



University of Portsmouth

REF 2021

Code of Practice

Amended 9 October 2020

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Part 1. Introduction

The University of Portsmouth is a large, modern university located in the heart of this waterfront city. At present, the University has over 24,000 students and around 3,000 staff located across five faculties - Science, Technology, Humanities and Social Sciences, Business and Law, Creative and Cultural Industries - and professional services departments. The University returned 282 staff (FTE) in the previous REF 2014 exercise across 15 Units of Assessment. See <http://www.port.ac.uk> for more information.

1.1 Code of Practice

All institutions are required to develop a Code of Practice for REF 2021, setting out their approach to the identification of staff and selection of outputs for submission to this exercise. This Code outlines the University of Portsmouth's policies and processes for:

- identifying staff with significant responsibility for research,
- assessing research independence,
- selecting outputs for REF 2021,
- supporting staff with personal circumstances, and
- informing staff of the appeals process.

The policies and processes set out in this Code have been developed through consultation with staff at all levels across the University and with staff representative groups including University and College Union (UCU) representatives, who have given their agreement to this Code of Practice.

1.2 Principles for REF 2021

The University of Portsmouth's overarching principles for REF 2021 are inclusivity and quality.

Inclusive:

Inclusivity has been a key principle underlying all aspects of our approach to REF 2021. The determination of significant responsibility for research is made on consistent, objective criteria, and Equality Impact Assessments (EIAs) have been undertaken to ensure there is no direct or indirect discrimination.

Our process for selecting outputs for submission recognises the different contributions made by our staff, including those on part-time and/or fixed-term contracts. Our use of a pro-rata threshold for determining significant responsibility for research helps ensure that such colleagues are treated fairly and equally.

Transparent:

We are committed to ensuring that all REF decision-making is transparent to all those involved. This Code describes our policies and processes around staff submission and output selection in detail, resulting from consultation and discussion across key University committees, groups, and with staff more widely. We have shared information throughout the development of this Code to ensure staff are kept informed and have communicated our plans through our all-staff consultation on this Code.

The draft Code has been made available via an internal web link, and the final Code will be published internally for staff after it is submitted to Research England, and publicly once it has been approved. Staff will be able to view the Code alongside a two-page executive summary document and other REF resources.

Outcomes of all REF processes will be shared with individuals, with relevant groups, and with all staff as appropriate, with clear indications of the basis on which decisions were taken and information on any routes for appeal.

Consistent:

We have applied our core principles consistently across all REF processes, ensuring processes are applied equitably for all staff and are centred on ensuring quality while promoting an inclusive attitude. The processes established in this Code of Practice will provide a consistent overall framework under which faculties or schools and departments will have some scope to reflect disciplinary differences.

Accountable:

The individual roles and specific committees involved in REF decision-making are set out within this Code. Minutes and notes for REF-related meetings ensure a clear record of discussions and decisions, and are reported to senior university committees and made publicly available where appropriate. All committees have Terms of Reference that outline their membership and objectives. These are detailed in Appendix C of this Code.

We have also established a clear appeals process, enabling staff to seek a review of decisions and ensuring the consistent application of this Code and the accountability of those with decision-making responsibilities.

1.3 Equality and Diversity Policy

1.3.1 The Legislative Context

The Equality Act 2010 prohibits direct or indirect discrimination in relation to the protected characteristics of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex, and sexual orientation.

This Act places a requirement on universities as public sector organisations and employers. This came into force in April 2011, and requires institutions to have due regard to:

- a. Eliminating discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act.
- b. Advancing equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it.
- c. Fostering good relations between persons who share a relevant protected characteristic and persons who do not share it.

In relation to REF 2021, universities are therefore required to ensure that no REF procedure discriminates unlawfully against, or otherwise has the effect of harassing or victimising, any individual because of any protected characteristic.

Institutions must also be mindful of regulations on fixed-term employees and part-time workers, specifically that such colleagues should not be treated unfavourably compared to staff on open or full-time contracts.

1.3.2 Equality and Diversity at Portsmouth

Equality and diversity is embedded as a core value in our current University Strategy 2015-2020. Through this Strategy, we are committed to: *“respecting and celebrating diversity and equal*

opportunity through an inclusive culture,” and “inspiring and supporting staff and students to achieve their potential and meet the challenges of society”. This is reinforced by our People Strategy, which encourages staff to help create *“a culture of valuing equality, diversity, difference, respect and sustainability”.*

This REF 2021 Code of Practice sits within the framework of the University’s Equality and Diversity Policy Statement, provided at Appendix A. This is supported by underlying policies and guidance covering dignity and respect, religion and belief, and gender identity and expression, available to staff on the University’s Equality and Diversity Unit webpage.

Athena SWAN

Our commitment to equality and diversity is shown through our engagement in the Athena SWAN programme. The Athena SWAN process requires institutions to identify and address areas of inequality related to gender, including the position of transgender staff and students.

We received an institutional Athena SWAN Bronze Award in November 2014, which was retained under the new, wider scope in April 2018. We also hold departmental Bronze awards in 12 of our departments and schools.

We are working towards securing an Athena SWAN institutional Silver Award in 2021, as well as increasing our number of departmental awards. We are particularly focusing on increasing the number of women in leadership roles and in STEM fields within the institution, and tackling the gender pay gap.

Race Equality Charter

The University of Portsmouth is one of 52 institutions that has signed the Race Equality Charter. This Charter aims to tackle racial inequalities in the HE sector, and to improve the representation, progression, and success of Black, Asian and minority ethnic (BAME) staff and students. The Charter is similar to Athena SWAN, and covers professional and academic staff, student progression and attainment, and diversity in the curriculum, so is comprehensive and wide-ranging in its scope.

We signed up to the principles of the Charter in July 2018, and are in the process of preparing a submission for Charter status. This work, which is at an early stage, will involve identifying issues and areas for improvement around race and racial equality, and setting out actions to bring about genuine change. We plan to submit our application for Charter status in 2021.

Other Equality and Diversity Schemes

The University is also a Stonewall Diversity Champion, and has had the accessibility of our buildings for people with physical or other disabilities audited by AccessAble, helping us improve access for all. We are also in the process of securing membership of Disability Confident, a government scheme to help employers recruit and retain members of staff with disabilities and long-term health conditions.

We work with Working Families on developing family-friendly working policies, and are part of the Mindful Employer scheme to address workplace wellbeing and mental health, as well as Time To Change, which looks at addressing attitudes to mental health. We also work closely with Gendered Intelligence, building awareness and promoting equality across the institution for transgender staff and students, and work with Autism Hampshire to help increase awareness and support for people with autism.

We have internal equality and diversity related networks to enable staff to support one another. These include an LGBTQ Network, a Staff Multicultural Network, a Women’s Staff Network, a

Disability Staff Network, and a Parent and Carer Staff Network. We have a Harassment Adviser Network to provide help and advice to any staff or students who feel they are a victim of bullying or harassment.

1.3.3 Developments in Equality and Diversity since REF 2014

Since the last REF, we have undertaken a number of specific actions to improve equality and diversity across the institution. These include:

- Offering career development programmes for female staff.
 - 58 colleagues have attended the Advance HE Aurora women's leadership programme (2014 to 2017), of whom 30 have been subsequently promoted.
 - 92 colleagues have attended our Springboard women's personal development programme (2014-2017).
- Increasing resources to support our Athena SWAN activities.
 - Establishing a network of Athena SWAN Champions to help embed equality and diversity across the University.
 - Setting up an Athena SWAN Champions Fund of £25k per year to support projects and activities that promote gender equality.
 - Creating an annual Athena SWAN Conference to help raise the profile of equality and diversity and specifically gender issues.
 - Re-establishing the Women's Staff Network.
- Working to address family-friendly working practices, including flexible working and shared parental leave.
- Introducing staff training on Trans awareness as well as core training required for all staff on Unconscious Bias, Equality and Diversity in HE, and Anti-Bullying and Harassment.
- Requiring core training for all managers on promoting equality, diversity and inclusion in the workplace.
- Reviewing the use of part-time hourly paid contracts, and where possible and appropriate moving colleagues on such contracts to more secure academic contracts.

1.3.4 Equality Impact Assessments

Equality Impact Assessments (EIA) provide a mechanism to review processes and policies to ensure there is no unintended discrimination. The University has an established EIA process and provides internal training for staff who undertake EIAs.

Equality Impact Assessments have been undertaken and reviewed as a routine part of our REF 2021 preparations, including around key events and in relation to REF 2021 decisions.

The outcomes of the final EIA will be shared with appropriate University committees and groups, and with staff more widely. It will then be used as part of ongoing work around identifying and addressing equality and diversity issues, including our Athena SWAN Silver application and our Race Equality Charter preparations.

The schedule of Equality Impact Assessments is provided in Table 1, overleaf.

Table 1: REF 2021 Equality Impact Assessment (EIA) timeline

Timescale	Type of EIA	Areas Reviewed	Characteristics Considered	Outcomes
October 2018	Post-REF audit	Identification of staff with Significant Responsibility for Research	Gender	Results reported to REF Steering Committee, and used to help refine processes in draft Code of Practice
January 2019	Code of Practice document	The Code of Practice document as a new university policy	Gender, Age, Race, Disability, Contract Status (part-time or fixed-term)	Results used to help refine and finalise processes and draft Code.
May 2019	Proposed REF Processes	Identification of staff; research independence; output selection; appeals; staff circumstances	Gender, Age, Race, Disability, Contract Status	Results used to refine and finalise processes for the draft Code. Results reported to REF Steering Committee. Results used to advise other equality and diversity (E&D) activity, e.g. Athena SWAN.
February 2020	Post-mock REF	Identification of staff; research independence; output selection; appeals; staff circumstances	Gender, Age, Race, Disability, Contract Status	Results used to check and review processes and ensure Code of Practice is being correctly implemented. Results will be reported to REF Steering Committee, and to other E&D activity.
October 2020	Post Staff Census date 31 July 2020	Staff Submission	Gender, Age, Race, Disability, Contract Status	Results will be reported to REF Steering Committee, and to other E&D activity. Will inform final REF E&D Report post submission.
December 2020 – February 2021	EIA of outputs	Selection of Outputs	Gender, Age, Race, Disability, Contract Status	Two stage review of UoAs final selection of outputs.
May 2021	Post-submission	All elements of submission	Gender, Age, Race, Disability, Contract Status	Results will be used to help identify actions that will improve E&D ahead of the next REF exercise.

1.4 Communication and Consultation

All communication around REF 2021 has been managed by the REF Team in Research and Innovation Services (RIS), overseen by the Pro Vice-Chancellor (Research and Innovation) and directed by the Deputy Director (Environment and Strategy) in RIS. Further communication has taken place at Faculty level, led by Associate Deans (Research) and Unit of Assessment (UoA) Coordinators.

1.4.1 REF 2021 Communications

Communication with staff about REF 2021 has been underway since early 2017. Primary channels have included “all-staff” emails, as well as update bulletins from the Vice-Chancellor and Pro Vice-Chancellor (Research and Innovation), internal news items, and blog posts.

All-staff “town-hall” meetings have given staff the opportunity to hear the latest information on the University’s preparations for REF 2021, and to ask questions of the Pro Vice-Chancellor (Research and Innovation) and the REF Team from RIS.

There have also been smaller meetings, talks and discussion events, as well as presentations and Q&A sessions at specific University committees at key points over the last two years. Faculties, departments and schools have held their own REF update meetings for their staff, focused on sharing discipline-specific information and facilitating local discussion. The REF Operations Group maintains an overview of such events. UoA Coordinators and Associate Deans (Research) have also had conversations with individual staff as required, particularly around expectations of eligibility or submission to REF 2021.

A permanent, dedicated REF email address (ref@port.ac.uk) is available for staff to ask questions or raise issues, and has been highlighted in all REF communications.

Line managers manage communication with colleagues who are on long-term absence, including sharing the opportunity to engage in consultation activities. This is to ensure communication is appropriate and proportionate to each individual's circumstances, and is handled sensitively where necessary.

Full details of the communication strategy are provided in Appendix F.

1.4.2 Consultation on the Code of Practice

A consultation exercise was run in April 2019, disseminating the draft Code to all staff via an email from the Pro Vice-Chancellor (Research and Innovation) and inviting feedback. Managers also made this information available to all staff on long-term absence from the University. An executive summary document was provided alongside the full draft Code, and staff were able to respond via an online form or by email to the dedicated REF email address.

Specific groups within the University were invited to engage, including the Women's Staff Network, Multicultural Staff Network, Parents' and Careers' Network, LGBTQ Network, Athena SWAN Champions, Race Equality Charter team, Academic Staff Association, Support Staff Association, and Researchers' Network.

The Code was shared for discussion at Faculty level committees and groups, and presentations were given to the University Research Degrees Committee, Academic Council, and University Executive Board, as well as at Forums for Readers, Professors, Heads of Schools and Departments. Colleagues from Human Resources (HR) and Research and Innovation support staff were also consulted.

Dedicated meetings took place with Union representatives from the University and College Union (UCU), who also attend our REF Steering Committee meetings as observers and were thus able to engage fully in the development of our Code and give their agreement to the final version.

The Consultation Plan for this Code of Practice, including a full timeline of consultation events, presentations and communications, is available in Appendix G.

1.5 Timeline of REF 2021 Preparations

Table 2 (overleaf) sets out some of the key elements of the University's preparations for our submission to REF 2021.

Table 2: Timeline of REF 2021 Preparations

Timeline	Task
June – September 2018	REF Audit. Initial selection of outputs by staff and other stakeholders. Assessment of eligibility and submission.
January 2019	Final REF Guidance released.
June 2019	Submit Code of Practice.
June 2019	Begin preparations for 2019 mock REF. Initial assessment of eligibility and submission.
June 2019	Staff advised of provisional assessment of eligibility and submission.
June 2019	University processes open for declaring circumstances, proposing additional outputs, and submitting appeals.
August 2019	Updated assessment of eligibility and submission.
September 2019	Deadline for proposing outputs (excluding new staff or newly published outputs).
November 2019	Mock REF results.
December 2019	Updated assessment of eligibility and submission.
December 2019	First stage of University process for declaring circumstances closes).
January – March 2020	REF E&D Group consider staff circumstance declarations and submit any request for reductions or waivers.
March 2020	Updated assessment of eligibility and submission.
March 2020	Research England deadline for submitting reduction and waiver requests.
June 2020	Final assessment of eligibility and submission.
July 2020	REF Census date – 31 July 2020.
September 2020	Final review of eligible and submissible staff.
October 2020	Staff advised of final assessment of eligibility and submission.
November 2020	University process for declaring circumstances closes (barring exceptional circumstances).
December 2020 – January 2021	REF E&D Group consider new staff circumstance declarations and any potential reductions or waivers to apply at the point of submission.
January 2021	University process for submitting appeals closes.
February 2021	Final output selection completed.

March 2021	Submission.
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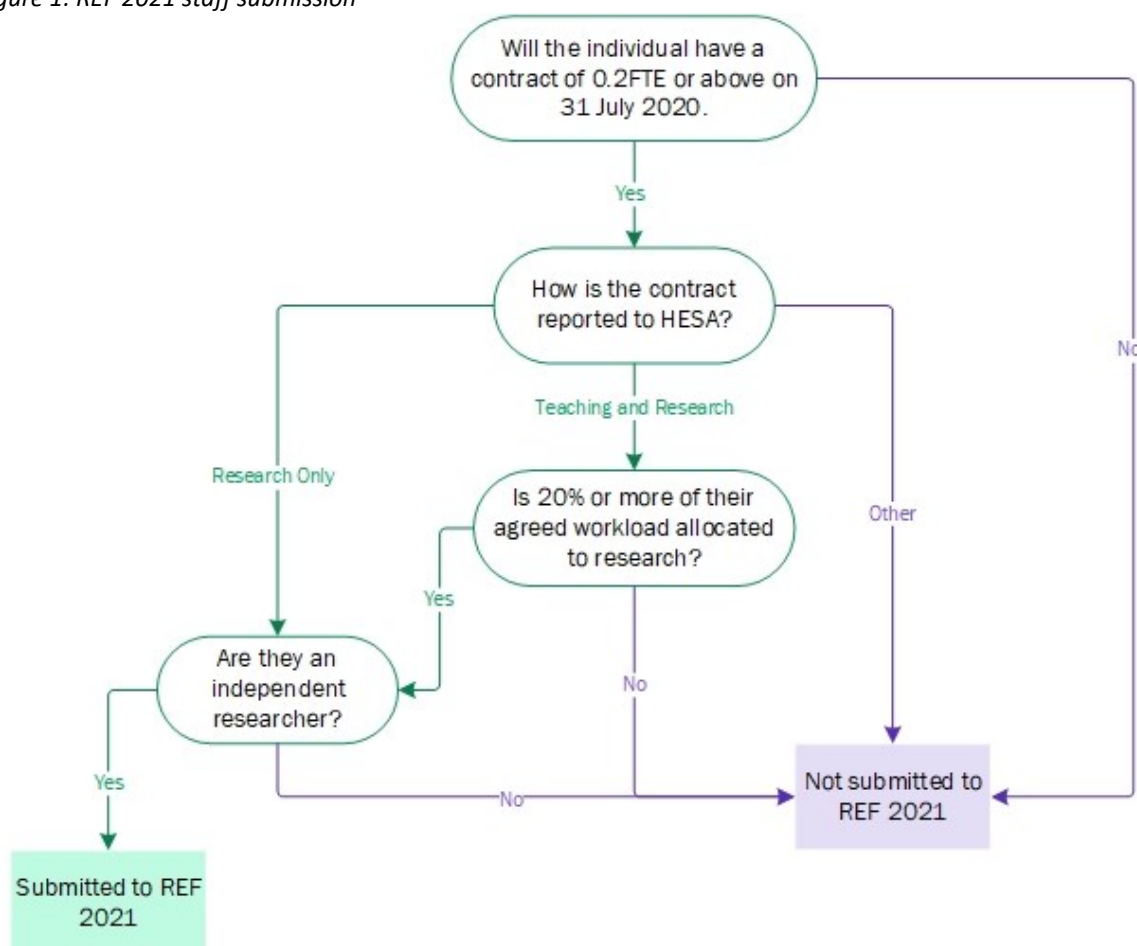
Part 2. Identifying Staff with Significant Responsibility for Research

2.1 Staff Submission to REF 2021

A significant aspect of REF 2021 is identifying which staff are eligible for submission, and which eligible staff have a significant responsibility for research and are independent researchers (see Section 3).

At the University of Portsmouth, many staff hold academic roles that focus on teaching, scholarly activity, innovation, or combinations thereof. As such, the University has developed a process to identify which staff have “significant responsibility for research” as part of their role. Figure 1 (below) provides an overview of our approach.

Figure 1: REF 2021 staff submission



2.1.1 Eligibility for REF 2021

In order to be eligible for submission to REF 2021 on the census date of 31 July 2020 staff must:

- be employed by the University,
- possess a contract of 0.2 FTE or more,
- be reported to HESA as either Teaching and Research or Research Only, and
- have a “substantive connection” to the institution.

At the University of Portsmouth, the majority of our academic staff are on contracts reported to HESA as Teaching and Research. We have a small number of Research Assistants and KTP Associates who are reported as Research Only.

Teaching Fellows and others on teaching contracts are reported to HESA as Teaching Only. Some academic staff in managerial or administrative roles are reported to HESA as type 4 (“Not an academic contract”) or type 9 (“Academic contract that is neither teaching nor research”). These include the Vice-Chancellor and some Heads of professional service departments. These staff are not eligible to be submitted to REF 2021.

For most staff, their “substantive connection” to the institution will be implicit in their role and will not require additional evidence. However, for staff with contracts between 0.2 and 0.29 FTE, their connection must be demonstrated in a short statement, for example through their involvement in teaching, research student supervision, mentoring, or co-producing research with others in their submitting Unit of Assessment.

2.1.2 *Significant Responsibility for Research*

To be submissible to REF 2021, eligible staff must have a “significant responsibility for research” on the census date of 31 July 2020.

Guidance from Research England states: “*Staff with significant responsibility for research are those for whom explicit time and resources are made available to engage actively in independent research, and that is an expectation of their job role.*” (Guidance on Submissions, para 138).

Staff who are reported to HESA as Research Only may be assumed to have explicit time and resources made available to them for undertaking research due to the nature of their roles.

For staff reported to HESA as Teaching and Research, they must have explicit time and resources available to them to actively engage in research as an expectation of their job.

2.1.3 *Time and Resources*

The University will use agreed workload allocations to assess which of our Teaching and Research staff have sufficient time and resources for research as part of their role.

Our current Workload Planning System was developed through a process that involved consultation with staff and UCU representatives. It was piloted in 2015/16, and introduced fully in 2016/17. The system enables line managers and staff to record agreed allocations of time for the next academic year for specific areas of work.

Workload hours can be recorded across four broad categories – teaching, administration and management, innovation and scholarly activity, and research. Within each of these categories, there are sub-categories to ensure accurate reporting of activities. Thirteen sub-categories sit under the research category, as shown below.

Table 3: Workload System Research Sub-Categories

Internally Funded Time	Externally Funded Time
Internally funded research	Externally funded research – Government departments
Early Career Researcher	Externally funded research – Industry
Sabbatical	Externally funded research – Research Councils
Submission of research grants – public bodies	Externally funded research – UK charities
Submission of research grants – non-public bodies	Externally funded research – EU
PhD first supervisor	
PhD second supervisor	
MRes supervisor	

Workload Planning System data therefore shows where staff have agreed allocations of time for research activities as part of their role. The proportion of their contracted FTE allocated to research indicates their degree of responsibility for research, as compared to their other areas of responsibility such as teaching.

If a member of staff is identified through the REF process as having been erroneously omitted from the Workload Planning System, the matter will be directed to the relevant Head of Department to rectify.

2.1.4 Threshold of Significance

For REF 2021, an allocation of time for research of 20% or more of the individual's contracted FTE indicates their level of responsibility for research is "significant". For a full-time member of staff, this is equivalent to at least 317 hours of agreed workload for research per academic year.

A proportional approach was chosen rather than an absolute number of hours to ensure staff on part-time and fractional contracts were considered fairly and on an equal basis with full-time colleagues, following our principle of inclusivity.

For eligible members of staff holding senior University leadership roles at Executive level on the census date, the 20% threshold will be applied to the non-leadership part of their role, recognising that their responsibility to undertake research is in addition to their substantive leadership duties.

In order to ensure disciplinary differences in relation to supervision of postgraduate research students are properly reflected, schools and departments in our Science and Technology faculties will include such supervision towards their research thresholds, while those in our Business and Law, Humanities and Social Sciences, and Creative and Cultural Industries faculties will exclude these sub-categories.

The threshold for each individual will be set according to their home department or school, rather than that where their Unit of Assessment is based.

2.1.5 Research Independence

To be submitted to REF, Teaching and Research staff must also be independent researchers. This element is detailed in Part 3: Determining Research Independence.

2.2 Communication and Consultation

Please see section 1.4 for further information on the communication and consultation around REF 2021 and this Code of Practice. The University's REF Communications Strategy is available in Appendix F, and Appendix G contains the University's REF Consultation Plan.

Use of data from the Workload Planning System and the level of the threshold have been consulted through key committees within the University, including the University Executive Board, University Research Degrees Committee, REF Steering Committee and REF Operations Group. Please see Appendix B for more details on the University's key REF committees and groups.

The provisional status of staff was assessed and indicated through their inclusion in the University's REF audit in 2018. A further mock REF will be undertaken in late 2019 with the benefit of the final REF Guidance and this Code of Practice (subject to Research England approval). This final mock exercise is therefore expected to show a strong correlation with the University's final REF submission. A final determination of who is submissible to REF 2021 will be made shortly after the census date of 31 July 2020. Staff will receive final confirmation of their eligibility and submissibility for REF in October 2020, along with reminders about the appeals process and staff circumstances declaration process.

2.3 Staff, committees and training

The processes outlined within this Code all clearly identify the individuals, groups and committees involved in advising and decision-making for REF 2021. The key individuals involved in the University's REF preparations are set out at Table 4. The decision-making processes and committee structures in which they operate are set out below at 2.3.1 and 2.3.2.

Table 4: Key Staff Involved in REF 2021

Position	Decision-Making or Advisory	REF Role
Vice-Chancellor	Decision-making	Executive responsibility for the University as a whole
Pro Vice-Chancellor (Research and Innovation)	Decision-making	Executive responsibility for overall delivery of the University's REF 2021 submission
Deputy Director (Environment and Strategy), Research and Innovation Services (RIS)	Decision-making	Operational responsibility for delivery of the REF 2021 submission
Associate Deans (Research)	Decision-making	Operation responsibility for delivery of the REF 2021 submission at Faculty level
Unit of Assessment Coordinators	Decision-making	Operational responsibility for delivery of the REF 2021 submission at Unit level (Appendix D for role definition)
Equality & Diversity Manager, HR	Advisory	Responsibility for advising on E&D aspects of REF 2021 preparations
Research Manager (REF and Governance), RIS	Advisory	Member of the REF Team in RIS, responsible for advising on and implementing operational delivery of REF 2021
Research Information and Systems Manager, RIS	Advisory	Member of the REF Team in RIS, responsible for advising on the interface with the University's research management system, Pure
Impact Officer, RIS	Advisory	Member of the REF Team in RIS, leading on impact elements of REF, particularly Impact Case Studies
Research Outputs Manager, Library	Advisory	Member of the REF Team responsible for advising on Open Access and output submission
Strategy and Policy Officer, RIS	Advisory	Member of the REF Team in RIS, responsible for advising on strategic and policy elements including the Code of Practice

2.3.1 *The Decision-making Process*

The Pro Vice-Chancellor (Research and Innovation) is responsible for leading on REF 2021. They will seek formal approval from the senior leadership team, via the University's Executive Board (UEB), for:

- final REF submission,
- Units of Assessment to be entered,
- the Code of Practice submitted to Research England, and
- the decision to use the Workload Planning System to determine who has significant responsibility for research.

All decisions prior to these formal approvals are advisory.

2.3.2 *REF Specific Committees*

REF Steering Committee (RSC) is the primary advisory body for REF 2021 preparations, and reports to University Research and Innovation Committee (URIC). RSC comprises all Unit of Assessment Coordinators, Associate Deans (Research) for the five faculties, the REF Team from Research and Innovation Services (RIS), and other key colleagues, including the Pro Vice-Chancellor (Research and Innovation) who chairs the Committee.

REF Steering Committee is supported by the REF Operations Group (ROG), which has the detailed operational oversight of the REF preparation plan. The ROG is comprised of the Associate Deans (Research) for the five Faculties and the REF Team from RIS including the Deputy Director, Research and Innovation (Environment & Strategy) who is the chair.

The ROG is supported and advised by the REF Equality and Diversity Group (REF ED) on equality and diversity aspects of the REF. These include undertaking Equality Impact Assessments (EIAs) and ensuring their outcomes are addressed, monitoring and delivering E&D training, reviewing and advising on equality and diversity within the draft Code of Practice, and overseeing all matters relating to staff circumstances. REF ED includes the Research Manager (REF and Governance), Research Information Systems Manager, Equality and Diversity Manager, and two members of academic staff with particular experience of Athena SWAN. The Group is chaired by the Director of Corporate Governance, who is independent from other REF processes and from any REF decision-making.

The ROG is also advised by the Impact Working Group (IWG), which oversees Impact-specific elements of the REF submission, including preparation of Impact Case Studies. This Working Group is comprised of the Impact Officer, who chairs the Group, and impact representatives from each of the five faculties.

Each faculty also has a Faculty REF Committee or Faculty REF Operations Group, except the Faculty of Business and Law which has a committee for each of its two Units of Assessment (UoAs) - Business and Management, and Law. These committees are focused on faculty-level preparation and communication, and on advising on and implementing the ROG operational plans. Each committee has a distinct composition, depending on the needs and priorities of the Faculty, and the UoAs into which they intend to submit.

A diagram of the structure of the University's key REF related committees and groups is available in Appendix B. The full membership and Terms of Reference of all REF specific committees and groups

are provided in Appendix C, and the role description for Unit of Assessment Coordinators is provided in Appendix D.

2.3.3 *Equality and Diversity Training*

The University has three online Equality and Diversity training modules: Diversity & Inclusion in Higher Education; Unconscious Bias Awareness; and Anti-Bullying and Harassment.

This training is mandatory for all staff at the University. Those involved in REF preparations, including committee members and internal assessors reviewing outputs and impact case studies, are required to have completed this training. All relevant staff must have completed the University's internal training modules by 30 November 2019.

Individuals on REF specific committees and groups, as outlined in section 2.3.2, will also undertake bespoke REF-related E&D training. The University's REF Equality and Diversity Group will develop and deliver this bespoke REF training, working with Advance HE, and will monitor completion of both the University's own online E&D training modules and attendance at the Advance HE bespoke REF sessions. Two sessions of bespoke REF training will be held, one in June 2019 and another in October 2019.

2.4 *Appeals*

The University's REF appeals process is described in detail in Appendix E. This information will also be made available on the University's intranet and signposted in communications with staff.

Appeals may be submitted in relation to errors in the assessment of eligibility and submissibility to REF or that the process was not followed correctly. It is anticipated that the majority of identified errors will be addressed quickly through the informal stage of the appeals process set out in Appendix E. The formal stage should only be required if there are disagreements or serious errors are uncovered.

2.5 *Equality Impact Assessment*

An Equality Impact Assessment (EIA) of the processes in this Code of Practice was undertaken in May 2019, as noted in section 1.3.4. This includes consideration of the processes around identification of Teaching and Research staff with significant responsibility for research, as outlined herein. A summary of the findings of these assessments is provided at Appendix H.

Part 3. Determining Research Independence

3.1 *Independent Researchers*

All staff submitted to REF 2021 must be independent researchers. Guidance provided by Research England states that: “*an independent researcher is defined as an individual who undertakes self-directed research, rather than carrying out another individual’s research programme*”. (Guidance on Submissions, para 131).

It is anticipated that the majority of staff who are submissible to REF 2021 are independent researchers. Therefore, the focus of our research independence process is on accurately and fairly identifying staff who are not independent researchers.

3.1.1 *Research Independence Criteria*

As per the above definition, a researcher is independent where they are directing their own research. This is demonstrated by an expectation that the individual will set goals or objectives for undertaking self-directed research as part of their role.

This expectation relates to the goals and objectives set as part of the individual’s annual Performance and Development Review (PDR), or through another equivalent local regular review process. This is established in the University’s PDR policy and guidance, and in local guidance and practice around PDRs and equivalent review processes.

3.1.2 *Research Assistants*

As per the REF 2021 Guidance on Submissions (paragraphs 129 to 130), it is not expected that Research Assistants, or those in equivalent roles, will meet the above definition of an independent researcher unless in exceptional circumstances. This definition includes individuals whose roles are fully funded by specific projects for which they are not the principal or co-investigator.

3.1.3 *The Process for Determining Research Independence*

The contents of PDRs and equivalent annual reviews are confidential and will not be accessed at any time. Independence is demonstrated in the expectation that goals will be set, not whether goals are set.

The determination of research independence will therefore be undertaken by providing lists of eligible staff to appropriate Heads of Departments and Schools, or other appropriate senior staff with responsibility for undertaking the relevant reviews (e.g. line managers, Research Leads). The appropriate reviewer can then indicate whether each individual would be expected to set self-directed research goals and objectives as part of a regular review process or PDR.

These lists will then be tabled at REF Operations Group as recommendations, with REF Operations Group making a recommendation to REF Steering Committee.

Individuals will be notified of the provisional outcome of this process as part of the mock REF exercise in 2019, with further updates provided where changes occur (e.g. new staff join the institution). If staff disagree with the outcome of their assessment of research independence, they may appeal as per section 3.3 below.

3.2 Staff, committees and training

As per section 2.3 above.

3.3 Appeals

Assessing research independence is part of the process of determining eligibility for Research Only staff, together with the process of identifying those with significant responsibility for research among Teaching and Research staff. The same process will therefore apply to appeals relating to research independence as to appeals on other elements of eligibility or significant responsibility for research. This is to ensure a consistent and transparent approach is taken that applies equally to all staff.

The process for appealing is described in full in Appendix E.

Appeals in relation to research independence may relate to instances where there is a genuine belief that the determination was based on incorrect or erroneous data, or that the process was not followed correctly. Appeals may not seek to challenge an individual's HESA Academic Employment Function coding, as this is not a REF decision.

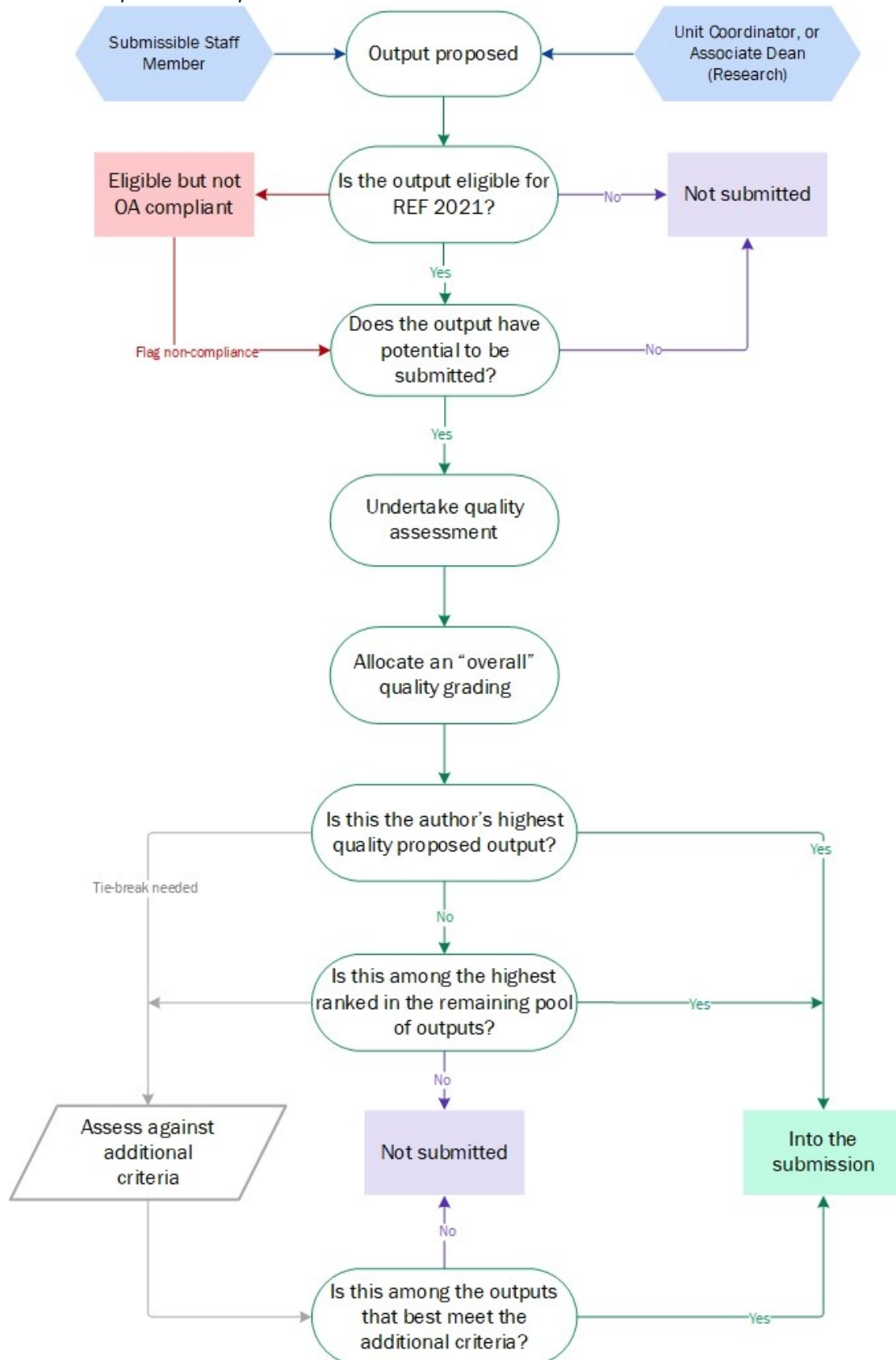
3.4 Equality impact assessment

A summary of the findings of these assessments is provided at Appendix H.

Part 4. Selection of Outputs

4.1 Principles of Output Selection

Figure 2: The Output Selection process



The University's output selection process is outlined in Figure 2. The core principle of the selection of outputs is identifying the highest quality outputs to give the best representation of the research of each Unit of Assessment (UoA).

Assessment of the quality of outputs is based on academic judgement, and is developed through a combination of self-assessment, internal peer review, and external expert assessment. The final composition of the institution's output submission will seek to maximise the quality of the body of research submitted in each UoA.

There will be no expectation for any individual staff member in any UoA to submit a fixed number of outputs beyond the minimum of one or the maximum of five. Each individual may contribute to the overall pool of potential outputs to the best of their ability, and from that output pool those that best represent the highest quality work of the UoA will be submitted to REF 2021.

Any staff with significant responsibility for research who do not have an eligible output for whatever reason will still be submitted. A nominal "unclassified" output will be assigned to their UoA by Research England in place of their required minimum of one output, unless an exemption is granted from the minimum requirement as a result of personal circumstances (see section 4.4).

4.2 The Outputs Selection Process

Staff identified as submissible to the REF have the opportunity to propose potential outputs for consideration in our mock REF exercises and for the final submission. UoA Coordinators and Associate Deans (Research) will consider these and other outputs with potential for submission, including outputs by current staff which were not proposed, and outputs by eligible former staff. To be eligible, former staff need only have had a 0.2FTE or greater Teaching and Research or Research Only contract at the time their proposed output was published.

Outputs by former staff will be identified as part of the University's mock REF in autumn 2019. Associate Deans (Research) and UoA Coordinators will discuss these outputs with Heads of Department or School and other research leaders as necessary to identify which, if any, should be considered for submission.

The University waives its right to submit outputs to this REF exercise when those outputs would require attribution to an author who was made compulsorily redundant by the University, unless the redundancy refers to the author reaching the end of a Fixed-Term Contract.

All potential outputs will have their eligibility checked (e.g. for date of publication) by the REF team in RIS. Where an output is ineligible, the UoA Coordinators will de-select the output and advise the author of the reason for this action.

Where co-authors in the same UoA have proposed the same output, the UoA Coordinators will decide which author to attribute the output to, considering the minimum and maximum requirements, and the UoA's overall pool of outputs.

4.2.1 Open Access

Open Access requirements apply to journal articles and published conference proceedings accepted for publication after 1 April 2016. Staff may find further details in the funding bodies' REF guidance, paragraphs 223 to 255, and on the University Library's Open Access webpage, <https://library.port.ac.uk/openaccess.html>.

Of these outputs, up to 5% (or one output, whichever is higher) in each UoA may be submitted as non-compliant with the REF Open Access policy. A non-compliant output is one which has not met the REF Open Access policy criteria *and* where no exception can be applied. Outputs where an exception is applied are counted as compliant.

Exceptions have been recorded wherever possible and appropriate throughout the REF submission period. However, there may still be a small number of non-compliant outputs proposed for submission to REF 2021.

In this circumstance, UoA Coordinators will work with their Associate Deans (Research) to consider any proposed non-compliant outputs, looking at the impact for both the individual and the UoA, and make a decision on whether such an output should be included.

4.2.2 *Quality Assessment*

When determining the final REF submission, UoA Coordinators will review their pool of proposed outputs and consider:

- their judgement about the proposed outputs;
- information provided by the proposing author, the Associate Dean (Research) or another appropriate source, including any statement on significance or author contribution;
- the criteria and guidance on outputs, including Panel criteria;
- the requirements of the UoA, particularly in relation to the volume of outputs necessary, and the maximum and minimum requirements.

Having considered the above factors, the UoA Coordinators will determine whether an output has potential for submission and therefore whether quality assessment is required.

Outputs with potential for submission will be assessed for quality by at least one experienced academic member of staff with appropriate expertise. Internal reviews will be supplemented by external peer review where necessary for specific outputs and with regard to the needs and circumstances of the UoA.

UoA Coordinators have appointed external assessors, in consultation with their Associate Deans (Research), and with advice from experienced researchers in their schools and departments as appropriate. This selection is based on several factors, including previous REF experience (e.g. former panel member or an institutional lead for the UoA) and specialist expertise and knowledge.

Authors will not be informed who has assessed their outputs in order to preserve the anonymity of the assessors. Accountability for the quality assessment process will reside with UoA Coordinators, who are responsible for appointing assessors and for using the outcomes of assessments for the purposes set out in this Code of Practice.

All assessors, internal and external, will assess outputs according to the REF 2021 criteria of originality, significance and rigour.

4.2.3 *Selection for Submission*

Once the quality assessment process has concluded, the UoA Coordinators will consider the provided grades. UoA Coordinators may convene output selection panels if they wish, to aid and support decision-making. All members of such panels must have completed the required equality

and diversity training, and the membership and terms of such panels must be noted in the minutes of the relevant Faculty REF Committee or Faculty REF Operations Group.

Where the assessors' grades agree, that grade will be assigned to the output. Where there is a difference, the UoA Coordinator will apply their best judgement to provide a balanced overall grade. The UoA Coordinator will then use these overall grades in determining which outputs from the pool should be selected for submission. For each individual, their highest ranked output will usually be included. All other proposed outputs will then be considered in relation to quality.

Where it is necessary to decide between outputs of equal quality (i.e. a "tie-break", see Figure 2 on page 18), the following criteria will also be considered:

- the one minimum and five maximum per individual,
- the total volume required by the UoA,
- Open Access compliance,
- citation metrics,
- any double-weighting (see below, section 4.2.4),
- how well the research fits the UoA, as defined by the criteria for the sub-panel set out in the Panel Criteria and Working Methods, and
- representativeness within the output submission of authors with protected characteristics, as per Equalities legislation (see section 1.3).

When selecting articles for REF, the University relies on a qualitative peer review process for all UoAs. To obtain a full picture, we will consider citation metrics where appropriate as a secondary indicator (UoAs in panels A and B). Journal metrics, such as impact factors, will not be used for this purpose.

UoA Coordinators will make a recommendation for the output submission to the Faculty REF Committee or Faculty REF Operations Group which leads for their Unit of Assessment.

4.2.4 Double-Weighting

The majority of our outputs will be single-weighted. Some outputs may be granted double-weighting, where the scale and scope of the output is considerably greater than would normally be expected of a standard output.

Requests for outputs to be double-weighted must be submitted by the institution as part of the final REF 2021 submission in March 2021.. Each potentially double-weighted output must be accompanied by a 100-word statement outlining how the output satisfies the panel criteria for double-weighting. Requests will be assessed against the criteria set by the REF sub-panel for the relevant UoA.

UoA Coordinators will work with staff and Associate Deans (Research) to identify outputs that may meet the requirements to request double-weighting. It is anticipated that requests will predominantly relate to outputs submitted to Panels C and D.

A reserve output may also be submitted, which will be included in the UoA submission if the request for double-weighting is declined. The reserve output does not need to be attributed to the same author as the potentially double-weighted output, as long as all minimum and maximum requirements are met. The UoA Coordinators and Associate Deans (Research) will identify reserve outputs.

4.2.5 Appeals on Output Inclusion

The decision on inclusion of outputs is a matter of academic judgement. It is therefore not subject to appeal, unless it can be shown that the selection process as established in this Code was not followed correctly. The process for appealing is described in full in Appendix E.

4.3 Staff, committees and training

As per section 2.3 above.

4.4 Staff circumstances

In many cases, people whose personal circumstances have affected their ability to research productively during the REF period will still have outputs that can be submitted. However, there may be instances where they can request a waiver of the requirement for at least one output, or where a UoA can seek an overall reduction in the number of outputs it must submit.

4.4.1 Declaring Circumstances

Declarations of personal circumstances are voluntary. They may be made entirely at the discretion of the individual where they feel their ability to research productively was impacted during the REF period as a result of any of the following:

1. Being an Early Career Researcher (see below).
2. An absence from work due to a secondment or career break outside the Higher Education sector of 12 months or more (between 1 January 2014 and 31 July 2020) during which time they did not undertake academic research.
3. Period(s) of family leave taken wholly or substantially between 1 January 2014 and 31 July 2020, including statutory maternity or adoption leave of any length, or additional paternity, adoption, or shared parental leave lasting four months or more.
4. Absence from work, or circumstances equivalent to absence from research, as a result of:
 - a. disability, as defined by the Equality Act 2010;
 - b. ill health, physical injury, or mental health;
 - c. constraints relating to pregnancy, maternity, paternity, adoption or childcare;
 - d. other caring responsibilities;
 - e. gender reassignment;
 - f. any other circumstances relating to any protected characteristics, as per the Equality Act 2010 and other relevant legislation; or
 - g. any other circumstances relating to activities protected by employment legislation.

For REF 2021 purposes, an Early Career Researcher (ECR) is a member of staff who started their career as an independent researcher on or after 1 August 2016. A person is deemed to have started their career as an independent researcher from the point at which they held a 0.2FTE or greater contract for Teaching and Research or Research Only at any organisation anywhere in the world, and first met the definition of an independent researcher. Our test of independence (see above, Part 3) cannot be applied retrospectively, as the test was only established in May 2019. Therefore criteria for determining the independence of ECRs will be based upon local departmental practice and/or relevant norms in the sector at that time.

As noted above at section 4.1, the University has no expectation that any individual will provide any specific number of outputs to their Unit's pool (beyond the minima and maxima specified). Therefore, the University does not require specific procedures to adjust expectations on the basis of individual circumstances.

Nevertheless, recognising that the declaration of circumstances may be a sensitive matter for the individual, and that such circumstances could indicate the need for further support, individuals declaring circumstances will be signposted by the REF Equality and Diversity Group to the relevant University service or department for additional support as required. This will take place whether or not the University makes a request for a reduction in outputs. Any support provided or adjustments made as a result will be consistent with University policy and practice for matters of this kind, and will be provided in consultation with the individual. The University is committed to providing an inclusive environment as mentioned in section 1.3.2.

4.4.2 *The Process*

Figure 3 (overleaf) outlines the process for declaring staff circumstances.

A form for declaring personal circumstances will be circulated to staff in mid-2019, alongside information on the circumstances which may be declared and how the University will use the information. Staff will also be able to access the form via the University's intranet.

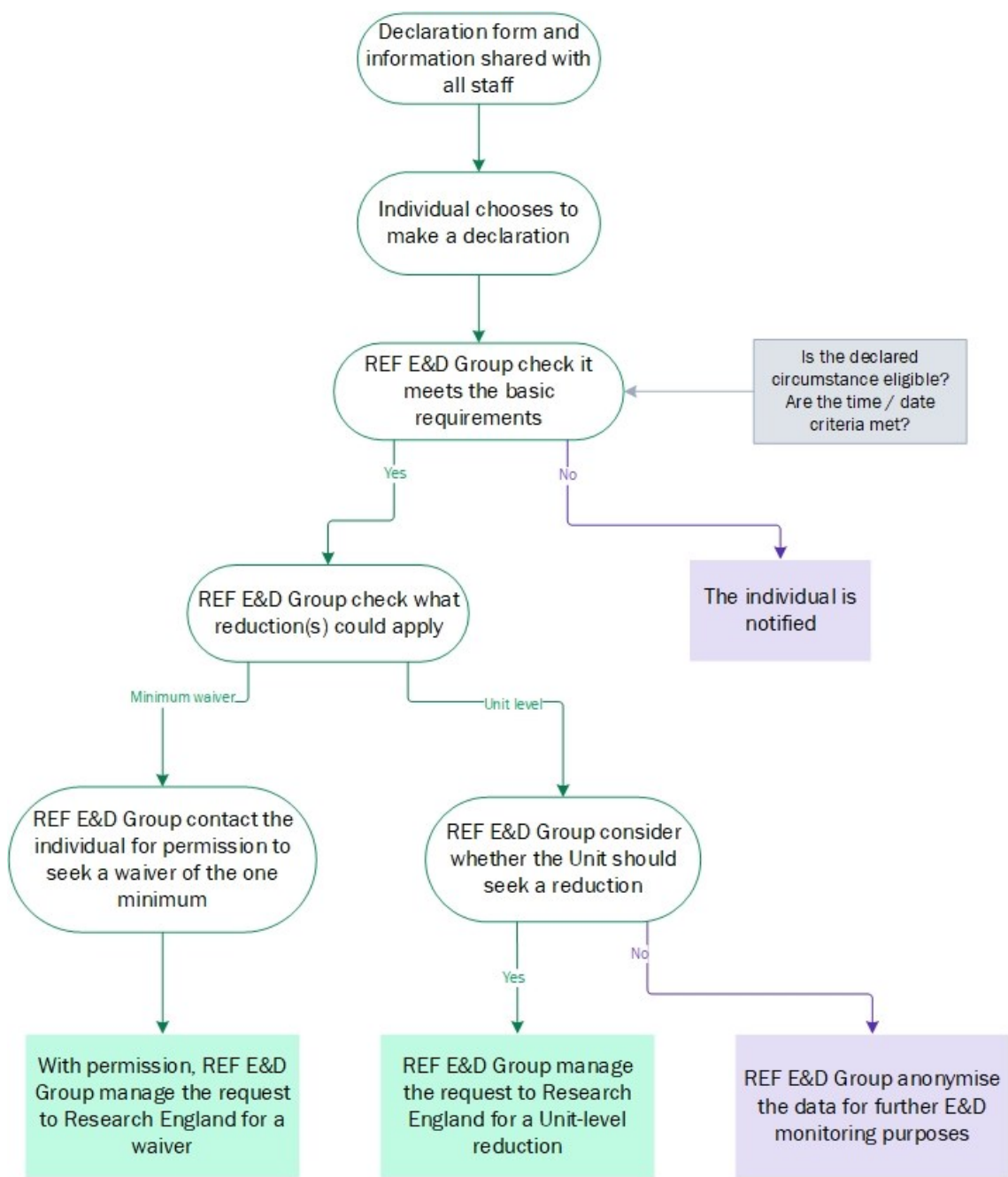
Staff can declare circumstances by completing the online version of the form, or by sending a completed form to the University's REF Equality and Diversity Group (REF ED) via email to refequality@port.ac.uk, or through internal post or by hand delivery to the REF Team Office at Research and Innovation Services (RIS).

The University must submit any requests for pre-approval of waivers of the one minimum output requirement or reductions in the number of outputs required by a Unit to Research England by March 2020. Initial staff declarations must therefore be received by 31 December 2019. The staff declaration process will then remain open until November 2020 to enable staff to submit any new, additional or changed circumstances, including circumstances related to the COVID-19 pandemic.

REF ED will review the total volume of declarations in two phases and will assess whether any UoA has been impacted by circumstances of individual members such that a request for a UoA-level reduction in its volume of outputs would be appropriate (see section 4.4.4 below). If such a request is necessary, REF ED will coordinate the use of the provided declarations to submit that request via the REF submission system in March 2020 for pre-approval, and at the point of submission in March 2021.

The REF ED Group will also review declarations for any instances where individuals may be justified in requesting the one minimum output requirement is waived. Further detail on this element is below at section 4.4.5.

Figure 3: The Declaration of Circumstances Process



4.4.3 Data Management

REF ED will manage all elements of the declaration process. Declarations will be held confidentially and securely, and all information will be anonymised before it is considered by the REF ED Committee. Only the Research Information & Systems Manager will have access to any data that identifies individuals in relation to their specific declared circumstances, which will only be used for the purposes of notifying individuals of the outcomes of their declaration and for ensuring any reductions are appropriately applied.

Anonymised information about individual circumstances will be retained, whether or not it leads to any request for a reduction or waiver. This will assist in the review and assessment of the

University's support for research active staff with personal circumstances, and considerations of further support that could be provided in the future to enable more staff to engage in research.

Personal information about the individuals within the UoA who have made declarations may be shared with the Equality and Diversity Advisory Panel (EDAP) and Research England, as required to request reductions.

4.4.4 UoA-Level Reductions

Where the volume of staff with circumstances means a UoA's pool of potential outputs has been significantly impacted, the institution may request a reduction in the total number of outputs that Unit must submit.

The significance of the impact may vary between Units. The University has set a threshold of 15% of submissible staff in that Unit declaring circumstances as the point at which a Unit-level reduction should be considered.

The Guidance from the funding bodies then sets out potential reductions of between 0.5 and 1.5, depending on the nature and duration of each declared circumstance in that UoA. These potential reductions are outlined in Appendix I. These reductions will be considered as a guideline of the impact of each circumstance, and consequently for how the combined volume of circumstances may have affected the UoA's output pool.

Having considered these factors, a request for a Unit-level reduction may be proposed where there is evidence to indicate that the UoA's potential output pool has been disproportionately impacted by both the volume of staff with declared circumstances, and the potential volume of a reduction due to these declared circumstances.

REF ED will manage the submission of any requests for a Unit-level reduction to Research England.

Individuals in any requesting UoA who have made a declaration will be notified at that time of the intention to submit a request to Research England, as will the UoA Coordinator and Associate Dean (Research). Further notification will be provided when the outcome is confirmed by EDAP via Research England. No names or personal details will be shared outside of the REF Equality and Diversity Group and individuals will be signposted by this Group to the relevant University service or department for additional support should they require it.

4.4.5 Minimum Submission Waiver

Where an individual has indicated they believe they have grounds for seeking the waiver of the one minimum, REF ED will first review the individual's research profile to see whether they have an eligible output. If it appears that the individual does not, and will not, have an eligible output, the ED Group will contact the individual, advise them of their assessment, and request their permission to discuss the potential for a waiver request with the individual's UoA Coordinators and Associate Dean (Research).

Any request will only proceed with the individual's explicit consent. In any case, the individual's declared circumstance(s) will not be disclosed at any point to the UoA Coordinators or Associate Dean (Research) unless the individual themselves chooses to disclose.

It is important that there are no perceived or real negative consequences for any individual for whom the requirement for a minimum of one output is waived. It is the collective responsibility of the Unit Coordinators, Associate Dean (Research) and Head of Department to ensure that this is the case.

REF ED will manage requests to Research England for any waivers. The individual will be notified of the outcome, as will the UoA Coordinators and Associate Dean (Research).

4.4.6 Appeals

An individual may choose to appeal the decision of the REF Equality and Diversity Group not to recommend waiving the one minimum output requirement. The appeal must be submitted in writing to refequality@port.ac.uk, outlining the grounds on which the individual wishes to appeal. This will be provided to the Pro Vice-Chancellor (Global Engagement and Education Partnerships), who is independent of all other REF processes.

The Pro Vice-Chancellor, together with two other members of the senior management team selected to ensure independence from the REF decision-making process and diversity, will review the conduct of the process and the decision reached, and will take the necessary steps in response. These may include, but are not limited to, directing the REF Equality and Diversity Group to reassess the individual's application, dismissing the appeal, or issuing their own decision. The decision of this panel is not subject to further appeal.

4.5 Equality impact assessment

A summary of the findings of these assessments is provided in Appendix H.

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Appendix A: Equality and Diversity Policy Statement

Equality and Diversity Policy Statement

February 2017

1. Introduction

The University of Portsmouth (UoP) is a diverse, multicultural and international community. As a member of that community all staff, students, contractors or visitors can expect to be treated with dignity and respect. As an organisation we are committed to working in an inclusive way with all the communities in which we are geographically located as well as being a beacon of good practice within the city of Portsmouth, developing a workforce and student community that reflects Portsmouth and the region's diversity.

Equality, diversity and inclusion underpins all our work and is at the heart of what we are and what we do. Our commitment is not restricted to the minimum legal requirements of equalities legislation, as we aim to deliver best practice whenever possible. This is reflected in the University of Portsmouth Strategy 2015-2020, which states "we respect and celebrate diversity and equal opportunity through an inclusive culture". "We inspire and support staff and students to achieve their potential and meet the challenges of society". And "We listen and respond to the needs of our students and staff".

2. Commitment

UoP is committed to creating a working, learning, cultural and social environment that is based on dignity and respect, where difference is valued and celebrated, enriching our community. We aim to ensure all staff and students are supported in being able to reach their full potential, to contribute fully, and derive maximum benefit and enjoyment from their involvement in the life of the University.

To achieve this the University lays out the following basic commitments:

You can expect:

- To be treated with dignity and respect;
- Not to be bullied, harassed, abused, intimidated or victimised;
- To be provided with relevant support, guidance and training.

Your responsibilities are:

- To treat members of the University with dignity and respect, meeting the standards laid down in the University Dignity and Respect Policy;
- Not to bully, harass, abuse or intimidate or victimise others;
- To ensure you have clear understanding of related University policy (para 4);
- To positively support measures introduced to advance equality, diversity, inclusion and eliminate discrimination.

The University requires all members of our community to commit to these responsibilities, proactively supporting and upholding them at all times. In addition the University will comply with all relevant legislation and strive to go beyond the legal requirement through supporting, whenever possible, best practice in areas of equality, diversity and inclusion. We will also provide support, guidance and training to the university community to facilitate the delivery of these commitments.

3. Responsibility

The Vice-Chancellor, supported by UEB, is responsible for ensuring this policy is implemented and monitored. Ultimately, the Board of Governors is accountable for ensuring the University complies with its legal obligations under the Equality Act, including the general duty to have due regard to:

- Eliminate discrimination, harassment and victimisation;
- Advance equality of opportunity;
- Foster good relations.

The University's Equality and Diversity Team, in consultation with relevant University committees, is responsible for developing policy and best practice in order to support meeting the legal requirements.

4. University Related Policies

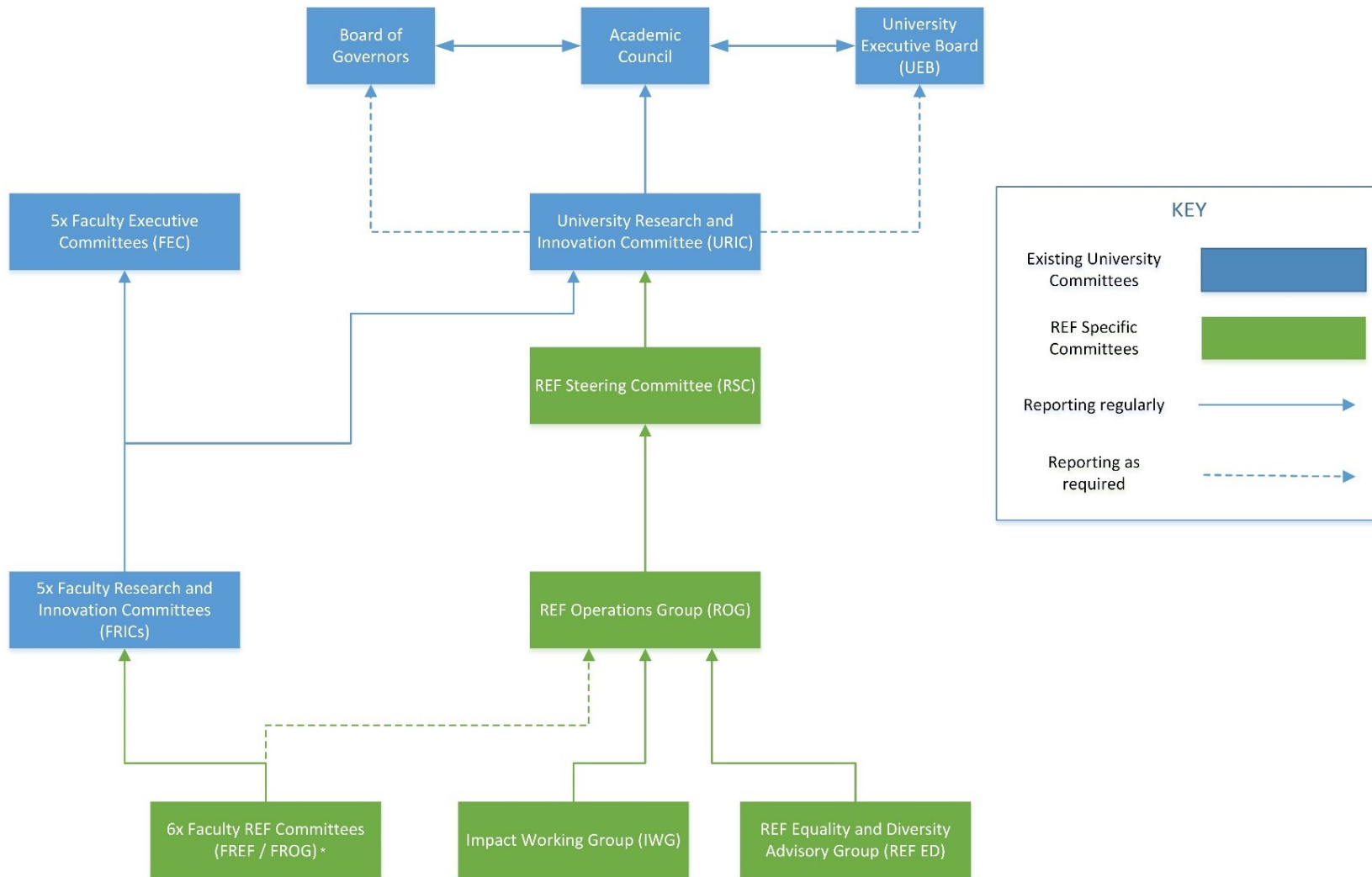
There are a number of policies/guidance notes that support this policy directly:

- UoP Strategy 2015-2020 (including linked supporting strategies): <http://www.port.ac.uk/departments/services/planning/strategy/>
- Equality Objectives: <http://policies.docstore.port.ac.uk/policy-152.pdf>
- Religion and Belief Policy: <http://policies.docstore.port.ac.uk/policy-036.pdf>
- Gender Reassignment and Trans Policy: <http://policies.docstore.port.ac.uk/policy-037.pdf>
- Dignity and Respect Policy: <http://policies.docstore.port.ac.uk/policy-007.pdf>

5. Equality analysis/review and monitoring of this policy

The University's Equality Analysis Impact (EIA) procedure was used in the development of this policy and is available on request. The University's internal monitoring process is an important way of determining whether measures taken by the University to combat harassment, discrimination and ensure inclusion are effective, and plays an important part in ensuring equality and diversity are properly promoted and protected within the University. Therefore this policy will be reviewed on a regular basis by the Equality and Diversity Committee and Human Resource Committee to ensure it is being adhered to, is effective and that both the University and individuals are meeting their obligations under this policy statement.

Appendix B: Committee Structures



*The Faculty of Business and Law has two REF committees, one for each Unit of Assessment.

Appendix C: Terms of Reference and Membership of REF Specific Committees and Groups

**REF STEERING COMMITTEE (RSC)
CONSTITUTION, MEMBERSHIP, AND TERMS OF REFERENCE**

University Research & Innovation Committee (URIC) is the body which approves the Constitution, Membership and Terms of Reference of REF Steering Committee.

The Committee reports directly to University Research & Innovation Committee.

All posts are ex-officio unless otherwise stated.

Constitution	Membership (35)
Chair Pro Vice-Chancellor (Research and Innovation)	Prof Bob Nichol
Associate Deans (Research)	Prof Deborah Sugg Ryan, CCI Prof Francis Pakes, HSS Prof Andy Thorpe, BAL Dr Alan Thorne, SCI Prof Jim Briggs, TEC
Deans' Representative	Prof Gioia Pescetto
Director of Research & Innovation Services	Sarah Duckering
Deputy Director R&I, Environment and Strategy	Dr Andy Dixon
Research Impact Officer	Dee Summers
Research Manager (REF & Governance)	Denise Teasdale
Unit of Assessment Coordinators	See list below
Co-opted Members: Accountant, Finance & Procurement Equality and Diversity Manager Research Outputs Manager Research Information Manager Strategy and Policy Officer	Mel Johnson Dave Small Liz Brindley Kevin Pogorzelski Katie Osgood
Observers: Representative UCU Representative UCU Representative Unison	Dr Alexander Gegov Prof John Williams Jill Rice
In attendance: Secretary	Jason Reid

* University Research and Innovation Committee (URIC) will be the body that approves the constitution, membership and terms of reference of the Research Excellence Framework Steering Committee (RSC).

NOTES

- 1) The normal term of office for Committee members does not apply to REF Steering Committee since the focus of this committee is the strategic preparation and submission to the Research Excellence Framework in 2020. UoA coordinators support the REF planning and submission process and are appointed by the Dean until further notice or until a submission is successfully completed and a new coordinator appointed.

University of Portsmouth: REF 2021 Code of Practice

- 2) The committee may from time to time co-opt members to the committee for a time-limited period or specific purpose, as the committee sees appropriate to fulfil its Terms of Reference.
- 3) The quorum is 40% of overall membership.
- 4) The values of the University mean that all committees within the University's Academic Committee Structure are expected to be conducted within a context of an inclusive and ethical environment.

TERMS OF REFERENCE
<ol style="list-style-type: none">1. Advise the Pro Vice-Chancellor (Research and Innovation) and the University Research & Innovation Committee on all aspects of preparation for the next REF submission, including criteria for inclusion, submission guidelines any emerging management issues (e.g. arising from Equal Opportunities or from the need to optimise financial gains)2. Discuss and disseminate emerging guidance and criteria from Research England3. Collate and respond to intelligence on REF processes from external networks4. Approve recommendations made by REF Operations Group5. Approve the REF Code of Practice6. Recommend the final selection of UoAs and staff distribution across UoAs7. Report annual REF Audit outcome and final REF Submission to University Executive Board

Last Updated: January 2019

REF 2021 UoA Co-ordinators (July 2020))

CCI

Dr Tarek Teba and Belinda Mitchell - UoA 13: Architecture, Built Environment and Planning

Dr Esther Sonnet and Dr Marius Kwint - UoA 32: Art and Design: History, Practice and Theory

Dr George Burrows and Dr Deborah Shaw - UoA 33: Music, Drama, Dance, Performing Arts, Film and Screen Studies

HSS

Prof Francis Pakes - UoA 20: Social Work and Social Policy

Prof Brad Beaven - UoA 25: Area Studies

Dr Elodie Rousselot - UoA 27: English Language and Literature

BAL

Prof Karen Johnston - UoA 17: Business and Management Studies

Dr James Hand - UoA 18: Law

SCI

Dr Jerome Swinny - UoA 3: Allied Health Professions, Dentistry, Nursing and Pharmacy

Dr Hartmut Blank - UoA 4: Psychology, Psychiatry and Neuroscience

Prof Craig Storey - UoA 7: Earth Systems and Environmental Sciences

Dr Nick Pepin - UoA 14: Geography and Environmental Studies

Dr Jo Corbett - UoA 24: Sports and Exercise Sciences, Leisure and Tourism

TEC

Prof David Wands - UoA 9: Physics

Dr Andrew Burbanks - UoA 10: Mathematical Sciences

Dr Ella Haig - UoA 11: Computer Science and Informatics

Dr Andrea Bucchi - UoA 12: Engineering

REF Operations Group (ROG) Terms of Reference

Membership
Chair: Deputy Director, Research and Innovation (Environment and Strategy), Research and Innovation Services (RIS)
Pro Vice-Chancellor (Research and Innovation)
Associate Dean (Research), Faculty of Business and Law
Associate Dean (Research), Faculty of Creative and Cultural Industries
Associate Dean (Research), Faculty of Humanities and Social Sciences
Associate Dean (Research), Faculty of Science and Health
Associate Dean (Research), Faculty of Technology
Research Manager (REF and Governance), RIS
Research Impact Officer, RIS
Research Information and Systems Manager, RIS
Strategy and Policy Officer, RIS
Research Outputs Manager, Library and RIS
And on occasion: Other members of Faculty (e.g. representative of UoA lead), RIS, or professional services as required for specific items.

Scope

Operational planning and progress monitoring for REF 2021 preparations at the University level (rather than Faculty or UoA level) working within the strategic aegis of the REF Steering Committee.

Duties

1. To discuss detailed University level plans for coordination and submission
2. To provide response to REF Consultation on Framework and Panel Criteria 2018
3. To receive reports from RIS REF team on progress against plans
4. To receive notes of Faculty REF meetings as appropriate
5. To receive notes of the REF Impact Working Group
6. To make recommendations with respect to the Code of Practice, output selection, impact case study selection
7. To consider interactions between UoAs
8. To collate and respond to intelligence on REF processes from external networks/contacts, as well as UP colleagues who have been selected as REF panel members

Frequency of meetings

- Initially every eight weeks (every fourth ADRs group meeting), increasing in frequency as the submission deadline approaches.

Requirements for notes/minutes/actions and reporting

Record agreements, decisions and actions only.

The notes of scheduled REF 2021 meetings will go to the REF Steering Committee.

Clerking arrangements:

RIS will provide a clerk for the meeting to take note of key agreements, decisions and actions.

REF 2021 Equality Group Terms of Reference

(approved REF Steering Committee, February 2019)

REF E&D Group (REF ED) is a working group reporting to REF Operations Group (ROG) it will meet periodically throughout the REF preparation period January 2019 to November 2020 and will inform Equality Impact Assessment both during and following the University's REF 2021 submission.

The sub-committee will:

1. Advise on all aspects in developing and implementing the REF Code of Practice
2. Have oversight of staff disclosure process and consider all information, as part of the individual staff circumstances data, in confidence, reporting only anonymised data
3. Use guidance provided by Research England, Equality Challenge Unit and REF Team to assess individual staff with defined and complex circumstances
4. Identify all those involved in the REF decision-making process and ensure adequate training is undertaken as a mandatory requirement
5. Conduct Equality Impact Assessments at all key intervention points in the REF preparation process and following REF Submission
6. Engage in developing E&D narrative for University Environment Template and UoA Environment statements.
7. Advise on REF communications to ensure appropriate inclusion of equality and diversity consideration.

Membership:

- Adrian Parry, Director of Corporate Governance (Chair, effective from September 2019)
- Denise Teasdale, Research Manager
- Dave Small, Equality and Diversity Advisor
- Kevin Pogorzelski, Research Information and Systems Manager
- Dr Liza Howe-Walsh, Senior Lecturer, School of Business and Law – Academic representative
- Dr John Young, Reader in Translational Medicine, Faculty of Science – Academic representative

Samantha Hill, Information Disclosure and Complaints Manager, Corporate Governance, may be co-opted.

The quorum is 40% of membership.

REF Impact Working Group
Terms of Reference
(approved REF Steering Committee 03 May 2018)

Purpose of the Working Group

1. The REF project aims to deliver a strong institutional submission to the next REF exercise. This will be achieved via a number of workstreams that focus on the specific requirements for submission:
 - a. Governance and Code of Practice
 - b. Outputs and Open Access
 - c. Impact
 - d. Environment
2. Each workstream will be managed as a work package within the overall REF project, with agreed process, deliverables and timescales.
3. The Impact Working Group (IWG) will bring together individuals from each faculty possessing the relevant knowledge and skills who will act either individually or collectively to develop process and undertake assigned tasks and activities in order to achieve the REF project's objectives in relation to research impact.

Working Group Functions

4. Work jointly with the Research Impact Officer and other members of the Working Group to define tasks and activities and the processes and resources for their accomplishment.
5. Identify and bring to the attention of the Research Impact Officer any additional tasks that may be necessary in order to achieve a specific outcome.
6. Bring to the attention of the Research Impact Officer any problems and issues that may adversely affect the timely accomplishment of allocated tasks.
7. Keep the Research Impact Officer informed of progress towards accomplishment of assigned tasks.
8. Serve as the conduit through which information about the project and associated activities is communicated to colleagues.
9. To report progress against plan to REF Operations Group.

Membership

10. The Impact Working Group will be chaired by the Research Impact Officer based in Research and Innovation Services.
11. Membership will include named representatives from each faculty.

Working Group Meetings

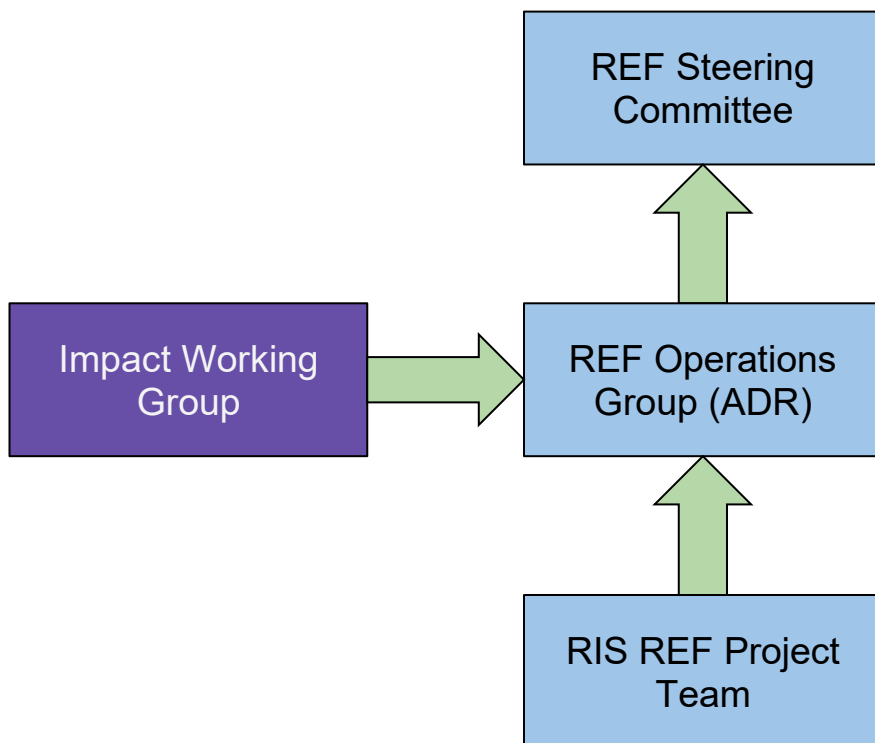
12. The Impact Working Group will meet approximately every six weeks initially.
13. An agenda will be produced and circulated to group members prior to meeting.
14. Members will be invited to contribute to the agenda.
15. Meetings will not be formally minuted but notes from the meeting, including any action points, will be circulated to the members following each meeting.
16. The Chair will be responsible for producing and circulating the agenda and post-meeting notes.

Process

17. Membership, meeting frequency, process and reporting arrangements can be varied by instruction of the Chair and with approval of the REF project management team.
18. Allocation of tasks to individuals or groups of members within the Impact Working Group will be the responsibility of the Research Impact Officer with discussion and agreement from those who are assigned responsibility.
19. Tasks will be formalised in a written task definition. Activities associated with specific tasks and the estimated timescale for their completion will be incorporated into the project programme.

Reporting Structure

The position of the Impact Working Group in the overall REF governance structure is as follows:



Membership

Role	Name	Job Title	Faculty / Department
Chair	Dee Summers	Research Impact Officer	RIS
Members	Karen Musk	Faculty Development Manager	Faculty of Science and Health
	David Hutchinson	Innovation and Impact Development Manager	Faculty of Technology
	Andrew Burbanks	REF Lead	Faculty of Technology
	Martina Battisti	REF Impact Lead	Faculty of Business and Law
	Esther Sonnet	REF Impact Lead	Faculty of Creative and Cultural Industries
	Simon Stewart	REF Impact Lead (UoA 25)	Faculty of Humanities and Social Sciences
	Becky Milne	REF Impact Lead (UoA 20)	Faculty of Humanities and Social Sciences
	Elodie Rousselot	REF Impact Lead (UoA 27)	Faculty of Humanities and Social Sciences
	Bryony Pound	Research Impact Support Officer	RIS

CONSTITUTION, MEMBERSHIP AND TERMS OF REFERENCE

The AD(R) reports directly on the Committee activities to the Faculty Executive Committee.

All posts are ex-officio unless otherwise stated.

Constitution	Membership
Chair	Karen Johnston
Vice Chair, Associate Dean (Research)	Andy Thorpe
Executive Dean	Gioia Pescetto
ACCFM UoA Submission Reviewer Lead*	Andrew Wood
ECFIN UoA Submission Reviewer Lead*	Lester Hunt
MRKS UoA Submission Reviewer Lead*	Yuksel Ekinci
OSHRM UoA Submission Reviewer Lead*	Karen Johnston
OSM UoA Submission Reviewer Lead*	Ashraf Labib
SEI UoA Submission Reviewer Lead*	Martina Battisti
Impact Lead	Martina Battisti
RIS Representative	Katie Osgood
Secretary	Trish Watkinson (BSRO)

*If the UoA Lead cannot attend a meeting then they should send a deputy in their place to represent the UoA.

NOTES

1. The focus of the group is the strategic preparation and submission to the Research Excellence Framework in November 2020. UoA Co-ordinators and Impact Leads support the REF planning and submission process and are appointed by the Faculty Executive and AD(R) until further notice or until a submission is successfully completed and a new co-ordinator/Lead is appointed.
2. The operations group may from time-to-time co-opt members to the group for a time-limited period or specific purpose (as the Committee sees appropriate) to fulfil its Terms of Reference.
3. The quorum is 40% of overall membership.
4. The values of the University mean that all Committees within the University's Academic Committee Structure are expected to be conducted within a context of an inclusive and ethical environment.

Terms of Reference	
1	Advise the Faculty Executive Committee on all aspect of preparation for the next REF submission, including criteria for inclusion, submission guidelines any emerging management issues (e.g. arising from Equal Opportunities).
2	Collate and respond to intelligence on REF processes from external networks/contacts relating to subject communities and UoAs.
3	Discuss and disseminate emerging guidance and criteria from Research England.
4	Receive and disseminate, as appropriate, reports from RIS REF Team.
5	Recommend the final selection of staff and consider interactions with UoAs in other Faculties.
6	Engage, consult and communicate with Faculty colleagues with respect to the REF Code of Practice.
7	Oversee output assessment (both internal and external), development of environment narrative and impact case studies.
8	Engage with annual REF Audit and other data modelling and validation tasks.
9	Oversee quality data entry into Pure at Faculty level and facilitate open access compliance.
10	Provide FREF-B&M Minutes to REF Steering Committee (when requested) for information.

Updated October 2020

CONSTITUTION, MEMBERSHIP AND TERMS OF REFERENCE

The AD(R) reports directly on the Committee activities to the Faculty Executive Committee.

All posts are ex-officio unless otherwise stated.

Constitution	Membership
Chair	James Hand
Vice Chair, Associate Dean (Research)/ Faculty Research & Innovation Chair	Andy Thorpe
Executive Dean	Gioia Pescetto
Impact Lead	Martina Battisti
Head of School of Law	Caroline Strevens
Professor of Public Law and Governance	Shubhankar Dam
RIS Representative	Katie Osgood
Secretary	Chris Martin (BSRO)

*If the UoA Lead cannot attend a meeting then they should send a deputy in their place to represent the UoA.

NOTES

1. The focus of the group is the strategic preparation and submission to the Research Excellence Framework in November 2020. UoA Co-ordinators and Impact Leads support the REF planning and submission process and are appointed by the Faculty Executive and AD(R) until further notice or until a submission is successfully completed and a new co-ordinator/Lead is appointed.
2. The operations group may from time-to-time co-opt members to the group for a time-limited period or specific purpose (as the Committee sees appropriate) to fulfil its Terms of Reference.
3. The quorum is 40% of overall membership.
4. The values of the University mean that all Committees within the University's Academic Committee Structure are expected to be conducted within a context of an inclusive and ethical environment.

Terms of Reference	
1	Advise the Faculty Executive Committee on all aspect of preparation for the next REF submission, including criteria for inclusion, submission guidelines any emerging management issues (e.g. arising from Equal Opportunities).
2	Collate and respond to intelligence on REF processes from external networks/contacts relating to subject communities and UoAs.
3	Discuss and disseminate emerging guidance and criteria from Research England.
4	Receive and disseminate, as appropriate, reports from RIS REF Team.
5	Recommend the final selection of staff and consider interactions with UoAs in other Faculties.
6	Engage, consult and communicate with Faculty colleagues with respect to the REF Code of Practice.
7	Oversee output assessment (both internal and external), development of environment narrative and impact case studies.
8	Engage with annual REF Audit and other data modelling and validation tasks.
9	Oversee quality data entry into Pure at Faculty level and facilitate open access compliance.
10	Provide FREF-LAW Minutes to REF Steering Committee (when requested) for information.

Updated 8 January 2019

CCI FACULTY REF OPERATIONS GROUP (FROG)

CONSTITUTION, MEMBERSHIP AND TERMS OF REFERENCE

The Committee reports directly to the Faculty Executive Committee.
All posts are ex-officio unless otherwise stated.

Constitution	Membership	Date Appointed
Chair		
Associate Dean Research	Deborah Sugg Ryan	N/A
Dean of CCI	Trevor Keeble	N/A
UoA 13 Co-Lead	Tarek Teba	N/A
UoA 13 Co-Lead	Belinda Mitchell	N/A
UoA 32 Lead	Esther Sonnet	N/A
UoA 33 Co-Lead	George Burrows	N/A
UoA 32 Deputy	Marius Kwint	N/A
UoA 33 Co-lead	Deborah Shaw	N/A
UoA 11 CCI Liaison	Hui Yu for Vaughan Powell with no deputy	N/A
UoA 25 CCI Liaison	James Dennis	N/A
UoA 27 CCI Liaison	Alison Habens	N/A
CCI Impact Lead	Esther Sonnet	N/A
CCI Research and Innovation Manager	Joni Rhodes	N/A
CCI Research & Innovation Administrator	Ruth Walker / Yvonne Lee	N/A
RIS Representative	Dee Summers	N/A
Research Outputs Manager	Liz Brindley	N/A
Co-opted Members	-	N/A

*If the UoA Lead cannot attend a meeting then they should send a deputy in their place to represent the UoA.

NOTES

- 1) The normal term of office for Committee members does not apply to the CCI REF Operations Group since the focus of this group is the strategic preparation and submission to the Research Excellence Framework. UoA Leads and Liaisons support the REF planning and submission process and are appointed by the Dean until further notice or until a submission is successfully completed and a new Lead/Liaison is appointed.
- 2) The operations group may from time to time co-opt members to the group for a time-limited period or specific purpose, as the committee sees appropriate to fulfil its Terms of Reference.
- 3) The quorum is 40% of overall membership.
- 4) The values of the University mean that all committees within the University's Academic Committee Structure are expected to be conducted within a context of an inclusive and ethical environment.

Terms of Reference	
1	Advise the Dean and the Faculty Executive Committee on all aspects of preparation for the next REF submission, including criteria for inclusion, submission guidelines any emerging management issues (e.g. arising from Equal Opportunities or from the need to optimise financial gains)
2	Monitor potential Units of Assessment (UoAs) against stated Environment and Impact plans (templates or strategies as appropriate).
3	Recommend the final selection of UoAs and staff distribution across
4.	Discuss and disseminate emerging guidance and criteria from UK Research and Innovation
5	Ensure that effective and appropriate Faculty action is undertaken to support REF submission

Last updated 16/09/2-20

FACULTY REF OPERATIONS GROUP/FACULTY REF COMMITTEE

Faculty of Humanities and Social Sciences

CONSTITUTION, MEMBERSHIP AND TERMS OF REFERENCE

The Committee reports directly to the Faculty Executive Committee.

All posts are ex-officio unless otherwise stated

Constitution	Membership
Chair	
Associate Dean Research	Professor Francis Pakes
Interim Executive Dean	Dr Theresa Callan
UoA 20 Co-coordinator	Professor Francis Pakes
UoA 20 Co-coordinator	Dr Sarah Charman
UoA 25 Co-coordinator	Professor Brad Beaven
UoA 25 Co-coordinator	Dr Angela Crack
UoA 27 Co-coordinator	Dr Elodie Rousselot
UoA 27 Co-coordinator	Dr Ben Davies
School/Dept Impact Leads	Dr Wendy Sims-Schouten
	Professor Becky Milne
	Dr Elodie Rousselot
	Dr Simon Stewart
RIS Representative	TBC
Co-opted Member	Professor David Andress
Senior Faculty Research Administrator	Ms Katherine Clark
Secretary	Miss Anne Luddy

* If the UoA Lead cannot attend a meeting then they should send a deputy in their place to represent the UoA.

NOTES

- 1) The focus of this group is the strategic preparation and submission to the Research Excellence Framework in November 2020. UoA Coordinators and Impact Leads support the REF planning and submission process and are appointed by the Dean until further notice or until a submission is successfully completed and a new coordinator/Lead is appointed.
- 2) The operations group may from time to time co-opt members to the group for a time-limited period or specific purpose, as the committee sees appropriate to fulfil its Terms of Reference.
- 3) The quorum is 40% of overall membership.
- 4) The values of the University mean that all committees within the University's Academic Committee Structure are expected to be conducted within a context of an inclusive and ethical environment.

Terms of Reference
<ol style="list-style-type: none"> 1. Advise the Dean, the Faculty Executive Committee and REF Operations Group on all aspects of preparation for the next REF submission, including criteria for inclusion, submission guidelines and emerging management issues (e.g. arising from Equal Opportunities) 2. Collate and respond to intelligence on REF processes from external networks/contacts relating to subject communities and UoAs 3. Discuss and disseminate emerging guidance and criteria from Research England 4. Receive and disseminate, as appropriate, reports from RIS REF Team 5. Receive notes or minutes from UoA REF meetings as appropriate 6. Recommend the final selection of UoAs and staff distribution across UoAs and consider interactions with UoAs in other Faculties 7. Engage, consult and communicate with Faculty colleagues with respect to the REF Code of Practice 8. Ensure that effective and appropriate Faculty action is undertaken to support the REF submission 9. Oversee output assessment (both internal and external), development of environment narrative and impact case studies

University of Portsmouth: REF 2021 Code of Practice

10. Engage with the annual REF Audit and other data modelling and validation tasks
11. Oversee the quality of data entry into Pure at Faculty level and facilitate open access compliance
12. Provide FREF/FROG Minutes to REF Steering Committee for information

Last Updated: October 2020

Faculty of Science and Health REF Steering Group

Constitution, Membership, and Terms of Reference

The Faculty of Science REF Steering Group reports directly to the UoP REF Steering Committee and via the AD(R) to the Dean, Science Faculty Executive Committee (FEC) and the Science Faculty Research and Innovation Committee (FRIC). All posts are ex-officio unless otherwise stated.

Constitution	Membership	Date Appointed
Chair: Associate Dean Research	Dr Alan Thorne	N/A
Deputy: Deputy Associate Dean	Dr Jo Corbett	N/A
Development Manager / Impact Lead	Karen Musk	N/A
Dean of Faculty of Science and Health	Prof Sherria Hoskins	N/A
Senior Faculty Research Administrator	Ruth Wills	N/A
UoA 3 Coordinator	Dr Jerome Swinny	N/A
UoA 4 Coordinator	Dr Hartmut Blank	N/A
UoA 7 Coordinator	Prof Craig Storey	N/A
UoA 14 Coordinator	Dr Nick Pepin	N/A
UoA 24 Coordinator	Dr Jo Corbett	N/A
UoA 3 Deputy/Impact leads	Dr Roger Draheim (Dep), Dr John Young (IL)	N/A
UoA 4 Deputy/Impact lead	Dr Beatriz Lopez (IL)	N/A
UoA 7 Deputy/Impact leads	Dr Alex Ford (Dep), Dr Nick Koor (IL)	N/A
UoA 14 Deputy/Impact lead	Donald Houston (Dep), Dr Julia Brown (IL)	N/A
UoA 24 Deputy	Dr Joe Costello	
RIS Representatives	Dr Andy Dixon plus members of the RIS REF team as available: Ms Dee Summers (Impact), Ms Denise Teasdale (REF guidance), Mr Kevin Pogorzelski (Pure), Ms Liz Brindley (OA)	N/A
Co-opted Members	Dr Colin Sharpe UoA 3, Dr Amy Drahota UoA 3, others as required	N/A

* If the UoA Coordinator cannot attend a meeting they must send a substitute in their place to represent the UoA.

NOTES

1. The normal term of office for Committee members does not apply to the SF REF Steering Group since the focus of this group is the strategic preparation and submission to the Research Excellence Framework.
2. UoA Coordinators, Deputies and Impact Leads support the REF planning and submission process and are appointed by the Dean until further notice or until a submission is successfully completed and a new coordinator/deputy/impact lead is appointed.
3. The REF Steering Group may, from time to time, co-opt additional members for a time-limited period or specific purpose, as the Group deems appropriate to fulfil its Terms of Reference.
4. The quorum is 40% of overall membership.
5. The REF Steering Group will conduct all meetings and business within the context of an inclusive and ethical environment consistent with the values of the University.

Terms of Reference

1. Monitor, report and provide advice to the UoP REF Steering Committee, Dean of the Faculty on all aspects of preparation for the next REF submission, including selection of outputs, impact case studies, environment templates and any emerging management or operational issues (e.g. arising from Equal Opportunities)

University of Portsmouth: REF 2021 Code of Practice

2. Recommend to the UoP REF Steering Committee and the Dean where effective and appropriate University or Faculty action is needed to support the REF submission.
3. Receive, discuss and interpret emerging REF guidance and criteria from Research England and provide a steer for its implementation.
4. Monitor potential Units of Assessment (UoAs) against stated Environment and Impact ambitions (templates or strategies as appropriate).
5. Recommend to UoP REF Steering Committee, Dean and the Faculty Executive Committee the final selection of UoAs for submission and staff distribution across UoAs.
6. Consider and monitor the equality and diversity implications of the Research England REF guidance as it relates to Faculty of Science-led UoAs, including Equality Impact Assessment monitoring.
7. Oversee University REF Audits, reviewing submissions, reporting outcomes to the UoP REF Steering Committee, agreeing and implementing actions to address issues arising.
8. Oversee the internal and external peer review process for outputs, impact case studies and environment templates.
9. Monitor Research WLA of eligible staff provided by HoDs to identify submissible staff within their UoA.
10. Encourage the sharing of good practice across UoAs.
11. Act as a conduit of communication for addressing staff concerns.

Draft dated: 06.10.2019

Faculty of Technology REF Operations Group (FROG) Constitution, membership and Terms of Reference



The Committee reports to the Faculty Executive Committee.

All posts are ex-officio unless otherwise stated.

Membership	Name
Associate Dean Research (Chair)	Prof Jim Briggs
Dean	Prof Djamel Ait-Boudaoud
UoA 9 Coordinator	Prof David Wands
UoA 10 Coordinator	Dr Andrew Burbanks
UoA 11 Coordinator	Dr Ella Haig
UoA 12 Coordinator	Dr Andrea Bucchi
Head, School of Mathematics and Physics	tbc
Head, School of Civil Engineering and Surveying	Dr Stephanie Barnett
Head, School of Mechanical and Design Engineering	Dr Jovana Radulovic
Head, School of Energy and Electronic Engineering	Prof Peter Kyberd
Head, School of Computing	Dr Nick Savage
Director, Institute of Cosmology and Gravitation	Prof Adam Amara
Impact Lead (Faculty Impact and Innovation Development Manager)	Dr David Hutchinson
RIS Representative	Dr Andy Dixon
<i>Co-opted Members:</i>	
Deputy UoA 9 Coordinator	Prof Kazuya Koyama
UoA 9 Coordination Team Member	Dr Melvin Vopson
Deputy UoA 10 Coordinator	Dr Michal Gnacik
Deputy UoA 11 Coordinator	Prof Hui Yu Creative Technologies, CCI
Deputy UoA 12 Coordinator	Vacant
Associate Head (Research and Innovation), School of Mathematics and Physics (UoA 10)	Dr Andrew Burbanks
Associate Head (Research and Innovation), School of Civil Engineering and Surveying (UoA 12)	Prof John Williams
Associate Head (Research and Innovation), School of Mechanical and Design Engineering (UoA 12)	Dr Andrea Bucchi
Associate Head (Research and Innovation), School of Energy and Electronic Engineering (UoA 12)	Dr Branislav Vuksanovic
Associate Head (Research and Innovation), School of Computing (UoA 11)	Dr Rinat Khusainov
Associate Director, Institute of Cosmology and Gravitation (UoA 9)	Prof David Bacon
Secretary	Emma Wildman

If a UoA Coordinator cannot attend a meeting, then they should send a deputy in their place to represent the UoA.

Notes

1. The focus of this group is the preparation of relevant parts of the University's submission to the Research Excellence Framework in November 2020. UoA Coordinators and Impact Leads support the REF planning and submission process and are appointed by the Dean until further notice or until a submission is successfully completed and a new coordinator/Lead is appointed.
2. The Group may from time to time co-opt members for a time-limited period or specific purpose, as it sees appropriate to fulfil its Terms of Reference.
3. The quorum is 40% of overall membership, but business may be conducted in the absence of a quorum subject to ratification by Faculty Executive, Faculty Research and Innovation Committee or University REF Operations Group, as appropriate.

University of Portsmouth: REF 2021 Code of Practice

4. The values of the University mean that all committees within the University's Academic Committee Structure are expected to be conducted within a context of an inclusive and ethical environment.

Terms of Reference

1. Advise the Dean, the Faculty Executive Committee and the REF Operations Group on all aspects of preparation for the next REF submission, including criteria for inclusion, submission guidelines and emerging management issues
2. Collate and respond to intelligence on REF processes from external networks/contacts relating to subject communities and UoAs
3. Discuss and disseminate emerging guidance and criteria from Research England
4. Receive and disseminate, as appropriate, reports from RIS REF Team
5. Receive notes or minutes from UoA REF meetings as appropriate
6. Recommend the final selection of UoAs and staff distribution across UoAs and consider interactions with UoAs in other faculties
7. Engage, consult and communicate with Faculty colleagues with respect to the REF Code of Practice
8. Ensure that effective and appropriate Faculty action is undertaken to support the REF submission
9. Oversee output assessment (both internal and external), development of environment narrative and impact case studies
10. Engage with the annual REF Audit and other data modelling and validation tasks
11. Oversee the quality of data entry into Pure at Faculty level and facilitate open access compliance
12. Provide FROG minutes to REF Steering Committee for information

Last updated: October 2020

Role of Unit of Assessment Co-ordinators (2018-2020)

Selection

UoA Coordinators will be appointed through an open and transparent application process managed at faculty level. Candidates will be expected to have substantial research experience together with an understanding and appreciation of the meaning of research quality (as defined by the REF 2014 in terms of rigour, originality and significance).

Purpose

UOA Coordinators will provide strategic management and lead preparations for the REF; moreover, they will monitor and develop research within the UOA supporting the relevant Head(s) of Department/Research Centre and Associate Deans of Research in meeting the requirement of the UOA, Faculty and University research strategies.

Reporting

For all REF related matters UOA Coordinators will formally report to their Faculty ADR, or nominee and to the University REF Steering Committee.

Time allocation:

0.2 FTE. Possibly increasing in final year of submission phase

Key Duties

- Measuring the research performance of the UOA (research quality, impact and environment) compared with the research strategy established in the REF 2014 and University key performance indicators on an annual basis.
- Working with the Head of Department/Research Centre (or ADR or nominee) to provide intellectual research leadership for the UOA together with developing and implementing the REF 2020 research strategy.
- Overall responsibility for the preparation of the UOA submission, including liaising with staff of contributing Departments (including HoD, AH(R)s, Research Leads as appropriate), preparing the textual commentary, and assessment and selection of quality research outputs, collating and verifying all information appropriate to the submission; including consideration of 'significant responsibility for research' for selection of staff for the submission.
- Coordinating all UOA contributions to the planning, implementation and evaluation of institutional submissions to any national research assessment exercise, external consultations and data collation activities.
- Coordinating data for external assessment, liaising with internal and external assessors, disseminating results of reviews.
- Acting as the main contact point between the UOA, the ADR and central administrative staff in Research and Innovation Services during the REF period.
- Establishment of an effective local UOA working group to share responsibility for the preparation, development and monitoring of the UoA.
- Undertaking all equal opportunities training as recommended by the REF Steering Group and in line with the University's REF Code of practice.
- Attending University REF Steering Committee meetings in advance of the submission.
- Attending Faculty's REF Operations Group (or equivalent)
- Keeping abreast of REF developments specific to the UOA and relevant disciplines and disseminating information to the UOA.

Support

- UOA Coordinators will be expected to be provided with sufficient time to undertake the duties required by HoD.
- UOA Coordinators will be expected to have local administrative support appropriate to the preparation of the submission this includes support from RIS, research administrators, research finance and UoA working group.
- UOA coordinators will be expected to receive support and input from the UOA working group.
- UOA Coordinators will be expected to receive additional management, strategic and operational support from the REF Steering Group, the ADR, the Head(s) of Research Institute/Centre, Faculty/school impact leads, and the Research Support Team within RIS.

Addendum:

In late 2018, the REF Steering Committee, in response to concerns raised around diversity of the Committee, agreed to pilot the implementation of the co-coordinator role (see output of Equality Impact Assessment, Appendix H). This process was underway at the time of submission of this Code of Practice to Research England in September 2019. The current membership details for Faculty REF Committees and Faculty REF Operations Groups have been amended to reflect the appointment of co-coordinators as appropriate.

Appendix E: Appeals Process

Grounds for Appealing Eligibility or Submissibility Assessments

Any Teaching and Research or Research Only member of staff may submit an appeal.

Appeals may be submitted where it is believed an error in the data used to assess eligibility, submissibility, or research independence has had a significant, material and genuine impact on the outcome. Appeals may also be submitted where it is believed that the process by which the assessment of eligibility, submissibility or research independence, and output selection, as outlined in this Code, was not followed correctly.

Appeals may not relate to decisions about an individual's allocation of workload, an individual's classification for HESA reporting purposes, or an individual's PDR or other regular review process.

Due to their sensitivity, appeals related to staff circumstances will be managed separately, according to the process established in section 4.4.6 of this Code.

The Appeal Process

The appeal process starts with an informal investigation of the relevant information. If this cannot resolve the matter, a formal appeal will then be considered by an Appeals Panel. If the Appeals Panel cannot resolve the matter, the appeal may be escalated for review and final decision.

Appellants will be kept updated on appeals as they progress. They will receive a response from the Director of Research and Innovation Services (RIS) at the end of the informal process if appropriate, and from the Appeals Panel at the end of the formal process, confirming the concern raised, the steps taken to consider and investigate the matter, and the outcome of the appeal.

If any individual feels that the University's Code of Practice has not been followed correctly, they may submit an appeal to Research England, as per their advised procedure.

Step 1: Informal Investigation

Any person seeking to appeal their inclusion or exclusion from REF 2021 is to raise the concern informally with the Coordinator for the relevant Unit of Assessment (UoA). The UoA Coordinator may be able to address any issues or explain the reasons for the outcome.

If the UoA Coordinator is unable to assist, the appeal may be escalated to an informal query to the most relevant Associate Dean (Research). The Associate Dean (Research) or the UoA Coordinator may request assistance from the REF Team in RIS at any point in the informal process, if required.

If at all possible, concerns should be addressed through these informal steps.

Step 2: Formal Investigation

If the concern cannot be addressed through informal investigation, or if the individual is dissatisfied with the outcome of the informal process, a formal appeal may be submitted to the chair of the University's REF Operations Group. Formal appeals must be submitted in writing to ref@port.ac.uk.

A formal appeal must state:

- The name and Unit of Assessment of the individual to whom the concern relates.
- An explanation of the nature of the concern.
- Evidence to support the concern, particularly that it has potential to materially and significantly impact their eligibility and/or submissibility to REF 2021.
- Confirmation that the informal process has been completed, or a justification if it has not.

Confirmation of receipt will be provided to all appellants. Receipt of appeals will be formally logged in the reserved section of the minutes of each REF Operations Group meeting, and will be discussed as a standing item at each meeting. If insufficient information is provided, the REF Operations Group will request further detail from the appellant. If this cannot be provided, the appeal will be considered withdrawn and will not proceed.

The REF Operations Group will commission an Appeals Panel to consider appeals submitted to the Group.

The Appeals Panel will consist of an Associate Dean (Academic, Students, or Global) who is not from the appellant's faculty; a Head or Director or Deputy Head or Deputy Director of a Professional Service other than RIS; and a senior HR representative. All members of the Appeals Panel will be wholly independent of any other REF processes. The Panel will be advised on technical aspects of REF and the University's Code of Practice by the REF Team in RIS. The Appeals Panel may request further investigation by the REF Team in RIS, REF Operations Group or other colleagues if appropriate.

Appeals will be assessed on the basis of:

- Whether there is evidence of any error in the information used to assess the individual's eligibility for REF 2021.
- Whether there is evidence of any error in the information used to assess the individual's status as submissible to the REF 2021.
- Whether any identified errors were material and significant in their impact on the assessment of the individual's eligibility and/or submissibility.
- Whether processes described in the Code of Practice were not followed correctly.

Where errors are identified, the Appeals Panel will recommend steps to offer redress. These will include as a minimum correcting the inaccurate data or information at source, and re-assessing the individual's eligibility or submissibility for REF 2021.

The Appeals Panel will provide REF Operations Group with a brief report detailing each appeal considered and the Panel's findings. REF Operations Group will act on the Panel's recommendations unless there are exceptional reasons not to do so, in which case the chair of the REF Operations Group will provide a written justification for their response to the Appeals Panel, the appellant, the Pro Vice-Chancellor (Research and Innovation), and the Pro Vice-Chancellor (Global Engagement and Education Partnerships).

Step 3: Review

If the appellant is not satisfied with the outcome of the formal investigation, they may submit a request for review by an Associate Pro Vice-Chancellor or a Head or Director of a Professional Service who has no other REF role.

Requests for review must be submitted in writing to ref@port.ac.uk, and must outline the following:

- Name and Unit of Assessment.
- An explanation of the nature of the original appeal.
- Confirmation that the formal processes have been fully completed.
- The reasons why a review is being requested.

Reviews will only be undertaken if the appellant can demonstrate one or more of the following:

1. The appeals process was not followed correctly.
2. New evidence has come to light which could potentially change the original panel's finding.

The reviewer will then consider the case, and take what steps are judged to be appropriate.

The appellant will be notified of the outcome of the review. The reviewer will hold final authority over the decision and the judgement cannot be appealed further through the University's REF 2021 processes.

Appeals Timeline

Appeals should be initiated within 10 working days of notification being sent out to staff regarding their individual assessment as holding or not holding significant responsibility for research, unless there are exceptional circumstances (e.g. illness).

The informal stage of the appeals process should be completed within 10 working days of the appellant's first request to their UoA Coordinator for an informal appeal. The appellant will have 10 working days from the date their informal appeal concludes to submit a formal appeal.

The formal stage will be completed within 20 working days of receipt of a request for a formal appeal. The appellant will then have 10 working days to submit a request for a review.

The review stage will be completed within 20 working days of receipt of the request.

The appeals process will close on 31 January 2021 after staff have been informed of the final decision on eligibility and submissibility (see section 1.5). This will provide sufficient time for appeals processes to be completed prior to the final submission at the end of March 2021.

Appendix F: Communications Strategy

The plan was discussed and approved at the REF Steering Committee in October 2018.

Communications Plan for REF 2021

September 2018

This document sets out a plan for communications with university colleagues, partners and external bodies in relation to preparations for REF 2021. It aims to help ensure an accurate, consistent message is shared across the institution.

A separate, complementary plan will address the specifics of the consultations that will take place.

Key audiences

- Staff – submissible, eligible not submissible, not eligible
- Stakeholders – ADRs, Department Heads and Associate Heads, UoA Coordinators, UEB, RIS management team
- Partners – Planning, Finance, HR, Registry, Library, E&D, Faculty-based R&I professional services colleagues
- External – Research England, EDAP, other HEIs, HESA, HE journalists, current and future potential staff and students

These audience groups will need to receive different messages and will have different requirements for the type, depth, and focus of the information they receive. They will therefore each need to be targeted via the communications channels that are suitable to their needs and to the message being shared.

Twitter and email, for example, are good for sending short messages and links to more detailed information which people can choose to engage with if they wish. The Blog will be useful for informal, mid-length (300 - 500 word) updates and discussion pieces. Written reports will provide the detailed information and strategic objectives necessary for higher-level decision-making.

The final Code of Practice, which outlines decision-making and appeals processes will be disseminated through the website, with all-staff emails to alert colleagues to its presence.

Our communications will therefore incorporate a range of channels and tools, and will be targeted to maximise effectiveness in reaching the audiences identified.

Key communications channels

- Online
 - External-facing webpage
 - Internal webpages – inc. Staff Essentials / Internal Comms pages, wiki style FAQ including regularly updated questions posed to the UoA Coordinators and responses
 - Social media – twitter, UoP facebook
 - RIS Blog
 - Email – 1:1, 1 to many, VC bulletins, PVC emails/updates, weekly staff update.
- Offline
 - Meetings – ADRs, ROG, RSC, IWG, URIC, UEB, 1:1s, Departmental or Faculty level meetings, Professors, Readers and Heads Forums, committee meetings
 - Reports / papers
 - REF specific staff forums / roadshows
 - Posters / notices and digital signage
 - Informal.

Group	Audience	Key Channels
Staff	Submittible staff	Website, email, Dept or Faculty meetings, forums/roadshows
	Eligible but non-submittible staff	Website, email
	Ineligible staff	Website, blog
Stakeholders	ADRs	ADR meetings, email
	Heads and Associate Heads	1:1 meetings, Dept meetings, email, Heads Forum
	UoA Coordinators	REF Steering Committee, email
	UEB (inc. VC)	Reports
	RIS Management Team	RIS management meetings
Partners	Planning, Finance, HR, Registry, Marketing	1:1 meetings, committee meetings
	Library	Informal means
	E&D	E&D REF committee, email
	Faculty-based R&I professional services colleagues	Email
External	Research England, EDAP, HESA	Website
	Other HEIs, HE journalists, current and future potential staff and students	Website, blog

Some key timescales

- The run up to the 15 October deadline for the RE consultation on the draft guidance (Sept – Oct 2018) – *staff; stakeholders*
- During and following the internal REF audit (Sept – Dec 2018) – *staff; stakeholders*
- While 2019/20 AY workload allocations are being undertaken (Sept 2018 – May 2019) – *stakeholders (Heads and ADRs)*
- Before each HESA return (June each year to December each year) – *Partners (HR, Finance, Registry)*
- After the release of the finalised guidance and panel criteria (Jan – Feb 2019) – *Stakeholders (ADRs, UoA Coordinators)*
- Before, during and after the development of the University's Code of Practice (Sept 2018 – approx. May 2019) – *staff; stakeholders; partners; external (RE)*
- Before, during and after the final internal REF audit / mock REF 2019 (May – Nov 2019) – *staff; stakeholders (inc. UEB)*
- Before, during and after the intention to submit period (June 2019 – Dec 2019) – *staff; stakeholders (ADRs); partners*
- Before, during and after period of requesting staff submit potential extenuating circumstances for reductions requests (April 2019-March 2020 and October-December2020) – *staff; stakeholders (E&D Team)*
- Around submission date (31 March 2021) – *staff; stakeholders; partners*
- Post-submission, pre-results (2021) - *staff*
- Results (April 2022) – *staff; stakeholders; partners; external.*
- Publication of submissions, panel overview reports and sub-profiles (Summer 2022)

Appendix G: REF Code of Practice Consultation Plan

January 2019

Our aim is to undertake meaningful, transparent and inclusive consultation on the University's preparations for REF 2021, including the development of our REF 2021 Code of Practice and most specifically our process for determining which staff hold "significant responsibility for research".

We will consult with staff representatives, staff groups and committees, and with staff directly, ensuring that there are measures in place to include those who may be on long term absence and those without access to email.

We will consult on:

- the University's process for determining which staff hold "significant responsibility for research".
- other elements of the University's draft Code of Practice for REF 2021, including the assessment of research independence, selection of outputs, procedures for managing staff circumstances, and appealing decisions.
- any other elements relating to REF 2021 preparations or submission about which we require or could benefit from staff engagement and feedback.

Consultation will take place through a variety of channels, including:

- open meetings and Q&A sessions at local and University level at which staff can receive information, ask questions, and offer their feedback.
- engagement with relevant Committees and Groups, such as Professors and Readers' Forums, University Research Degrees Committee, the Academic Staff Association meetings, faculty and school or department level meetings, to share information and seek input on specific, relevant questions or areas of REF and the Code of Practice.
- discussion and engagement with staff representative bodies, particularly the Union(s) and other groups that specifically represent academic staff.

Given the importance of the development of the process for determining who holds significant responsibility for research, this thread of activity will have specific additional consultation, including:

- An online survey open to all University staff outlining proposals for the process and seeking thoughts, comments and feedback.
- Direct engagement with Union representatives and other appropriate groups on behalf of staff, to share in the process as it develops, seek input, and help ensure we proceed in a way that is fair, equitable, and transparent.
- The University's REF Equality and Diversity Advisory Group will be consulted on ensuring the process does not unfairly bias for or against any specific groups of individuals based on protected characteristics including age, gender and race.
- Through the University's Equality and Diversity Department, led by the University REF Equality and Diversity Advisory Group, staff with protected characteristics will be consulted, generally around the process but specifically in relation to a proposed method to ensure any staff with personal (staff) circumstances are able to have these taken into account.
- Consideration when their status as holding significant responsibility for research is assessed.

Feedback from consultees will be captured through a variety of means, including:

- Recording questions raised at communications events, and creating a FAQ, publicised on the intranet/internet.
- Collating responses to the online form on significant responsibility for research.
- In the minutes/notes of formal committees and informal meetings or discussions.
- Formal reports on specific consultation activities to REF Operations Group and/or REF Steering Committee.

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Feedback received through this consultation will be considered at the REF Operations Group and REF Steering Committee. An overall report on consultation relating to the Code of Practice will be prepared and disseminated along with the Code of Practice once this is approved by University Executive Board for submission to Research England.

Timeline

Timing	Activity	Audience	Mode
31 October 2018	University Research Degrees Committee – consultation on allocations for MRes and PhD supervision as “research”	Faculty Research Degree Coordinators, as research community representatives	Committee
19 December 2018	First meeting with Union representatives	Staff representatives	Other
December 2018	Discussions with Equality and Diversity Unit on proposals for significant responsibility for research	E&D colleagues, as experts and as representatives of staff with protected characteristics	Other
30 January 2019	All-staff REF meeting – open session, presentation and Q&A for all staff	All staff	Forum
2 January 2019	ref@port.ac.uk email open for comments/queries	All staff	Digital
7 February 2019	REF Steering Committee – discussion session on first draft Code of Practice	UoA Coordinators, Associate Deans, representatives of REF-related departments e.g. finance, REF Team (RIS)	Committee
8 February 2019	All-staff REF meeting – open session, presentation and Q&A for all staff	All staff	Forum
25 February 2019	Presentation and discussion on first draft CoP with University Executive Board (UEB)	University executive team including Vice-Chancellor, Deputy Vice Chancellors, Pro Vice-Chancellors, Deans, and Heads of Professional Services	Forum
6 March 2019	RISSNET presentation and Q&A session on REF and the Code	Support staff	Forum
20 March 2019	Presentation and Q&A to Readers Forum	Research leaders	Forum
25 March 2019	Report to Academic Council	Academic staff leadership	Committee
Mar / April	REF E&D meeting to discuss EIA of REF Audit	E&D experts	Committee
5 April 2019	All-staff consultation on the draft Code, including an online survey to gather feedback	All staff	Digital
5 April 2019	Draft Code shared with Heads Forum, Readers Forum and Professors Forum and for feedback	Research and Academic Leaders	Digital

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5 April 2019	Draft Code shared with Academic Staff Association for feedback	Academic staff representative body	Digital
5 April 2019	Draft Code shared with REF Operations Group for feedback	Associate Deans (Research) and REF Team, RIS	Committee
5 April 2019	Draft Code shared with REF Steering Committee members	REF Leadership and REF Observers, including Union representatives	Committee
8 April 2019	Draft Code shared with Equality and Diversity groups and networks via E&D Unit for feedback	LGBTQ Staff Network, Women's Staff Network, Multicultural Staff Network, Parent & Carer Staff Network	Groups
8 April 2019	Draft Code shared with University Research Degrees Committee for feedback	Faculty Research Degree Coordinators, as research community representatives	Committee
8 April 2019	Draft Code shared with Researchers' Network for feedback	Research active staff, including Early Career Researchers and contract researchers	Forum
8 April 2019	Draft Code shared with Athena SWAN groups and Race Equality Charter team members	Athena SWAN Champions, Athena SWAN self-assessment team, Race Equality Charter self-assessment team	Groups
8 April 2019	Draft Code shared with staff via the internal Facebook group	All staff	Forum
9 April 2019	Draft Code shared with Professional Staff Association for feedback	Professional Services staff representative body	
10 April 2019	Blog post about Draft Code consultation, signposting staff to Code and feedback mechanisms	All staff, external	Digital
10 April 2019	Above blog post shared via Twitter accounts - @uopresearch and @uoppolicy	All staff, external	Digital
10 April 2019	Presentation and Q&A to Professors Forum	Research leaders	Forum
12 April 2019	Presentation and Q&A with Heads Forum	Academic Leaders	Forum
April/May	Consideration at FROG/FREF or equivalent, FRICs, FECs, and other Faculty committees	Academic & Faculty Research leads	Committee
30 April 2019	Reminder email to all staff ahead of consultation close on 6 May	All staff	Digital
1 May 2019	Update presentation and Q&A to University Research Degrees Committee	Faculty Research Degree Coordinators	Committee
1 May 2019	Draft Code goes to Technology Faculty Research and Innovation Committee (FRIC)	Faculty Research and Innovation leads	Committee

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2 May 2019	Update presentation to REF Steering Committee	UoA Coordinators, ADRs, Union representatives, other departments involved in REF	Committee
3 May 2019	Further meeting with Union representatives	Staff representative body	Other
6 May 2019	Formal all-staff consultation closes.		
9 May 2019	Feedback reviewed and summarised. Final draft Code of Practice prepared.		
w/c 13 May 2019	EIA of final Code undertaken.		
13 May 2019	Update presentation to UEB on the Code of Practice consultation outcomes	UEB	Committee
17 May 2019	REF Operations Group final review of Code of Practice, including any final feedback from UoA Coordinators via Associate Deans (Research)	Associate Deans (Research), UoA Coordinators, REF Team in RIS	Committee
21 May 2019	Presentation to University Research and Innovation Committee	Research Leaders and Managers	Committee
22 May 2019	Academic Council final review of Code of Practice	Academic staff leadership	Committee
3 June 2019	UEB review Code of Practice for approval and submission	UEB	Committee
7 June 2019	Code of Practice submitted to EDAP and Research England		
w/c 3 June 2019	Final Code of Practice shared with Board of Governors	Board of Governors	Committee
w/c 10 June 2019	Final Code of Practice shared internally online	All	Digital

Appendix H: Equality Impact Assessment

The University provides a template for undertaking Equality Impact Assessment (EIA) which guides the user through a range of questions and considerations. The EIA provided herein concerns the processes described in the Code of Practice document and builds upon the EIA undertaken at the drafting stage of the Code of Practice. Please refer to Table 1, page 7, for the full schedule of EIAs.

Equality Impact Assessment (EIA) UoP Template

A. Policy/Practice (name and brief description) REF 2021 Code of Practice
B. Reason for EIA (tick) <input checked="" type="radio"/> Proposed new policy/practice <input type="radio"/> Proposed change/amend to existing policy/practice <input type="radio"/> Undertaking a review of an existing policy/practice <input type="radio"/> Other (please state)
C. Person responsible for the policy/practice Name: Andy Dixon Job Title: Deputy Director of Research and Innovation Services Faculty/Business area: RIS
D. Decision not to undertake EIA <input type="radio"/> There is no requirement to conduct a full EIA (go to section I) <i>Explain reasoning for this decision</i>

E. Evidence Considered. What data or other information have you used to inform the development of this assessment Used: Analysis of data from REF Audit 2018; Whole academic staff data; Constitution of REF committees/groups; Research England guidance on preparing a Code of Practice for the REF 2021 (this document places great emphasis on E&D and provides detailed guidance for institutions as to how E&D matters should be addressed); Workshop on REF and Equality and Diversity delivered by AdvanceHE on behalf of the Equality and Diversity Advisory Panel for REF 2021 (attended by RIS personnel); Codes of Practice from five other HEIs. Further context: The national REF exercise has equality and diversity at its heart and has detailed policy, processes and roles to support the endeavour. In order that the University can make its submission to REF 2021 it must have its CoP approved by Research England who in turn are advised by the national Equality and Diversity Advisory Panel. This process provides a 'check and balance' for the University that we are meeting national expectations in terms of taking due account of issues of equality and diversity in making our REF 2021 submission.

F. Consultation. Have you consulted staff/students/service users including those from under-represented groups? What were their views?

The Code of Practice has been subject to a full and detailed consultation process across the whole University. This is described in detail in Appendix F of the CoP itself. The consultation was available online and by email consultation for all staff from 5 April – 6 May. In addition to this electronic consultation, the RIS REF team also consulted directly with: Professors' Forum, Readers' Forum, Heads' Forum, HR, URDC, RISSNet.

The following groups were specifically invited to comment: Women's Network, Multicultural Staff Network, Parents' and Carers' Network, LGBTQ Network, Athena SWAN Champions, Race Equality Charter team, Academic Staff Association, Support Staff Association, Researchers' Network.

Meetings took place with Union representatives (Dec 2018 and May 2019), and the draft Code was shared with FREFs/FROGs, FRICs, FECs, RSC, URIC, Academic Council, University Executive Board.

Furthermore, the REF Steering Committee have set up a REF Equality and Diversity Group (REF ED) specifically to oversee issues of E&D.

There were no substantive concerns raised relating to E&D matters. A summary of the consultation follows:

- Some requests for clear guidance or training to ensure workload is allocated fairly and consistently
- Some concern that managers may make workload decisions based on REF
- No significant concerns about the 20% threshold
- Concern about using PDR for research independence, mainly around the practicalities and the need for guidance for managers and staff to understand how (and why) to reflect self-directed research in PDRs
- Some concern that the research independence test may be seen as insufficiently objective
- No significant concerns on staff circumstances
- Output selection is seen as confusing because it is different in each Unit
- Some concern that output selection places too much reliance on one person
- Some concern that Units may select outputs based on their own departmental or school expectations, which could disadvantage people from other departments or schools who are entered into that Unit
- Suggestion that appeals should be allowed for output selection and workload allocations.

G. Promoting equality. Does this policy have a positive impact on equality or prevention of discrimination or foster good relations? Any evidence? Could it do more?

Promoting equality is embedded in the REF Guidance and is a key feature of the Code of Practice. The last REF exercise (REF 2014) led to E&D matters advancing higher up individual, institutional and sector agendas, and it is anticipated that the pre-eminence of E&D concerns in the Research England Guidance will continue that trajectory into the 2021 exercise. Thus the CoP provides opportunities to promote E&D. For example, in considering the constitution of the REF Steering Committee (RSC) it was noted that the majority of members were middle-aged white men. This led to the RSC proposing the role of co-coordinator for Units of Assessment, as a means to encourage a more diverse range of coordinators. This was approved at UEB and is being piloted in the larger Units and then rolled out across the other Units, with some smaller Units already rolling out the practice ahead of schedule.

The EIAs of REF related processes and data also lead to insights into potential trends and patterns that relate to the wider research environment outside of the REF. It is important that recommendations that emerge from this and other EIAs are considered at the appropriate places in the University, whether this be committees such as

University Research and Innovation Committee (URIC), Faculty level R&I committees, and/or through management structures such as University Executive Board (UEB) and Faculty Executives. Furthermore, this activity should dovetail with activity being developed and delivered under the aegis of Athena SWAN and the Race Equality Charter. To this end, the Athena SWAN working group nominated an academic to become a member of the REF ED group.

The tone and content of the CoP has been written explicitly to promote inclusivity, transparency and fairness.

The University has mandatory E&D training for staff. The REF provides an opportunity to review whether everyone who should have undertaken the training has done so, and to drive completion, including for those who completed their training some years ago who will undertake it again as a refresher.

In addition to the online training already available, the REF Steering Committee requires that those involved in the REF 2021 decision-making processes undertake bespoke REF E&D training. The first session will take place on 27 June 2019, with a second session being scheduled for October 2019. The training will be delivered by AdvanceHE – the organisation operating the national Equality and Diversity Panel for REF 2021.

H. Identifying the adverse impact

Identify any issues which could have an adverse impact on any of the following characteristics:

- 1- Race 2-Gender 3-Disability 4-Sexual Orientation 5-Married/Civil Partnership 6-Age
 7-Religion/Belief 8-Transgender 9-Carers (direct discrimination) 10-Maternity/Paternity 11-Other considerations

Impact/issues Identified	Group impacted (1-11)	Evidence (Referring to section E&F above)	Adjustments/Justification Can adjustments be made? Can barriers be removed? Can issues be justified?	Proposed Action If the issue cannot be justified, what action(s) will be taken to address?
Potential unconscious bias due to lack of appropriate representation/diversity amongst REF Units of Assessment coordinators (and therefore REF Steering Committee)	1 & 2	Observation of individuals in the UoA coordinator roles.	Yes.	Piloting a co-coordinator role.
Potential for systemic bias: Explore impact of the workload allocation threshold for 'significant responsibility for research'	1-11 (incl. part-time)	Analysis of 2018 REF Audit data	The analysis indicated that the decision taken to have a threshold of 20% of contracted workload was not disproportionately biased.	No specific actions.
That outputs selected in the REF entry were not reflective of the University's eligible population	1-11 (incl. part-time)	To determine in the CoP that once academic judgement has been taken into account, and all things being equal the Unit of Assessment may take into account the representativeness of protected characteristics in its final submission of outputs.	Yes	Text adjusted in final version.

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Potential unconscious bias in Appeals processes: other decision-making roles in REF process	1-11	Requirement of the CoP guidance and standard practice in other people's CoPs	Yes	Change of proposed Appeals Panel members and other individuals involved in appeals to ensure they are not involved in any other REF related decision-making.
Lack of accessibility of final published document	3	Current version was just in a standard PDF.	Yes	Ensure that PDF is accessibility checked before publication (this is standard practice for PDFs being published on the University's webpages)
Lack of clarity in the CoP around E&D context and other relevant University policies	1-11	Little reference to other policies or equality legislation	Yes.	Section on University's approach to E&D and relevant policies inserted in the document.

F. EIA Outcome

Select one of the four outcomes to indicate how the development/review of the policy/practice will be progressed

- NO CHANGE REQUIRED – the assessment is that the policy/practice is/will be robust
- ADJUST POLICY/PRACTICE – this involves taking steps to remove any barriers, to better advance equality and/or to foster good relations in line with H above
- CONTINUE POLICY/PRACTICE – This is despite the potential adverse impact, which can be mitigated or justified
- STOP THE POLICY/PRACTICE – as there are adverse effects that cannot be prevented, mitigated or justified

G. Action and Monitoring

Specify the actions required for implementing findings from the EIA and how the implemented policy/practice will be monitored in relation to equality impact. This should be highlighted clearly within the policy/practice.

When, how and by whom will the policy/practice next be reviewed:

There will be two further formal EIA review points before the REF 2021 submission:

August 2019 – February 2020	Post-Mock REF review	Identification of staff; research independence; output selection; appeals; staff circumstances	Gender, Age, Race, Disability, Contract Status	Results used to check and review processes and ensure Code of Practice is being properly implemented. Results fed back to REF Steering Committee, and in to other E&D activity.
December 2020 - January 2021	Post-submission review	All elements of the submission – staff, outputs, environment	Gender, Age, Race, Disability, Contract Status	Results used to help identify actions that will improve E&D ahead of the next REF.

The analysis of data indicates that University needs to take steps to address the equality and diversity of its research environment. In particular, there are a lack of women and BAME staff in research leadership positions compared to the academic staff population at large. This work needs to take place outside of the REF process and would naturally fall within the auspices of URIC and FRICs for further action and monitoring.

H. Retaining the EIA

Where will the completed EIA be retained and who needs to be contacted should it be requested. This information should be highlighted clearly within the policy/practice.

The EIA will be retained as part of the annals of the REF Steering Committee. RIS undertake clerking duties for this Committee which is chaired by the PVC R&I.

I. Sign-off

EIA undertaken by *(usually the lead for developing the policy/procedure/function)*

Name(s): Andy Dixon

Job Title: Deputy Director

Dept/Faculty: Research and Innovation Services

Date: 8 May 2019

Appendix I: Guidelines on Unit Output Requirement Reductions for Staff Circumstances

Table 1: Potential Reductions for Absence or Circumstances Equivalent to Absence

Total months absence or equivalent between 1 January 2014 and 31 July 2020	Maximum reduction
0 – 11.99 months (up to 1 year)	0
12 – 27.99 months (1 year to 2 years, 4 months)	0.5
28 – 45.99 months (2 years, 4 months to 3 years, 10 months)	1
46 month or more (3 years, 10 months or more)	1.5

Table 2: Potential Reductions for ECR

Date at which the individual became an ECR	Maximum reduction
On or before 31 July 2016	0
Between 1 August 2016 and 31 July 2017	0.5
Between 1 August 2017 and 31 July 2018	1
On or after 1 August 2018	1.5