREAT2019 is currently underway as a full trial of our REF2021 submission. The aims of GREAT2019 are:

- a. To test the Code of Practice for its effectiveness as part of an equality impact assessment during GREAT2019 for the (re)design of internal policies in relation to the University's REF2021 submission, if required.
- b. To trial and optimise procedures for:
 - i. Collection of information for REF2021.
 - ii. Development of output submissions.
 - iii. Creation and/or refinement of Impact Case Studies.
 - iv. Creation and/or refinement of Research Environment Statements.
 - v. To provide peer review and feedback on trial submissions, including feedback from external advisors.

Part II Identifying staff with significant responsibilities for research

13. The University of Greenwich employs academic staff using a generic contract that has evolved from the National Contract¹⁰. This contract recognises the responsibility of staff to engage in research and scholarship but allows for a wide range of activities to be carried out under this heading. Traditionally, these have included the development of innovative teaching materials or processes, engagement in developing professional practices or enterprise activities based on academic expertise. Many of these activities, while important and valued by the institution, do not meet the definition of research for the purpose of REF. Moreover, only 54% of academic staff employed under the Teaching & Research (T&R) contract currently hold a doctorate. Many of those who do not would fail to meet the Research England criteria for research independence or for having significant responsibilities for research or both. For these reasons the University of Greenwich will not be submitting 100% of staff on T&R contracts. This section will accordingly describe the processes and procedures used to identify staff with significant responsibility for research that will be submitted to REF2021.
14. The University of Greenwich confers equal value on academic excellence demonstrated through research, teaching and scholarship, and professional and enterprise activities. The identification of academic staff as not having significant responsibilities for research, and therefore not being submitted to REF2021, will not in itself be detrimental to the career progression within the institution, as the university's Academic Framework allows for progression against any of the three academic career pathways.

II.1 Policies and Procedures

15. In order to ensure consistency, the identification of eligible staff who have significant responsibilities for research will be made by a university-wide REF Staffing Panel, defined in Part II.3, on the basis of the criteria described below. All eligible staff employed by the University will be considered by this Panel. No variation on the criteria will be used for different Units of Assessment, except for staff employed by the Medway School of Pharmacy, which is a joint submission with the University of Kent and will follow the University of Kent of Practice as described in paragraph 6.
16. The criteria used for the identification of staff with significant responsibilities for research have been developed in line with the guidance provided by Research England. In particular, staff on Teaching & Research contracts with significant responsibilities for research are those for whom undertaking research

¹⁰ <https://www.ucu.org.uk/article/1972/Post-92-contract-of-employment>

(as defined by REF) is an expectation of the job role and for whom explicit time and resources have been made available to allow them to engage in independent research activities¹¹.

17. In order to assist the REF Staffing Panel in the application of the above generic criteria, a set of data for each individual staff member will be compiled by the REF Manager and the REF-HR Officer (see Appendix B for role definitions). This will include:
 - a. **Basic employment data:** Name; HESA identifier; academic unit; job title; grade; % FTE (if P/T); start date; end date (for staff who have or will have left the institution at the census date).
 - b. **Career pathway:** Research; Teaching & Scholarship; or Enterprise.
 - c. **Resources indicators:** Balanced Academic Workload research allocation or equivalent information for NRI staff.
 - d. **Independent research activity indicators:** ORCID; PhD holder; Research Group/Centre membership; eligibility to submit bids; eligibility to supervise PhDs; PI to external funding; Independent Fellowship; participation in GREAT cycles.
18. The above data will be collated centrally and submitted to Faculties for corroboration. At the same time, Faculties will be given an opportunity to provide further auditable evidence in relation to:
 - a. For those on FTE between 0.20 and 0.29: evidence of significant connection to the institution¹².
 - b. For those on Research Only contracts: further evidence of research independence¹³. This will include evidence of the nature of the work if this differs from research, e.g. in the case of enterprise contracts.
 - c. Additional clarification in relation to resource allocation or indicators. This is only expected to be needed in exceptional circumstances as, for instance, where workloads have been temporarily disrupted through restructuring or unusual staffing circumstances. It should not include personal circumstances of the type requested in Part IV.3 through voluntary disclosure.
19. The principal indicator of the nature of responsibilities placed on academic staff employed on Teaching & Research contracts is the career pathway, as it dictates the type of objectives and expectations set at appraisal. In particular, staff on the research pathway are assigned and measured against objectives aligned with the research excellence aspirations of the institution or academic unit. Staff should also be provided with resources, support and training necessary to meet these objectives.
20. For the purpose of REF2021, the University of Greenwich, through the REF Staffing Panel, will normally identify staff with significant responsibilities for research as those who are **on a Research Career Pathway AND have a reasonable percentage allocation (greater than 20%) to carry out research through the balanced workload model (or equivalent in the case of NRI) AND are able to actively engage in independent research as determined by the indicators described in paragraph 17.d and 18.b above**. The REF Staffing Panel will only consider exceptions to this rule in relation to workload allocation (20%) if appropriately justified by auditable data provided through paragraph 18.c.
21. Following the consideration of the test for significant responsibility for research, staff employed at 0.20 to 0.29 FTE will be assessed by the same REF Staffing Panel against the significant connection guidance provided by Research England using the data set described above. Finally, the same REF Staffing Panel will determine research independence as described in Part III of this Code of Practice. Minutes of the

¹¹ [REF 2019/01] 'Guidance on Submissions', para. 132 and 141

¹² [REF 2019/01] 'Guidance on Submissions', para. 123

¹³ [REF 2019/01] 'Guidance on Submissions', para. 128-133, and [REF 2019/02] 'Panel criteria and working methods', para. 187-189

discussions of the REF Staffing Panel and its conclusions will be kept by the REF Manager to ensure transparency and provide a suitable audit trail of decisions.

22. The REF Staffing Panel will communicate individually to staff members the outcome of the above assessments by email. It will inform those who are identified as independent researchers with significant responsibility for research and meet the significant connection test that they will be included as Category A submitted staff to REF2021. The REF Staffing Panel will also inform staff who do not meet the criteria of significant responsibility for research and research independence that they will not be submitted to REF2021, giving the reason(s) for this decision, the data on which it was based, and informing them of the right to appeal in accordance to the process described in Part II.4 below. Staff who have been identified as Category A submitted staff to REF2021 will be invited to make a voluntary declaration of personal circumstances as described in Part IV.3 and identify outputs for submission in accordance with the processes described in Part IV.1.
23. Copies of individual outcome letters will be sent to the Faculty Pro Vice-Chancellors and Faculty Directors of Research & Enterprise, so that staff with significant responsibilities for research can be allocated to a UoA submission. This process will initially take place at the Faculty REF Working Group but will be confirmed at the University REF Strategy Working Group prior to formal submission (see Appendix D for the Terms of Reference and Membership of REF-related committees and panels).

II.2 Development Process

24. The Deputy Vice-Chancellor for Research & Enterprise (DVC-RE), working closely with the Vice-Chancellor, has been responsible for the development of this Code of Practice, with the professional support of the Greenwich Research & Enterprise (GRE) and Human Resources (HR) Directorates.
25. The content of this Code of Practice has been developed following the guidance issued by Research England through a process of staff consultation. The preliminary criteria and processes had been discussed and agreed at the university Research & Enterprise Committee at its meeting on 6 February 2019 before embarking on staff consultation. A total of 5 staff consultation workshops were conducted by the DVC-RE and staff from the Greenwich Research & Enterprise and Human Resources Directorates. All academic staff were invited to participate in these workshops. In total 109 staff members attended these meetings, where preliminary ideas, criteria and processes were presented and discussed. Members and representatives of recognised Trade Unions were invited to attend and participate in these workshops.
26. In addition to the workshop, an Ideas Centre web page was created, in order to gather further views from staff. This included a number of specific questions in relation to the key aspects of the Code of Practice, as well as open narrative sections to capture further comments from staff. In total, three staff members provided comments through this medium.
27. Following these workshops and staff feedback obtained through the web engagement, a full draft Code of Practice was developed in preparation for formal approval via the University Committees. The draft was first presented at the university Research & Enterprise Committee on 10 April 2019 and the Academic Council on 24 April 2019, where it was approved subject to minor amendments. Finally, the Code of Practice was shared with the University EDI Committee on 16 May 2019. Following appropriate amendments, the Code of Practice was finally approved at university Research & Enterprise Committee on 22 May 2019, and the Provost Group on 3 June 2019. Relevant minutes of these meetings are provided in Appendix C.

28. The development process of the Code of Practice has been shared with the staff Trade Unions at the Joint Negotiating Committee meetings of 15 October 2018 and 5 February 2019. The draft Code of Practice was shared with the Trade Unions during the consultation and approval process and was discussed with union representatives at a meeting convened especially for this purpose on the 10 April 2019. A revised version of the Code of Practice was ratified at the regular Joint Negotiating Committee meeting of 8 May 2019. The minutes of these meetings are also provided in Appendix C and a copy of the letter sent to Research England from the Vice Chancellor confirming this agreement is included at Appendix L.
29. During the development process, drafts of the Code of Practice have been made available to staff through the university intranet and publicised via internal communications delivered through email and Yammer. Once internally approved and submitted to Research England, the final Code of Practice has been deposited on the university's website at <https://docs.gre.ac.uk/rep/gre/ref2021-code-of-practice>. A link to this address will be provided during the GREAT2019 exercise in the individual letters informing staff whether they have been preliminary identified as having significant responsibility for research, a significant connection (for those on FTEs between 0.2 and 0.29) and independent researchers (for those on Research-only contracts).

II.3 Staff, committees and training

30. The list of panels, working groups and committees at the University of Greenwich involved in implementing this Code of Practice and preparing the submission to REF2021 is provided in Appendix D, together with their terms of reference (including whether they are advisory and/or decision-making groups) and membership. Appendix B provides a list of significant REF-related roles of various university officers (including whether they are advisory and/or decision-making roles). Several of these committees and roles pre-date this Code of Practice and have been responsible for the development of the overall research strategy of the University of Greenwich and its preparation for REF2021. Others, in particular the REF Staffing Panel, have been created in response to the guidance provided by Research England in relation to REF2021 and in order to implement the policies and processes described in this Code of Practice.
31. The panel responsible for identifying staff with significant responsibilities for research, ensuring that a significant connection exists for those with FTE between 0.2 and 0.29, and determining the independence of those staff employed on research-only contracts, is the REF Staffing Panel. This central panel will be chaired by the Deputy Vice-Chancellor for Research & Enterprise (DVC-RE) and will include the Director of Greenwich Research & Enterprise (D-GRE) and the REF-HR Officer (REF-HRO). In addition, to ensure diversity across protected characteristics and disciplines, the membership will include at least three members of academic staff chosen through a process of self-nominations carried out during the Code of Practice consultation period. The selection will be carried out by the DVC-RE together with the Chair of the REF-EDI Panel. The final membership of the Panel will be formally approved by the REF-EDI Panel.
32. All panels and committees involved in the implementation of this Code of Practice, or the preparation for the submission to REF2021, will keep detailed records of meetings, including attendance, summary of decisions and actions, and the datasets used to arrive at such decisions. These records will be available for appeals and internal or external auditing purposes. Any personal data will be kept and used in compliance with GDPR legislation.

33. Members of the REF Staffing Panel, and other panels involved in the REF submission, will be required to complete REF-specific equality, diversity and inclusivity training provided by HR during the second half of 2019. A brief outline of this training is included in Appendix E.

II.4 Appeals

34. Staff on Teaching & Research or Research-only contracts who have not been identified as having significant responsibility for research, or not to be research independent, or do not meet the criteria for the significant connection test will have the right to appeal to an independent Appeals Panel using the pro-forma included in Appendix F.

35. The REF Appeals Panel (see Appendix D) will be chaired by the University Secretary (or agreed nominee) and will include the Director of Human Resources and the Deputy Vice-Chancellor (Academic). The REF Appeals Panel will be supported by representatives from the Greenwich Research & Enterprise and Human Resources Directorates as appropriate, who will be responsible for the accuracy of the data and record keeping.

36. Appeals can be submitted on two possible grounds:

- a. inaccurate data used (paragraph 17-18 above);
- b. the process or decision reached by the REF Staffing Panel is not in accordance with the criteria, policies or procedures described in this Code of Practice.

37. Appeals will take the form of written submissions, with evidence sought against the criteria in paragraph 36, using the template in Appendix F. The appellant will not be expected to attend in person. If appropriate, the appellant will be encouraged to seek advice from the REF-HR Officer and the recognised Trade Unions before preparing the written submission.

38. Appeals that are upheld on the basis of inaccurate data (36.a) or wrongful process (36.b) will be referred back to the REF Staffing Panel for further consideration with amended data and/or detailed procedural guidance. If the outcome remains unchanged, the staff member may seek a final review by the Chair of the REF Appeals Panel on the basis of 36.a or 36.b and this decision will be considered final.

39. For appeals that are not upheld, the staff member submitting the appeal will be informed of the right to submit a complaint to Research England as described in REF2019/03 'Guidance on codes of practice', paragraphs 83-85¹⁴, and further guidance to be issued in Autumn 2019. Any complaints made by staff members directly to Research England will be covered under the University's "Public Interest (Whistleblowing) Disclosure Policy & Procedure"¹⁵ protection guidelines.

II.5 Equality impact assessment

40. The University of Greenwich is committed to promoting equality, diversity and inclusivity through its policies, practices and procedures. To inform the development of this Code of Practice and the final criteria to identify staff with significant responsibility for research, an Equality Impact Assessment (EIA) has been carried out during the consultation phase on the career pathway selection of staff on Teaching & Research contracts and the allocation of time for research. The outcome of this assessment is shown in

¹⁴ [REF 2019/03] 'Guidance on codes of practice', available at: <https://www.ref.ac.uk/publications/guidance-on-codes-of-practice-201903/>

¹⁵ <https://docs.gre.ac.uk/rep/human-resources/public-interest-whistleblowing-disclosure-policy-and-procedure>

Appendix I. In addition, an EIA will be carried out on the trial operation of this Code of Practice during the GREAT2019 exercise. The outcome of this assessment will be considered by the REF-EDI Panel which may provide further guidance to the REF Staffing Panel in the application of the criteria described above before the final submission preparation cycle in 2020.

Part III Determining research independence

41. The REF Staffing Panel will assess research independence of academic staff as well as determining significant responsibilities for research and significant connection to the institution. The three assessments will be carried out using the dataset described in paragraphs 17 and 18.
42. Normally, staff employed on Teaching & Research contracts who have a significant responsibility for research and have a PhD will be considered independent researchers. Staff who are in the process of carrying out a PhD under internal or external supervision would not be considered independent researchers, whether employed on a Teaching & Research contract or a Research-only contract.
43. Research-only staff recruited or promoted from the academic session 2018/19 onwards will have had a job description or promotion criteria aligned to the requirements of REF2021, so that those on Academic Grade 2 (Research Fellow) or above (Senior Research Fellow) are expected to have demonstrated research independence at the point of appointment or promotion.
44. In line with the guidance issued by Research England, independent researchers are expected to be self-directed - that is to lead their own programme of work rather than follow one dictated by their supervisor. They will be generally identified by indicators (see paragraphs 17 and 18) such as their ability to bid for funds in their own right, they may act as PI or Co-I to externally funded projects or as lead on substantial work packages of large projects. They may lead a group of other researchers. They will have completed a PhD and have the ability to supervise PhD students. Holders of individual research fellowships obtained through competitive bidding (e.g. UKRI Future Leaders or similar programmes) will be considered independent researchers.
45. Staff will be individually notified of the outcome of the research independence test in accordance with paragraph 22. Those who do not meet the test for independence will be informed of their right to appeal as described in Part II.4 above.
46. An Equality Impact Assessment will be carried out in relation to staff on Research-only contracts who pass the test of independence during GREAT2019. This will be considered by the REF-EDI Panel who may make recommendations to the REF Staffing Panel to refine the above criteria or its implementation prior to the final submission to REF2021.
47. The *development process, staff committees and training*, and *appeals* process related to determining research independence is the same as those described in Parts II.2, II.3 and II.4 above respectively.

Part IV Selection of outputs

48. The sections below describe the procedures that will be used by the University of Greenwich in order to select outputs for submission to REF2021. In line with Research England guidelines, the total number of

outputs required per UoA submission is 2.5 times the combined FTE of Category A submitted staff on the census date (31 July 2020), minus the number of agreed output reductions through unit or personal circumstances (as described in Part IV.3 below).

49. The procedures described in this section have been developed and consulted with academic staff following the process outlined in Part II.2. A specific section of the Code of Practice staff consultation workshops was devoted to the selection of outputs and specific questions were raised on this section via the Ideas Centre webpages.
50. In selecting outputs for submission to each UoA, the University of Greenwich will seek to identify the required number of outputs that have the highest quality whilst meeting the guidelines established by Research England in terms of the open access requirements¹⁶, and minimum and maximum allocations to individual staff members (1 and 5 respectively). This will be achieved following the procedures described in Part IV.1 below.
51. The University of Greenwich is mindful of the variety of possible outputs that are eligible for submission to REF2021¹⁷ and will ensure that all types of output receive fair consideration and assessment, through training of internal reviewers and appropriate selection of external assessors.
52. Given the desire of the University of Greenwich to achieve the best possible outcome from REF2021 as described in Paragraph 50, it is likely that the number of outputs associated with individual members of staff will range from 1 to 5. *No attempts will be made to even out this number across staff members in a UoA as there is no expectation on staff regarding how many outputs each should submit to the output pool, other than the defined minimum and maximum values.* This also applies for staff who have submitted personal circumstances. However, while the quantity and quality of research outputs produced by an academic will usually be an important consideration in relation to their career progression, the actual number of outputs submitted to REF2021 in itself will not, as this number will be determined by relative quality measures beyond the control of the individual.
53. Consistent with Paragraph 52, there is the possibility of setting the minimum number of outputs to be submitted to the output pool to zero where personal circumstances have affected the ability for an academic to produce any outputs during the REF period (see Section IV.3 below for further details regarding the disclosure and processing of personal circumstances).

IV.1 Policies and Procedures

54. Staff identified as having a significant responsibility for research, a significant connection to the submitting UoA, and who are independent researchers will be requested to select *up to* 6 outputs for consideration using the institutional repository - GALA¹⁸, ranking them according to their own perceived quality in terms of originality, rigour and significance. Officers from Greenwich Research & Enterprise will ensure that selected outputs meet the basic eligibility requirements of REF2021¹⁹ and remove from the pool those that do not.

¹⁶ [REF 2019/01] 'Guidance on submissions', para. 223-255, available at: <https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>

¹⁷ [REF 2019/01] 'Guidance on submissions', para. 217 and Annex K, available at: <https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>

¹⁸ <https://gala.gre.ac.uk>

¹⁹ [REF 2019/01] 'Guidance on submissions', para 205, available at: <https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>

55. A pool of potential outputs for each UoA will be created by combining the outputs chosen by staff assigned to a given UoA. The UoA lead, aided by officers from Greenwich Research & Enterprise, may add to this pool eligible outputs from former members of staff who participated in previous GREAT exercises. The initial ranking of these outputs will be based on the outcome scores from the previous GREAT exercises.
56. The pool of outputs will be assessed by internal and external assessors following procedures similar to those employed during the GREAT exercises, that is using a 0 to 4 scale where originality, rigour and significance are assessed separately. Scores from at least 3 assessors will be averaged, weighted for confidence levels, giving a final score between 0 and 12. This will lead to a ranked pool of outputs compiled by the REF Manager.
57. The outputs submitted to REF2021 will be the set with the necessary number of highest ranked papers that meet the guidelines of REF2021. This set will be identified by the UoA Panels working in collaboration with the REF Manager who will provide the necessary data. In doing so, the UoA Panel, assisted by the REF Manager, will take into account output reductions due to personal and unit circumstances (see Part IV.3 below); ensure that at least one output is attributable to each member of Category A submitted staff; that no more than 5 are attributed to any Category A submitted member of staff (unless the output can be re-assigned to another Category A submitted staff who is a co-author); and that outputs meet the open access requirements (or a relevant exception is applicable²⁰).
58. In the event that two or more outputs are equally ranked according to scores received from assessors, the UoA Panel team will select the output from those groups that are most under-represented according to the EIA carried out in the latest GREAT2019 exercise.
59. The set of outputs selected as described above will be ratified by the Faculty REF Working Groups and university REF Strategy Working Group prior to final submission.

IV.2 Staff, committees and training

60. The assessment of outputs in the eligible pool will be carried out by internal and external assessors approved by the REF Strategy Working Group. The University has already carried out three cycles of REF2021 preparation exercises, namely GREAT-2016, -2017 and -2018 using a large number of internal assessors who have been trained for this purpose and have developed useful expertise through calibration with external assessment. This pool of assessors will be complemented in view of the EIA as described in Part IV.4 before carrying out the final output assessment in readiness for the actual submission to REF2021.
61. External assessors for each UoA will be proposed by UoA Panels and Faculty REF Working Groups and will be approved by the University REF Strategy Working Group. They will be respected figures in their field with experience of REF assessment, ideally through participation in previous REF (or RAE) exercises. For Units of Assessment with a wide range of disciplines, more than one external assessor will be chosen.

²⁰ [REF 2019/01] 'Guidance on submissions', para. 252-255, available at: <https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>

62. Each UoA will have a UoA Panel consisting of a UoA Lead and at least two other staff members. UoA Leads will be proposed by the Faculty REF Working Group from senior researchers in the unit and approved by the University REF Strategy Working Group. The composition of the remainder of the UoA Panel will be approved by the Faculty REF Working Group ensuring that the membership adequately represents the diversity amongst academic staff assigned to the unit. One of these staff members will be identified as the Equality, Diversity & Inclusion Advisor (UoA-EDIA) and will be responsible for providing guidance and advice to academic staff and the UoA Panel in relation to personal and unit circumstances. In doing so, they will ensure that academic staff are not placed under undue pressure to declare any personal circumstances. The UoA-EDIA will also act as liaison between the UoA Panel and the university Senior Equality, Diversity & Inclusion Officer and REF-EDI Panel. The UoA Panel will be supported by the REF Manager or other staff assigned for this purpose by the REF Manager. This will include the provision of necessary data, keeping appropriate records of decisions and the implementation of these decisions.
63. Specific training for assessors will be provided by the REF Manager and Human Resources REF Officer during June 2019 using similar material to that employed to train assessors during previous GREAT exercises. However, in 2019 this will be complemented by Unconscious Bias training. Specific REF-related EDI Training prepared by the Human Resources Directorate will be provided to members of the UoA Panel as well as members of other REF-related Panels (Staffing, Appeal, and EDI) as described in Paragraph 33 and Appendix E.
64. To consider EDI specific issues and to make determinations in relation to personal circumstances, a university-wide REF Equality, Diversity & Inclusion Panel (REF-EDIP) will be established. This will be chaired by the academic Co-chair of the University EDI Committee and will include the university Senior EDI Officer, the HR-REF Officer, the REF Manager (who will provide advice on Research England guidelines) and at least two members of academic staff who will not be UoA Leads or members of the REF Staffing Panel or the REF Appeal Panel. The composition of the REF-EDI Panel will be considered and approved by the University EDI Committee by the end of December 2019. The Senior EDI Officer will be responsible for the administration of the Panel, ensuring the accuracy and confidentiality of the records.

IV.3 Disclosure of circumstances

65. The University aims to provide a supportive staff environment and hence wishes to recognise the personal circumstances that have affected the ability of its staff to engage productively in their research during the REF2021 period. The types of circumstances that it will consider are listed below and follow guidance from Research England and the REF-EDI Panel²¹:
- a. Qualifying as an ECR.
 - b. Absence from work due to secondments or career breaks outside the HE sector.
 - c. Qualifying periods of family-related leave.
 - d. Other circumstances that apply in UoAs 1–6.
 - e. Circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in outputs, which are:
 - i. Disability.
 - ii. Ill health, injury, or mental health conditions.

²¹ [REF 2019/01] 'Guidance on submissions', para. 160-163 and Annex L, available at: <https://www.ref.ac.uk/publications/guidance-on-submissions-201901/> and [REF 2019/03] 'Guidance on codes of practice', Table 1, pages 6-10, available at: <https://www.ref.ac.uk/publications/guidance-on-codes-of-practice-201903/>

- iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs.
 - iv. Other caring responsibilities (such as caring for an elderly or disabled family member).
 - v. Gender reassignment.
 - vi. Other circumstances relating to the protected characteristics listed in the 'Guidance on codes of practice', Table 1, or relating to activities protected by employment legislation.
66. Once academic staff that have been informed that they will be submitted to REF2021 as Category A submitted staff in accordance with the processes and procedures described in Part II, they will be invited to make a voluntary disclosure of personal circumstances using the pro-forma provided in Appendix H. They will also be directed towards advice and guidance available on the University web pages, or through the UoA EDI Advisor or the HR-REF Officer. It will be made clear that any information voluntarily disclosed either in writing through the pro-forma provided or verbally whilst seeking advice will be treated as strictly confidential. It will also be made clear that disclosure of personal circumstances is made on a purely voluntary basis. The form will make clear whether the removal of the minimum of one output is requested or not.
67. Personal circumstances forms will be submitted directly to the HR-REF Officer for consideration centrally by the University REF Equality, Diversity & Inclusion Panel (see paragraph 64 above). This Panel will assess personal circumstances, applying consistently the guidance and criteria provided by Research England. The outcome of the assessment will be communicated directly to the individual by the HR-REF Officer. Any resulting reductions on the total number of outputs required for submission will also be communicated to the UoA-EDI Advisor and UoA Lead, however they will not be provided with the names of individuals whose circumstance(s) have a potential impact upon the number of outputs required for the submission to ensure the privacy of the individual and in line with the intention of the university not to set expectations on the contribution of outputs to the output pool. Additionally, a member of staff who declares personal circumstances using the pro-forma (see Appendix H), has the option to allow the information to be passed to an HR Manager and/or relevant line-manager to support members of staff either through formal university support structures and processes (e.g. Occupational Health referrals) or adjustment to agreed performance objectives and workload allocations.
68. In cases where the consideration of personal circumstances has resulted in the minimum of one output being removed, the HR-REF Officer will inform the UoA-EDI Advisor so that this can be taken into account when selecting outputs from the pool. In addition, where there has been a disproportionately high number of staff circumstances associated with a given UoA, the HR-REF Officer will inform the UoA-EDI Advisor so that a request for a reduction of the total pool of outputs from the unit can be made. It will be the responsibility of the UoA-EDI Advisor, in discussion with the UoA Lead, to make an appropriate request to the REF-EDIP for consideration and to implement the outcome during the selection of outputs phase.
69. Individual staff members who make a request for personal circumstances to be considered which are rejected by the REF-EDI Panel will be able to make an appeal (using the form at Appendix G) to the University REF Appeals Panel on the grounds of:
- a. wrongful application of Research England guidance;
 - b. process not in accordance with this Code of Practice.

IV.4 Equality impact assessment

70. An equality impact assessment has been conducted on the combined outcome of GREAT-2016, -2017 and -2018 exercises in terms of the characteristics of staff associated with outputs identified as 3* and 4*. This is shown in Appendix I. A more precise EIA will be carried out at the conclusion of GREAT2019 using the output selection procedures described in the sections above in preparation for the actual REF2021 submission. The outcome of this assessment will inform the selection of outputs for those cases where there is equal ranking as described in paragraph 57. In addition, an EIA will be carried out on the composition of the internal assessor pool, against protected characteristics (where data is held).

Part V Appendices

V.1 Appendix A – Research Excellence Framework Preparation Principles

1. Background

The Research Excellence Framework (REF) is the nationally recognised assessment of research quality in the UK. The outcome of the assessment plays an important role in determining the research reputation of an institution and its position in league tables. The last exercise took place in 2014 and a new one is expected in 2020 or 2021. The procedures, submissions and outcomes of previous exercises can be openly consulted in www.ref.ac.uk (2014) and www.rae.ac.uk (2008 and prior exercises). It is not yet known what format the new exercise will take but the HE sector widely expects this to be closely based on the procedures adopted in REF2014.

It is clear the University of Greenwich needs to develop a methodology and preparation timetable in order to achieve the best possible outcome in the next REF and improve on the results of 2014. The detailed aspirations and targets will be set out as part of the Research and Enterprise Strategy that will be developed early in 2016. The aim of this paper is to establish the fundamental principles and governance structures guiding the preparations for REF.

2. Guiding Principles

In developing its methodology, timetable and processes the University of Greenwich will be guided by ensuring that it meets the following five attributes and principles:

Developmental: The preparation for REF plays a key part in the development of the research culture, environment and aspirations of the University both at an institutional level as well as at the level of individual academics. Participation in the REF preparation connects academics and research leaders at all levels with the practices and expectations in their discipline. It allows them to estimate the standards of their current work and calibrate their future aspirations. The institution and its members must use the preparation process as part of the journey towards greater research excellence and not view it as an administrative burden.

Inclusivity: The preparations must include as many academic researchers as possible in both submitting research work to be assessed and in the internal assessment processes. It is important that as many staff as it is sensible and practical take part in internal assessments in order to ensure that a good understanding of REF rules and procedures is not confined to a very few senior staff. This will require appropriate training processes and rigorous methodologies that take into account the range of expertise of the assessors. However, whilst the preparations for REF must be inclusive, the submission itself will be as selective as needed in order to meet the aims of the university REF strategy.

Rigour: The preparation process must be such that it provides accurate data on which to make submission decisions. This requires those involved at any stage of the process to approach the preparations in a highly rigorous manner, to avoid wishful thinking and to have an accurate knowledge of the published REF guidance and practices. Ultimately, research quality assessments are reflections of academic opinions, but these opinions should be arrived at with the highest possible regard for rigour and with full appreciation of the institutional and personal consequences of inaccurate assessments. Generally, assessments of research quality will be made anonymously.

Externality: Rigorous Internal assessment needs to be calibrated against external reference points. This is usually provided by soliciting the views of appropriate External Assessors and by adequately considering the views of internal staff who have participated in REF panels. However, some additional measure of externality can also be provided by using published REF2014 profiles and submissions. Similarly, in some disciplines, the use of bibliometric data can provide useful proxy indicators that can be taken into account as part of a wider assessment of research quality.

Continuous: The preparation process takes place continuously throughout the year and across the REF cycles. It will be based on annual Greenwich REF Assessment Trials (GREAT-Cycles). The process will also comprise critical milestones when decisions and actual submissions are made. These points will be dictated by the actual REF timetable that will be issued by HEFCE (or RUK) in due course. A detailed timetable of activities will be developed and maintained as part of the preparations. This will be shared widely across the research community.

Transparency: The process must be as open and transparent as possible whilst maintaining the rigour and externality principles. This relates to the data upon which decisions are made and the governance bodies which make them. Academic staff submitting research work to GREAT-Cycles will be informed in a timely manner about the outcome of internal and external assessment and, in due course, of the decisions made in relation to their eventual inclusion in a particular UoA. There will be a right of Appeal against non-selection to REF.

3. Governance

The REF preparation process will be governed by the following bodies:

REF Strategy Working Group: This is the senior body that will have strategic responsibility on behalf of UoG in relation to REF. It will be chaired by the Deputy VC for Research and Enterprise. It will include the Directors of GRE and HR, together with members of academic staff chosen on the basis of their REF experience and subject coverage within the group. This group will be supported by the REF Project Manager (Head of Research Development Services). The group will develop the preparation timetable and methodology, REF Code of Practice and approve the Unit of Assessments' Statements of Intent. It will make the final recommendations to the VC and Academic Council in relation to the submission of individual Units of Assessment. It will provide regular reports of progress to the University Research and Enterprise Committee.

REF Operational Working Group. This group will be responsible for the data gathering and management systems required to carry out the internal and external assessment, collate income and doctoral data and interface with the central REF systems and personnel. It will be chaired by the Deputy VC for Research and Enterprise and include: REF Project Manager, Research Finance Manager, Research Repository Administrator, Training & Research Programme Manager, Planning and Statistical Analyst Officer, Equality & Diversity Manager and representation from HR and ILS.

REF Equality and Diversity Group: This group will review Personal Circumstances and carry out the Equality and Impact Assessments at the end of each internal assessment cycle. It will report its findings to the REF Strategy Working Group, but none of its members will be part of the REF Strategy Working Group. The membership of this Committee will be agreed by the Research and Enterprise Committee.

Appeals Panel: This internal group will be an independent body with responsibility for reviewing staff appeals against exclusion from the REF submission, to determine the final outcome of each case presented. The membership of this committee will be agreed by the University Research and Enterprise Committee.

Faculty REF Working Groups. The REF preparation within each Faculty will be coordinated by a Faculty REF Working Group. This group will review the research environment structure within the Faculty, including Research Groups and potential Units of Assessment. It will also coordinate the assessment of outputs and impact cases following the methodology determined by the REF Strategy Working Group. At least one member of each of these groups will sit on the REF Strategy Working Group.

V.2 Appendix B – The Role of University Officers

1. Deputy Vice-Chancellor (Research & Enterprise)

Responsibility for the strategic approach to the university's REF submission, ensuring all REF policies and procedures are developed and implemented in accordance with the university's Equality Policy, and related legislation. They are the Chair of the Research & Enterprise Committee, REF Strategy Working Group, REF Operational Working Group, and REF Staffing Panel.

2. Director of Research & Enterprise, Greenwich Research & Enterprise

The Director of Research & Enterprise will oversee the management of the University's REF submission in collaboration with the Head of Research Development Services, deploying resources and support as appropriate. They provide advice and guidance on the implementation of the university's strategic approach to the REF to Senior Management Colleagues across the university. They are a member of the Research & Enterprise Committee, REF Strategy Working Group, and REF Staffing Panel.

3. Head of Research Development Services (REF Manager)

The Head of Research Development Services, based in Greenwich Research & Enterprise (GRE), is responsible for the project management of the University's REF preparations and submission. In conducting this work, the Head of Research Development Services reports to the Deputy Vice-Chancellor (Research & Enterprise) and the Director of GRE, providing expert and technical guidance on REF requirements. They are a member of the Research & Enterprise Committee, REF Strategy Working Group, and REF Operational Working Group. In addition to project management, the Head of Research Development Services will take particular responsibility for:

- a. The provision of general training and support in relation to the REF submission, including REF-related Equality, Diversity & Inclusions (EDI) training in collaboration with the Human Resources Directorate.
- b. Co-ordination of Equality Impact Assessments of the university's REF2021 "Code of Practice".
- c. The administration of the University's REF Strategy Working Group, the REF Operational Working Group, and REF Staffing Panel.
- d. Providing appropriate management information to support the work of the Faculty REF Working Groups and UoA Panels.
- e. Co-ordination of contributions from the Finance Directorate, Human Resources Directorate, Planning & Statistics Directorate, and Research & Enterprise Training Institute (GRE), through the REF Operational Working Group.

4. Faculty Directors of Research & Enterprise

On behalf of the Faculty Pro Vice-Chancellors, are the strategic and operational lead for overseeing the development and preparation of unit of assessment submissions, working across departments and Faculties as appropriate (where unit of assessment submissions include staff across Faculty structures). Main duties and responsibilities include: providing strategic guidance to relevant UoA Leads to support optimal performance in the REF; establishing and chair appropriate Faculty fora for the determination, discussion and dissemination of information relating to Faculty REF strategy; provide updates to DVC (R&E) and the REF Strategy Working Group of progress toward major REF objectives and to identify barriers and possible solutions to their achievement. They will ensure the university's REF 2021 Code of Practice and its underpinning principles are effectively communicated and understood, using the most appropriate means of communication to all staff members within their respective Faculties. They are

members of the university Research & Enterprise Committee, REF Strategy Working Group, Faculty REF Working Group, and UoA Panels.

5. REF Unit of Assessment (UoA) Leads

Each Faculty will identify a REF UoA Lead for each intended submission, ratified by the Faculty REF Working Group. These will be members of research staff with expertise in a discipline relating to their particular submission. REF UoA Lead will be responsible for assembling the submission, in particular, the Environment Statement and the identification and recommendation selected Impact Case Studies. A Faculty Director of Research & Enterprise may also act as a REF UoA Lead. They lead a REF UoA Panel and are members of the Faculty REF Working Groups.

6. REF Human Resources Officer

The REF-HR Officer is a senior member of the Human Resources Directorate, who will be responsible for provision of definitive information on employment policies and procedures within the university and related issues regarding academic staff in the context of the REF. They are a member of the REF Strategy Working Group, REF Operational Working Group, REF Staffing Panel, and the REF EDI Panel.

7. Senior Equality, Diversity & Inclusion Officer

The Senior Equality, Diversity & Inclusions Officer, based in the Human Resources Directorate, will be responsible for reviewing the equal opportunity analysis and for providing advice and recommendations on equal opportunities aspects of the REF preparation. They will also provide training on equal opportunities issues for all staff involved in making recommendations and decisions related to the university's REF submission, including members of the REF Strategy Working Group, REF Staffing Panel, REF Appeals Panel, Faculty REF Working Groups, and UoA Panels. They will provide expert advice and support to UoA REF EDI Advisors in considering personal circumstances submissions, and any individual or unit reductions. They will be a member of the REF Equality, Diversity and Inclusion Panel.

8. REF UoA EDI Advisors

Each UoA will identify one named REF-EDI Advisor who will be responsible for disseminating information on all matters related to equality and diversity, assisting staff (where possible) in understanding how equalities matters may be considered in light of the University's REF submission, and supporting staff who volunteer Personal Circumstances. Individual personal discussions between the UoA REF-EDI Officers and staff may contain sensitive issues and are therefore bound by confidentiality requirements at the request of the staff member. Intricate matters should be addressed by them in consultation with the Senior Equality, Diversity & Inclusion Officer, once approved by the individual staff member.

9. Co-Chair (Academic), University Equality, Diversity & Inclusion Committee

The Academic Co-Chair of the university EDI Committee will chair the REF Equality, Diversity and Inclusion Panel, where personal circumstances applications will be considered, and recommendations on output reductions made. They will be responsible for establishing REF EDI training with support from the Senior Equality, Diversity & Inclusion Officer.

10. University Secretary

The University Secretary is Chair of the REF Appeals Panel, that will consider cases of appeal from individual staff who feel that their inclusion/exclusion from the REF submission is inconsistent with the University's REF2021 Code of Practice. The Chair of the REF Appeals Panel will make recommendations to the REF Staffing Panel and REF EDI Panel as appropriate.

V.3 Appendix C – Minutes of relevant meetings approving REF2021 Code of Practice

Minutes for the third meeting of the Research & Enterprise Committee for the 2018/19 Academic Session, held on Wednesday, 6th February 2019, 2.00pm in B028, Medway Campus

PRESENT:

Prof J Bonet	Chair, Deputy Vice-Chancellor (R&E)
Prof A Westby	Vice-Chair
Prof P Griffiths	Director of Research & Enterprise (GRE)
Prof B Cronin	PVC (BUS) Nominee
Dr C Monks	PVC (E&H) Nominee
Prof D Wray	PVC (E&S) Nominee
Prof C Bailey	PVC (LAS) Nominee
Prof A Mehra	Head of Research & Enterprise Training Institute
Mr A Papa	Student Union Representative
Ms U Arif-Fryer	Student Union Representative
Mr P Angelo	Secretary

APOLOGIES FOR ABSENCE:

Dr C Papaix	PVC (BUS) Nominee
Prof P Maras	PVC (E&H) Nominee & uREC Chair
Prof T Reynolds	PVC (LAS) Nominee
Mr N Cormack-Bissett	Head of Research Development Services
Mrs W Curran	Finance Manager
Ms P Gibson	ECR/PGR Nominee
Ms H Doon	Student Union Representative

R&EC-18-3-4.2 Code of Practice update

The Chair introduced a number of slides to the Committee that provided an update as to the latest developments with regards to the Code of Practice that needs to be written and submitted to Research England by 7th June 2019. This is a critical document that sets out how staff will be identified to be submitted under the REF 2021 exercise and how outputs will be selected for submission. Staff will be identified who have a significant responsibility for research (SRR) and this will be a complex operation and will need to be written carefully. In the final guidance documents provided by Research England these are defined as staff for whom 'explicit time and resources for research are made available, to engage actively in independent research, and that is an expectation of their job role'.

The intention would be to create an individual profile for each academic member of staff that includes indicators on employment and expectation, resources, and research activity (career pathways, BAW allocations for research, internal/external funding, GREAT outputs, PhD supervision etc). A central panel would then make a decision on whether an individual has a significant responsibility for research using these data sets. The individual would be duly informed of the outcome and have the right to appeal if not in agreement.

The Committee discussed each slide in detail and the Chair reminded panel members that these would form the basis of the Code of Practice workshops that the Chair would be holding in March. Five such workshops have been planned across all the campuses and the

Chair stressed how important it was for relevant staff members to attend these. As a result, **the Chair requested that Faculty Directors of Research & Enterprise send any comments and suggestions to him as soon as possible to make any necessary amendments, and that details of the workshops be disseminated to staff immediately after this meeting.**

ACTION: CHAIR/FACULTY DIRECTORS OF RESEARCH & ENTERPRISE

Minutes for the fourth meeting of the Research & Enterprise Committee for the 2018/19 Academic Session, held on Wednesday, 10th April 2019, 2.00pm in G104, Avery Hill Campus

PRESENT:

Prof J Bonet	Chair, Deputy Vice-Chancellor (R&E)
Prof P Griffiths	Director of Research & Enterprise (GRE)
Prof B Cronin	PVC (BUS) Nominee
Prof P Maras	PVC (E&H) Nominee & uREC Chair
Dr C Monks	PVC (E&H) Nominee
Prof D Wray	PVC (E&S) Nominee
Prof T Reynolds	PVC (LAS) Nominee
Dr H Lu	PVC (LAS) Nominee (invited)
Prof A Mehra	Head of Research & Enterprise Training Institute
Mr N Cormack-Bissett	Head of Research Development Services
Mr A Papa	Student Union Representative
Ms U Arif-Fryer	Student Union Representative
Mr M Batmaz	ILS Head of Infrastructure (invited)
Mr B Kelland	ILS Team Leader - Platform & Systems (invited)
Mr P Angelo	Secretary

APOLOGIES FOR ABSENCE:

Prof A Westby	Vice-Chair
Prof C Bailey	PVC (LAS) Nominee
Dr C Papaix	PVC (BUS) Nominee
Mrs W Curran	Finance Manager
Ms P Gibson	ECR/PGR Nominee

R&EC-18-4-4.1

Code of Practice update

The Chair presented two papers to the Committee that both related to the Code of Practice that was being developed for the REF 2021 exercise. The first set out comments and issues from the recent staff consultation workshops that had taken place. There were some common themes that had been summarised for general discussion by the Committee. There had been a good level of engagement at the workshops and the questions/feedback that had arisen from them were noted by panel members.

The second paper was an updated draft of the Code of Practice which now needed careful consideration as it was in the process of being finalised. There were ongoing discussions with the relevant Unions (UCU/Unison) and the final draft was scheduled to be presented at the next meeting of Academic Council on Wednesday, 24th April. After some considerable discussion, **the Committee**

agreed to some minor amendments, and once these had been made, the Chair requested that this version be made available on the University webpages. The Chair highlighted that the purpose of this was not to invite further comments as it was to be this draft that required ratification by Academic Council.

ACTION: CHAIR/HEAD OF RESEARCH DEVELOPMENT SERVICES

ACADEMIC COUNCIL

Record of the third meeting of Academic Council in the 2018-2019 academic session, held on 24 April 2019 at 3pm in room 075, Queen Anne Court, Greenwich Campus.

Present:	David Maguire, Vice Chancellor (Chair) Maria Arche, Teaching and Research Javier Bonet, DVC (Research & Enterprise) Paul Butler, Director, ILS Adrian Dobbs, Head of Department Peter Griffiths, Director of GRE Veronica Habgood, Director of Learning & Teaching Meike Imberg, elected student member Darrick Joliffe, Head of Department Benz Kotzen, Teaching and Research Pam Maras, Chair of UREC Wim Melis, Teaching and Research Derek Moore, PVC Hilary Orpin, Teaching and Research Alessio Papa, elected student member Elena Papadaki, Teaching and Research	Peter Garrod, University Secretary (Executive Secretary) Sandhiran Patchay, Teaching and Research Lauren Pecorino, Teaching and Research Anna Romanova, Teaching and Research Claire Rossato, Early Career Academic Clare Saunders, University Director of Teaching and Learning Henry Setter, elected student member Chris Shelley, Director of Student & Academic Services Jon Sibson, PVC Jono Smith, elected student member Andrew Westby, Director of NRI
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AC/18.46 REF2021 CODE OF PRACTICE

The Deputy Vice Chancellor, Research and Enterprise informed COUNCIL that the university's REF2021 Code of Practice would need to be submitted to and approved by Research England before the university could submit to REF2021. The draft Code of Practice had been approved by the Research and Enterprise Committee on 10 April 2019 following feedback obtained at a series of workshops on the broad principles and processes of the draft Code of Practice.

The version submitted to the COUNCIL would also be discussed at the meeting of the trade union Joint Negotiating Committee on 8 May 2019, would be presented to the Equality, Diversity and Inclusion Committee for approval on 22 May 2019 and would be presented for final approval at the 22 May 2019 meeting of the Research and Enterprise Committee.

COUNCIL **approved** the broad principles and processes detailed in the university's REF2021 Code of Practice.

**Minutes of the Third Meeting of the Joint Negotiating Committee
2018-19 Academic Session
8th May 2019, 2:00pm
G101, Avery Hill Campus**

Present:

Karen Bryan	PROVOST
Javier Bonet	Deputy Vice Chancellor – Research and Enterprise
Gail Brindley	Director of Human Resources
Kirsty Goulding	Head of HR Services
Rob Morris	HR Policy Manager
Naseer Ahmad	Interim Equality, Diversity and Inclusion Manager
Mig Farinas- Almeida	UCU
Stuart Inman	UNISON
Evie Keane	PROSPECT
Clive Scoggins	PROSPECT – Branch Negotiations Officer

In attendance:

Vickie Tomkins	Secretary
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Apologies:

Nataliya Rumyantseva	UCU
Clive Smith	GMB

JNC/18.18 Welcome, Introduction and Apologies

The Chair noted some new attendees and asked the Committee to introduce themselves and welcomed Trades Union colleagues to the third meeting of the academic session, in particular Clive Scoggins, PROSPECT full time officer who was attending for the first time.

Apologies were recorded from Nataliya Rumyantseva, UCU and Clive Smith, GMB who had given written permission for the meeting to go ahead in the absence of a representative from GMB.

JNC/18/19 REF 2021 – Code of Practice

Javier Bonet directed the Committee to the draft Ref 2021 Code of Practice which had been prepared following Research England guidelines. He reminded the Committee of his presentation to the first meeting of the 2018 academic session and explained that in line with the action point from that meeting, Adrian Dobbs, an academic with a particular interest in research had been appointed to the Group working on the development of the new Code of Practice. Following the development of the draft Code of Practice, the University had entered into the consultation stage of the process. The document had been presented to the Research and Enterprise Committee in February, a set of slides had been made available online with an online mechanism for raising ideas and suggestions. 5 workshops had been arranged to engage with staff. Two had been held at Greenwich and Medway and one at Avery Hill and two meetings had been held to consult with trades unions. The draft had then been revised considering all comments made during the consultation process. Two specific meetings had also taken place with Prospect and UCU Trades unions to review the document (10th April and 2nd May). In these meetings further clarity was requested around the appeals process, in particular, to outline trades union involvement. This has been incorporated into the final draft which is also accompanied by an Equality Impact Analysis which

demonstrates that our intended procedures do not discriminate against groups with protected characteristics. Formal approval had also been gained from Academic Council in April and the meeting today would also serve as a further level of approval. The final step in the approval process would be from Research and Enterprise Committee later in May before the document is submitted to Research England on 7th June.

The academic trades unions, UCU and PROSPECT, formally ratified and approved the Ref 2021 Code of Practice and JB thanked Evie, Nataliya and Adrian for their involvement.

Equality, Diversity and Inclusion Committee

Minutes of the Third Meeting of the Equality, Diversity and Inclusion Committee in the 2018-19 Academic Session, held on 16 May 2019, at 2.00 pm, in Room G104, Grey Building, Avery Hill Campus

Present:

Gail Brindley	Director of Human Resources (Co-Chair) (GB)
Mark O'Thomas	Pro Vice-Chancellor FLAS (Co-Chair) (MO)
Naseer Ahmad	Interim EDI Officer (NA)
Rachel Ashton	Interim Faculty Operating Officer Business (RA)
Christine Couper	Director of Strategic Planning (CC)
Ciara Doyle	Disability Staff Network Chair (CD)
Paul Nicholson Lewis	LGBT+ Staff Network Chair (PNL)
Dave Puplett	Head of Library Services (DP)
Nana Reynier	Head of Organisation and People Development (NR)
Henry Setter	Student Union Vice-President (Welfare) (HS)
Chris Shelley	Director of Student and Academic Services (CS)

In Attendance:

Javier Bonet	Deputy Vice-Chancellor (Research & Enterprise) (JB)
Rania Hafez	BAME Staff Network Secretary (RH)
Liz Laurence	Secretary (LL)

Apologies:

Tim Barry	FES Representative (TB)
Will Calver	Widening Access Consultant (WC)
Simone Murch	Senior EDI Officer (SM)
Sandhiran Patchay	BAME Staff Network Chair (SP)
Clare Saunders	Director of Teaching and Learning (CIS)
Mandy Stevenson	Deputy Head of Department - Family Care & Mental Health (MS)

EDIC/18.28 Ref Code of Practice and EIA

Received:

Copies of the Code of Practice for the Ref 2021 Submission, the Equality Analysis and a verbal report by JB.

Reported:

- a) the submission process was explained and the date for submission was confirmed as 7 June;
- b) it was explained that the submission must comply with Equality Legislation and that an EIA had been produced;
- c) that the submission had already been through 5 workshops, Academic Council and JNC.
- d) that the composition of the REF E&D Panel would be carefully considered and this committee would be asked to confirm the panel.
- e) the EIA was circulated and it was reported that there was a slight bias (5%) towards males but this was not considered substantial enough to concern Research England;
- d) discussions were held on the documents and suggestions made as follows:

data relating to gender reassignment was considered too small to include and it was thought that a footnote to this effect should be used;

that the narrative in the document should be more nuanced and more engaging;

that more work needed to be done in relation to the declaration of disabilities and sexuality;

that the creating of the staff networks could help with improving the capture of data

that staff who don't declare should not be forgotten and sensitivity should be shown to those who do not wish to do so;

- e) comments would be received and changes made as appropriate.

Minutes for the fifth meeting of the Research & Enterprise Committee for the 2018/19 Academic Session, held on Wednesday, 22 May 2019, 2.00pm in B028, Medway Campus

PRESENT:

Prof J Bonet	Chair, Deputy Vice-Chancellor (R&E)
Prof A Westby	Vice-Chair
Prof P Griffiths	Director of Research & Enterprise (GRE)
Prof B Cronin	PVC (BUS) Nominee
Prof P Maras	PVC (E&H) Nominee & uREC Chair
Dr C Monks	PVC (E&H) Nominee
Prof D Wray	PVC (E&S) Nominee
Prof C Bailey	PVC (LAS) Nominee
Prof A Mehra	Head of Research & Enterprise Training Institute
Mr N Cormack-Bissett	Head of Research Development Services
Mrs W Curran	Finance Manager
Mr P Garrod	University Secretary (invited)
Mr P Angelo	Secretary

APOLOGIES FOR ABSENCE:

Prof T Reynolds	PVC (LAS) Nominee
Dr C Papaix	PVC (BUS) Nominee

Ms P Gibson
Mr A Papa
Ms U Arif-Fryer

ECR/PGR Nominee
Student Union Representative
Student Union Representative

R&EC-18-5-4.1 Code of Practice update

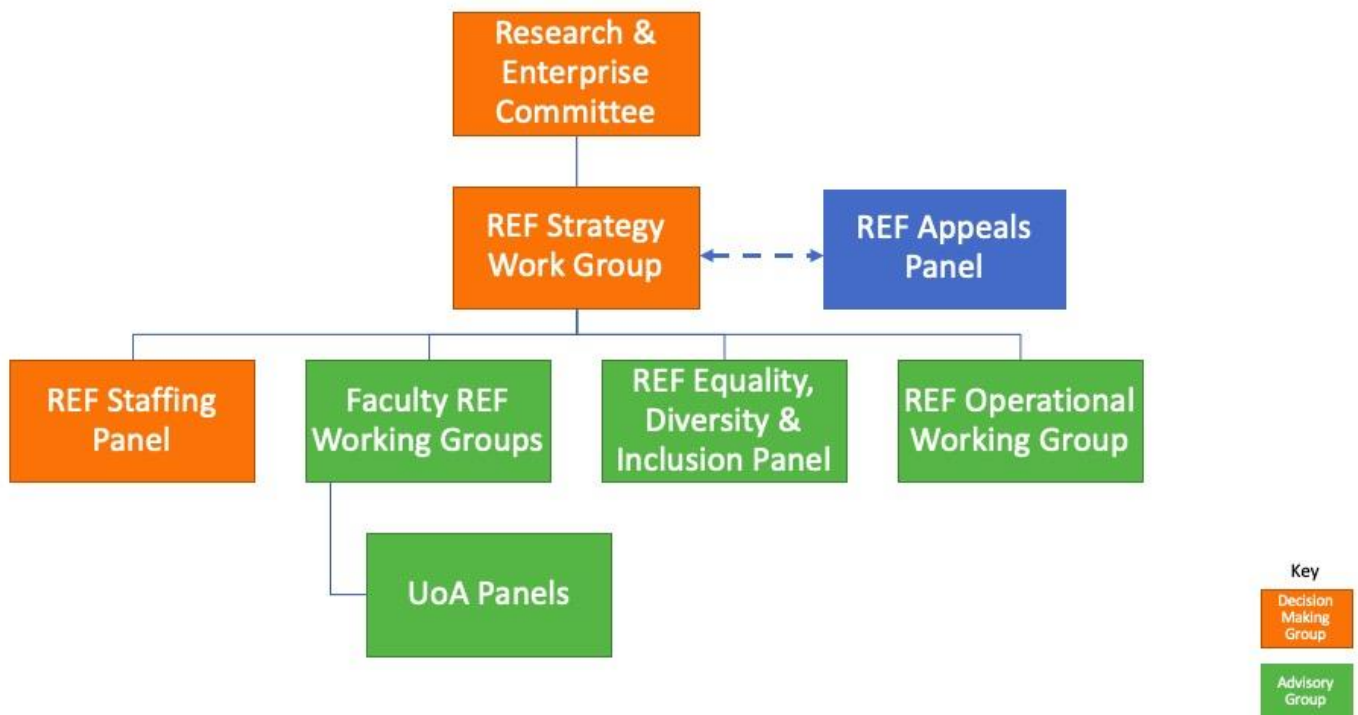
The Chair presented the final draft of the Code of Practice to the Committee following some amendments from the previous meeting and endorsement from Academic Council. The Chair stressed that the Code of Practice had now been approved at all the necessary levels which included Academic Council, the Joint Negotiating Committee (JNC), and the University Equality Diversity and Inclusion Committee (EDI). All the requisite appendices had now been added and after further discussion the Committee ratified this final version. **The Chair stated that the Vice-Chancellor or a designated nominee would now submit the Code of Practice, following endorsement at the Provost Group Meeting (to be held 3 June 2019) to Research England before the Friday, 7th June deadline.**

ACTION: CHAIR

V.4 Appendix D – Committees and Panels supporting the REF2021 submission

Terms of Reference, including membership, for committees and panels supporting the university's REF submission are detailed in the sections that follow. All staff members were appointed to their posts through open advertisement, in line with the University's Recruitment and Selection Policy, and complying with the University's Equal Opportunities Policy. Individual members of groups were appointed because of their role or expertise within the university. Membership of groups aim to cover a range of characteristics, including protected characteristics under the Equality's Act 2010, disciplinary spread, and career stage.

The diagram below represents the various committees and panels and their relationship to each other. Decision making groups are shown in orange, with advisory groups shown in green. The REF Appeals Panel is an independent group that will consider individual staff appeals against the inclusion or exclusion from the university's REF submission, based on the university's REF2021 Code of Practice.



V.4.1 Research & Enterprise Committee – Terms of Reference

PURPOSE

The Research and Enterprise Committee (REC) is responsible for the strategic development of the research and enterprise environment and activities of the university and the delivery of research degree provision.

TERMS OF REFERENCE

1. To develop strategy and policy for university research and enterprise;
2. To plan, monitor and audit implementation of the university research and enterprise strategies, ensuring consistent quality in research and enterprise across the faculties;
3. To advise on the distribution of university funds to support delivery of the university research and enterprise strategies;
4. To approve, monitor and administer research degree registrations, transfers, supervision and examination arrangements;
5. To oversee research degree student supervision and training
6. To consider research degree student performance and awards;
7. To make recommendations to Council on:
 - Developments to research and enterprise strategy and policy;
 - Developments arising from the monitoring and auditing of university research and enterprise activities;
 - Distribution of relevant research and enterprise funding;
 - Research degree awards.
8. To approve on behalf of the Council:
 - Arrangements for research degree registrations, transfers, supervision and examination;
 - Arrangements for the delivery of research degree student supervision and training.

MEMBERSHIP

- Deputy Vice Chancellor (Research and Enterprise) (**Chair**)
- University Director of Research and Enterprise
- Director of Postgraduate Research
- Two members of staff appointed by the Pro Vice Chancellor of each Faculty (8 in total on staggered two-year appointments)
- One Early Career Researcher
- Two student representatives, nominated by the Students' Union

Other staff to be co-opted as necessary

REPORTING

R&EC will submit to Academic Council:

- Minutes of all meetings;
- Reports setting out proposals and recommendations for approval.
- Reports detailing approved actions under authority delegated by Council

PURPOSE

The central REF Strategy Working Group will have the responsibility for overseeing the University's preparations for, and submission to, the Research Excellence Framework 2021 (REF2021) in accordance with the objectives established in the University's Research & Enterprise Strategy.

REPORTING

The Research and Enterprise Committee.

FUNCTIONS

- a. To provide overall academic and administrative oversight of the preparation and submission to the research excellence framework.
 1. The REF Strategy Working Group will monitor all developments of the Research Excellence Framework assessment proposals; criteria and submission guidance as developed by HEFCE, to facilitate the development of related university strategies and policies.
 2. Ensure relevant information is communicated to stakeholders across the university using various mediums.
 3. To ensure a timely submission.
- b. To put in place an annual cycle of assessment, namely, the Greenwich REF Exercise Assessment Trial (GREAT), in order to prepare the University for REF2021 in a timely and robust manner.
- c. To evaluate annual results of each Greenwich REF Exercise Assessment Trial (GREAT), commencing in 2016 and present recommendations to the Research and Enterprise Committee about options for the Research Excellence Framework 2021 submission.
- d. To provide feedback at University level to Faculties regarding their submissions according to the outcomes of GREAT cycles.
- e. To make recommendations about which research should be submitted congruent with University strategy.
 1. To determine the Units of Assessments (UoA) to which submissions will be made.
 2. To review and approve REF unit of assessment statements of intent.
 3. To review and approve the staff included for submission in each UoA.
 4. To review and approve the university's final Research Excellence Framework submission.
- f. To adhere to the university's obligations under the Equality Act 2010 to avoid unlawful discrimination in terms of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex or sexual orientation.
- g. The REF Strategy Working Group will meet quarterly as from January 2016 and bi-monthly during the last 12 months before the submission deadline.

MEMBERSHIP

The REF Strategy Working Group shall consist of senior staff members representing Faculties and Directorates across all three campuses of the University. The REF Strategy Working Group will have the authority to co-opt other members as necessary to ensure appropriate coverage across the disciplines.

Deputy Vice Chancellor, Research & Enterprise (**Chair**)

Head of Research Development Services (**Secretary and REF Manager**)

Director of Research & Enterprise (GRE)

Director of Human Resources

Faculty Director of Research & Enterprise - FLAS

Faculty Director of Research & Enterprise – FBUS

Faculty Director of Research & Enterprise – FEH
Faculty Director of Research & Enterprise – FES
Professor in English Literature & Literary Studies – FLAS
Professor of Social Sciences – FLAS

CO-OPTED MEMBERS

TBC

PURPOSE

The central REF Operational Working Group will be responsible for implementing the university's REF strategy and overseeing the processes in support of the annualised Greenwich REF Exercise Assessment and Trial and final Research Excellence Framework submission.

REPORTING

The Research Strategy Working Group.

FUNCTIONS

- a. To provide overall administrative oversight of the research assessment process.
 1. In consultation with key stakeholders, co-ordinate the preparation of relevant data commissioned by the REF Project Manager, pertaining to research activity such as staff data, research income and student data for review by the REF Strategy Working Group and Unit of Assessment Co-ordinators.
 2. To provide support for the capture, preservation and dissemination of research outputs, the research environment and impact case studies in compliance with criteria determined by Research England.
 3. To maintain the quality, integrity and confidentiality of data held on the University's information systems likely to contribute to REF returns - including the Student System, the HR system, the Finance system, and the Research Repository.
 4. To ensure a timely submission to the request of services/data.
 5. To facilitate implementation of the university's code of practice on the preparation of the Research Excellence Framework.
 6. To ensure adherence of the university's obligations under the Equality Act 2010 to avoid unlawful discrimination in terms of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex or sexual orientation.
- b. The REF Operational Working Group will meet as required from January 2016 and bi-monthly during the last 12 months before the submission deadline.
- c. They will have the authority to co-opt other members as necessary.

MEMBERSHIP

The REF Operational Working Group shall consist of directorate staff members and across all three campuses of the University.

Deputy Vice Chancellor, Research & Enterprise (**Chair**)

Head of Research Development Services (**Secretary and REF Manager**)

Head of Planning and Statistics

REF HR Officer

Research Finance Manager

Scholarly Communications Manager

Business Developments Manager

Training & Research Programme Manager

Academic Staff Representative

CO-OPTED MEMBERS

TBC

V.4.4 Faculty REF Working Group – Terms of Reference

PURPOSE

The Faculty REF Working Group (FRWG) will have the responsibility for implementing the Faculty's preparations for REF2021 in accordance with the decision and recommendations established at the REF Strategy Working Group (RSWG). This group will review the research environment structure within the Faculty, including Research Groups and potential Units of Assessment. It will also coordinate the assessment of outputs and impact cases following the methodology determined by the REF Strategy Working Group.

REPORTING

The REF Strategy Working Group (RSWG)

FUNCTIONS

- a. To provide academic and administrative oversight of the preparation and submission to the research excellence framework at a Faculty-level.
- b. To support and co-ordinate at a Faculty-level, the annual cycle of assessment, namely, the Greenwich REF Exercise Assessment and Trial (GREAT), in order to prepare the University for REF2021 in a timely and robust manner.
- c. To evaluate annual results at a Faculty-level each Greenwich REF Exercise Assessment and Trial (GREAT), commencing in 2016 and present recommendations to the RSWG about options for the Research Excellence Framework submission.
- d. To provide feedback at Faculty-level regarding their submissions and according to the outcomes of GREAT cycles.
- e. To make recommendations about which research should be submitted congruent with University strategy.
- f. To adhere to the university's obligations under the Equality Act 2010 to avoid unlawful discrimination in terms of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex or sexual orientation.
- g. The FRWG will meet as required from January 2018 and bi-monthly during the last 12 months before the submission deadline.
- h. At least one member of each of these groups will sit on the REF Strategy Working Group.

MEMBERSHIP

Faculty Director of Research & Enterprise
Faculty Unit of Assessment Leads

PURPOSE

A UoA Panel will be established for each of the UoAs to which the University may make a submission, making recommendations on the content of that UoA submission.

REPORTING

Faculty REF Working Group

FUNCTIONS

- Prepare a statement of intent for the UoA for consideration by the Faculty REF Working Group, and approval at the university REF Strategy Working Group.
- Make recommendations to the Faculty REF Working Group on the composition of the UoA and the Output Selection.
- To prepare a UoA-level-Environment Statement for submission.
- To identify potential impact case studies, and to make recommendations on the final impact case studies to be submitted as part of the UoA submission.

MEMBERSHIP

- REF UoA Lead (Chair)
- Director of Research & Enterprise (if not also the REF UoA Lead)
- 1 x Academic Staff member acting as EDI Advisor
- 1 x Academic Staff member (or more depending on disciplines included)
- Representation from Research Development Services (GRE) as required

V.4.6 REF Staffing Panel – Terms of Reference

PURPOSE & FUNCTION

To review data and information provided for each academic member of staff, and to determine in accordance with the definitions, principles and processes documented in the university's REF2021 Code of Practice (available at <https://docs.gre.ac.uk/rep/gre/ref2021-code-of-practice>) whether:

- the member of staff has significant responsibilities for research;
- has a significant connection with the University of Greenwich; and
- is an independent researcher.

REPORTING

Directly to individuals in relation to the decisions above

Faculty REF Strategy Working Group

University REF Strategy Working Group

MEMBERSHIP

Deputy Vice-Chancellor (Research & Enterprise) – **(Chair)**

Director of Research & Enterprise, GRE

Director of Human Resources

3 x Academic Staff chosen and approved by the REF-EDI Panel

V.4.7 REF Appeals Panel – Terms of Reference

PURPOSE

An independent REF Appeals Panel will be convened to consider formal appeals lodged with the Chair (following the appeals process describe in Section II.4, para.34-37) , and to communicate recommendation to the REF Staffing Panel to reconsider its decision regarding the inclusion/exclusion of individual members of staff from the university's REF2021 Submission.

FUNCTION & PROCEDURES

- The Chair will convene the REF Appeal Panel which will hold a preliminary meeting within five working days of receiving the appeal, to consider the case and determine what, if any, further investigation or evidence is needed. The Appeal Panel will request further evidence in writing
- The Chair of the REF Appeals Panel will ensure that the process is expedited for appeals received in August 2020 to October 2020 in order to ensure it is completed in sufficient time before 27 November 2020, the closing date for REF submissions.
- The REF Appeal Panel will decide whether the appeal is upheld either in full or in part, or if it is to be rejected. It will give justification for its findings and, in the case of an appeal being upheld, make specific recommendations to the appropriate university REF-related panel.
- All members of the REF Appeals Panel will have received training which will be tailored specifically to the requirements of the REF, and will cover the provisions and implementation of this Code of Practice in detail.

MEMBERSHIP

- University Secretary (Chair) or, in his absence, a qualified deputy appointed by the University's Provost Group
- Deputy Vice-Chancellor (Academic)
- Director of Human Resources
- A member of staff from Human Resources Directorate (Secretary)

PURPOSE

The REF Equality, Diversity & Inclusion Panel will have responsibility for ensuring equality, diversity and inclusion practices and processes for the university's REF submission in accordance with The Equality Act 2010.

REPORTING

The REF Strategy Working Group.

FUNCTIONS

- Equal opportunities monitoring and assurance of the annual Greenwich REF Exercise Assessment Trial (GREAT) and final submission to the Research Excellence Framework 2021.
- Specific responsibility for reviewing the Equality Impact Assessments (EIA) produced during the GREAT exercises and the final REF2021 Submission EIA.
- Commit to undertaking relevant internal and external Equality, Diversity and Inclusion training, and ensure REF-related EDI training is provided and undertaken by all staff involved in the decisions and recommendations related to the university's REF submission.
- Make recommendations to the REF Strategy Working Group in accordance with specified tariffs set for clearly defined matters identified from complex staff circumstances, the number of permitted reductions in outputs as set out by Research England.
- Provision of support and advice to the UoA Leads and UoA EDI Advisors.
- All panel members will adhere to a strict confidentiality contract when reviewing material submitted for consideration.

MEMBERSHIP

University EDI Committee Co-Chair, Academic (**Chair**)
Director of Human Resources
Head of Research Development Services (REF Manager)
Senior Equality, Diversity & Inclusion Officer
2 x Academic Staff

V.5 Appendix E – REF-related training for staff and committees

All those involved with the identification of staff with significant responsibilities for research and subsequent submission to REF2021, will participate in Equality, Diversity & Inclusion training tailored to the principles of the REF. All courses will be presented by the Senior Equality, Diversity & Inclusion Officer (Human Resources Directorate), supported by the REF Manager. Training is planned for the second half of 2019, and specific content will be developed over the summer. The underlying principles and topics described will be the basis for REF EDI Training.

REF Specific EDI Training – Advanced

Participants:

- Deputy Vice-Chancellor (Research & Enterprise)
- Director of Research & Enterprise
- Faculty Directors of Research/Enterprise
- REF Unit of Assessment (UoA) Leads
- UoA REF-EDI Advisors
- REF Manager
- Members of the REF-EDI Panel
- Members of the REF Appeals Panel
- REF Human Resources Officer

Training programme will include an online e-learning module; 'Equality & Diversity in REF2021' covering the following topics:

- How the REF process works.
- The circumstances that can justify a reduction in research outputs.
- Protected characteristics and their significance in a REF context.
- The benefits of taking account of equality & diversity factors.
- Clearly defined circumstances and their impact on research outputs.
- Complex circumstances and how these should be handled.
- The importance of handling personal and sensitive data confidentially.

One to one workshops will commence upon completion by staff of the e-learning module covering the following topics:

- An overview of the main legislation and its practical implications.
- Your role in the REF process
- Issues to be aware of since the RAE2014
- Why equality is important in the REF
- Identifying clearly defined and complex staff circumstances and using tariffs
- Implications for staff responsible for identifying staff with significant responsibilities for research
- Using case studies to identify complex staff circumstances
- Discrimination and harassment
- Preconceptions, stereotypes and barriers to equality
- Unconscious Bias
- Communication and behaviour

E&D Essentials with online module – Intermediate

Participants:

- Academic Line Managers
- Academic Portfolio Leads

Training programme will include an online e-learning module; 'Equality & Diversity in REF2021' covering the following topics:

- How the REF process works.
- Protected characteristics and their significance in a REF context.
- The benefits of taking account of equality & diversity factors.
- Implications for staff responsible for identifying staff with significant responsibilities for research
- The importance of handling personal and sensitive data confidentially.

V.6 Appendix F – REF2021 Staff Eligibility Appeals Form

Research Excellence Framework 2021 Appeals Form

Use this form if you wish to appeal against the University's decision that you will not be submitted to the Research Excellence Framework 2021 (REF2021) because you do not have significant responsibility for research, are not an independent researcher or do not have a significant connection to the University of Greenwich.

Please ensure that prior to entering into the REF Appeals Process, you contact your line manager, Unit of Assessment Lead or Faculty Director of Research & Enterprise for an informal discussion. You may also want to seek advice before submitting your appeal with the HR-REF Officer and/or your Trade Union representatives.

Please also ensure that you have read the information in the University of Greenwich's REF2021 Code of Practice, Part II.4 (available at: <https://docs.gre.ac.uk/rep/gre/ref2021-code-of-practice>).

If you wish to appeal against the outcome of the REF Staffing Panel's decision, please complete the form overleaf and send it to: REF Manager (ref2021@gre.ac.uk) by **4 March 2020**

Notes to help you complete the form

1. Complete your name (A) and Institute or Department (B).
2. Identify the Grounds for Appeal (C)
3. Make your case for the appeal (E) (500 word maximum).
4. If you have additional evidence to support your claim, this should be sent along with your form by the deadline of **4 March 2020**.

Outcome

You will be informed in writing of the outcome with 15 working days of receiving your appeals form.

REF2021 Staff Eligibility Appeals Form

A. Name	
B. Faculty and Department/School	
C. Grounds for Appeal (tick all that apply)	<input type="checkbox"/> a) Inaccurate data used <input type="checkbox"/> b) The process or decision is not in accordance with criteria, policies, or procedures described in the university's Code of Practice
D. Case for Appeal (500 words maximum) Please state why you wish to appeal and provide any evidence to support your claim.	
Signed (applicant):	
E. Recommendation of REF Appeal Panel	
F. Reasons for Recommendation by REF Appeal Panel	
Signed (Chair of REF Appeals Panel)	
E. Recommendation of REF Staffing Panel	
F. Reasons for Decision by REF Appeals Panel	
Signed (Chair of REF Staffing Panel)	

V.7 Appendix G – REF2021 Personal Circumstances Appeals Form

Research Excellence Framework 2021 Personal Circumstances Appeals Form

Use this form if you wish to appeal against the University's REF Equality, Diversity & Inclusivity Panel's decision to not approve/agree a reduction in the number of outputs based on a Personal Circumstances declaration.

Please ensure that prior to entering into the REF Appeals Process that you contact your UoA REF-EDI Advisor for an informal discussion.

Please also ensure that you have read the information in the University of Greenwich's REF2021 Code of Practice, Part IV.3 (available at: <https://docs.gre.ac.uk/rep/gre/ref2021-code-of-practice>)

If you wish to appeal against the outcome of the Equality, Diversity & Inclusion Panel's decision, please complete the form overleaf and send it to: **Senior Equality, Diversity & Inclusivity Officer** by **1 March 2020**

Notes to help you complete the form

5. Complete your name (A) and Institute, School or Department (B).
6. Identify the Grounds for Appeal (C)
7. Make your case for the appeal (E) (500 word maximum).
8. If you have additional evidence to support your claim, this should be sent along with your form by the deadline of **1 March 2020**.

Outcome

You will be informed in writing of the outcome within 15 working days of receiving your appeals form.

REF2021 Personal Circumstances Appeals Form

A. Name		
B. Faculty and Department/School		
C. Grounds for Appeal (tick all that apply)	<input type="checkbox"/> a) Wrongful application of Research England Guidance <input type="checkbox"/> b) The process or decision is not in accordance with criteria, policies, or procedures described in the university's Code of Practice	
D. Case for Appeal (500 words maximum) Please state why you wish to appeal and provide any evidence to support your claim.		
Signed (applicant):		
E. Recommendation of REF Appeal Panel		
F. Reasons for Recommendation by REF Appeal Panel		
Signed (Chair of REF Appeals Panel)		
E. Recommendation of REF Equality, Diversity & Inclusion Panel		
F. Reasons for Decision by REF Equality, Diversity & Inclusion Panel		
Signed (Chair of REF Equality, Diversity & Inclusion Panel)		

V.8 Appendix H – Declaration of Personal Circumstances Form

This document is being sent to all staff identified as have significant responsibility for research in accordance with the university's REF2021 Code of Practice (available at: <https://docs.gre.ac.uk/rep/gre/ref2021-code-of-practice>) and are therefore considered Category A Submitted staff for the purpose of REF2021. As part of the university's commitment to supporting equality and diversity in REF, we have put in place safe and supportive structures for staff to declare information about any equality-related circumstances that may have affected their ability to research productively during the assessment period (1 January 2014 – 31 July 2020), and particularly their ability to produce research outputs at the same rate as staff not affected by circumstances. The purpose of collecting this information is threefold:

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

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

Ensuring Confidentiality

The Senior Equality, Diversity & Inclusion Officer (Human Resources) will receive the full application, and store this in a password protected folder on the university's shared folder. The Head of Research Development Services (GRE) will have access to this folder, but only to access in exceptional circumstances should the need arise and the Senior Equality, Diversity & Inclusion Officer be unavailable to undertake their duties. The Senior EDI Officer will

review the application and apply the tariffs according to the 'Guidance on submissions'. The Senior EDI Officer will provide anonymised recommendations to the university REF Equality & Diversity Advisory Panel on the possible reductions on outputs. If a Unit of Assessment or Individual reduction in the number of outputs is agreed, this information will be shared with the REF Manager who will apply the reduction on the UoA output pool. The basis and the individuals' details will not be shared with anyone other than the SEDI Officer and the REF Manager. The SEDI Officer will inform the individual of the outcome of the assessment of the personal circumstances with regards to any individual output reductions

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

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

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 Senior Equality, Diversity & Inclusions Officer (Human Resources) to provide the updated information.

To submit a declaration of personal circumstances, please email a completed form to the university REF Manager at ref2021@gre.ac.uk by 4 March 2020.

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

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

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

Please confirm, by ticking the box provided, that:

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

I agree ☐

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

☐ I give my permission for an HR partner to contact me to discuss my circumstances, and my requirements in relation to these.

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

I would like to be contacted by:

Email ☐ Insert email address

Phone ☐ Insert contact telephone number

Equality Analysis (EA) (Formerly Equality Impact Assessment)

Introduction - The equality analysis is process

After implementing and completing this template in full you will have gathered evidence to ensure all documentation, delivery and organisational decisions have due regard for the Equality Act 2010. This will provide evidence to support the Public Sector Equality Duty (PSED), which requires public bodies to have *due regard (conscious thinking)* for:

- Elimination of unlawful discrimination, harassment, victimisation and any other conduct prohibited by the Act
- Advancement of equality of opportunity between people who share a protected characteristic and those who do not
- Fostering good relations between people who share a protected characteristic and people who do not

Within this document, evidence is needed to demonstrate:

- An understanding that there are differing complexities for each protected characteristic group
- Wider engagement and involvement
- Impact of the document or process on each protected characteristic group
- Data and information from engagement, consultations, routine data collection (highlighting areas where this is not collected)
- Agreement regarding the impact of the evidence
- Agreement on the remedial actions required and identification of a lead to take the action forward, with timescales



STEP 1. The Project/Policy

Title of the research/policy/procedure/provision	Code of Practice - The Research Excellence Framework (REF) 2021
Is this new / existing / revised. Please state:	This is a new Code of Practice
Describe its aims and objectives:	The Code of Practice underpinning the REF2021 submission sets out the framework for a fair and transparent process for identifying members of staff with “significant responsibility for research” (SRR), and therefore, those who will be included in that submission.
Lead/Author: Equality, Diversity & Inclusion Officer	Date Started: 03 June 2019

STEP 2. Policy/Project Outcome

What are the intended outcomes? Include an outline of objectives and function aims

The Code of Practice is intended to be a framework that enables the University to identify, in a fair, equitable and transparent way, staff with “significant responsibility for research” (SRR) for their inclusion in the REF2021 submission. The university wants to ensure that the Code of Practice treats all members of staff fairly and that it complies fully with the requirements of the Equality Act 2010 and its own Equality, Diversity and Inclusion policy [available at: <https://docs.gre.ac.uk/rep/human-resources/equality-and-diversity-policy-statement>].

Who will be affected? E.g. Students, staff, carers, service users etc.

REF2021 focuses on a particular cohort of all academic staff, namely those who are involved in “research” (as defined by Research England). The Code of Practice describes the process for identifying staff with “significant responsibility for research”, and from that pool of academic staff, those outputs that will be included in the submission.

STEP 3. Preview of Your Document

Go through each protected characteristic below and consider whether the research/policy/procedure or provision could have any impact on the following groups. Please ensure any remedial actions are Specific, Measurable, Achievable, Realistic, and Timely (SMART)

Protected Characteristic Group	<p>What evidence has been used for this assessment?</p> <ul style="list-style-type: none">This can be census data, research, complaints, surveys, reports etc.Describe how the views of students, staff and the public have been captured. <p>What does the evidence tell you?</p> <p>This should be a representation of the key facts and learning pertinent to the research/project/policy/procedure. It could be demographic data, evidence of inequality of access / outcome and learning or engagement.</p>	<p>Identify positive and negative impacts</p> <p>Where the negative impact on one particular group is likely to be greater than on another.</p> <p>Note: some negative impacts may be intended in order to achieve a differential impact on groups.</p>																																				
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		<p>academic career as they choose to focus more on teaching and learning, or take on management responsibilities. Further investigation is required to establish the reason(s) why older staff members becoming less focussed on research.</p> <p>As is evident, selecting the research career pathway is the primary director of SRR, i.e. applying the additional BAW condition does not significantly alter the distribution.</p> <p>Overall, whilst the SRR seems to pull the staff profile towards the lower age groups, no negative impact is anticipated on any age group as a result of the use of the framework in the proposed REF Code of Practice to identify staff for submission. As set out in the Code of Practice, the process will ensure no member of staff is unfairly treating in the way the framework and procedure is implemented.</p>

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Pregnancy and Maternity	Currently the university has no data for this protected characteristic. The university is in the process of introducing a new information management system which will help to capture data for all protected groups of staff.	Notwithstanding the fact the data is not available for this protected characteristic, it is still important that the university treats all staff who may fall within this category fairly and equitably. All staff will be treated fairly, and no negative impact is foreseen for any group of staff.																								
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		proportionate, so that no ethnic groups are disadvantaged as a result. The proportion of BME and White staff in the final submission will be fairly similar to their proportion in staff with SRR. This will ensure that there is no overall negative impact on any ethnic groups as result of the implementation of the Code of Practice procedure.																																																												
Religion or Belief	<table><thead><tr><th></th><th colspan="9">Religion</th></tr><tr><th></th><th>other</th><th>Buddhist</th><th>Christian</th><th>Hindu</th><th>Muslim</th><th>No religion</th><th>Prefer not to say</th><th>Sikh</th><th>Spiritual</th></tr></thead><tbody><tr><td>University</td><td>0.8%</td><td>2.1%</td><td>35.4%</td><td>2.7%</td><td>3.1%</td><td>37.2%</td><td>17.3%</td><td>0.4%</td><td>1%</td></tr><tr><td>Research Career Pathway</td><td>0.6%</td><td>1.9%</td><td>31.8%</td><td>4.5%</td><td>2.6%</td><td>37.7%</td><td>19.5%</td><td>0%</td><td>1.3%</td></tr><tr><td>BAW >20%</td><td>0%</td><td>2.2%</td><td>37.1%</td><td>3.4%</td><td>1.1%</td><td>36.0%</td><td>18.0%</td><td>0%</td><td>2.2%</td></tr><tr><td>SRR</td><td>0%</td><td>3.8%</td><td>37.7%</td><td>3.8%</td><td>1.9%</td><td>35.8%</td><td>15.1%</td><td>0%</td><td>1.9%</td></tr></tbody></table>		Religion										other	Buddhist	Christian	Hindu	Muslim	No religion	Prefer not to say	Sikh	Spiritual	University	0.8%	2.1%	35.4%	2.7%	3.1%	37.2%	17.3%	0.4%	1%	Research Career Pathway	0.6%	1.9%	31.8%	4.5%	2.6%	37.7%	19.5%	0%	1.3%	BAW >20%	0%	2.2%	37.1%	3.4%	1.1%	36.0%	18.0%	0%	2.2%	SRR	0%	3.8%	37.7%	3.8%	1.9%	35.8%	15.1%	0%	1.9%	There is a fair distribution of different religions and beliefs amongst university staff. However, the largest percentage of staff fall within the Christian and “no religion” categories, with 35.4% and 37.2% respectively. This is followed by just over 17% staff preferring not to provide this information. These percentages change slightly among staff who have SRR. Thus, Christian staff make up over 37% of staff with SRR, while staff who have no religion and those who did not provide this information, make up 35.8% and 15.1% staff respectively with SRR. This represents a decrease for the latter two categories of staff from their representation in the staff at the overall university level. The numbers however are small. There is a similar decrease in the number of Muslim staff from
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		<p>their representation in the overall university staff. Further work needs to be undertaken to ensure that wherever possible there is fair proportion of staff within SRR from these religion categories.</p> <p>Staff with other religions are represented within the staff with SRR in comparatively small proportions.</p> <p>The application of the procedure within the Code of Practice will therefore not negatively perturb the distribution of staff with different religions and beliefs.</p>																		
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		resources/equality-diversity-and-inclusion-strategy <p>This slight drift towards a male SRR population is something to be mindful of and is consistent with known trends in the HE sector.</p> <p>The procedure set out in the REF2021 Code of Practice will ensure that there is fairness and equity in the way male and female members of staff are identified for the submission. Similarly, the assessment of outputs for both female and male staff will be carried out in fair way so that no one is disadvantage by this process. It is intended that overall impact of applying this framework will be gender neutral.</p>																																			
Sexual Orientation	<table><thead><tr><th></th><th colspan="6">Sexual Orientation</th></tr><tr><th></th><th>Bisexual</th><th>Gay man</th><th>Gay woman lesbian</th><th>Heterosexual</th><th>Other</th><th>Prefer not to say</th></tr></thead><tbody><tr><td>University</td><td>1.2%</td><td>2%</td><td>1.6%</td><td>81.2%</td><td>0.6%</td><td>13.4%</td></tr><tr><td>Research Career Pathway</td><td>3.1%</td><td>1.9%</td><td>1.2%</td><td>77%</td><td>0.6%</td><td>16.1%</td></tr><tr><td>BAW >20%</td><td>1.1%</td><td>2.1%</td><td>0%</td><td>85.1%</td><td>0%</td><td>11.7%</td></tr></tbody></table>		Sexual Orientation							Bisexual	Gay man	Gay woman lesbian	Heterosexual	Other	Prefer not to say	University	1.2%	2%	1.6%	81.2%	0.6%	13.4%	Research Career Pathway	3.1%	1.9%	1.2%	77%	0.6%	16.1%	BAW >20%	1.1%	2.1%	0%	85.1%	0%	11.7%	<p>Under this protected characteristic, the data is quite small for staff who are bisexual, gay men or gay women, both in the overall University academic staff as well as among the staff with SRR. Heterosexual staff and those who preferred not to provide this information are the larger groups of staff in the overall academic staff as well as among the staff with SRR.</p> <p>The process for identifying staff and outputs will ensure that the proportion of staff under</p>
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	SRR	1.7%	1.7%	0%	81%	0%	15.5%	the different categories under this protected characteristic are submitted accordingly. This will ensure there is no adverse impact on any groups of as a result of the implementation of the REF Code of Practice.
Other Identified Groups								

STEP 4. Assess Your Evidence

Overview of your evidence in support of your research/policy/procedure/service or provision:

The data presented demonstrates overall academic staff in the university and those who have Significant Responsibility for Research from the different protected groups. This information presents the current picture of staff distribution in terms of protected groups and their percentages in research roles. It is intended that those proportions will be reflected among the staff in the final submission for REF.

Findings of your analysis: Detail any **positive** or **negative** impacts and steps that will be taken to **mitigate** the negative. (This may be supported by a SMART action plan to identify how you will address these)

The analysis presented above shows that there is no negative or adverse impact on any group with protected characteristics, as a result of the implementation of the proposed Code of Practice. The REF2021 Code of Practice processes and procedures are set out in such a way as to provide safeguards and checks and balances against bias and discrimination. For example, the governance structure established for the REF2021 preparation has number of different working groups that carry out different tasks and ensures transparency in the process. There is also a REF2021 Equality and Diversity Group which will be independent of the main decision-making groups but will have an important role of reviewing the Personal Circumstance and to carry out an Equality Impact Assessment of each internal assessment cycle. This way any issues of fairness can addressed at each stage of the process.


One way of addressing the inequalities identified in this EIA is through the implementation of the recently agreed EDI Strategy. The Strategy proposes a number of actions aimed at addressing ED issues at senior academic levels as well as those issues face be female staff and staff with other protected characteristics. This work will involve an active participation from Staff Networks and will be overseen by the EDI Committee.

Next steps: Detail how you will progress, in terms of review and how you will include equality groups in services or expand participation.

This Equality Impact Assessment is going to be a living document and will be reviewed and updated as the REF2021 Code of Practice gets reviewed and finalised over the period of coming months.

Further comments (if applicable):

STEP 5. The Final Stage

Name and position of the person conducting the Equality Analysis: Naseer Ahmad – Equality and Diversity Manager	
Date completed: 03 June 2019	
Name of responsible research/policy/procedure or provision lead: Prof Javier Bonet (DVC, Research & Enterprise)	
Signed: 	Date Signed: 03 June 2019
Date of next review: 31 January 2020	

Equality Analysis (EA)

(Formerly Equality Impact Assessment)



Introduction - The equality analysis is process

After implementing and completing this template in full you will have gathered evidence to ensure all documentation, delivery and organisational decisions have due regard for the Equality Act 2010. This will provide evidence to support the Public Sector Equality Duty (PSED), which requires public bodies to have *due regard (conscious thinking)* for:

- Elimination of unlawful discrimination, harassment, victimisation and any other conduct prohibited by the Act
- Advancement of equality of opportunity between people who share a protected characteristic and those who do not
- Fostering good relations between people who share a protected characteristic and people who do not

Within this document, evidence is needed to demonstrate:

- An understanding that there are differing complexities for each protected characteristic group
- Wider engagement and involvement
- Impact of the document or process on each protected characteristic group
- Data and information from engagement, consultations, routine data collection (highlighting areas where this is not collected)

- Agreement regarding the impact of the evidence
- Agreement on the remedial actions required and identification of a lead to take the action forward, with timescales

STEP 1. The Project/Policy

Title of the research/policy/procedure/provision	Greenwich REF Assessment Trials (GREAT) – Output Assessment for the Research Excellence Framework (REF) 2021
Is this new / existing / revised. Please state:	Existing Procedure
Describe its aims and objectives:	The GREAT cycles underpinning the REF2021 submission seeks to assess the outputs produced by academic staff at the University of Greenwich to determine the potential pool of outputs to be submitted by Units of Assessment for the Research Excellence Framework 2021.
Lead/Author: Head of Research Development Services	Date Started: 03 June 2019

STEP 2. Policy/Project Outcome

What are the intended outcomes? Include an outline of objectives and function aims

The GREAT cycles was designed as series of annual exercises - Greenwich REF Assessment Trials (GREAT) - where outputs, impact case studies, environment metrics and more recently narratives were submitted for internal and external assessment. Three full GREAT cycles have now been completed (2016,2017, and 2018), whilst GREAT2019 is currently underway as a full trial of our REF2021 submission. The aims of GREAT2019 are:

To test the Code of Practice for its effectiveness as part of an equality impact assessment during GREAT2019 for the (re)design of internal policies in relation to the University's REF2021 submission, if required.

To trial and optimise procedures for:

- Collection of information for REF2021.
- Development of output submissions.
- Creation and/or refinement of Impact Case Studies.
- Creation and/or refinement of Research Environment Statements.
- To provide peer review and feedback on trial submissions, including feedback from external advisors.

Who will be affected? E.g. Students, staff, carers, service users etc.

REF2021 focuses on a particular cohort of all academic staff, namely those who are involved in “research” (as defined by Research England). The Code of Practice describes the process for identifying staff with “significant responsibility for research”, and from that pool of academic staff, those outputs that will be included in the submission.

STEP 3. Preview of Your Document

Go through each protected characteristic below and consider whether the research/policy/procedure or provision could have any impact on the following groups. Please ensure any remedial actions are Specific, Measurable, Achievable, Realistic, and Timely (SMART)

Protected Characteristic Group	<p>What evidence has been used for this assessment?</p> <ul style="list-style-type: none">This can be census data, research, complaints, surveys, reports etc.Describe how the views of students, staff and the public have been captured. <p>What does the evidence tell you?</p> <p>This should be a representation of the key facts and learning pertinent to the research/project/policy/procedure. It could be demographic data, evidence of inequality of access / outcome and learning or engagement.</p>	<p>Identify positive and negative impacts</p> <p>Where the negative impact on one particular group is likely to be greater than on another.</p> <p>Note: some negative impacts may be intended in order to achieve a differential impact on groups.</p>																								
Age	<table><tr><td></td><td colspan="5">Age Group</td></tr><tr><td></td><td>16-24</td><td>25-34</td><td>35-44</td><td>45-54</td><td>55+</td></tr><tr><td>University</td><td>0.3%</td><td>12%</td><td>26.4%</td><td>28.1%</td><td>33.2%</td></tr><tr><td>3*/4* Outputs</td><td>0.3%</td><td>11.9%</td><td>32.9%</td><td>23.8%</td><td>31.1%</td></tr></table>		Age Group						16-24	25-34	35-44	45-54	55+	University	0.3%	12%	26.4%	28.1%	33.2%	3*/4* Outputs	0.3%	11.9%	32.9%	23.8%	31.1%	<p>The data presented here shows the overall University staff distribution based on specific age groups. A majority of the university staff are aged 35 or above, with over 33% staff aged 55 or above.</p> <p>The age distribution of staff with outputs assessed as 3* or 4* through the previous three GREAT cycles is shown.</p> <p>The age distribution for those staff with outputs assessed as 3*/4* is slightly different from the entire academic population, with a “maximum” of staff falling into age group between 35 and 54 years of age.</p>
	Age Group																									
	16-24	25-34	35-44	45-54	55+																					
University	0.3%	12%	26.4%	28.1%	33.2%																					
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	Disability													
	Disabled	Not Disabled												
University	2.7%	97.3%												
3*/4* Outputs	1.9%	98.1%												
Gender Reassignment	<table border="1"> <thead> <tr> <th></th><th colspan="2">Same Gender as Birth?</th></tr> <tr> <th></th><th>Prefer not to say</th><th>Yes</th></tr> </thead> <tbody> <tr> <td>University</td><td>5.1%</td><td>94.9%</td></tr> <tr> <td>3*/4* Outputs</td><td>6.3%</td><td>93.7%</td></tr> </tbody> </table>		Same Gender as Birth?			Prefer not to say	Yes	University	5.1%	94.9%	3*/4* Outputs	6.3%	93.7%	<p>The data shows that the university does not have any information about staff who may have different gender than the one assigned at birth. There could be a number of different reasons for this. People might lack confidence in providing information about their new gender and be concerned they would be disadvantaged. It is also possible that those staff who have said “prefer not to say”, may have had gender change and are not willing to volunteer that information.</p> <p>It is important to note though that staff members who have produced outputs assessed as 3*/4* and said “prefer not to</p>
	Same Gender as Birth?													
	Prefer not to say	Yes												
University	5.1%	94.9%												
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									<p>say” are more likely to have produced excellent research.</p> <p>An overwhelming majority of staff have confirmed the same gender as at birth, however a small number of staff have preferred not to give this information. Regardless of whether this information is provided or not, the GREAT cycles do not have any negative impact as a result of its practices.</p>
Marriage and Civil Partnership		Marriage/Civil Partnership Status							<p>Most university staff fall within two categories under this protected characteristic, those that are married or are single. This is also reflected among staff producing outputs assessed as 3*/4*.</p> <p>There is no significant shift between categories.</p>
		Co-Habiting	Divorced	Married or in a civil partnership	Prefer not to say	Separated	Single	Widowed	
	University	12.2%	3.5%	52.8%	10.6%	0.2%	20.1%	0.6%	
	3*/4* Outputs	10.9%	4.3%	53.3%	10.3%	0.0%	20.1%	1.1%	

Protected Characteristic Group	What evidence has been used for this assessment? <ul style="list-style-type: none">This can be census data, research, complaints, surveys, reports etc.Describe how the views of students, staff and the public have been captured. What does the evidence tell you? <p>This should be a representation of the key facts and learning pertinent to the research/project/policy/procedure. It could be demographic data, evidence of inequality of access / outcome and learning or engagement.</p>	Identify positive and negative impacts <p>Where the negative impact on one particular group is likely to be greater than on another.</p> <p>Note: some negative impacts may be intended in order to achieve a differential impact on groups.</p>																
Pregnancy and Maternity	Currently the university has no data for this protected characteristic. The university is in the process of introducing a new information management system which will help to capture data for all protected groups of staff.	Notwithstanding the fact the data is not available for this protected characteristic, it is still important that the university treats all staff who may fall within this category fairly and equitably. All staff will be treated fairly, and no negative impact is foreseen for any group of staff.																
Race	<table><tr><th></th><th colspan="3">Ethnicity Category</th></tr><tr><th></th><th>BME</th><th>Prefer not to say</th><th>White</th></tr><tr><td>University</td><td>35.6%</td><td>6.1%</td><td>58.3%</td></tr><tr><td>3*/4* Outputs</td><td>38.8%</td><td>4.9%</td><td>56.3%</td></tr></table>		Ethnicity Category				BME	Prefer not to say	White	University	35.6%	6.1%	58.3%	3*/4* Outputs	38.8%	4.9%	56.3%	Ethnic diversity amongst academic staff is one of the strengths of the University of Greenwich. Black and Minority Ethnic staff make up over 35% of the university's overall academic staff. That proportion goes up to over 38.8% for staff producing outputs assessed as 3*/4*. However, this shift is not deemed significant and as such the GREAT cycles and the proposed REF2021 Code of Practice framework as described does not systematically appear to disadvantage any one group.
	Ethnicity Category																	
	BME	Prefer not to say	White															
University	35.6%	6.1%	58.3%															
3*/4* Outputs	38.8%	4.9%	56.3%															

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Religion or Belief	<table><tr><td></td><td colspan="9">Religion</td></tr><tr><td></td><td>Any other religion or belief</td><td>Buddhist</td><td>Christian</td><td>Hindu</td><td>Muslim</td><td>No religion</td><td>Prefer not to say</td><td>Sikh</td><td>Spiritual</td></tr><tr><td>University</td><td>0.8%</td><td>2.1%</td><td>35.4%</td><td>2.7%</td><td>3.1%</td><td>37.2%</td><td>17.3%</td><td>0.4%</td><td>1%</td></tr><tr><td>3*/4* Outputs</td><td>0.5%</td><td>1.6%</td><td>33.9%</td><td>3.2%</td><td>1.6%</td><td>37.2%</td><td>21.0%</td><td>0.5%</td><td>0.5%</td></tr></table>		Religion										Any other religion or belief	Buddhist	Christian	Hindu	Muslim	No religion	Prefer not to say	Sikh	Spiritual	University	0.8%	2.1%	35.4%	2.7%	3.1%	37.2%	17.3%	0.4%	1%	3*/4* Outputs	0.5%	1.6%	33.9%	3.2%	1.6%	37.2%	21.0%	0.5%	0.5%	<p>There is a fair distribution of different religions and beliefs amongst university staff. However, the largest percentage of staff fall within the Christian and “no religion” categories, with 35.4% and 37.2% respectively. This is followed by just over 17% staff preferring not to provide this information.</p> <p>These percentages change slightly among staff who have outputs assessed as 3*/4* - Christian staff make up over 33.9% of staff, while staff who have no religion and those who did not provide this information, make up 37.2% and 21% staff respectively, however the change is not deemed significant for the purposes of the GREAT exercises.</p> <p>The numbers of staff across the other religions are considered small, and the variation between the university population and those with outputs assessed as 3*/4* is not deemed to have negative impact on staff based on religious belief.</p>
	Religion																																									
	Any other religion or belief	Buddhist	Christian	Hindu	Muslim	No religion	Prefer not to say	Sikh	Spiritual																																	
University	0.8%	2.1%	35.4%	2.7%	3.1%	37.2%	17.3%	0.4%	1%																																	
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	Gender													
	Female	Male												
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Protected Characteristic Group	What evidence has been used for this assessment? <ul style="list-style-type: none">This can be census data, research, complaints, surveys, reports etc.Describe how the views of students, staff and the public have been captured. What does the evidence tell you? <p>This should be a representation of the key facts and learning pertinent to the research/project/policy/procedure. It could be demographic data, evidence of inequality of access / outcome and learning or engagement.</p>	Identify positive and negative impacts <p>Where the negative impact on one particular group is likely to be greater than on another.</p> <p>Note: some negative impacts may be intended in order to achieve a differential impact on groups.</p>																												
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	Sexual Orientation																													
	Bisexual	Gay man	Gay woman/lesbian	Heterosexual	Other	Prefer not to say																								
University	1.2%	2%	1.6%	81.2%	0.6%	13.4%																								
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STEP 4. Assess Your Evidence

Overview of your evidence in support of your research/policy/procedure/service or provision:

The data presented demonstrates overall academic staff in the university and those who have outputs assessed as 3*/4* from the different protected groups. This information presents the current picture of staff distribution in terms of protected groups and their percentages in research roles.

Findings of your analysis: Detail any **positive** or **negative** impacts and steps that will be taken to **mitigate** the negative. (This may be supported by a SMART action plan to identify how you will address these)

The analysis presented above shows that there is no negative or adverse impact on any group with protected characteristics, as a result of the implementation of the proposed Code of Practice. The REF2021 Code of Practice processes and the GREAT exercises and procedures are set out in such a way as to provide safeguards and checks and balances against bias and discrimination. For example, the governance structure established for the REF2021 preparation has number of different working groups that carry out different tasks and ensures transparency in the process. There is also a REF2021 Equality and Diversity Group which will be independent of the main decision-making groups but will have an important role of reviewing the Personal Circumstance and to carry out an Equality Impact Assessment of each internal assessment cycle. This way any issues of fairness can be addressed at each stage of the process.

Next steps: Detail how you will progress, in terms of review and how you will include equality groups in services or expand participation.

This Equality Impact Assessment is going to be a living document and will be reviewed and updated as the REF2021 Code of Practice gets reviewed and finalised over the period of coming months.

Further comments (if applicable):

STEP 5. The Final Stage

Name and position of the person conducting the Equality Analysis:

Neil Cormack-Bissett, Head of Research Development Services (& REF Manager)

Date completed: 03 June 2019

Name of responsible research/policy/procedure or provision lead: Prof Javier Bonet (DVC, Research & Enterprise)

Signed:

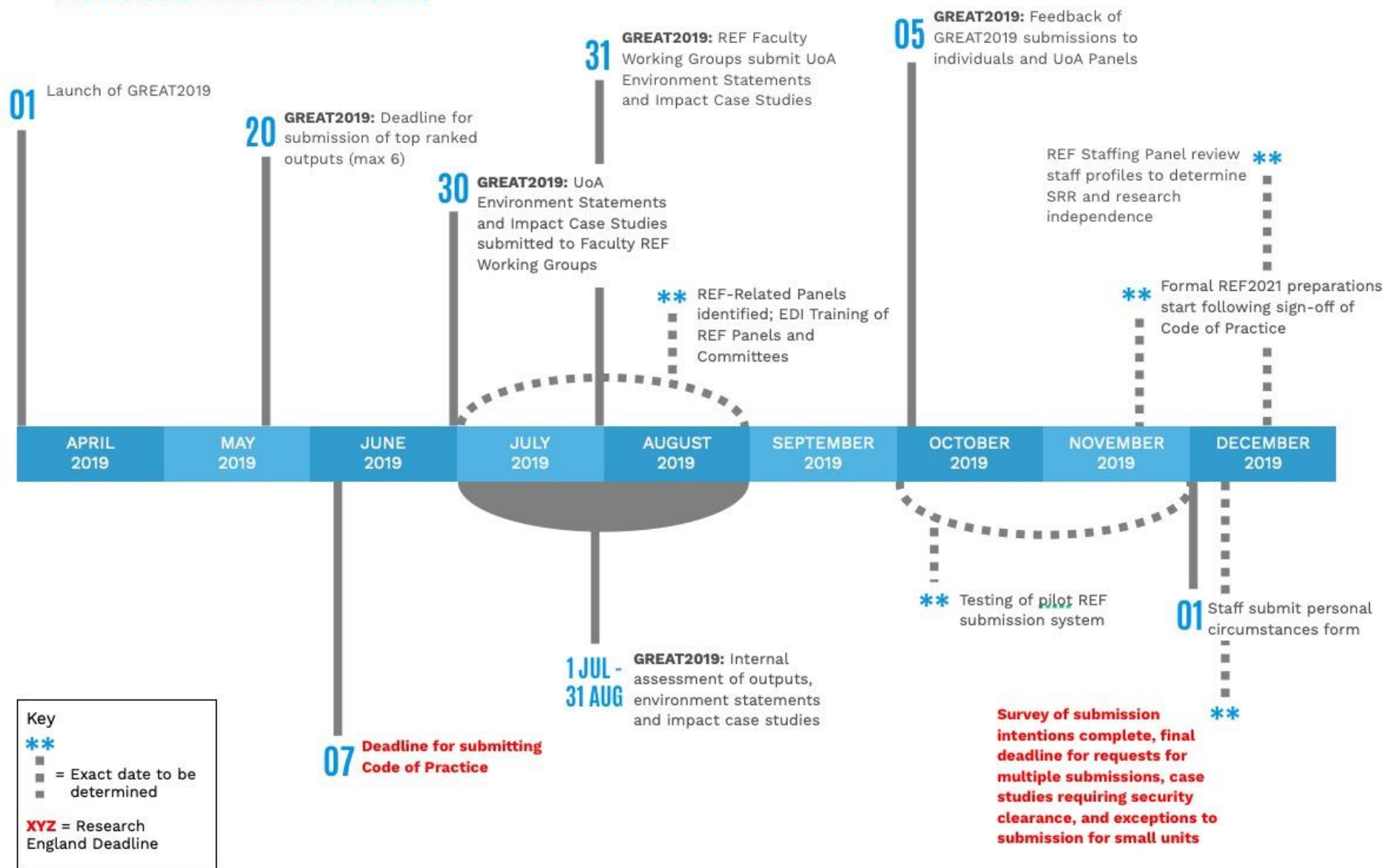


Date Signed: 03 June 2019

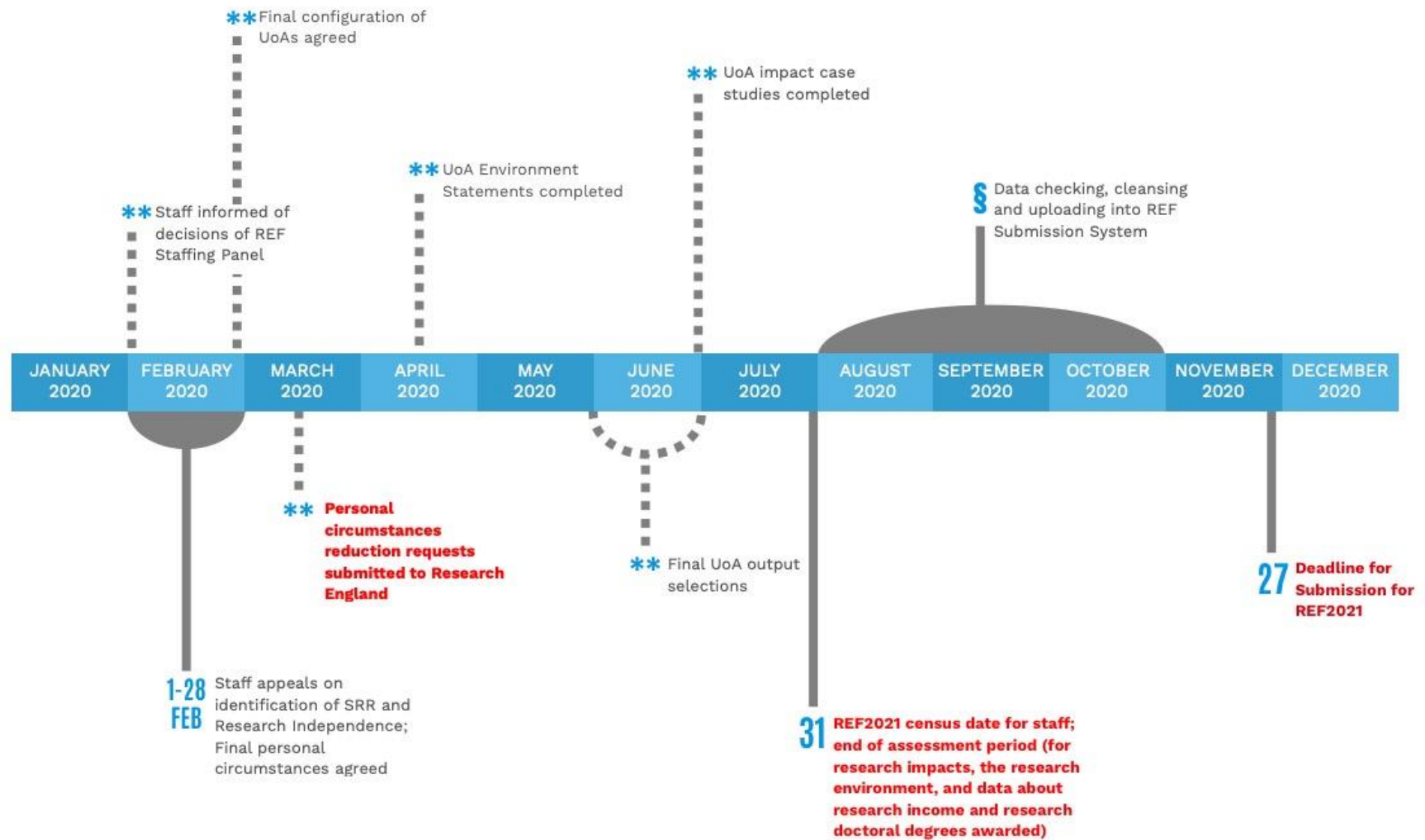
Date of next review: 31 January 2020

V.10 Appendix J – REF2021 Timeline

Provisional REF2021 Timeline



Provisional REF2021 Timeline (cont...)



V.11 Appendix K – REF2021 Action & Communications Plan

Date / Milestone	Target Audience	Communications
September 2019	REF Strategy Group Faculty REF Working Group	Summary reports for each UoA detailing Career Pathways and BAW allocations for Research for each affiliate member of staff
September 2019	UoA Leads	Formally invite UoA leads to Complete Statement of Intent, request for multiple submissions, case studies security clearance, and small unit exemptions.
October 2019	All academic staff	Invite all staff to review data and confirm correct, provide additional narrative/evidence on substantiation connection for 0.2 - 0.29 FTE, variance on BAW allocation (not related to personal circumstances)
October 2019	All participants to GREAT2019	Individual Feedback from GREAT2019 exercise for output assessment
	UoA Leads	Feedback on UoA Environment Statements, Summary of GREAT2019 Scores, Feedback on Impact Case Studies
	Impact Case Study Authors	Feedback from GREAT2019 assessment of Impact Case Studies
November 2019	All academic staff	On confirmation of acceptance of university's Code of Practice by Research England, Deputy Vice-Chancellor (Research & Enterprise) will email all academic and research staff (including a hard copy to those staff absent from work due to maternity, long term illness and other), confirming the process for identifying staff with significant responsibilities for research, timelines for the REF process, and to inform them about the University's internet pages where all REF news will be made available. All staff should familiarise themselves with the university's Code of Practice. Staff absent from work due to maternity leave, long term illness, or other reasons will be identified from the University's database. A letter detailing the requirement for familiarity with the above documents along with the relevant forms will be sent to these staff in hard copy.
December 2019	All academic staff	REF Staffing Panel meet and email all staff regarding outcome on SRR and Independence. Invite staff to submit personal circumstances declaration and highlighting the appeals process.
January 2020		Deadline for receipt of Personal Circumstances Declaration and Appeals form.
February 2020	Relevant academic staff	Staff informed of outcomes of Personal Circumstances requests; outcome of appeals process for SRR and Independence
January 2020 onwards	New academic staff	Greenwich Research & Enterprise will check monthly with HR to determine new staff who have accepted offers to join the University after 1st January 2020. New starters who meet the eligibility requirements of significant responsibility for research, will be informed of this once review by the REF Staffing Panel.
End February 2020	All academic staff	REF process update added to University's intranet.
Early March 2020 onwards	Relevant academic staff	The Equality and Diversity panel will meet at 2 monthly intervals (or more often where necessary to conclude its business in time for the final submission date) to consider new cases of special circumstances, and review revised EIA on Significant Responsibilities for Research.

April 2020 onwards	Relevant academic staff	REF Appeals Panel meet at 2 monthly intervals (or more often where necessary to conclude its business in time for the final submission date) to consider staff appeals against exclusion from the REF submission or against recommendations made by the REF Equality and Diversity Panel.
August 2020	REF Faculty Working Groups & UoA Leads	Penultimate meetings of Faculty REF Working Groups, and UoA Panels, to determine final composition of the Units of Assessment.
October 2020	All staff with significant responsibility for research	Informed of the outputs that have been selected for submission to REF2021.
27 November 2020		Final Submission Deadline

V.12 Appendix L – Letter from Vice Chancellor confirming staff representation agreement with the University of Greenwich REF2021 Code of Practice

Professor David Maguire
Vice-Chancellor



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Email: vice-chancellor@gre.ac.uk
Tel: 020 8331 8877
Date: 17th September 2019

Dear Steven,

Research Excellence Framework 2021: Codes of Practice Assessment Outcome

Thank you for your letter dated 16th August 2019, providing conditional approval of our REF2021 Code of Practice subject to obtaining further clarification on two aspects of our proposed code. Please find attached a revised document, in both tracked changes and clean versions as requested.

The first point raised in your letter refers to the adjustment of expectations of an individual's contribution to the output pool where personal circumstances are declared. In order to address and clarify this issue paragraph 52 in the original Code of Practice has been split into two (52 and 53). The revised paragraphs make explicit that: (i) the University of Greenwich places no expectation on the number of outputs in the submitted pool contributed by any academic staff beyond the minimum (1) and maximum (5) values set out in the Research England Guidance, and that this also applies when personal circumstances have been identified; and (ii) the minimum contribution to the output pool where circumstances have been declared may be set to zero, following the process described in Section IV.3. The University will use a ranking process to determine the pool of outputs submitted. Staff with significant responsibilities for research will be asked to submit *up to* 6 outputs for consideration and ranking. There is no minimum or *expected* number of outputs put forward for ranking. The cap of 6 has been determined in order not to overwhelm the process of ranking. Our previous experience in annual rounds of REF preparation exercises has been that staff put forward many more outputs for consideration than the 2.5 x Staff FTE's required in the final submission pool.

Your second point relates to seeking agreement from the staff representative groups in relation to the process for identifying staff with significant responsibilities for research. I can confirm that the procedures included in our Code of Practice have been discussed and agreed by the

two recognised trade unions that have responsibilities for academic staff at Greenwich, namely UCU and Prospect. The final version of the Code was submitted for and received formal approval to the Joint Negotiating Committee on May 8th 2019. Minutes of this meeting are included in Appendix C of the Code. This has also been clarified in Paragraph 28 of the revised Code of Practice.

I hope that the above clarifications and revised Code of Practice meet with your approval and we look forward to receiving confirmation of this as soon as possible.

Yours sincerely,



Prof David Maguire
Vice-Chancellor

