



REF 2021 Code of Practice

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- This version supersedes the initial version of the REF Code of Practice issued to all staff on 2 May 2019 and the subsequent versions issued on 8 May 2019, 7 June 2019 and 9 October 2020.
- If you wish to tailor the formatting in order to enhance the readability, you can obtain this document as a MS Word document by emailing the REF Coordinator (Karl Smith - karl.smith@lsbu.ac.uk).
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1 LSBU'S REF 2021 Code of Practice: Executive Summary

1.1 Glossary of terms and timetable

The Code of Practice contains a large number of acronyms, which are defined within the text, but to maximise readability, a glossary of terms is provided in Annex I. The timetable for the key activities described in the Code of Practice is provided in Annex II.

1.2 The Research Excellence Framework (REF): an introduction

- The REF is the UK Government's system for assessing the quality of research in Higher Education Institutions (HEIs), in terms of their: 1) research outputs (papers, books *etc.*); 2) impact (translation of research into real-world benefits); and, 3) environment (support for research).
- The REF is administered by the UK Higher Education Funding Bodies: the results comprise one of the key performance metrics for HEIs and inform the allocation of over £1billion/year. The next REF will be in 2021.
- London South Bank University's (LSBU's) key objectives for its REF 2021 submission, in line with the Funding Bodies' guidance, are to:
 - focus on the research achievements of its discipline-level submissions (Units of Assessment – UoAs), rather than of specific individuals;
 - deliver a supportive research environment that looks beyond REF 2021;
 - secure the sustainability of LSBU's research and build its international reputation for excellence.

1.3 The REF 2021 Code of Practice

The Funding Bodies required each institution submitting to REF 2021 to produce, by 12 noon on 7 June 2019, a Code of Practice that described the institution's processes for:

- identifying which eligible *Teaching and Research* staff have Significant Responsibility for Research (SRR) and hence, are to be submitted to the REF;
- determining, from among ≥ 0.2 FTE (Full Time Equivalent) *Research-only* staff, who has research independence, and hence is to be submitted to the REF;
- selecting which research outputs to submit to meet the 2.5 outputs/FTE requirement for Unit of Assessment (UoA) submissions;
- supporting staff with SRR whose capacity to produce outputs has been constrained by equality-related circumstances.

This document comprises LSBU's REF 2021 Code of Practice.

1.4 How the Code of Practice was developed

To uphold LSBU's commitments to the REF principles of **Transparency**, **Consistency**, **Accountability** and **Inclusivity**, as well as LSBU's values of equality, diversity and again, inclusivity (EDI), a Code of Practice (CoP) Working Group was convened to develop the CoP.

LSBU's seven Schools were represented in the Working Group, with the *People and Organisation* and the *Library and Learning Resources* Professional Service Groups also represented. Membership included an Early Career Researcher, a Dean, a Unit of Assessment (UoA) lead, a Director of Research and a Research Centre Head.

The Terms of Reference of the CoP Working Group are given in Annex II.

1.5 Significant Responsibility for Research (SRR): LSBU's criteria

- Staff eligible for REF 2021 submission are termed Category A staff by the Funding Bodies. These are staff who meet all four of the following criteria:
 - employed on a ≥ 0.2 FTE contract (equivalent of ≥ 1 day/week);
 - have a substantive research connection to the submitting unit;
 - have a HESA coding of *Research only* (R only)/*Teaching and Research* (T&R), and who are independent if coded as R only;
 - on payroll on census date (31/07/2020).
- All Category A staff with SRR must be submitted; staff with SRR are required to submit 1-5 compliant research outputs, in support of the 2.5 outputs/FTE requirement, except where exceptional, equality-related circumstances (see section 5.2.2) have constrained their ability to research productively during the REF period.
- Institutions can either classify all Category A staff as having SRR, or develop and agree criteria for identifying who has SRR. LSBU recognises that it has T&R staff with significant responsibilities not related to research.
- LSBU has therefore developed its own SRR criteria, in order to ensure that not all Category A, T&R staff are burdened with research output expectations.
- LSBU's three SRR criteria, of which **a. AND b.** must be met to have SRR, are:
 - a. $\geq 20\%$ of the staff member's time is clearly identified as Research within their workload model, in accordance with the following conditions:
 - Self-Managed Scholarly Activity time will not, ordinarily, count towards this 20% allocation;
 - Doctoral supervision time will be included under the Scheduled Teaching Activities and will not, ordinarily, count towards the 20% allocation.
 - b. That the staff member is an independent researcher. This will be defined as follows:
 - For T&R staff, in support of LSBU's ethos of inclusivity, research independence will be assumed if the staff member holds a doctorate;
 - If the staff member does not have a doctorate, then independence will be assumed if the staff member meets at least one of the criteria used to determine which *R only* staff are independent researchers (see section 1.7 below) AND/OR the staff member in question:
 - is/has been a named supervisor of a LSBU-registered, doctoral student for the REF period, with staff able to appeal where they consider that this period has been too stringently defined;

- has received external research funding as the lead or co-applicant;
- can demonstrate that they meet one or more other measures of research independence, such as eligibility to apply for external research funding (see section 3.4);

c. That the staff member, ordinarily, is a Research Centre/Group member: the fulfilment of this SRR criterion **is optional**, but LSBU does expect that staff with SRR are members of a Research Centre or Group to ensure they have the opportunity to access Centre/Group resources and benefit from working in a collegiate and collaborative research environment.

1.6 LSBU's commitments to its staff and the REF principles

LSBU is committed to upholding the REF principles of **Transparency, Accountability, Consistency and Inclusivity**, and the additional principles of Equality and Diversity, in the development of its REF 2021 submission. Thus, LSBU will ensure that:

- academic promotion is not conditional upon having SRR, with the Teaching, Citizenship, Administration, Management and Leadership (CAML) element of the Academic Framework, alongside the enterprise and professional practice components of the Framework's Professional Impact element, providing diverse opportunities for promotion;
- staff not identified as having SRR will have the opportunity to meet with their Dean/Director of Research to discuss their development/support needs with respect to developing their engagement in research
- where staff have been subject to equality-related circumstances (see Section 1.8) that have constrained their ability to produce research outputs, LSBU will ensure that these staff have full opportunity to confidentially declare these circumstances. Further, LSBU commits to ensuring that wherever feasible, that these staff, and/or where applicable, their colleagues within the submitting UoA, will be supported through adjustments made to the research output volume demands placed them.

1.7 Research Independence: the process for identifying which Research-only staff have Significant Responsibility for Research

LSBU will use the Funding Bodies' criteria for identifying which Category A, Research only staff have Research Independence and thus, have SRR, i.e.:

- Are or have been a Principal Investigator or equivalent on an externally funded research project;
- OR are holding an independently won, competitively awarded fellowship where research independence is a requirement;
- OR are leading a research group or a substantial or specialised work package.

For LSBU's UoA submissions in the Arts, Humanities (Law and Social Sciences), Business and Built Environment, as well as Sport and Exercise Sciences (REF Panels C and D), the following additional criteria will be used to determine who has Research Independence. These criteria are in accordance with the Funding Bodies' guidance for these Panels. Such staff:

- will have been or are named as a co-investigator on an externally funded research grant/award;
- OR have had significant input into the design, conduct and interpretation of the research.

1.8 Research outputs selection and staff circumstances for reducing research output volume requirements

- a. Eligible research outputs for each Unit of Assessment (UoA) will be selected by the principal criterion of Quality, as assessed via the three REF sub-criteria of Rigour, Originality and Significance.
- b. Where two outputs, each of which has a different attributed author, have the same quality rating but only one output is to be submitted, the UoA lead and Director of Research, in consultation with the Research Office, will make a decision on which research output to submit, taking into consideration:
 - LSBU's EDI commitments;
 - the importance, where this is feasible and lawful, of ensuring that the distribution of outputs among staff broadly reflects the characteristics of staff within the output pool.
- c. All eligible, approved outputs will be reviewed, independently, by at least two reviewers.
- d. In the case that staff members have been subject to circumstances that have inhibited their capacity to produce research outputs, they will be invited to declare this via a form (see Annex IX) submitted to a confidential email account.
- e. Relating to point d, such cases will be reviewed by the Independent, Staff Circumstances Group (SCG). In accordance with the process described in section 5.2.5, the SCG will ascertain if an individual's declared circumstances:
 - i. fall below the threshold for a research output tariff reduction (see section 5.2.1);
 - ii. meet the baseline criteria given in section for a research output tariff reduction to be potentially applied to the UoA;
 - iii. have had an exceptional effect on the staff member and thus, warrant the removal of the requirement to produce a minimum of one output (where the staff member has been unable to produce an eligible Research Output) – see section 5.2.2.
- f. The staff members concerned will be notified of the SCG's judgment and asked if they wish to use the tariff reductions applicable to them where they have not given prior assent to this in the Circumstances declaration form.
- g. The SCG will then determine the total number of research output tariff reductions for the UoA. Decisions regarding whether to apply to the Funding Bodies for a request for a Unit-level reduction will be made by the UoA lead and Director of Research (of the UoA's parent School) in consultation with the REF Coordinator. In reaching a decision, consideration will be made of the

UoA's position with respect to the research output production levels of its researchers and further, the potential benefit to the Unit's researchers, as well as other factors such as whether the discipline is one associated with a relatively low number of outputs (e.g., a discipline oriented towards monographs). To help inform decision-making, reference will be made to the following thresholds to see if they have been reached/passed:

- The total number of research output tariff reductions for the UoA is \geq 20% of the number of research outputs required. This internally set threshold was deemed by LSBU to indicate that the cumulative effect of circumstances had disproportionately affected the unit's potential output pool.
 - \geq 15% of staff members in the UoA have declared eligible circumstances: this threshold was advocated by EDAP in their "[REF 2021 Equality and Diversity Advisory Panel Interim report](#)" issued in September 2020.
- h. The UoA leads, Directors of Research and the staff members with both requested/approved reductions will be informed accordingly, ensuring that:
- i. where a staff member has been subject to the removal of the minimum of one output requirement, this is clearly conveyed to the staff member;
 - ii. where declared circumstances have constrained an individual's ability to produce research outputs, that this is taken consideration in determining how many outputs the individual contributes to the pool;
 - iii. where the UoA level research output tariff reductions have been approved, the UoA lead/DoR works with the staff members for whom these reductions were obtained to agree both how the staff member can be supported and how research expectations can be adjusted;
 - iv. the nature of the staff circumstances are not disclosed.

1.9 The Appeals process

- All T&R and R only, Category A staff have the opportunity to appeal against not being identified as having SRR, if they consider that they meet all of the SRR criteria and are independent researchers, respectively.
- The Appeals panel will be composed of individuals who are distinct from LSBU's standard grievance procedures, are independent of the REF decision-making process and have all received EDI and REF training
- The Appeals process will open in September 2019 and close on 21 September 2020.

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2 Introduction to LSBU's Code of Practice: local and national operating context; drivers; its development

2.1 The REF: an introduction

The quality of research in UK Higher Education Institutions (HEIs) is assessed via the Research Excellence Framework (REF). The REF results comprise one of the key performance metrics for HEIs and they inform the allocation of over £1billion/year of government Quality-related Research (QR) funding.

The REF assessment is administered by the UK Higher Education Funding Bodies and is segmented into Units of Assessment (UoAs). Each UoA represents a distinct discipline (e.g. engineering) and is comprised of the following three elements:

- **Research outputs** - measured in terms of the quality of the submitted research outputs (journal papers, book chapters etc.). This comprises 60% of the REF assessment;
- **Research Impact** - measured in terms of the UoA's effectiveness in translating research into evidenced, real-world benefits. This comprises 25% of the REF assessment;
- **Research Environment** – measured in terms of the UoA's structures and strategy that support researchers and the application of their research. This comprises 15% of the REF assessment.

The last REF took place in 2014 and the next will be in 2021.

2.2 London South Bank University's REF 2021 mission

For REF 2021, LSBU seeks to deliver a submission that:

- upholds LSBU's commitment to upholding the highest principles of Equality, Diversity and Inclusivity, which are embedded into the institution and the additional REF principles of Transparency, Consistency and Accountability;
- is representative of all of LSBU's excellent research delivered by LSBU's 7 Schools;
- secures the sustainability of its research mission and research environment;
- focusses on the achievements of its discipline-level submissions (Units of Assessment – UoAs), rather than on specific individuals;
- helps LSBU to deliver a supportive and inclusive research environment that both cements LSBU's standing as an international force in research and looks beyond REF 2021.

Our REF 2021 vision is underpinned by an environment that provides for all academic and research staff the opportunity to:

- contribute to our research mission;
- develop as researchers;
- deliver research of international standing.

2.3 THE REF 2021 Code of Practice

Each institution submitting to REF 2021 is required to submit a Code of Practice (CoP) which describes the institution's approach to:

- the fair and transparent identification of staff with significant responsibility for research;
- determining who is an independent researcher;
- the selection of research outputs, taking account of any equality-related circumstances that individuals have chosen to declare.

The deadline for submission of the REF 2021, Code of Practice is 12 noon, 7 June 2019. This document is the definitive version of LSBU's REF 2021 Code of Practice, superseding the version issued on 9 October 2020.

2.4 The legislative context to LSBU's REF 2021, Code of Practice

LSBU is committed, both with respect to its REF 2021 submission and its research mission more generally, to adhering to all pertinent legislation on equality, especially; the Equality Act 2010; the Fixed-Term Employees Regulations 2002; and the Part-Time Workers Regulations 2000. Further information regarding these pieces of legislation is given below.

The pertinent elements of the **Equality Act 2010** are:

- the prohibition of both direct and indirect discrimination against the protected characteristics of:
 - age;
 - disability;
 - gender reassignment;
 - marriage and civil partnership;
 - pregnancy and maternity;
 - race;
 - religion and belief;
 - sex;
 - sexual orientation.
- the obligations, under the Act's Public Sector Equality Duty for Higher Education Institutions in England, Scotland and Wales, to:
 - eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act;
 - advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;
 - foster good relations between persons who share a relevant protected characteristic and persons who do not share it;
- with respect to the Act's Public Sector Equality Duty, LSBU is committed to conducting an Equality Impact Assessment of its process for identifying who is to be submitted to the REF.

In relation to the Fixed-Term Employees and Part-Time Workers regulations, under this legislation, workers in these categories have the right not to be treated any less favourably than employees on permanent/open-ended contracts or full-time contracts.

For further information on the relevant areas of equality legislation, please see Table 1 of the Funding Bodies' REF 2021: *Guidance on Codes of Practice*, (2019/03) document (available at <https://www.ref.ac.uk/publications/guidance-on-codes-of-practice-201903/>).

2.5 The local policy context to the Code of Practice: LSBU's commitment to its staff and Equality, Diversity and Inclusivity

LSBU is a cosmopolitan university with a long-standing ethos of equality, diversity and inclusivity (EDI). LSBU takes pride in its strong EDI ethos and its commitment and support of its staff. LSBU fully endorses the statement of Prof. Chris Brink¹, of Newcastle University, that sociodiversity is valuable to the intellectual environment in the same way as biodiversity is valuable to the natural environment.

Core to LSBU's ambition to succeed is promoting, embracing and celebrating equality and diversity as well as the REF principles of Inclusivity and Transparency, Consistency and Accountability. LSBU's commitments to its staff, the REF principles and to EDI, extend far beyond the REF and its research mission. This is evidenced by a number of key planks of LSBU's policy framework, as well as its staff support initiatives, in particular:

- LSBU's Corporate values, which are encompassed by the acronym **EPIIC**: Excellence, Professionalism, Integrity, Inclusivity and Creativity. With respect to the value of Inclusivity, LSBU's position is as follows: *We celebrate being a diverse and vibrant community, where there are no barriers to inclusion and where we view the differences between people as a source of strength.*
- LSBU's [Equality, Diversity and Inclusion Policy](#) (in Annex IV), which ensures that our publicity and promotion practices encourage applications from under-represented groups
- LSBU operates a free Employee Assistance Programme (EAP), which offers telephone or face-to-face counselling support and advice. It's a 24-hr service and completely confidential. Further, the University's Sickness and Absence Policy (Annex V) enables sickness absence to be addressed consistently and fairly.
- LSBU's Staff Inclusion Policy (Annex VI), which:
 - conveys LSBU's commitment to ensuring that all staff have the right to work in an inclusive environment;
 - AND describes the responsibilities of staff and managers for both promoting and fostering an inclusive working environment.
- The University's Staff Networks, which reflect and support the needs of its diverse staff body.

¹ *The rationale for equality and diversity: How vice-chancellors and principals are leading change*, ECU, 2014
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- The Staff Networks serve as social and advocacy groups and work in partnership with the University to:
 - create a safe, inclusive and diverse place to work;
 - foster a culture of respect and equality for all staff, regardless of their sexual orientation or gender identity, their racial or ethnic identity, or their disability;
 - support every staff member to reach their full potential at work without fear of harassment, bullying or discrimination.
- The Staff Networks comprise:
 - DNet - disability and mental health issues;
 - EquiNet - Black, Asian and Minority Ethnic (BAME) issues;
 - SoNet - sexual orientation and gender identity;
 - GenderNet - gender equality;
 - Parents and carers network

2.5.1 LSBU's staff commitments

The REF constitutes just one measure of assessment for Higher Education Institutions. LSBU's staff engage in a broad range of activity and their contributions cover multiple domains. Thus, contributing to the REF is just one way in which academic staff may choose to support the institution.

The Citizenship, Administration, Management and Learning (CAML) framework allows academic staff to contribute to the LSBU mission through a number of different routes. Accordingly, academic progression and promotion are not conditional upon involvement in research.

LSBU staff commitments are underpinned by its 2015-20 Corporate Strategy, with *People & Organisation* comprising one of the institution's 8 Goals, in particular: *Creating an environment which fosters the very best staff, and within which all staff feel their achievements are equally and fairly valued and rewarded*. LSBU's 2020-25 Corporate Strategy has reinforced these commitments to inclusivity, stating: "*we will create a values based culture with wellbeing at its heart, with employee voice as a key influencer in decision-making, diverse recruitment and promotion panels and the implementation of the EDI framework.*"

2.6 LSBU's REF 2014 submission and actions taken since then in support of its EDI and staff support mission

2.6.1 LSBU's REF 2014 submission

LSBU's commitment to delivering an inclusive and diverse research staff body is reflected in its REF 2014 submission. As shown in Table 1 below, 46.6 % of REF 2014 submitted staff were female and 53.4% male: a near 50:50 split. This gender split accorded with the *Research Assessment Exercise* 2008 (RAE 2008) submission. Further, the gender split of the REF eligible group, almost exactly matched the gender split of the REF 2014 submitted group.

UoA/ Gender	RAE 2008 - REF submitted group	REF 2014 – REF Eligible group	REF 2014 – REF Submitted group
% Male	52%	53.4%	53.0%
% female	48%	46.6%	47.0%

Table 1: Gender split of the REF 2014 and RAE 2014 submission and the REF 2014 eligible group

Table 2 below compares the distribution, by ethnicity, of the REF 2014 eligible group with the REF 2014 submitted group. The Asian group is ca. 4% larger for the REF submitted pool than for the eligible pool, but otherwise there are no significant differences.

Ethnicity	REF 2014 Eligible Pool		Ref 2014 Submitted pool	
	Headcount	Percentage	Headcount	Percentage
White	217	72.8%	82	70.7%
Black	18	6.0%	6	5.2%
Asian	43	14.4%	21	18.1%
Other	11	3.7%	4	3.4%
NA	9	3.0%	3	2.6%

Table 2: Ethnicity profile of the REF 2014 submitted and eligible groups

2.6.2 Actions taken by LSBU since REF 2014

- The University was restructured in September 2014, moving from four Faculties to seven Schools, with new Management and Committee structures, to facilitate a more strategically configured environment. At the time of writing, of the seven Directors of Research who are responsible for directing the research of their respective schools, 71% identify as female and 14% as BME (*i.e.* 5 out of 7 and 1 out of 7, respectively).
- LSBU launched, in 2017, the London Doctoral Academy: this provides a focal point and home for postgraduate research students, helping to provide a supportive and inclusive environment for LSBU's doctoral and MRes students. The Academy has provided:
 - an extensive researcher training programme for both PGR students and research staff;
 - day-to-day support for early-career researchers;
 - a hub for researchers to facilitate networking and discussion.

- LSBU has set up a *Dignity at Work Network* scheme in order to support staff who might feel that they are not being treated with dignity, support and courtesy, with a dedicated plan, policy and relevant communications.
- The university's online system (My Roadmap) for appraising staff's development needs was completed and launched, in 2016, with 92.22% up-take up in its first year, rising to 95.6% in 2017.
- Become a signatory to the *Race Equality Charter* (REC), aimed at improving the representation, progression and success of minority ethnic staff and students within higher education
- Become a signatory to the Athena SWAN Charter; submitted a successful application for the Athena SWAN Bronze Charter (awarded in 2020).
- In order to demonstrate LSBU's commitment as a Stonewall Star Performer, LSBU has reviewed its Equality, Diversity and Inclusivity policy to include trans phobic and bi phobic bullying.
- Developed and implemented its *Reasonable Adjustment Policy* (Annex XI), which ensures that staff who may have a disability are not disadvantaged in the workplace.
- Applied for and obtained, in 2017, the Mayor of London's *Healthy Workplace Charter* award, with grading level of Excellence; the most prestigious and highest grading possible. This impressive award demonstrates LSBU's commitment to embedding wellbeing in our corporate culture and values and making LSBU a happier and healthier place to work.
- Introduced the *Speak Up* policy, which enables students, staff and others associated with LSBU by an employment or other business contract to raise concerns and disclose information about perceived malpractice.
- Reduced, from the 2009 level of 13.25%, the gender pay gap to today's levels of 6.6% (mean) and 5.3% (median). This is significantly lower than the UK's higher education sector pay gap of 16.1% (mean) and 15% (median) and the national pay gap across the UK, which is 17.1% (mean) and 17.9% (median) respectively.
- Introduced, in 2015 its Academic Framework, which
 - maps the progression route from lecturer to professor;
 - gives all academic staff the opportunity to apply for promotion to any level;
 - adjusts quantity of output on a pro-rata basis for part-time staff;
 - utilises a framework and promotions application form that is uniform across all grades;
 - provides clear guidance notes via the intranet;
 - holds promotions workshops;
 - provides unsuccessful applicants with the opportunity to receive feedback and discuss personal development needs with their Dean, with

the Provost available for feedback sessions for Associate Professor level and above.

- In 2017, established its Research Centres and Groups framework:
 - Research Centres:
 - underpin LSBU's UoA submissions to the REF;
 - coalesce researchers around timely research themes;
 - catalyse collaborations, encourage academics to work in teams and support the targeted development of early career researchers.
 - Research Groups:
 - cohere researchers around emerging research themes, fostering internal collaborations and peer-to-peer knowledge exchange and learning;
 - provide an inclusive research environment, especially for academics without a traditional research background AND/OR who are not core members of Centres.
 - Of the 15 Centres established, 5 (33%) are led by researchers who identify as BME
- Has pledged to incorporate KPIs for Equality, Diversity & Inclusion as part of its new Corporate Plan for 2020/1-2025.

2.6.3 Key achievements and statistics since 2014

- In 2017, LSBU were rated by diversity consultancy VERCIDA as one of the top ten employers for black and minority ethnic staff nationally. LSBU was the only university in the top ten,
- LSBU were named as one of the best places to work in higher education in Stonewall's Workplace Equality Index 2016
- Relative to other universities, LSBU has relatively high proportions of both students (51%) and staff (33%) from minority ethnic backgrounds.
- LSBU obtained the EU HR Excellence in Research Award in 2014 and the award has since been reconfirmed in 2016 and in 2018. The award is an important mechanism for implementing the principles of the Concordat to Support the Career Development of Researchers. In retaining the award, the university has affirmed its long-term commitment to the career development of all researchers.
- Within the 2014-17 period,
 - LSBU had 12% more UK BME academic staff than the sector average (which is 85% white);
 - Of LSBU's UK BME academic staff, 20% were permanent – this compares to a sector average of 8%;

- 22% of UK BME academic staff were full-time, 13% greater than the sector average;
- 33% of non-UK, BME academic staff at LSBU were full-time in comparison with 26% nationally.
- In 2017/18, 49% of LSBU's professors were female, and the university's Professoriate (a forum for academic debate and intellectual leadership at LSBU, the members of which are solely drawn from LSBU's Professors and speak with authority at LSBU on the enhancement of the research, scholarship, teaching and learning, and enterprise cultures of LSBU) is female-led.

2.7 How the Code of Practice was developed and how staff were appointed

2.7.1 The REF Code Practice Working Group

It was vital that LSBU's Code of Practice upheld the REF principles of Transparency, Consistency, Accountability, and Inclusivity. To achieve this objective, in late 2017, the REF Code of Practice (CoP) Strategy Group was convened, on a temporary basis, to initiate the development of the REF Code of Practice. Membership of the CoP Strategy Group, which acted under the auspices of the then Pro-Vice Chancellor for Research and External Engagement, comprised:

- the Associate Director of Research - the university's Head of Research and located within the Research, Enterprise and Innovation (REI) Professional Services Group;
- the REF Coordinator - responsible for developing, coordinating and compiling the university's REF submission
- the Head of Learning and Development – responsible for overseeing the management, development, administration and monitoring of the portfolio of training offers and courses for staff and the annual appraisal of staff's development and learning needs (My Roadmap).

The Group agreed that to expedite the development of the CoP in an accountable, transparent and inclusive fashion, a dedicated REF CoP Working Group would be required. The process by which the REF CoP Working Group was developed is described below:

1. The Code of Practice (CoP) Strategy Group identified and confirmed a suitable candidate to chair the REF CoP Working Group, using the following criteria as a guide for the selection of the chair:
 - was not a REF Decision maker (*i.e.*, was not a UoA lead, Director of Research, Research Centre Head or member of the University Executive);
 - had prior experience of the REF;
 - was active in research;
 - had a good understanding of how the university operated;
 - could represent and safeguard the interests and needs of members of protected characteristics groups.

- The Chair of the REF CoP Working Group, working with the CoP Strategy Group, formulated the membership of the REF CoP WG, in consultation also with the Directors of Research. They agreed that the Group's membership would include representatives of:
 - each of LSBU's 7 Schools
 - the Human Resources department
 - an Early Career Researcher
 - A Dean;
 - a Unit of Assessment (UoA) lead;
 - the Directors of Research;
 - the Research Centre Heads;
- Further, the REF CoP Working Group would:
 - ensure that its membership was diverse in terms of ethnicity, gender, age and sexuality;
 - report to the University Research Committee, which is chaired by the Provost (LSBU's Chief Academic Officer) and is populated, principally by the Directors of Research;
 - employ the REF Coordinator as the Secretariat;
 - work closely with the university's Equality, Diversity and Inclusivity Lead to ensure the interests of all Protected Characteristics Groups were represented.
- The Terms of Reference of the REF CoP WG are given in Annex II – the key responsibilities of the Group are to:
 - oversee the development of both the REF Code of Practice and the processes that underpin the embedding of the principles of EDI throughout all of the key aspects of LSBU's REF 2021 submission.
- The REF CoP WG formally launched on 23 March 2018;
- The Group has met, on average, once/month since its initiation, to discuss, formulate and review the key processes covered by the REF Code of Practice
- The Group oversaw the development of the Significant Responsibility for Research Focus Group and the staff consultation on the Code of Practice to ensure that the principles of Transparency, Consistency, Accountability, and Inclusivity upheld.
- The Group were also tasked with overseeing the EDI training that REF decision makers and advisers would be required to undertake, as well as to undertake the training themselves.

2.7.2 *LSBU's institutional framework*

The key parts of LSBU that have aided in preparing/advising upon the University's REF 2021 submission are shown in Figure 1.

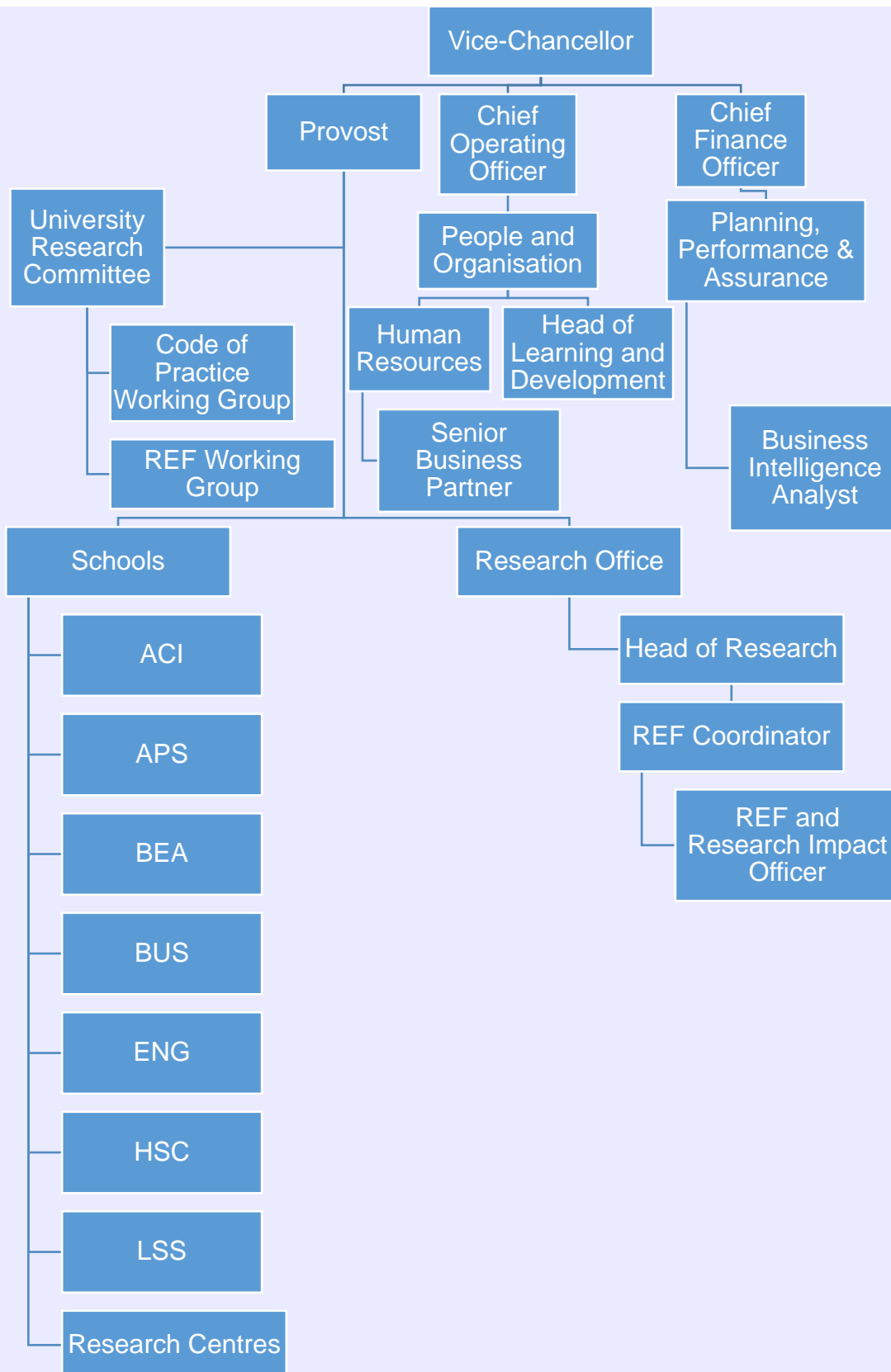


Figure 1: The elements of LSBU principally involved in the REF

LSBU, in addition to its Professional Service Groups (administrative functions), comprises seven Academic Schools:

- Applied Sciences;
- Arts and Creative Industries (ACI);
- Built Environment and Architecture (BEA);
- Business (BUS);
- Engineering (ENG);
- Health and Social Care (HSC);
- Law and Social Sciences (LSS).

2.7.3 LSBU's Research Structure

Provost:

- provides leadership to all academic areas in the university so they reflect the mission of the group and deliver the university's vision
- has oversight of the business performance and sustainability of the University's Schools
- has overall responsibility for academic activities and works closely with the Deans in developing a strategy for each School that reflects the particular need and opportunities in the different subject areas.

Academic Schools

Each Academic School has a structure that comprises:

- A Dean, responsible for leading the School and its staff across the breadth of its activities;
- A Director of Research (DoR), responsible for:
 - developing and implementing their parent School's Research strategy (in concert with their Dean);
 - ensuring that the School achieves its targets concerning research and introducing specific initiatives to achieve these as appropriate;
 - developing mechanisms, initiatives and activities for enhancing the quality of research and related activities;
 - overseeing the activities, and managing the use of the budget, of the School's Research Groups;
 - coordinating and overseeing the activities of the School's Research Centres;
 - ensuring the School delivers a strong REF 2021 submission (in partnership with the UoA lead(s) and colleagues) – noting that a School may submit to more than one UoA.
- A Unit of Assessment (UoA) lead (who may also be the DOR), who is responsible for:

- coordinating and preparing (with the DoR and colleagues) the School's, UoA submission for REF 2021 (where a School has more than one UoA lead, each UoA will have a dedicated lead), covering the Research UoA's Output, Impact and Environment dimensions
- A School Director of Operations, who typically serves as the School's lead administrator/operations manager;
- One or more Research Centre Heads, who are responsible for:
 - producing and keeping up to date the long-term strategy of the Centre, ensuring that it aligns with and supports the research strategy both of the School and the University, as well as the preparations for the submission of the UoA onto which the Centre maps;
 - overseeing the growth and development of the Centre;
 - contributing towards the university's REF submission for the Unit of Assessment onto which the Centre maps;
 - promoting the activities of the Centre both internally and externally and acting as the key contact point for enquiries and opportunities;
 - encouraging and fostering academic engagement throughout the School in order to provide intellectual leadership in the centre's specialism;
 - contributing towards the Research Environment of the School;
 - maintaining and building new collaborations and partnerships with the Centre;
 - encouraging academics to get involved with, and contribute to the activities of the Centre.

Centres and Groups

In 2017, LSBU restructured its Research Environment around Research Centres and Research Groups in order to focus on the research strengths of the university. The Centres are the principal focus for LSBU's research activity, with the Groups having aspirations to grow new and fruitful areas of research, and providing the means of supporting all academics engaged in research activity.

The principal functions of Centres and Groups are:

- Research Centres:
 - to underpin LSBU's Unit of Assessment (UoA) submissions to the REF;
 - to serve as external facing beacons of research excellence;
 - to coalesce researchers around timely research themes and thus, enable LSBU to target strategically important funding opportunities;
 - to catalyse collaborations, encourage academics to work in teams and support the targeted development of early career researchers.

- **Research Groups:**

- to cohere researchers around emerging research themes and foster internal collaborations and peer-to-peer knowledge exchange and learning;
- to provide an inclusive research environment, especially for academics without a traditional research background AND/OR who are not core members of Centres

University Research Committee

- *Chaired by the Provost;*
- *Principally populated by the Directors of Research;*
- *Responsible for overseeing the University's research activities encompassing:*
 - *REF;*
 - *Research funding activities inclusive of funding landscape, bids and contracts;*
 - *Postgraduate Research;*
 - *Research Environment.*

REF Working Group

- *Chaired by the REF Coordinator;*
- *Principally populated by Directors of Research and UoA leads;*
- *Membership also includes the Head of Research, Scholarly Communications and Repository Manager and the REF and Research Impact Officer;*
- *Its principal functions comprise:*
 - *Advising on the Annual University Research Audit (AURA) and scrutiny of the data obtained to inform REF 2021 preparations ;*
 - *Development and review of proposals to enhance the university's performance in the three elements of the REF – Research Outputs, Impact and Environment ;*
 - *To review work underway to ensure compliance with the REF's requirements (inclusive of Open Access, Research Integrity, Research Income, PGR numbers, Equality and Diversity and other components as required)*
 - *Development of proposals and material in support of the university's REF submission and for review and approval by the REF Strategy Group.*

Research support and Governance

The Research Office sits under the University's Provost, and is responsible for: the development of the research direction of the university; the growth of its research

environment; the coordination and management of LSBU's REF submissions; and the support and development of its PGR students and research community. The Research Office is a component part of the university's *Research, Enterprise and Innovation* (REI) Professional Service Group.

Responsibility for REF coordination and submission within the Research Office lies with:

- Head of the Research Office
- REF Coordinator
- REF and Research Impact Officer

The Research Office will liaise with LSBU's *People and Organisation* (PO) and *Planning Performance and Assurance* Professional Service Groups (PSGs), as appropriate on matters relating to staff, in particular, contractual status, FTE etc. Members with key responsibilities in these areas are:

- Head of Learning and Development (PO)
- HR Senior Business Partner (PO)
- Business Intelligence Analyst (PPA)

2.7.4 Key REF Decision makers and advisors

Based on the research structure described in Section 2.7.3 above and Figure 1, each component provides decision makers involved in the REF submission.

The personnel listed below comprise the principal REF Decision Makers:

- Provost – Decision maker
- Deans – Decision makers
- Directors of Research (DoRs) – Decision makers
- Unit of Assessment leads - Decision makers
- REF Coordinator - Decision maker
- Head of Research - Decision maker

In developing the REF submission, the following personnel listed below comprise the principal REF Advisors:

- REF and Research Impact Officer - advisor
- School Director of Operations - advisor (in relation only to workload model allocations of Category A staff)
- Research Centre Heads – advisors
- Scholarly Communications and Communication Manager – advisor
- Head of Learning and Development (PO) (advisor)
- HR Senior Business Partner (PO) (advisor)
- Business Intelligence Analyst (PPA) (advisor)

2.8 Internal approval of the Code of Practice

The Code of Practice was presented, in summary, to the University's Research Committee, which is chaired by the Provost, on 22 May 2019. It has been formally approved (i.e. signed off) by the Research Committee and the Provost.

Since receipt of the feedback from Research England on 16 August 2019 regarding the need to ensure any processes established to identify staff with significant responsibility for research are agreed with staff through appropriate staff representation mechanisms within the HEI, an evidence base regarding the approval of the CoP by key staff representative groups has been collated and this is summarised in the letter from and signed by LSBU's Vice-Chancellor, and presented in Annex XV, affirming the approbation of the Code of Practice by said groups.

During the development of the Code of Practice, the University and College Union (UCU) was engaged in consultations via the Significant Responsibility for Research Focus Group. UCU was then engaged more comprehensively in the Code of Practice's (CoP's) refinement during the period between the initial submission of the CoP to Research England (7 June 2019) and its resubmission in mid-September 2019. LSBU wishes to particularly thank the input of UCU representatives Amanda Sackur and Tahera Aziz.

In October 2020 the Code of Practice was revised, but as these changes were minor in nature, the document was therefore not subject to any further internal review. The changes comprised: i) revisions to take into account changes to the REF timetable in light of COVID-19; ii) the updating of references to named individuals/roles where replacements for roles has been enacted due to changes in personnel because of staff departures; and iii) revisions to address and eliminate errors in the text.

In July 2021, the definitive version of the Code of Practice was issued. The changes made were minor in nature and the principal purpose was to ensure that the document was fully up-to-date. Thus, the document was therefore not subject to any further internal review. The key changes comprised: 1) notice that the report giving recommendations arising from the completion and review of the REF Staff Circumstances process to LSBU's Provost and the HR department would be issued in September 2021, rather than early 2021; 2) updating the title of School Senior Executive Administrator to School Director of Operations; 3) giving notice that LSBU had received the Athena SWAN Bronze Charter in 2020; 4) updating the decision-making method pertaining to whether to apply for Unit level staff circumstances output reductions – in particular, with regard to the interpretation of the thresholds for a Unit having being disproportionately affected by staff circumstances; 5) an update to a reference to LSBU's 2020-25 Corporate Strategy (it had not been published when earlier versions of the Code of practice were issued); and 6) an update to a reference to the checking of the HR record for individuals who had raised staff circumstances.

2.9 REF EDI training

2.9.1 Overview of Training

All REF Decision makers and Advisors are required to undertake REF oriented EDI training. The Decision Maker and Advisor group principally encompasses:

- Research Centre Heads

- UoA leads
- Directors of Research
- Deans
- The Research Office
- The Staff Circumstances Group
- The Appeals Panel
- Research output reviewers

The REF EDI training will cover the following topics:

- REF 2021 – its core elements and key changes from REF 2014
- The responsibilities and obligations on REF Decision makers and advisors
- Legislative and policy drivers for the REF
- The REF Code of Practice: an overview
- Unconscious bias (UB), areas in which it can arise in REF decision making and strategies to eliminate it
- The SRR and research independence criteria and the SRR identification process
- The SRR and research independence appeals process
- Equality-related staff circumstances: types and the management of declarations of circumstances
- How to calculate research output tariff reductions
- The Research Output selection process

The core content of the training sessions will be derived from REF EDI training materials sourced from Advance HE.

The training will comprise two elements (please note, some details are subject to change) – REF Decision Makers are required to complete both sessions:

1. An **online session** (ca. 1.5-2 hr in duration), which will have the following learning objectives:
 - a. Understand the legislative and policy drivers and context for embedding consideration of equality and diversity in REF2021
 - b. Understand how individual staff circumstances cases can affect the total output pool at Unit of Assessment level
2. A 1.5-2 hr **classroom session** (held either in a shared space or online), which will have the following learning objectives:
 - a. Ensure that equality is embedded in all decisions on REF 2021 to minimise the potential for bias
 - b. Understand the concepts of conscious and unconscious bias and their impact on REF 2021 decision making
 - c. Understand how individuals can disclose circumstances at their discretion

- d. Understand how to minimise the potential for bias in all decisions on REF 2021 and thus, embed the principles of inclusivity and equity in the development of the REF 2021 submission
- e. Understand how individual staff circumstances cases can affect the total output pool at Unit of Assessment level

- The online training session (part 1) will be launched in July 2019 and the course will be run/powered via LSBU's in-house, staff e-learning platform: *Learning Station*.
- The classroom sessions (part 2) will commence in July/August 2019 and LSBU expects all REF Decision makers (unless exceptional circumstances apply) to have ordinarily attended the training by the end of October 2019, but in recognition of the fact that, in some cases, there may be new appointments to REF decision-maker roles after October 2019, the expectation is that all REF decision makers will have completed the classroom training by the end of October 2020.
- With respect to the classroom based sessions, where it is not feasible for individuals to attend these sessions in person, REF Decision Makers will be offered the opportunity to attend an online training session.
- Key training materials will be available via the intranet: an intranet page will be created to host the REF EDI training materials
- Participants in the two training sessions (parts 1 and 2) will need to register their attendance on LSBU's training management system, which is powered by LSBU's HR data management system: iTrent.
- To ensure full attendance, the Provost's email account will be utilised to send out training invitations.
- Attendance on training courses by the REF Decision Makers will be monitored by the Research Office, in consultation with the Organisational Development team.

With respect to how the classroom based session is administered, LSBU has made the following commitments:

- Training is held between 10:00 and 16:00
- Timing of training takes into consideration religious days and festivals that are commonly observed by staff within the institution
- Training sessions will be held in rooms that are accessible to disabled staff (in support of this aim, webinars will also be offered)

2.9.2 Content of REF Training sessions

Online training session (part 1) – ca. 1 hr

Core content (please note, some details may be subject to change):

- An introduction to REF 2021
- Responsibilities of REF Decision Makers and Advisers
- Legislative and policy drivers for the REF

- Protected/individual characteristics recognised in the REF
- Key numbers from the REF 2014 Equality Impact Assessment (EIA) at LSBU and the national context
- An introduction to Unconscious Bias – types of bias, factors that may contribute to unconscious bias, bias in metrics
- Significant Responsibility for Research and Research Independence: the core concepts and LSBU's criteria
- Supporting staff with equality-related circumstances
- The principal types of equality-related staff circumstances and the applicable research output reduction tariffs
- The process for inviting and managing staff circumstances
- Calculating adjustments to the research output pool
- The Research Output selection process
- The SRR and Research Independence Appeals Process
- A quiz on the critical elements of the training session

Classroom training session (part 2) – ca. 1.5-2 hrs

All participants of this compulsory session will be asked to sign a form affirming that they understand and uphold the REF principles of Inclusivity, Accountability and Transparency and have received sufficient training to successfully undertake and complete their duties, with the opportunity given to request further information where they do not feel their training needs have been met. A record will be kept of this form and shared with Research England if an audit of LSBU's REF 2021 submission is undertaken. The form will be managed in compliance with the EU General Data Protection Regulation (GDPR).

Core content (please note, some details may be subject to change):

- Unconscious bias:
 - Psychological explanation
 - Stereotyping
 - When UB can occur
 - How to mitigate bias
 - Where biases may occur in REF decision making
 - Exploration and discussion of case studies of bias in REF decision making
 - Discussion of strategies that can be adopted to minimize bias in REF decision making
 - Good practice to minimise bias in REF decision making
- Supporting staff with equality-related circumstances and calculated and adjusting the research output pool

- Case studies of staff circumstances
- Issues to consider when managing staff circumstances
- Staff circumstances, Research output reduction calculation exercise
- Research output selection
 - Assessment criteria
 - Interpretation of Research output metrics (citations, Impact Factors *etc.*)
- The Appeals process
 - Appeals scenarios/case studies

2.10 Consultation on and dissemination of the Code of Practice.

The REF Code of Practice has been developed in the interests of LSBU and especially, its staff body. Thus, ensuring that staff have ample opportunity to give feedback on the draft proposal and further, to access the definitive version has been of paramount importance.

The results of the online staff survey, which launched on 2 May 2019 and closed on 15 May 2019, are presented below in Table 3, where PSG = Professional Service Group.

Table 3: Results of online staff consultation on the draft Code of Practice

Staff category	No. staff survey responses	No. supported SRR criteria	% supported SRR criteria	% supported process for determining who is an independent Researcher from the Research only pool	No. supported process for selecting research outputs	% supported process for selecting research outputs	% staff approved of process for managing equality-related Staff Circumstances that have inhibited the capacity of staff members with SRR to produce research outputs
Academic	11	10	90.9%	100%	9	81.8%	100.0%
PSG	1	1	100.0%	100%	1	100.0%	100.0%
Prefer not to say	1	1	100.0%	100%	1	100.0%	100.0%

Table 3 shows that the key elements (the SRR criteria and the processes for determining which Research only staff had independence and which outputs to submit) of the Code of Practice were supported by all, or the vast majority of staff. Moreover, where staff did not select the “Yes” option with respect to the questions asked regarding these elements they, chose the “Don’t know” option, rather than “No”.

Positive comments received included; *“I particularly like the clarity around areas of responsibility and accountability.”* AND *“Pleased to see the recognition of staff who wish to focus on the CAML framework.”*

However, queries were raised regarding the value of and support for enterprise activity. These comments included: *“I would welcome the opportunity to discuss staff who are enterprise active and how their outputs or contributions will be accounted for.”*; *“Enterprise projects have impact; although they're not technically research in some instances. It sounds like anything with enterprise impact can't be submitted in the REF”*. Thus, this shows that further work needs to be done to ensure that academics are fully aware of the value of enterprise and how it can yield Research Impact. The value of enterprise has therefore been emphasised in section 3.8.2: *Further, the Professional Impact element of the academic framework encompasses not only research but also, Enterprise & knowledge transfer and professional practice.*

The following actions, with the associated dates, have been/are being undertaken to consult on and disseminate LSBU's Code of Practice:

Activity	Date
Email from Provost to all research staff and academics (see Annex 0)	Nov, 15 th 2018
Initial consultation with Significant Responsibility for Research (SRR), Focus Group: from this consultation the following communication related actions were taken: <ul style="list-style-type: none"> • A glossary of terms was added • Attempts were made, wherever possible to simplify the text 	Jan 9 2019
Sharing of the SRR proposal with the Union (UCU)	March 22 2019
Consultation with LSBU's internal Comms to dissemination of Code of Practice internally: <ul style="list-style-type: none"> • Established that sharing of Code of Practice would be likely to be sufficient, in the first instance for ensuring that the CoP can be accessed by people away from the university • Established that providing an Executive Summary would be an effective means of maximising the accessibility of the Code of Practice 	April 2019
Initiation of the Code of Practice intranet page; this:	25 April 2019

<ul style="list-style-type: none"> • hosts the draft Code of Practice (in the form of a downloadable pdf); • will be hyper-linked from all notification emails and other comms issued regarding both the Code of Practice more generally. 	
Initiation of the Code of Practice consultation and briefing sessions at the School staff meetings	26 April 2019
Consultation with LSBU's reasonable adjustments team to ensure accessibility of the CoP is maximised	Early May 2019
Dissemination, via the Provost's email account, of the draft Code of Practice (CoP) to all staff at LSBU draft, with an accompanying: <ul style="list-style-type: none"> • online staff survey on the draft CoP; • link to the intranet page (from where the draft Code of Practice can be downloaded from) and notice of the CoP staff consultation "Roadshows" are given • invitation to provide feedback to the REF Manager via email 	02 May 2019
Run REF Code of Practice Roadshows in a centrally located room (4 sessions, Tues-Thurs)	30 April 2019 1 May 2019 8 May 2019 9 May 2019
Dispatch of reminder emails regarding Code of Practice from Deans' accounts	7 May 2019
Consultation with Advance HE and a member of LSBU's Ethics committee	May 2019 and w/c 3 June 2019
Promotion of the Code of Practice consultation via: <ul style="list-style-type: none"> • the Staff Comms email (this is an email sent weekly to all staff that gives announcements of key initiatives) • Yammer (this comprises LSBU's internal, online internal social network) 	Week commencing 7 May 2019
Closure of staff consultation	16 May 2019
Ratification of Code of Practice by the Research Committee	22 May 2019
Posting of the finalised Code of Practice on LSBU's internet pages, ensuring that it is no more than 3-4 clicks away from LSBU's home page.	June 7 2019

Announcement of the online publication of the Code of Practice via:	w/c June 10 2019
<ul style="list-style-type: none"> • A posting in the weekly Staff Comms email (dispatched to all staff) • A posting on the staff internal communications channel Yammer 	
Announcement of the online publication of the Code of Practice via an email sent from the Provost to all academic and research staff	w/c June 17 2019

3 Identifying staff with significant responsibility for research

3.1 Significant Responsibility for Research definition

The Funding Bodies require institutions to submit to REF 2021, all REF-eligible staff with *Significant Responsibility for Research* (SRR).

The Funding Bodies define staff with SRR as *REF-eligible staff members* who:

1. have explicit time and resources made available to them to engage actively in independent research;
2. engage actively in independent research;
3. AND have engagement in independent research as an expectation of their job role.

LSBU has termed these three requirements the three *SRR tenets*. They are defined in para 141 of the REF 2021 Guidance on Submissions (2019/01).

3.2 The REF-eligible pool: Category A Staff

Staff who meet all four of the Funding Bodies REF eligibility criteria are termed Category A staff. In this document, these staff are termed *REF-eligible*. The Category A criteria are as follows:

- ≥0.2 Full Time Equivalent (FTE);
- substantive connection to the submitting Unit;
- HESA academic function coding of *Research only/Teaching and Research* AND independent if *Research only* (identified as codes '2' or '3' in the ACEMPFUN field);
- on the payroll on the REF census date (31 July 2020).

The process for identifying, from the *Research only* pool (*i.e.* contract research staff – these typically comprise Research Assistants, Associates and Fellows), who has independent researcher status for the purposes of the REF and thus, has SRR, is described in section 4. This Section (3) is focused only on the process and criteria for identifying who has SRR from the *Teaching and Research* staff pool.

3.3 Identifying staff with Significant Responsibility for Research from the *Teaching and Research*, REF eligible pool

The Funding Bodies mandate the submission to the REF of all Category A staff with SRR. Institutions have two options, in terms of how they define SRR:

1. Submit all Category A staff;
2. Submit all staff from the Category A pool who have SRR, as identified by their internally developed and agreed SRR criteria.

All staff in the REF-submitted pool are required to contribute 1-5 compliant research outputs. The only exception to this is where staff have experienced circumstances that constrained their ability to work productively during the assessment period. Further information regarding the staff circumstances procedure and the research output tariff reductions is given in section 5.2.

LSBU, alongside many other teaching-intensive institutions, recognises that it has *REF eligible, Teaching and Research* staff who, due to their large teaching and administration commitments and responsibilities, are principally focused on activities not related to research. LSBU has therefore elected to develop its own SRR criteria. This approach ensures that only staff members with significant research responsibility are subject to research output production expectations. The three staff pools at LSBU are shown in Figure 2.

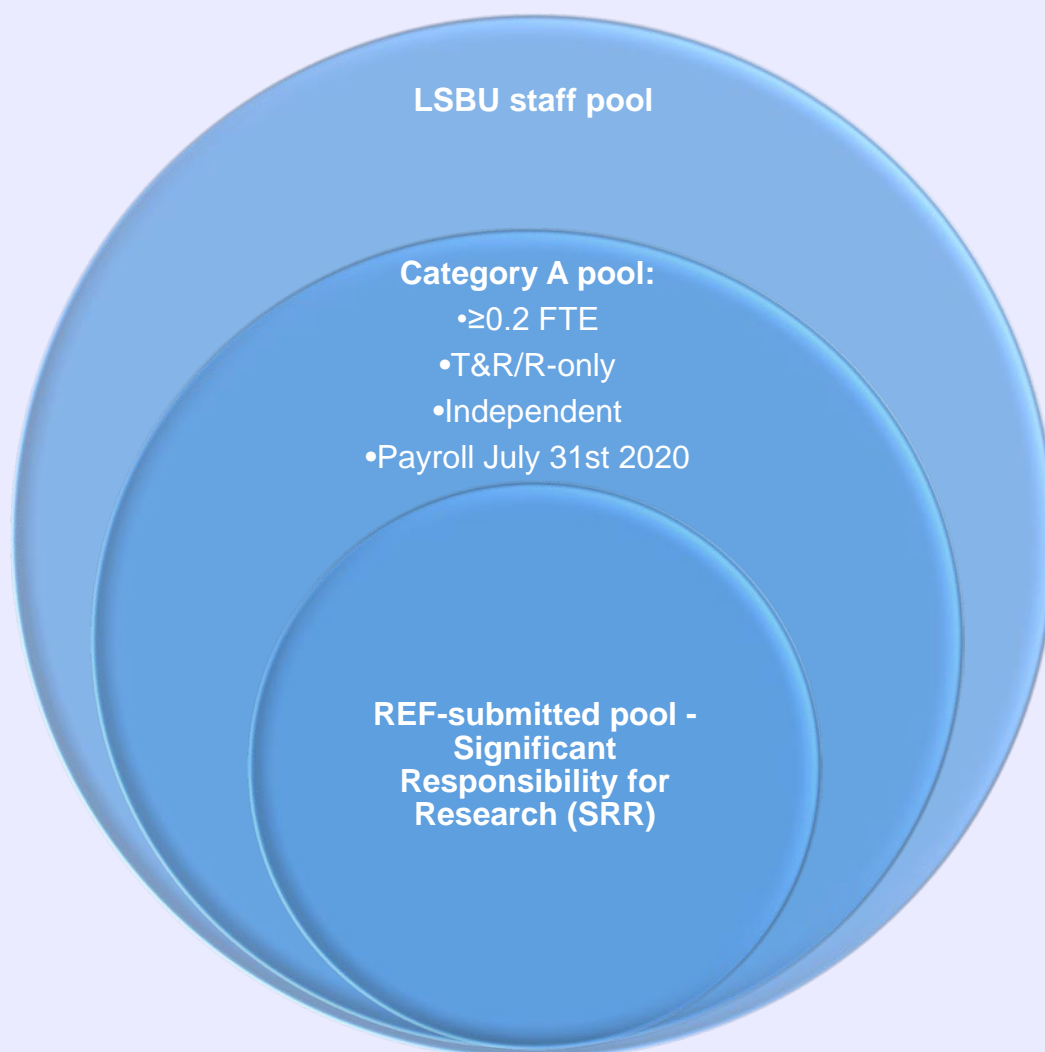


Figure 2: The three staff pools: all staff, REF-eligible staff and REF-submitted staff.

3.4 LSBU's Criteria for identifying who has Significant Responsibility for Research:

The three proposed criteria, depicted visually in Figure 3, for determining who, from the eligible *Teaching and Research* coded staff group, has SRR are given below. Criteria **a. AND b.** must be met to have SRR:

a. ≥20% of the staff member's time is clearly identified as Research within their workload model, in accordance with the following conditions:

- The 20% threshold, which equates to an average of 1 day/week for 1.0 FTE staff, is to be maintained across the university's Unit of Assessment (UoA - discipline) level REF submissions.

- Doctoral supervision time will be included under the Scheduled Teaching Activities and will not, ordinarily, count towards the 20% allocation (see note below);
- Self-Managed Scholarly Activity time will not, ordinarily, count towards this 20% allocation (see note below);
- Schools should endeavour to provide Early Career Researchers (ECRs) with a Research allocation that exceeds the 20% threshold, in recognition of the greater time their relative inexperience warrants.

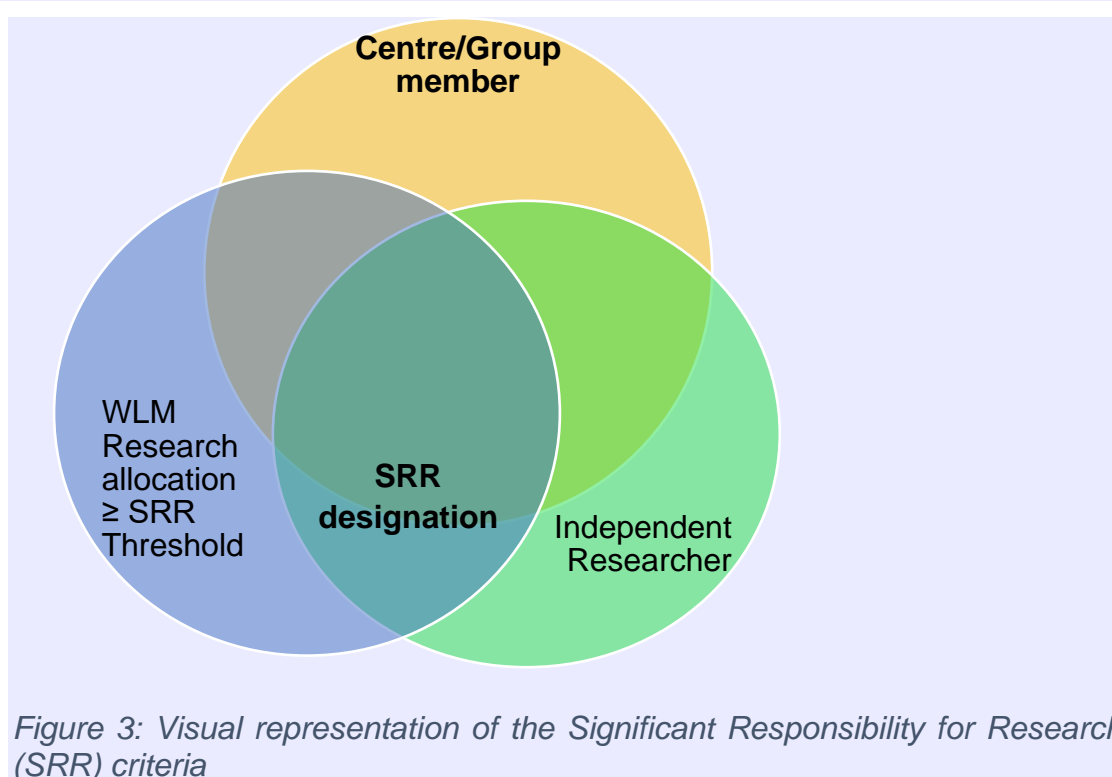
Note: LSBU is committed to the principle of all academics with SRR having $\geq 20\%$ of their time reserved for conducting research.

b. The Staff Member is independent, in accordance with the following conditions:

- All *Teaching and Research* coded staff with a doctorate will be automatically classified as having met this criterion, on the basis of upholding the principle of inclusivity;
- Where the researcher does not have a doctorate, this criterion will be automatically fulfilled if the staff member fulfils one or more of the following criteria. Please note, these criteria do differ from the criteria used to identify who is an independent researcher from the *Research only* cohort (see Section 4). This is because the Funding Bodies have very specific research independence criteria for the *Research only* cohort. Thus, LSBU have adopted more inclusive criteria for *Teaching and Research* coded staff, namely:
 - i. is currently a named supervisor of a LSBU registered doctorate student or has been a doctorate student supervisor during the REF period (1st August 2013-31st July 2020);
 - ii. is or has been a Principal Investigator (PI) or a Co-Investigator (Co-I) (or in exceptional circumstances has made a significant, tangible contribution, corroborated by the PI, to the development) of an externally funded research project awarded/funded within the REF period (1st Aug 2013-31st July 2020) - please note, where the researcher is not the PI, there should be evidence that the researcher holds a significant leadership role within the project (e.g. leads a work-package/work-stream);
 - iii. holds an independently won, competitively awarded research fellowship where research independence is a requirement.
 - iv. In accordance with paragraph 141 of the Funding Bodies' Guidance on Submissions document (REF 2019/01), the following indicators of research independence will also be eligible:
 - eligibility to apply for research funding as the lead or co-applicant;
 - access to research leave or sabbaticals;
 - membership of research centres/institutes within the university.

Please note that where staff members are themselves registered as doctoral students, then it will be assumed, in the first instance, that they do not have research independence. In accordance with the Higher Education Funding Bodies REF guidance, a member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs. If a staff member without a doctorate considers that they are independent, and they have not been identified as having SRR, then they will be welcome to lodge an appeal to LSBU's REF Appeals panel.

c. The Staff member, ordinarily, is a Research Centre/Group member: the fulfilment of this SRR criterion **is optional**, but LSBU does expect that staff with SRR are members of a Research Centre or Group to ensure they have the opportunity to access Centre/Group resources and benefit from working in a collegiate and collaborative research environment.



3.5 Rationale for LSBU's SRR criteria

With reference to the rationale, please refer to section 3.1 for the *SRR tenet* definitions.

$\geq 20\%$ Research in Workload model criterion

Workload Models are proposed as the principal indicator of a staff member having SRR for the following reasons:

- They comply with the Funding Bodies' requirements with respect to *SRR Tenet 1* (*explicit time and resources are made available to engage actively in independent research*) and *Tenet 3* (*expectation of job role*) - the provision of a significant ($\geq 20\%$) proportion of time in the WLM to do research is indicative that this is a core job requirement;

- The Funding Bodies explicitly list Workload Model research allocation, in paragraph 141 of the *REF 2021 Guidance on Submissions* document (REF 2019/01), as a viable indicator of Tenet 1;
- Workload Models provide a clear means, in accordance with the REF principle of *Transparency*, of identifying, once a threshold allocation has been set, who has SRR;
- Workload Models can be used to provide clear and robust evidence that a given staff member does have SRR, so fulfilling the Funding Bodies' requirement that Institutions can verify, through audit, the staff identified as not having SRR;
- The use of Workload Models supports the development of the core REF principle of *Equity*, whereby:
 - those tasked with producing research outputs and hence, have research as an expectation of their job role, are allocated sufficient time to produce significant research outputs;
 - those who are predominantly tasked with teaching and administration are not burdened with significant research expectations.
- The use of workload models (WLMs) provides Schools with an opportunity, as part of their REF preparations, to review existing Workload Model research allocations. Through this work, they can ensure their WLMs are fit for purpose and that REF eligible staff gain greater awareness of and are ensured support for, the expectations upon them.

The Research independence criterion

This Research independence criterion ensures that:

- academic staff who do not have doctorates and hence, may not have had a significant degree of training in independent research, are not obliged to have SRR;
- where academic staff without doctorates can demonstrate that they are acting as independent researchers, they remain eligible for SRR designation.

The Research Centre/Group membership criterion:

The Research Centre/Group membership criterion supports:

- Tenet 2 (research independence) - membership of Research Groups/Centres is listed as an explicit indicator of this by the Funding Bodies;
- Tenet 3 (*expectation of job role*) - Centre/Group membership is an indicator of engagement in research activity.
- Tenet 1 (explicit time and resources made available) – Centres are funded with QR (Quality-related Research – REF) income and Groups with LSBU Investment Pot funding. Thus, this criterion upholds the requirement to provide resource to staff with SRR.
- We have made this an **optional criterion** (20% Research in the WLM and Research independence are both mandatory to have SRR) in support of our

ethos of inclusivity and in recognition of the fact that an individual's research may not align with any extant Centres or Groups.

3.6 How the SRR criteria are being applied and the staff involved in making the decisions

3.6.1 The staff involved in identifying who has SRR

The principal staff involved in determining who has SRR will be the REF Coordinator and the REF and Research Impact Officer, termed the Research Office, alongside the key workload model points of contact for each School: the School Executive Administrator, Dean and Department Heads.

The central role of the Research Office ensures that the process is both consistent and transparent. Both individuals will undertake the EDI training described in section 2.9. They will liaise with the Directors of Research and UoA leads, plus other stakeholders as appropriate.

3.6.2 The process for ascertaining if the Research allocation exceeds the 20% threshold in the staff member's Workload model and the personnel involved

- The 20% allocation is to be determined using the WLM framework. LSBU commits to ensuring that there is parity across LSBU in how this criterion is applied, in accordance with the REF principle of *Consistency*.
- LSBU will work with all key stakeholders to ensure that there is a robust and transparent process for utilising workload models to identify who has SRR.
- The Research allocation will be principally calculated by dividing the number of work-load units tagged as Research in WLMs against the number of work-load units listed in the researcher's WLM.
- The workload model research allocation will be determined through review by the Research office, working with the Schools, especially, the Director of Research, Dean and Senior Executive Administrator of the School in which the staff member is based.
- Research allocations for the year 2018/19 will be used, in the first instance, for identifying who has SRR. This is vital in order that:
 - staff with SRR have sufficient time to produce research outputs for the REF;
 - LSBU can fulfil the requirement by the Higher Education Statistics Agency (HESA) to report, in LSBU's 2018/19 staff return, who has SRR;
 - 2019/20 Research allocations will be used to identify who has SRR for staff who joined the institution after July 31st 2019.
- For REF-eligible Staff with SRR status who commenced work at LSBU prior to 2019/20, their 2019/20 Research allocation should ordinarily align with their 2018/19 allocation;
- In light of the evolving nature of LSBU's research environment, there may be some discrepancies between the 2018/19 and 2019/20 HESA return. Thus, some staff who are identified as not having SRR status in 2018/19, may be

identified as having SRR status in 2019/20, due to changes in their research allocations, but where this occurs, staff will be consulted with.

3.6.3 *The process for ascertaining if the staff member is research independent*

Research independence will be confirmed by the Research Office through consultation of data held in:

- the Research Student supervision database (Haplo PGR Manager);
- the Research Office's research funding database;
- the University's HR database (to ascertain who has a doctorate).

3.6.4 *The process for ascertaining if the staff member is a Research Centre/Group member*

- Please note, this is an optional criterion – to have SRR, Category A staff must have both research independence and a $\geq 20\%$ Research allocation in their WLM.
- The Research Office will ascertain Centre membership by consulting membership lists held in LSBU's Research output management system.
- Research Group membership will be ascertained by the Research Office through consulting the centrally held Research Group membership lists - membership lists will be confirmed with Schools to ensure any new members of staff have been appropriately accounted for.

3.7 **The process for checking and undertaking the Equality Impact Assessment of, the SRR pool**

3.7.1 *Checking the SRR pool*

Once the Research Office have completed the SRR identification work, they will:

1. share the list of people identified with SRR for each UoA with the relevant Director of Research and UoA lead;
2. review with the Director of Research and UoA any anomalies raised due to errors and address these as appropriate, but emphasising also that any revisions must be evidence based.

3.7.2 *Equality Impact Assessment (EIA)*

Once the SRR verification work described in section 3.7.1 has been completed, an anonymised Equality Impact Assessment (EIA) will be conducted. The EIA will be:

- conducted by LSBU's Finance & Management Information team (part of LSBU's Planning, Performance & Assurance PSG), using the list of individuals with SRR provided by the Research Office;
- conducted on an anonymised basis - staff members will not be individually identifiable from the EIAs;
- conducted on the pool of Teaching and Research (T&R), REF eligible staff, comparing the group with SRR with the overall eligible T&R staff pool;
- For each protected characteristic type (e.g. gender), if there is a group (e.g. female), that is under-represented with respect to the percentage of the eligible

group submitted, relative to the percentage submitted for each of the other groups within this protected characteristic category, (e.g. 20% of eligible women and 60% of eligible men are submitted), then options for how this imbalance can be addressed will be explored.

Where anomalies are found between the two groups in terms of the distribution of each Protected Characteristic Group, the following steps will be taken:

1. these data will be analysed to determine:
 - with which protected characteristic groups the anomaly(ies) predominate;
 - if sufficient granularity is feasible (EIAs cannot be conducted for very small groups of people due to the risk of individuals being identifiable), within which UoA or School the issue predominates;
2. the relevant Directors of Research and UoA leads will be consulted and discussions will be held to determine:
 - if there are any cases where individuals, variously, have or have not been identified as having SRR need to be revisited;
 - if any actions in terms of training, staff support *etc.* need to be taken to address any underlying structural issues;
3. where mitigating actions can be implemented prior to the 2019/20 HESA return deadline, these will be undertaken;
4. all anomalies will be documented, a list of recommendations and mitigating actions formulated by the Research Office, in consultation with key stakeholders and a report produced that will:
 - accompany the final EIA submitted as part of LSBU's REF 2021 submission;
 - be presented to the University Research Committee.

LSBU has conducted an Equality Impact Assessment (EIA) of its prospective REF 2021 submission, as part of its 2018/19 Mock REF: the T&R group expected to have SRR broadly matches the T&R REF eligible pool.

3.8 Communication of SRR status to staff, timescale and support provided

3.8.1 SRR status communication, inclusive of timescale and personnel involved

- In August/September 2019, the SRR identification process will be conducted by the Research Office (i.e. the REF Coordinator and the REF and Impact Officer).
- In August/September 2019, REF eligible staff will be notified by their Dean/Directors of Research if they have SRR status. Deans/Directors have been given this role on the basis that the DoRs/Deans will also be the first point of contact for individuals without SRR status who wish to discuss development/support needs, obtain feedback *etc.*
- In September 2019, REF eligible staff without SRR will also be notified of the Appeals process – this notification will be, in the first instance, via the emails notifying them of whether they have SRR (see section 3.9).

- In July 2020, the SRR identification process will be reprised.
- In August 2020, REF eligible (Category A) Staff will be notified of any changes in their SRR status. REF eligible staff who have joined LSBU since July 31st 2019 will also be notified whether they have SRR in early September 2020.

3.8.2 *LSBU's commitment to staff without SRR*

- The university is committed to ensuring that REF-eligible staff who are not submitted to the REF due to their outstanding contributions to teaching, enterprise, administration and other areas of the institution are fully supported in their work and are not disadvantaged in any way.
- LSBU does not see scholarly activities as being the preserve of staff with SRR. LSBU encourages all academic staff to engage in the scholarship agenda, especially in support of the delivery of LSBU's research-informed, teaching mission.
- LSBU is a university with a significant and growing research-base. We want all of our academics, including those not eligible for the REF, to have the opportunity to contribute to our research agenda. To this end, in 2017 we created our ≥30 Research Groups, membership of which is open to all academic and research staff who are engaged in research or who wish to make research contributions, irrespective of their contractual status and research experience.
- LSBU is committed to supporting academics with capitalising upon their strengths in the fulfilment of their key duties, irrespective of whether they relate to research. Academic promotions are not conditional upon being identified as having SRR, with the Citizenship, Administration, Management and Learning (CAML) element of the academic framework providing significant opportunity for career progression, for example: developing a new Masters programme; achieving success in student recruitment, learning outcomes etc. Further, the Professional Impact element of the academic framework encompasses not only research but also, Enterprise & knowledge transfer and professional practice. If an academic therefore wishes to focus on teaching, administration, professional practice, enterprise and associated duties, LSBU will not burden them with expectations of research output production.

3.8.3 *Development pathways for REF-eligible staff found not to have SRR*

- Staff identified as not having SRR status will have the opportunity, independent of any conversations they may have with respect to their appraisal, to meet with their Dean/Director of Research to:
 - discuss what factors may have contributed to their not being identified as having SRR;
 - review, if they wish to gain SRR status, how they could increase their involvement in significant research activity;
 - discuss their development/support needs with respect to developing their research engagement and contributions;

- co-create a plan, taking into consideration the available training sessions for researchers at LSBU, for developing their contributions to research, especially in terms of producing research outputs of international significance.

3.9 The Appeals process for SRR identification and responsible persons

3.9.1 Grounds for appeal

- Staff identified as not having SRR status who consider that they do meet all of the criteria will have the opportunity to appeal against their classification via an evidence-based process, described in section 3.9.2
- Grounds for appeal are as follows:
 - not being granted SRR status and where the staff member has evidence that they do meet all of the SRR criteria;
 - not being granted SRR status and where specific circumstances present a strong rationale for being granted SRR (for example, if the staff member has been identified as having a research allocation of only 15% but the staff member understands from prior communication with their School that their research allocation amounts to 20%).

3.9.2 The Independent Appeals panel

- The Appeals panel will be comprised of individuals who are distinct from LSBU's standard grievance procedures, and have all received EDI and REF training described elsewhere in this document (Section 2.9).
- The Appeals panel is populated by individuals who are independent of the REF decision-making process: the Provost, Deans, Directors of Research, Research Centre Heads and the Research Office have all been precluded from joining the panel.
- The Appeals panel members have been identified, in the first instance, by the Executive Assistant to the Vice Chancellor and the HR Senior Business Partner, in consultation with the Chair of the REF CoP Working Group. Members have been selected in accordance with the principles of Equality, Diversity and Inclusivity and on the basis of their integrity and independence.
- The panel is chaired by LSBU's Academic Director for Collaborative Partnerships and Director of Internationalization in the School of Applied Sciences.
- The Deputy Chair of the panel is a Head of Division within the School of Engineering (this person will officiate where the Chair is unable to attend Appeals panel meetings).
- The other Panel Members have been confirmed as:
 - A School Director of Education and Student Experience
 - Equality, Diversity and Inclusion Project Manager (Organisational Development)

3.9.3 The SRR appeals process and timeline

- The appeals process will be communicated to staff, via email, in September 2019 and August 2020, as described in Section 3.8.1.
- Applications for appeals will open in September 2019 and close in September 2020.
- Appeals cases will be responded to, ordinarily, within 4 weeks of the appeal being lodged, though there may be instances where, due to the complexity of the appeal, a longer time-period is needed by the panel to reach a final decision.
- All information regarding the Appeals process will be stored by the Research Office, in a restricted access folder on a shared drive that will only be shared with the members of the Appeals panel; all spreadsheet files will be password protected.
- The appeals process comprises 3 steps, described below and presented in Figure 4:
 1. *Stage 1: Initial consultation*
 - Staff who wish to appeal will have the opportunity to:
 - consult with their Director of Research (DoR)
 - write, via email, to the Chair of the *Independent Appeals Panel* (staff may write directly to the Chair without first consulting or informing their School), setting out clearly the reasons as to why they feel they should be included.
 2. *Appeals stage 2: Management of cases by the Independent Appeals panel*
 - The Independent Appeals panel, where it encounters cases in which staff circumstances issues (illness, maternity leave, caring responsibilities, complex circumstances etc.) may be a contributory factor to the grounds for the appeal, will invite the individual to complete a Staff circumstances disclosure form, if they have not already done so (see Annex IX), and submit this for consideration via the Staff Circumstances disclosure procedure;
 - Panel members will receive guidance on how to manage Appeals cases via the REF EDI training described in Section 2.9.1. They will also receive guidance in the form of instructional hand-outs, which will be produced by the Research Office. The Research Office will assist the Panel in liaising with the individual's parent School where the Panel requests to see the work-load model research allocation for the individual who has raised an appeal.
 3. *Appeals stage 3: Consultation with Provost*
 - If not satisfied with the decision of the Appeals panel, the individual may elect to put their case personally to the Provost, who can elect to overrule the Appeals panel where it has elected not to uphold the individual's case; the Provost's decision will be final.

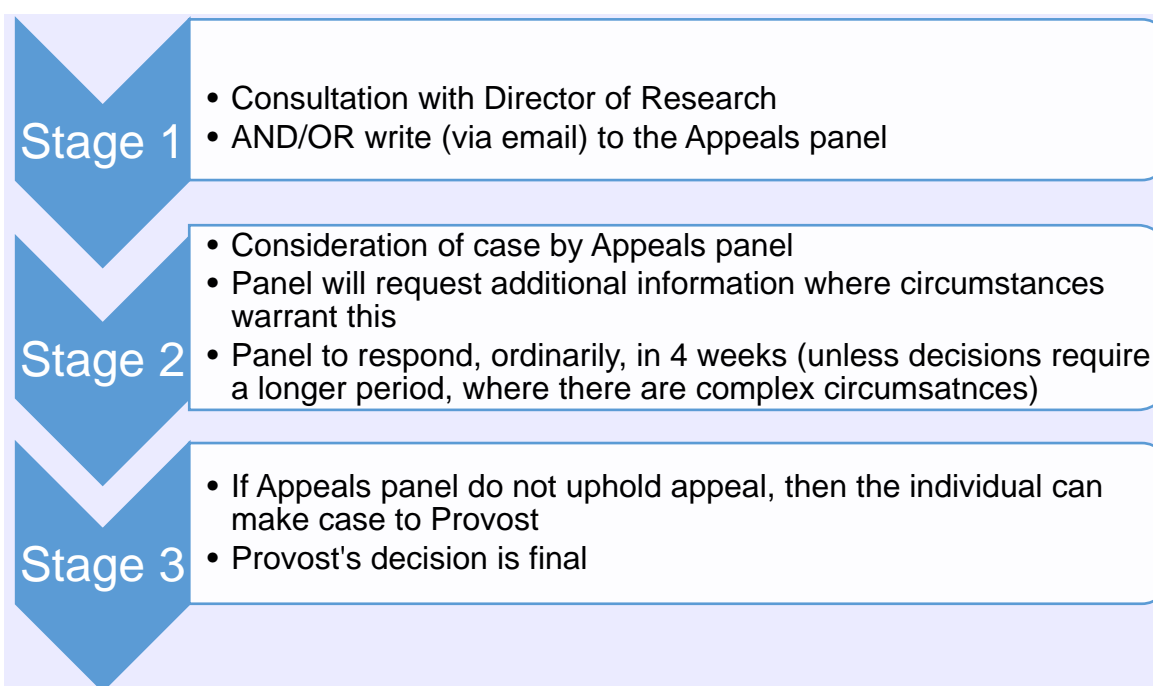


Figure 4: The Appeals process

3.9.4 Approach to developing the Appeals process

The appeals process has been modelled on the Appeals process utilised by LSBU in their REF 2014 Code of Practice and its development has been led by the REF Code of Practice Working Group.

3.10 Development of and consultation on SRR process(es)

3.10.1 Initiation of the SRR criteria development process

The Code of Practice (CoP) Working Group (see section 2.7.1) surveyed, over a series of meetings in 2018, a range of options for identifying and evidencing who has Significant Responsibility for Research, including:

- supervision of research students;
- completing AURA (the university's annual, online survey of research-active staff);
- tagging a threshold proportion of one's objectives as Research in the annual appraisal;
- acting as a Principal Investigator of funded projects;
- self-certification of SRR.

These options were predominantly vetoed on the grounds that:

- they could not be used to produce auditable evidence;
- they did not corroborate the expectation that explicit time and resources are being made available to engage actively in independent research.

The annual appraisal option was vetoed because:

- LSBU's annual appraisal is primarily centred on learning and development needs. Therefore, to use this option for any other purposes would have significant implications for the operation of the appraisal.

The criteria initially agreed upon by the CoP Working Group were presented to the Deans and Provost in December 2018: the criteria proposed were:

- Research allocation in the workload model exceeds 20%;
- Independent researcher;
- Research Centre member.

3.10.2 The Significant Responsibility for Research (SRR) Focus Group

The SRR Research Focus Group was assembled to test and refine the criteria used to identify who has SRR for REF 2021. It comprised members of LSBU's key staff representative bodies, including the University and College Union and the staff networks.

Members of the Group were assembled through:

- an email invitation (see Annex 0) sent from the Provost on Nov. 15th 2018 to the academic and research body for volunteer members – an email based invitation was used on the basis that emails could be accessed by people working remotely or otherwise absent from LSBU;
- consulting with Heads of the Staff networks;
- liaising with the Staff engagement champions of Schools not represented by personnel identified via the actions cited above.

The Group's key functions were to ensure that the SRR criteria:

- uphold the key REF principles of equity, equality and transparency;
- are viable and robust;
- accord with the expectations and needs of LSBU staff;
- are supported by LSBU staff.

The initial consultation with Significant Responsibility for Research (SRR), Focus Group was held on Jan 9th 2019. From this consultation, the following communication-related actions, were taken:

- A glossary of terms was added to the SRR briefing document
- Attempts were made, wherever possible, to simplify the text in order to maximise its accessibility.

Further consultations were held with the Group in April/May 2019 to obtain sign-off of the SRR criteria and process. School consultations began in April 2019 and the Centre membership criterion was broadened to encompass both Centres and Groups on the advice of staff.

3.10.3 Consultation with the University and College Union

This consultation was initiated via the UCU member in the SRR Focus Group. The SRR proposal was shared with the UCU in March 2019 and the consultation, at the

time of writing (June 2019), is ongoing. This section will be updated in June/July/August 2019 pending the conclusion of the UCU consultation.

3.10.4 SRR process and criteria – consultation with and dissemination to staff

A mix of face-to-face consultation and electronic communications have been used to consult with staff and disseminate the criteria. Electronic communications via email and the Staff Social networking platform Yammer, have enabled staff absent from the university/working remotely/outside of the university to access the criteria. The timetable for staff communications and consultations is shown overleaf.

Activity	Date
Email from Provost to all research staff and academics (see Annex 0)	15 Nov. 2018
Initial consultation with Significant Responsibility for Research (SRR), Focus Group: from this consultation the following communication related actions were taken: <ul style="list-style-type: none"> A glossary of terms was added Attempts were made, wherever possible to simplify the text 	9 Jan 2019
Sharing of the SRR proposal with the Union (UCU)	22 March 2019
Initiation of the Code of Practice (inclusive of SRR criteria) consultation and briefing sessions at the School staff meetings	26 April 2019
Consultation with LSBU's Disability & Dyslexia Manager to ensure accessibility of the CoP is maximised	Early May 2019
Dissemination, via the Provost's email account, of the draft Code of Practice (CoP) to all staff at LSBU draft, with an accompanying: <ul style="list-style-type: none"> online staff survey on the draft CoP; 	02 May 2019

<ul style="list-style-type: none"> link to the intranet page (from where the draft Code of Practice can be downloaded) and notice of the CoP staff consultation "Roadshows" are given invitation to provide feedback to the REF Manager via email 	
Run REF Roadshows in a centrally located venue (4 sessions, Tues-Thurs)	30 April 2019 1 May 2019 8 May 2019 9 May 2019
Promotion of the Code of Practice consultation via: <ul style="list-style-type: none"> the Staff Comms email (this is an email sent weekly to all staff that gives announcements of key initiatives) Yammer (this comprises LSBU's internal, online internal social network) An email sent to each School from the School's Dean 	Week commencing 7 May 2019
Closure of staff consultation	15 May 2019
Posting of the finalised Code of Practice on LSBU's internet pages, ensuring that it is no more than 3-4 clicks away from LSBU's home page.	w/c June 10 2019
An email sent from the Provost's account announcing the online publication of the Code of Practice will outline the timetable for notification of SRR status	w/c June 17 2019
Staff informed of SRR decisions by their Dean/Directors of Research if they have SRR status.	September/October 2019
REF eligible staff without SRR be notified of the Appeals process	September/October 2019
REF eligible (Category A) Staff will be notified of any changes in their SRR status. REF eligible staff who have joined LSBU since July 31 st 2019 will also be notified whether they have SRR in early September 2020.	August 2020
REF eligible staff without SRR be notified of the Appeals process	August 2020

4 Determining research independence

4.1 Research-only staff and Research independence: key definitions

Research-only staff comprise staff who are employed solely to undertake research activity, for example; Research Fellows, Post-Doctoral Research Associates *etc.*

Research Assistants, as described in paragraph 130 of the REF 2021 Guidance on submissions (2019/01) are sometimes termed postdoctoral research assistants, contract researchers, research associates or assistant researchers. They typically comprise the largest group of staff within the Research-only pool. They are usually funded from research grants or contracts from Research Councils, charities, the European Union (EU) or other overseas sources, industry, or other commercial enterprises. They may also be funded from the institution's own funds. Research Fellows, although they may not be acting as Research Assistants, also fall within the *Research only* group.

The Funding Bodies have stipulated that only Category A (see section 3.2) *Research-only* staff who are independent researchers can have SRR status and thus, be submitted to the REF.

The Funding Bodies define independent researchers as individuals who undertake *self-directed research*.

4.2 The criteria for identifying independent researchers

Research Assistants are usually employed *to carry out another individual's research programme*. They therefore would not, ordinarily, be regarded as independent. It is recognised, however, by the Funding Bodies that there may be some circumstances where Research Assistants do undertake *self-directed research*. This section describes the criteria/criterion Category A *Research only* staff must meet to have Significant Responsibility for Research.

The Funding Bodies have stipulated that the processes that institutions use to identify who has research independence from the Research-only pool should be in accordance with paragraphs 128 to 133 of the REF 2021 Guidance on submissions (2019/01). Paragraph 132 specifies that the following indicators are appropriate across all of the REF panels:

- leading or acting as principal investigator or equivalent on an externally funded research project;
- holding an independently won, competitively awarded fellowship where research independence is a requirement
- leading a research group or a substantial or specialised work package.

Additionally, paragraph 189 of the REF 2021 Panel criteria and working methods document (2019/02), states that for Panels C or D the following additional indicators apply:

- Being named as a co-investigator on an externally funded research grant/award

- Having significant input into the design, conduct and interpretation of the research

In order to ensure full compliance with the Funding Bodies' expectations, LSBU will use the same criteria listed above to determine who has research independence from the Research-only pool. The one exception to this concerns the *leading a research group* criterion. LSBU's REF-oriented, research entities are called Research Centres. Thus, this criterion has been reframed as:

- leading a Research Centre, Research Group or a substantial or specialised work package.

In order to be identified as being an Independent researcher, a *Research-only* staff member will only need to meet one criterion from the above criteria listed within the REF assessment period (1 August 2013 - 31 July 2020).

4.3 Process and timeline for determining and communicating who has Research Independence

The following process will be used to identify, from the Research only pool, who has *Independent Researcher status*.

July/August 2019 and also July/August 2020 (the same process will be followed in both periods)

- The Research Office will liaise with LSBU's *People and Organisation* and *Planning Performance and Assurance* Professional Service Groups (PSGs), as appropriate, to determine which staff at LSBU meet the following qualifying criteria and thus, constitute the *Research only* pool:
 - ≥ 0.2 FTE;
 - coded as *Research only*.
- An email was sent to all REF-eligible staff in July 2020 in the Research only pool to apprise them that they would be informed by 14 August 2020 if they had Significant Responsibility for Research. Staff were guided to the LSBU Code of Practice for further information. The email also provided guidance on the SRR Appeals procedure.
- The list of names in the *Research only* pool will be mapped by the Research Office against the list of Research Centre/Group Heads. All members of the *Research only* pool found to be Research Centre/Group Heads will be given *Independent Researcher status*.
- The *Research only* pool, after being adjusted for Research Centre/Group leadership, will be initially partitioned by School, yielding 7 sub-lists corresponding with LSBU's 7 Schools.
- Each School list will be tagged against its associated Unit of Assessment (UoA). Where a School is preparing to submit to more than one UoA:
 - the list for that School will be shared with the School's Director of Research (DoR) and UoA leads;

- the DoR and UoA lead will be asked to identify for each researcher the associated UoA, yielding two or more lists of names, each grouped by a common UoA.
- Once the UoA lists of *Research only* staff have been compiled, the following process will be undertaken:
 - for UoAs in Panels A and B (UoAs 1-12), the list of names will be compared by the Research Office against the list of Principal Investigators for externally funded projects operational between 1st August 2013 and 31st July 2020;
 - for UoAs in Panels C and D (UoAs 13-24), the list of names will be compared by the Research Office against the list of Principal Investigators and Co-Investigators for externally funded projects operational between 1st August 2013 and 31st July 2020;
 - the Research office will also identify any researchers who hold an independently won, competitively awarded fellowship where research independence is a requirement, using the list of fellowships provided by the Funding Bodies and reproduced in Annex XIV.
- The list of researchers in the *Research only* pool for each UoA, with all researchers who are Centre/Groups Heads, PIs/Co-Is and Fellowship holders appropriately tagged, will be shared with the associated DoR and UoA head. Each UoA lead and DoR will then be asked to:
 - identify, for UoAs in Panels A and B (UoAs 1-12), researchers who are leading a substantial or specialised work package;
 - identify, for UoAs in Panels C and D (UoAs 13-24), researchers who are leading a research group or a substantial or specialised work package OR have significant input into the design, conduct and interpretation of the research;
 - confirm that these researchers identified in steps 6a-6c are independent;
 - volunteer any other information that may indicate independence, for example, if the researcher, prior to joining LSBU, fulfilled one or more of the independence criteria within the REF (1st August 2013-31st July 2020).
- All of the researchers identified as meeting one or more of the criteria given above through the process described in steps 1-7, will in consultation with their Director of Research, be classed as Independent Researchers; all other researchers will be assumed not to have research independence
- An Equality Impact Assessment (EIA) will be undertaken of both the overall, Category A Research only pool and the sub-group with SRR (i.e. research independence)
 - The process followed, both in terms of the nature of the analysis conducted, the personnel involved and the actions taken where

anomalies are found will follow the procedure used for the *Teaching and Research*, SRR pool described in section 3.7.2

- The Research Office will confirm with each Director of Research and UoA lead the *Research only*, SRR pool.

LSBU has conducted an Equality Impact Assessment (EIA) of its prospective REF 2021 submission: for the 46 Research only people within the eligible pool, the anticipated sub-set with SRR contains a higher proportion of males and people of white ethnicity than the baseline. The university is currently investigating:

- in which Schools/UoAs the disparity is most pronounced;
- potential mitigating actions, inclusive of reviewing extant training support for researchers and the training's inclusivity.

August/September 2019 And July/August 2020

- Directors of Research will write (via email) to all of the people named in the *Research only* poll and inform them whether they:
 - have SRR (i.e. have research independence);
 - and, if they do not have SRR, the opportunities available to them to:
 - meet with their DoR to obtain feedback on their classification and discuss their development needs if they would like to obtain SRR;
 - appeal, via the Appeals process

August/September/October 2019 and August/September/October 2020

- The results of any appeals cases will be received from the Appeals panel
- Where appeals cases have been upheld, the list of *Research only* staff for the UoA concerned will be revised accordingly

4.3.1 Process/mechanism for storing Information held and personnel involved

- The Research Independence information for all *Research only*, Category A staff will be held by the Research Office in a password protected spreadsheet.
- The individuals/groups of individuals listed below will be involved in identifying which researchers have research independence, with the nature of their role (advisor vs decision maker) indicated in brackets. All individuals will be required to attend the REF EDI training described in section 2.9.
- Research Office:
 - REF Coordinator (advisor)
 - REF and Research Impact Officer (advisor)
- Schools:
 - Directors of Research (decision maker)
 - Unit of Assessment leads (decision maker)

- The Appeals panel - the same panel used for T&R, SRR cases will be used for Research Independence (the panel, acting under the Chair, will collectively act as a Decision maker)

4.4 The appeals process

The appeals process will be managed using the same process used for managing Significant Responsibility for Research identification, described in section 3.9.

5 Selection of Research Outputs and support for staff with equality-related circumstances

5.1 Submission requirements for staff and Unit of Assessments (UoAs)

For REF 2021, a staff member with Significant Responsibility for Research (see section 3) is ordinarily required to submit at least 1 eligible research output. The maximum number of outputs a staff member can submit is 5. Staff members submitted to a UoA are therefore not expected to return the same number of outputs.

For each UoA submitted, the number of outputs required is $2.5 \times$ the number of FTE in the Unit. Research outputs should have first been made publicly available between 1 Jan. 2014 and 31 Dec. 2020 and be compliant with REF open access policy. For each UoA, an average of 2.5 outputs is required for each 1.0 FTE submitted.

5.2 Research output reduction measures for staff and UoAs that have been subject to equality-related circumstances

In order to support equality and diversity in research careers, the Funding Bodies have put in place processes to accommodate the effect that an individual's circumstances may have on their productivity during the assessment period (Jan 1st 2014-Dec 31st 2020). In particular, where such circumstances have constrained the ability of staff to produce research outputs.

These circumstances are termed equality-related circumstances and are described in full in section 5.2.1.

LSBU is committed to ensuring that staff have full opportunity to declare staff circumstances. The key purposes (see paragraph 160 of the REF 2021 Guidance on Submissions (2019/01) document) and benefits of declaring staff circumstances are as follows:

- Declarations enable the university to become better aware of the kinds of equality-circumstances staff may have been subject to. Thus, they aid the planning and targeted provision of reasonable adjustments for staff.
- Where the circumstances that an individual has been subject to are exceptional in nature, they enable said individual to have the requirement to submit a minimum of one research output removed, but only where the staff member has not been able to produce an eligible output in the REF period.
- Declarations enable submitting UoAs, where the circumstances reported by staff have cumulatively had a significant effect on the Unit to meet its research output volume requirement, to request, without penalty, a reduction in the number of outputs it must submit (UoA level reduction request), thus helping

the Unit to reduce the demands on the affected individuals without compromising the performance of the UoA

- Where the Unit has been subject to a UoA level reduction request, declarations can enable the colleagues of individuals who have made declarations to be themselves appropriately supported with respect to the research output volume demands placed upon them.

It is important to note that output reduction requests may only be made where staff members have voluntarily declared individual circumstances that have constrained their research output production capacity.

With respect to Unit level reductions, these may only be made if:

- the cumulative effect of circumstances has disproportionately affected the unit's potential output pool (i.e. a high proportion of staff in the unit have declared individual circumstances that affected their productivity)
- AND/OR disciplinary publishing norms make it likely that individuals submitted to the UoA will have generated a smaller number of outputs over the assessment period (e.g. where monographs are a common form of research output);

5.2.1 Conditions under which staff circumstances applications may be made

The key eligible staff circumstances for a research output, tariff reduction are given below in Table 4. For further information regarding staff circumstances, please see paragraphs 151-201 of the *REF 2021, Guidance on submissions* (2019/01) document.

Table 4: Eligible staff circumstances for a research output, tariff reduction

Category	Qualifying exemption
Early career researchers (ECRs)	<p>A Category A eligible member of staff (see section 3) who, as described in paragraph 148 of the REF 2021, Guidance on submissions document, started their careers as an independent researcher, on or after 1 August 2016.</p> <p>An individual is deemed to have started their career as an independent researcher from the point at which:</p> <ul style="list-style-type: none"> • <i>they held a contract of employment of 0.2 FTE or greater, which included a primary employment function of undertaking 'research' or 'teaching and research', with any HEI or other organisation, whether in the UK or overseas,</i> <p>AND</p> <ul style="list-style-type: none"> • <i>they first met the definition of an independent researcher (undertakes self-directed research).</i> <p>For Teaching and Research staff, LSBU's definition of research independence is given in section 3.4.</p>

	For <i>Research only staff</i> , the definition of research independence is given in section 4.2.
Secondments or career breaks outside HE	The member of staff has been absent for more than a total of 12 calendar months over the 1 January 2014 to 31 July 2020.
Family-related leave	<p>Statutory maternity leave, or statutory adoption leave taken substantially during the period 1 January 2014 to 31 July 2020, regardless of the length of the leave.</p> <p>Additional paternity or adoption leave, or shared parental leave lasting for four months or more, taken substantially between 1 January 2014 to 31 July 2020.</p>
Junior clinical academics	<ul style="list-style-type: none"> The researcher is to be entered into UoAs 1–6 <p>AND</p> <ul style="list-style-type: none"> The researcher is a junior clinical academic: i.e. a clinically qualified academic who is still completing clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or equivalent prior to 31 July 2020
Circumstances equivalent to absence	<ul style="list-style-type: none"> Disability: defined in Annex 0 Ill health, injury, or mental health conditions. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances set out in Annex 0. Other caring responsibilities (e.g. caring for an elderly or disabled family member). Gender reassignment. Other circumstances relating to the protected characteristics or relating to activities protected by employment legislation. Table 1 in the Funding Bodies' <i>Guidance on codes of practice</i> document (REF 2019/03) gives further information on the protected characteristics and it is anticipated that such circumstances are primarily covered by the other qualifying circumstances listed in the table (Table 4), but LSBU is committed to creating an inclusive, supportive, research culture that is strongly anti-bullying and anti-harassment, so it recognises that this Table [<i>i.e.</i> Table 4] may not be exhaustive.

Part-time working (exceptional circumstances only)	Part-time working is taken into account within the calculation for the overall number of required for the UoA (i.e. total FTE × 2.5). However, there may be exceptional circumstances where an output tariff reduction can be applied, e.g., where the FTE of a staff member late in the assessment period does not reflect their average FTE over the period as a whole.
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5.2.2 Staff circumstances conditions for the removal of the requirement for a staff member to submit a minimum of 1 research output

The requirement for a staff member with Significant Responsibility for Research to be returned with a minimum of one output attributed to them will be removed where:

- an individual has not been able to produce an eligible output
- AND the staff member has experienced and has declared any of the following circumstances (as confirmed by the Staff Circumstances Group) within the period 1 January 2014 to 31 July 2020:
 - an overall period of 46 months or more absence from research during the assessment period, due to one of more of the circumstances set out in section 5.2.1 (such as an ECR who has only been employed as an eligible staff member for part of the assessment period AND has also been absent for another part of the assessment period for equality related circumstances), where this has had an exceptional effect on the staff member's ability to work productively throughout the assessment period.
 - circumstances equivalent to 46 months or more absence from research, via the circumstances set out in section 5.2.2 (such as mental health issues, caring responsibility, long-term health conditions, etc.);
 - two or more qualifying periods of family-related leave, as defined in Annex VIII;
 - where an individual has not been subject to any of the circumstances described above, but the circumstances are deemed to have had a similar impact, including through being subjected to a combination of circumstances.

5.2.3 The personnel involved in managing declared staff circumstances and making research output tariff reduction decisions/recommendations and the training given.

- All staff circumstances voluntarily declared will be managed by the independent, REF Staff Circumstances Group (SCG). The SCG was chaired, initially, by the HR Deputy Director (of the People & Organisational Development Department). From September 2020, after the departure from

LSBU of the HR Deputy Director, the role of Chair of the SCG was transferred to the Interim Head of HR Business Partnering.

- The SCG is populated by personnel who are independent of the key REF decision-making processes. In addition to the Interim Head of HR Business Partnering, the members of the SCG are as follows:
 - An Associate Professor in the School of Health and Social Care;
 - The Head of Organisational Development & Employee Engagement (People and Organisation);
 - A Senior Lecturer in the School of Arts and Creative industries & UCU Branch Membership Secretary;
 - The Head of Arts and Performance in the School of Arts and Creative industries.
- The Staff Circumstances Group's work will be principally conducted in February 2020, with a further call for staff circumstances made in September/October 2020 in order to cover circumstances (for example, due to COVID-19) that arose after the initial circumstances call was closed on 7 Feb 2020. Thus, this second call covers the February 2020-July 2020 period and especially, circumstances where staff's capacity to undertake research was affected by COVID-19 related issues. New staff may make applications for the previous period. Further, staff who missed the initial deadline are welcome to declare their staff circumstances in this second call. Time will be set aside in the SCG members' calendars to ensure that they have time to conduct their duties
- All members of the group will attend the REF EDI training described in section 2.7.2.
- The chair of the SCG will also be responsible for overseeing information provided by staff via the role-based, confidential email account, managed by HR, which sits outside of the Schools and the Unit of Assessment structures.
- Its key roles will be to:
 - oversee, monitor and run the process for analysing and managing submitted staff circumstances declarations;
 - determine if each of the staff circumstances cases submitted warrant research output tariff reductions, either in terms of managing internal expectations of how many outputs an individual should contribute to the relevant pool; or making a formal reduction request of the funding bodies;
 - make recommendations, in consultation with the Research Office, Unit of Assessment leads and Directors of Research, on the scale of the UoA level reductions to be requested from the Funding Bodies;
 - assess and advise the University on any complex circumstances submitted by staff;

- manage *exceptional* circumstances cases, whereby an individual's ability to research productively throughout the period may have inhibited the production of the minimum of one research output.
- oversee, with the support of the Research office, the creation of the *Staff Circumstances* report, which will be used:
 - to fulfil a post-REF 2021 submission reporting requirement for the Funding Bodies;
 - as an internal document for ascertaining how support to staff with circumstances can be improved.
- The SCG will be supported with the data processing and reporting aspects of its work by the Research Office.
- The SCG will store all information relating to staff circumstances on a secure electronic storage facility under the jurisdiction of the Human Research (HR) department and accessible only to members of the Group; all information will be managed in accordance with the General Data Protection Regulation (EU) 2016/679, the Data Protection Act 2018 and all other legal obligations, thus all SCG members provided with data will be clearly instructed regarding the use of the data and when it will be deleted;
- It will ensure that any information shared with people outside of the Group is anonymised.

5.2.4 *The process for inviting declarations of equality-related circumstances that may have constrained the capacity of staff to produce research outputs*

Staff will be invited via email, in the first instance, to submit their staff circumstances declarations. The opportunity to submit staff circumstances will apply to all **≥0.2 FTE** academic and research staff. Thus, LSBU will ensure that:

- i. all research and academic staff within scope of the REF (i.e. not, just staff with SRR) have the opportunity to register their staff circumstances;
- ii. the Staff Circumstances Group (see section 5.2.3) have a manageable workload and that the scale of this project remains deliverable given the time constraints;

In relation to ii. declarations submitted by staff with SRR will be prioritised by the SCG but the SCG will endeavour to review all declarations made.

The process for inviting invitations is described below (this process will be repeated, with dates revised accordingly, in August-October 2020, for staff who joined the university from February 2020):

October/November 2019: an email inviting declarations of circumstances, via an accompanying form, will be sent from the Provost to all academic staff and research staff. Additionally, School HR Business partners will be fully briefed on the communications process and they will be tasked with supporting the dissemination of the call for staff circumstances submissions. The email will cover (either in the email itself or in the information provided in the accompanying intranet page, to which the email will provide ample references):

- what the REF is, why it is of importance and LSBU's current position with respect to its preparations for REF 2021;
- how LSBU values the contributions all of its academic and research staff, which is why it is not limiting the declaration of staff circumstances to staff with SRR: this is an opportunity for all ≥ 0.2 FTE academic and research staff to declare any disability in a confidential way and seek a reasonable adjustment, with the caveat that due to time constraints, if a high volume of declarations are made, the SCG will need to prioritise declarations by staff with SRR, although the SCG will endeavour to cover all declarations;
- the concept of equality-related staff circumstances and research output tariff reductions;
- the concept of equality-related staff circumstances and research output tariff reductions;
- how staff can confidentially declare, via the provided form (see Annex IX), any equality-related staff circumstances that they may have experienced;
- the deadline for submitting the form (January 2020);
- the prerogative of staff who have experienced equality-related circumstances not to declare those circumstances where they do not wish to;
- in line with the points above, Early Career Researchers (ECRs) will be clearly informed that it is entirely their decision if they wish to:
 - declare their status as ECRs, noting also, that the university is required, for its 2019/20 HESA staff return, to declare (on an anonymised basis), all of the ECRs in the institution;
 - request that LSBU adjust expectations because of their ECR status, or request the removal of the requirement of the minimum of 1 (under the exceptional circumstances conditions described in section 5.2.2);
- the university's commitment to:
 - using and handling any circumstances related information provided sensitively and confidentially;
 - ensuring that staff are not pressurised into declaring circumstances;
 - notifying staff where decisions have been made to request, from the funding bodies, research output reductions on the basis of information provided and to obtain the assent of the staff concerned prior to making these requests;
- why circumstances information is being requested and how it will be used: *i.e.* to determine if:
 - any staff with Significant Responsibility for Research (SRR) have experienced circumstances that warrant the removal of the requirement upon them to submit a minimum of 1 research output;

- there should be any changes to the expectations of staff of how many outputs they should contribute to the output pool of their associated UoA
 - any staff with SRR have experienced circumstances that, in combination with the circumstances of other staff, may warrant a reduction in the number of research outputs that need to be submitted from their associated UoA;
 - any members of the academic and research staff body, as a whole, have been subject to equality related circumstances and what changes the university may, as a consequence, need to make to its processes for supporting staff.
- the benefits to staff of reporting this information, *i.e.*:
 - reducing the expectations of research output production for staff with SRR;
 - ensuring that the university is fully aware of any equality-related circumstances that academic and research staff may have been subject to and thus, is well placed to enhance its support for staff;
 - ensuring that colleagues within the submitting Unit who have directly or indirectly supported staff who have been subject to equality-related circumstances are also themselves appropriately supported with respect to the research output production demands levied by the REF UoA submission
 - who to correspond with if staff have any general queries regarding circumstances – their School HR Business partner who will direct queries, as appropriate, to the Staff Circumstances Group (SCG) or the REF coordinator, as appropriate, with queries concerning specifics to be directed straight to the SCG on the basis of ensuring confidentiality.
 - who the information provided will be shared with, how it will be stored and the process by which it will be used to inform decisions.
 - a URL link to LSBU's REF Code of Practice for more detailed guidance on staff circumstances.

December 2019: emails will be sent from the Deans inviting declarations of staff circumstances;

December 2019/Jan 2020: short presentations at each of LSBU's seven Schools on the staff circumstances declaration process will be given;

January 2020: as the deadline for staff circumstances approaches, a final request for declarations will be shared with all staff;

January 2020: invitation reminders for staff circumstances will also be made via Yammer and through the Staff Comms email issued to all staff;

Key to this communication process will be adhering to the following principles:

- any information provided is only shared with the individuals/ groups named in communications, with the highest standards of confidentiality maintained;
- the specifics of any disclosed staff circumstances are not shared with any stakeholders outside of the SCG on an identifiable basis – only anonymised information will be shared and where it is shared, this will solely be to inform the development of staff support mechanisms and for training purposes;
- all individuals involved in managing and processing the information, as well as making decisions, are appropriately trained (see section 2.7.2);
- the information provided is securely held;
- all academic staff have the opportunity to declare circumstances, in order that the information provided can be used to improve support for staff across the institution;
- the purpose of collecting the information is clearly communicated;
- staff receive sufficient guidance on how to complete the forms;
- REF Decisions makers, UoA leads etc., as part of the REF training, do not place pressure on staff to declare circumstances and LSBU respects the right of staff not to declare circumstances.

August/September 2020: The Funding Bodies initial deadline for submitting staff circumstances requests was 6 March 2020. Where there are changes, however, to the Category A submitted staff employed in the unit after the request has been submitted, further requests for research output volume reductions can be made at the point of submission (31 March 2021). Thus, new employees in employment at LSBU on the census date of 31 July 2020 will be invited to submit circumstances declarations, in addition also to staff who were affected by COVID-19 and also, staff who missed the initial circumstances deadline.

5.2.5 The Process for determining staff circumstances, output reduction requests to be made

This process comprises three elements:

- Identifying which declared circumstances have constrained an individual's ability to work productively and should be taken into consideration in determining how many outputs an individual contributes to the pool
- determining which declared circumstances have had an exceptional effect on the ability of an individual staff member and thus warrant, the removal of the requirement to produce a minimum of one output;
- determining which UoAs have been subject to staff circumstances that, in their totality, have disproportionately affected the unit's potential output pool and therefore, justify a Unit level request for a reduction in the number of research outputs to be submitted.

Staff circumstances applications will be obtained, analysed and decisions made on individual cases through the process described below and depicted in summary in Figure 5:

- In May/June 2019, the Independent REF Staff Circumstances Group (SCG), will be formed (see section 5.2.3);
- In September 2019, a confidential role-based email account will be created by LSBU's Human Resources department for staff to declare circumstances that may have impeded their ability to contribute to the REF;
- In October 2019, invitations for declarations of staff circumstances will be disseminated (see section 5.2.4) and the confidential, role based email account for making these disclosures will become accessible to staff: the account will be closed in January 2020 – staff will be asked in the form (Annex IX) if they give their prior permission for the implementation of any research output reductions associated with their staff circumstances submission;
- In February 2020, the circumstances submitted by staff to the confidential email account will be collated, by the SCG; all staff circumstances information will be stored by the HR department in a secure folder/storage system, which will be erased in January 2022;
- Where a staff circumstances declaration is submitted by a member of the Panel, that member will be temporarily relieved of their Panel member duties whilst their case is reviewed by the Panel.
- In February 2020, the SCG will map the circumstances submissions against the list of staff with SRR provided by the Research Office:
 - where staff members reporting circumstances do not have SRR, the type (or types, where a combination of circumstances have been registered) of circumstance registered will be recorded by the SCG and the information collected will be used to inform an internal report giving staff support recommendations.
- In February 2020, for all staff circumstances declared by staff with SRR, the following series of steps will be undertaken:
 - where the circumstances fall below the threshold for a research output reduction (see section 5.2.1), the key elements of the application and the decisions taken will be recorded on an anonymised basis and all staff in this category will be notified accordingly by the Chair of the SCG;
 - where the circumstances are judged to meet the baseline criteria given in section 5.2.1, the panel will then review each case in turn and consider if the circumstances warrant either:
 - classification as exceptional circumstances, thus enabling the removal of the minimum of 1 output requirement from the member of staff concerned, where the researcher has not produced an eligible REF output (see section 5.2.2);
 - classification as a standard circumstance, or combination of circumstances (see section 5.2.1).
 - further to step 2, the SCG will then:

- ascertain if the information provided in each staff circumstances declaration form is sufficient to make a decision and further, if the evidence provide is adequate;
 - where further information/evidence is required, liaise with the staff member concerned;
 - determine the research output tariff reduction, using the guidance given in Annex VIII, each staff member's circumstances declaration is eligible for.
- The staff members concerned will be notified of the judgements of the SCG and any adjustments will be made to the number of outputs the individual is expected to contribute to the pool;

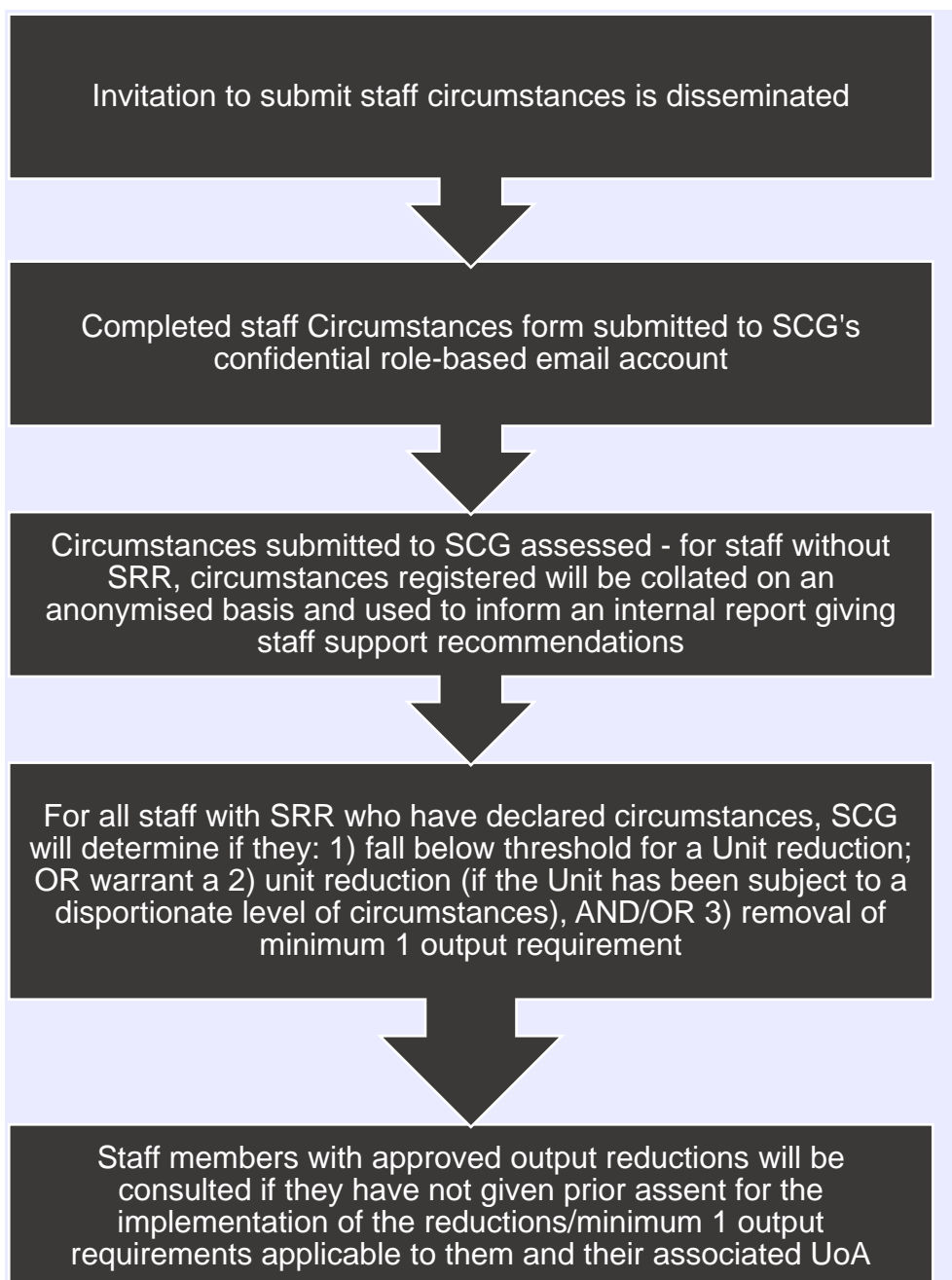


Figure 5: Process for inviting and managing staff circumstances submissions

- The SCG will work with the Research Office to ascertain which UoAs the reductions map onto;
- For all UoAs with eligible staff circumstance research output tariff reductions, the SCG, with the support of the Research Office, will undertake the following actions to determine if a Unit level reduction is viable, as depicted in Figure 6:
 - the total number of research output tariff reductions (in terms of number of research outputs) will be ascertained;
 - the number of research outputs ordinarily required (i.e. $\text{FTE} \times 2.5$) will be calculated;

- Decisions regarding whether to apply to the Funding Bodies for a request for a UoA-level reduction will be made by the UoA lead and Director of Research (of the UoA's parent School) in consultation with the REF Coordinator. In reaching a decision, consideration will be made of the UoA's position with respect to the research output production levels of its researchers and further, the potential benefit to the Unit's researchers, as well as other factors such as whether the discipline is one associated with a relatively low number of outputs (e.g., a discipline oriented towards monographs). To help inform decision-making, reference will be made to the following thresholds to see if they have been reached/passed:
 - The total number of research output tariff reductions for the UoA is $\geq 20\%$ of the number of research outputs required. This internally set threshold was deemed by LSBU to indicate that the cumulative effect of circumstances had disproportionately affected the unit's potential output pool.
 - $\geq 15\%$ of staff members in the UoA have declared eligible circumstances: this threshold was advocated by EDAP in their "[*REF 2021 Equality and Diversity Advisory Panel Interim report*](#)" issued in September 2020.
- In accordance with the funding bodies' requirements, LSBU will ensure that the proposed reduction for a UoA would not result in a smaller total output requirement than the number of Category A submitted staff in the UoA for whom a minimum of one output is required

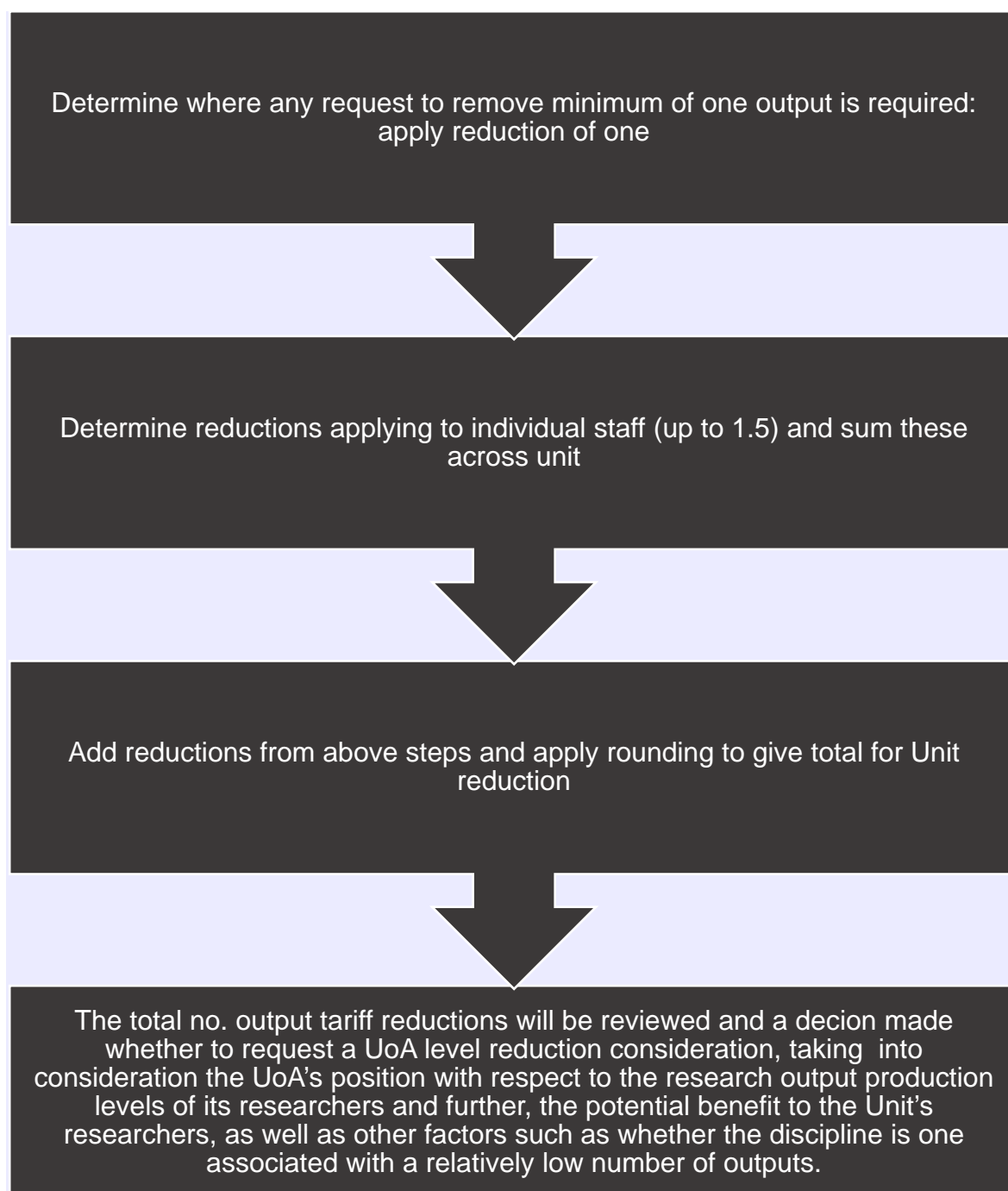


Figure 6: Process for managing Unit level reductions

- In March 2020, the agreed research output tariff reductions, with respect to both UoA level reductions and the removal of the minimum 1 output requirement for individuals, will be compiled by the Research Office and submitted to the funding bodies.
- Once the decision of the funding bodies has been received, the UoA leads, Directors of Research and the staff members with both requested and approved tariff reductions will be informed accordingly, ensuring that:
 - where a staff member has been subject to the removal of the minimum one output requirement, this requirement is clearly conveyed;

- where declared circumstances have constrained an individual's ability to produce research outputs, that this is taken consideration in determining how many outputs the individual contributes to the pool;
 - where the UoA level research output tariff reductions have been approved, the UoA lead/DoR works with the staff members for whom these reductions were obtained to agree both how the staff member can be supported and how research expectations can be adjusted.
- In September/October 2020, the Staff Circumstances Group will be reconvened to process any staff circumstances applications made by staff who joined the institution between March 2020 and 31 July 2020. Also, staff who were affected by COVID-19 and also, staff who missed the initial circumstances deadline, will be welcome to submit circumstances applications.
 - In 2021: in the event of an audit by the Funding bodies, the REF Coordinator will liaise with the SCG to provide evidence for the decisions taken, making recourse to the staff circumstances information and evidence provided for each decision queried, as appropriate.
 - In July 2021, LSBU will submit a report to the Funding Bodies reflecting on their experience of supporting staff with circumstances, including a breakdown of the circumstances declared and the number of requests for the removal of the minimum one output requirement. LSBU will report also on how the circumstances declared fed into decisions on whether to request a reduction in outputs required for submitting units, indicating how often reductions were/were not requested and how the expectations made of individuals were managed in both cases.
 - In September 2021 a report will be provided to the university's Provost and HR department (all data on staff will be fully anonymised) declaring the scale and nature of the circumstances reported and recommending key actions to take to ensure staff can be supported fully for future such cases.
 - In January 2022, the REF Coordinator will consult with the SCG to ensure that all personalized data regarding staff circumstances is deleted.

5.2.6 LSBU's commitments to the selection of research outputs and support for staff with circumstances that may have impeded their output contributions

LSBU is committed to ensuring that for each of the UoAs that it submits, the process for determining the number (volume) and selection of research outputs:

- sensitively takes into account any circumstances (see section 5.2), voluntarily declared by researchers, that may have constrained their capacity to produce research outputs;
- ensures that where applications are made to the Funding Bodies for research output volume reductions on the basis of declared staff circumstances, that the assent of the staff concerned is obtained;
- uses quality as the primary criterion for selecting research outputs, as assessed using the REF criteria of Rigour, Originality and Significance;

- ensures that research outputs are selected transparently, objectively, accountably and equitably;
- does not discriminate against the research outputs of staff who have left the institution;
- ensures that the selected research outputs are representative of the diversity of the Unit in terms of both its researchers and the UoA's theme/subjective matter.
- The Staff Circumstances Group (SCG) will ensure that all cases are reviewed anonymously – the names of people declaring cases will not be disclosed to the members of the SCG.

5.2.7 How the staff Circumstances process was developed

- The REF Code of Practice Working Group, Directors of Research and the academic and research staff body (via the Code of Practice consultation conducted in April/May 2019) were consulted in the development of the procedures for handling individual circumstances and treating sensitive personal information confidentially.

5.3 Research output selection

5.3.1 The research output selection criteria

- The principal criterion used to identify research outputs to submit is quality.
- Quality is assessed via the three REF sub-criteria of Rigour, Originality and Significance.

LSBU is committed to ensuring that the research outputs submitted by each UoA are selected on the basis of quality, rather than subjective criteria. Equally, however, the university does not seek to produce UoA submissions that are unacceptably unbalanced.

The university recognises also that whereas positive action (voluntary action taken by a Higher Education Institution to encourage people from under represented or disadvantaged groups or groups with a particular need) is lawful, positive discrimination (action taken by an HEI to overcome disadvantage, address a particular need or under representation experienced by protected groups) is not lawful.

A further issue to consider in this context is that EIAs are conducted on an anonymised basis. So if, for example, it is found from an EIA that the research outputs from people with a disability are under-represented in the UoA submission, it may not be possible to identify the individuals concerned.

Hence, where two outputs, each of which has a different attributed author, have the same quality rating but only one output is to be submitted, the UoA lead, in consultation with the Research Office, will make a decision on which research output to submit by taking into consideration the commitments and caveats given above. LSBU is committed to ensuring that, where this is both feasible and lawful, that the distribution of submitted outputs amongst staff with SRR broadly reflects the characteristics of staff within the output pool. Key to ensuring the probity of the process will be safeguarding that only individuals who have undertaken the REF

oriented, EDI training described in Section 2.9 will be involved in the Research Output selection process.

LSBU recognises that of principal importance is removing any institutional and endemic barriers to equal opportunity. Thus, the report that will accompany the Equality Impact Assessment of LSBU's REF 2021 submission will review any anomalies found with respect to research output selection and make recommendations accordingly.

5.3.2 *Management of research outputs from former members of staff*

Research outputs from staff who have left the university on a voluntary basis (inclusive of those who have taken voluntary severance) will be treated on an equal footing with the research outputs from staff who are employed at the institution on the census date (July 31st 2020). LSBU's policy with respect to staff who have left is as follows:

Excluding outputs from staff made redundant may impede their future research career prospects. In particular, because they will not be able to report in subsequent research/academic posts, that the outputs they produced at their previous employer were REF returned. We therefore advocate that:

- for outputs by staff who left via a voluntary severance scheme, or for other self-directed reasons, these outputs can be considered on an equal footing as outputs by staff who remain in the employment of the institution;
- where a staff member has been made redundant, the inclusion of their outputs in the submission is permissible, on the proviso that LSBU has the individual's consent.

5.3.3 *The research output selection process*

A three stage process for each submitted UoA will be used:

- Output screening
- Output reviewing
- Output selection

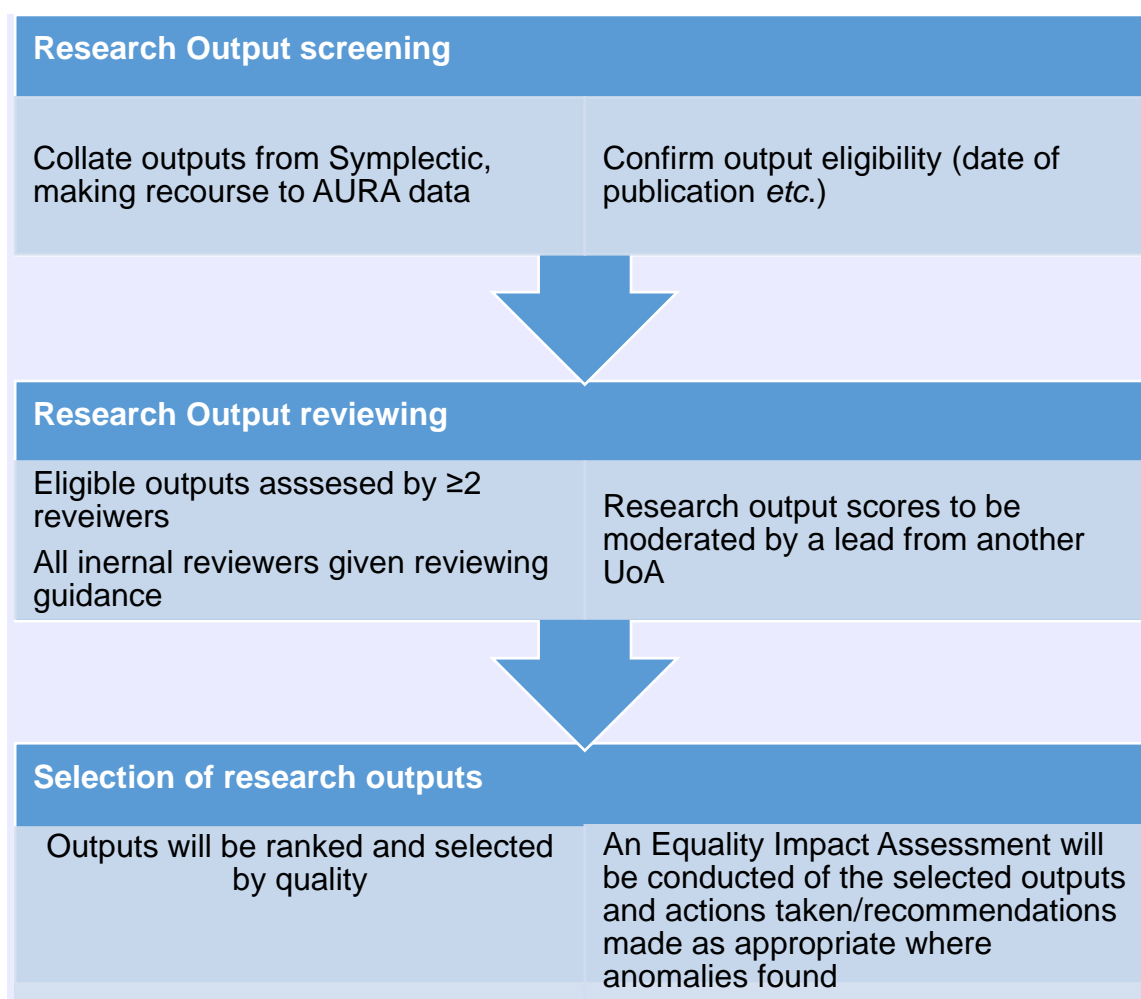


Figure 7: The Research output selection process for UoAs

i. Output screening

- Eligible research outputs will be identified by Directors or Research (DoRs) and Unit of Assessment (UoA) leads from the list of research outputs associated with the UoA's researchers compiled, by the Research Office, from the university's cloud-hosted database of research outputs (Symplectic);
- LSBU will abide with the good practice given in the institution's Statement on Responsible Use of Research Metrics (see Annex XIII)
- To aid the selection process, DoRs and UoAs will have recourse to the self-assessments of the quality of outputs provided by researchers in the Annual University Research Audit (AURA) conducted at LSBU each year:
 - AURA is run each autumn, via Symplectic; researchers are asked to both identify, from the research outputs they published/made publicly available in the past year AND claimed in Symplectic, the outputs they consider to be of merit. For those outputs selected, the researchers are then asked to submit an assessment of each output's quality (using the REF scoring system of unclassified to 4*) and provide commentary on the output with respect to the REF criteria of Rigour, Originality and Significance

- Compiled outputs will be screened on the basis of compliance with the following criteria;
 - The output is a substantive piece of research (*i.e.* poster presentations and conference abstracts and presentations will, ordinarily, be excluded, though there be exceptional circumstances where these are considered – *e.g.*, where a researcher with SRR does not have any other eligible outputs);
 - The output was first made publicly available between 1st Jan 2014 and 31st Dec 2020;
 - If the output is by a former staff member, then the staff was a Category A eligible staff at LSBU when the output was demonstrably generated;

ii. Output reviewing

- All approved outputs (*i.e.* outputs that have passed through the initial screening process) will be reviewed by at least two reviewers;
- All reviewers will be given research output reviewing guidance based upon *Section 3: Outputs of Part 3: Assessment Criteria* of the REF 2021 *Panel criteria and working methods* guidance by the Funding bodies (REF 2019/02);
- All reviewers will mark research outputs using the same scoring system employed by the REF (4* - World leading; 3* - Internationally excellent; 2* Internationally recognised; 1* Nationally recognised), with reviewers able to score marks in 0.5 increments (*i.e.* 4*, 3.5*, 3*, 2.5* etc.);
- Internal reviewers will be primarily selected on the basis of experience by the DoR, UoA lead for the UoA as well as the Head of the UoA's associated Research Centre(s);
- All internal reviewers will need to undertake the REF EDI training described in section 2.7.2;
- LSBU commits to ensuring that **≥50%** of eligible research outputs in contention for submission are reviewed by at least one reviewer external to the University;
- Each UoA is expected to apply its own judgment in deciding which outputs to have externally reviewed. LSBU does recommend, however, that outputs are externally reviewed where the internal reviewers have registered some uncertainty or disagreement with respect to the quality rating of an output;
- Once all of the research outputs have been assessed, the marks will be moderated by a UoA lead/DoR from another UoA;
- Output marks will be fed back constructively to authors, with the caveat that the score may not reflect the final score given by the REF sub-panels.

iii. Output selection

- The FTE of all staff identified as having SRR in the UoA will be calculated;

- The number of outputs required, in the first instance, will be required by multiplying the FTE number by 2.5: rounding will be to the nearest whole number, with values ending in 0.5 rounded up, in accordance with the Funding Bodies' guidelines;
- Having undertaken the equality-related, staff circumstances process described in section 5.2.5, the following actions will be undertaken:
 - adjustments due to staff circumstances will be applied and the number of outputs expected from individuals and the Unit will be determined
 - researchers who have had the minimum 1 output requirement removed and agreed via the staff circumstances process, will be noted;
- The pool of outputs associated with all researchers with SRR for the UoA, excluding those researchers who have had the minimum 1 output requirement removed (if their outputs have been co-authored with other researchers with SRR within scope of the UoA, these outputs will remain in scope) will be determined;
- For all researchers with only 1 output (*single-output* researchers), the output associated with said researchers will be assigned to them;
- The *single-output* researchers and their outputs will be removed from the subsequent steps;
- The pool of eligible outputs and their associated reviews will be compiled by the DOR, UoA lead and the Research Office;
- Where outputs have not been reviewed at least twice, further reviews will be undertaken;
- For each researcher, a ranking, by quality (as determined from the research output reviews) of all of the outputs associated with the researcher will be produced by the Research office;
- Where the highest quality output by a researcher is not co-authored with any researchers with SRR within the UoA, this will be directly assigned to the researcher;
- Where a researcher's best output has shared authorship within the UoA (note for Panel D, double-weighted outputs can be claimed by two authors), the output will be assigned to the researcher with the smallest number of quality ($\geq 2^*$) research outputs;
- Once all researchers have had one output assigned to them (exempting those for whom the removal of the requirement to submit 1 output has been requested), the number of outputs required to meet the remaining output volume requirement for the UoA will be calculated;
- The remaining outputs within scope will be ranked in quality and research outputs then assigned to researchers based upon availability for attribution of further outputs, *i.e.*, if the highest ranked output in the pool has two co-authors within the UoA and both co-authors have ≤ 4 outputs attributed to them each, the no. of high scoring outputs still to be assigned to each author

will each be totalled and the highest ranked output will be assigned to the co-author with the least number of high ranking outputs remaining attributable to them.

- In allocating the remaining outputs, UoA leads will give consideration to the need to ensure that the distribution of outputs among staff broadly reflects the characteristics of staff within the output pool, whilst also ensuring that they pay due regard to the various constraints and principles outlined in section 5.3.1. An Equality Impact Assessment (EIA) will be conducted of the UoA. For each protected characteristic type (e.g. gender), if there is a group (e.g. female), that is under-represented with respect to the percentage of the eligible group submitted, relative to the percentage submitted for each of the other groups within this protected characteristic category, (e.g. 20% of eligible women and 60% of eligible men are submitted), then options for how this imbalance can be addressed will be explored.
- In allocating the remaining outputs, UoA leads will give consideration to the need to ensure that the distribution of outputs among staff broadly reflects the characteristics of staff within the output pool.

5.4 Ensuring the probity of the research output selection process

Processes have been established to ensure that no decision is made unilaterally: all outputs selected must be approved by the relevant Centre Head, DoR and UoA lead (it should be noted that there can be some overlap between these roles but in all cases, at least two people must be consulted).

All REF decision makers must have taken the REF EDI training course described in section 2.9.

6 Selection of Impact case studies

Candidate case studies have been identified for each UoA through consultations between the Research Office, the UoA lead(s) and the Director of Research School for the UoA's parent School. Academics with prospective Research Impact case studies have also been engaged directly by the Research Office in the development of the content required for the case studies.

Decisions on which case studies to select for the UoA will be made by assessing the pool of case studies against the following criteria:

- Thematic fit with the UoA
- Reach and Significance of the Impact
- Eligibility of the underpinning research (published/entered the public domain between 1st Jan 2020 and 31st Dec 2020, ≥2* quality, was it demonstrably generated whilst the linked researcher was employed at LSBU)
- Credibility of the link between the underpinning research and claimed Impact
- Strength of the evidence of the claimed Impact.

Case studies will be primarily short-listed in late 2020. Final decisions, where feasible, will be principally made in December 2020. It is recognised that for some case studies, the extent of the Impact and/or the fulfilment of the underpinning research eligibility criteria may not be clear until 2021. Decisions will therefore be reviewed in early 2021 where the short-list contains such case studies.

I. Annex – Glossary of terms

AURA	The Annual University Research Audit – LSBU’s annual survey of the research underway at LSBU. Research-active staff are asked to submit to AURA via Symplectic.
CAML	The Citizenship, Administration, Management and Learning (CAML) framework for academic progression and promotion at LSBU.
Category A eligible staff.	Staff who are eligible to be submitted to the REF. These are staff who fulfil all of the Funding Bodies’ criteria , which are: <ul style="list-style-type: none"> • ≥0.2 Full Time Equivalent (FTE); • a substantive connection to the institution; • a HESA academic function coding of <i>research only/teaching and research</i> AND independent if <i>research only</i>; • on the payroll on census date [31 July 2020].
Co-I	Co-Investigator. A co-lead of a funded research project
Concordat	The UK Concordat to Support the Career Development of Researchers , which LSBU is committed to.
CoP	REF Code of Practice – this describes an HEI’s approach for its REF submission to: <ol style="list-style-type: none"> the fair and transparent identification of staff with significant responsibility for research; determining who is an independent researcher; the selection of research outputs.
DoR	Director of Research
ECR	Early Career Researcher. The Funding Bodies defines ECRs as staff members who are Category A eligible on July 31 2020 and who started their careers as independent researchers on or after 1 August 2016.
FTE	Full time equivalent. 1.0 FTE = the staff member is employed on a full-time basis. 0.5 FTE = the staff member is contracted to work for half the standard working week (i.e. 2.5 working days or equivalent).
The Funding Bodies	These comprise the four UK Higher Education Funding bodies (Research England, the Scottish Funding Council, the Higher Education Funding Council for Wales, and the Department for the Economy, Northern Ireland).
Haplo	The online system that houses our Research Student supervision database (PGR Manager): it is currently being expanded to encompass our database of funded research and enterprise projects and funding applications.
HEIs	Higher Education Institutions
HESA	The Higher Education Statistics Agency : it collects, processes, and publishes data about Higher Education (HE) in the UK. It plays a key role in supporting and enhancing the competitive strength of the sector.

HR	The Human Resources department at LSBU
Independent researcher	The Funding Bodies defines an independent researcher as <i>an individual who undertakes self-directed research, rather than carrying out another individual's research programme.</i>
LSBU	London South Bank University
Mock-REF	The internally managed review of the current state of our REF 2021 submission. The first Mock-REF for REF 2021 was completed in the winter of 2018/19.
Open Access	The requirement, stipulated by the REF, for all journal articles and conference proceedings with an ISSN and accepted for publication from 1 April 2016, to be made publicly available by the institution's open access repository, no later than three months from the date of acceptance for publication. LSBU's repository is LSBU Research Open , which academics deposit to via Symplectic .
PGR	Postgraduate Researcher (typically, a doctoral student).
PI	Principal Investigator – the named leader of a funded research project.
PSG	Professional Service Group – a department within LSBU that is independent of the academic Schools.
QR income	Quality-related Research income : the income that HEI's receive as a result of their performance in the last REF. LSBU currently receives, from its REF 2014 submission, an annual QR income of ca. £2.0 million.
Research allocation	The time/work-load units allocated in a staff member's annual workload for Research and Enterprise activity.
REF	The Research Excellence Framework – the system by which the quality of research in UK Higher Education Institutions (HEIs) is assessed
REF principles	<p>The REF principles (from paragraph 20 of the REF 2021 Guidance on submissions document) are:</p> <ul style="list-style-type: none"> • Equity - All types of research and all forms of research output across all disciplines shall be assessed on a fair and equal basis; • Equality - submitting universities are <i>strongly encouraged to embed equality and diversity, and are expected to comply with equality legislation in their processes for submitting staff and outputs</i>; • Transparency - <i>HEIs are strongly encouraged to embed equality and diversity, and are expected to comply with equality legislation in their processes for submitting staff and outputs.</i>
REI	The Research, Enterprise and Innovation department within LSBU
Research Centre	LSBU has 12 Research Centres, located within Schools. Each School has at least one Research Centre. Their principal functions are:

	<ul style="list-style-type: none"> i. to underpin LSBU's Unit of Assessment (UoA) submissions to the REF; ii. to serve as external facing beacons of research excellence; iii. to coalesce researchers around timely research themes and thus, enable LSBU to target strategically important funding opportunities; iv. to catalyse collaborations, encourage academics to work in teams and support the targeted development of early career researchers.
Research England	The body which, together with the Welsh, Scottish and Northern Irish Funding Bodies, administers the REF.
Research Group	<p>LSBU has > ca. 30 Research Groups, located within Schools. Each School has at least two Research Groups.</p> <p>Their key functions are:</p> <ul style="list-style-type: none"> i. to cohere researchers around emerging research themes and foster internal collaborations and peer-to-peer knowledge exchange and learning; ii. to provide an inclusive research environment, especially for academics without a traditional research background AND/OR who are not core members of Centres.
Research output	The REF defines research as <i>a process of investigation leading to new insights</i> . A product of research is a product of research, effectively shared (e.g. a journal paper, a book chapter, conference proceeding. etc.). In order to be eligible for submission to REF 2021, a research output must have first been made publicly available between 1 Jan. 2014 and 31 Dec. 2020 and where relevant, be compliant with REF Open access policy. It must also be attributable to a current or former member of staff who made a substantial research contribution to the output.
SCG	Staff Circumstances Group SCG
Significant output	<p>A significant output is a research output that has been assessed as being at least internationally recognised (2*) in quality in the Mock-REF and associated assessments.</p> <p>Outputs are assessed through a combination of internal and external reviews. An output should have been reviewed by at least two reviewers appointed by the researcher's Director of Research and/or Head of Research Centre.</p>
SRR	<p>Significant Responsibility for Research – a staff member with SRR status is defined by Research England as:</p> <ul style="list-style-type: none"> i. having explicit time and resources made available to engage actively in independent research; ii. engaged actively in independent research; iii. AND having SRR as an expectation of their job role.
SRR Focus Group	A group, comprised of members of LSBU's key staff representative bodies, assembled to test and refine the criteria used to identify who has SRR for REF 2021.

Staff Networks	<p>These comprise:</p> <ul style="list-style-type: none"> • dNet - disability and mental health issues; • Equinet - Black, Asian and Minority Ethnic (BAME) issues; • Sonet - sexual orientation and gender identity; • GenderNet - gender equality.
Symplectic	The online system used by LSBU to log and archive all of the research outputs produced by staff members, as well as other information relating to the production of research outputs.
Teaching and Research Staff	<p>Staff on academic contracts employed by a HEI need to be reported to HESA under a specific employment function code. The available codes are:</p> <ol style="list-style-type: none"> academic contract that is <i>teaching only</i> academic contract that is <i>research only</i> academic contract that is both <i>teaching and research</i> academic contract that is neither teaching nor research <p>Staff in category iii. are referred to here as <i>teaching and research (T&R)</i> staff</p>
The three SRR tenets	The three SRR criteria defined by The Funding Bodies listed under the SRR heading in the glossary
UoA	Unit of Assessment : an institution does not make a single, monolithic submission to the REF. Rather, it submits a number of discipline-level (e.g. Engineering) submissions. Each subject-specific submission is known as a UoA. LSBU plans to submit to 8 UoAs for REF 2021.
WLM	Workload Model: this records the number of hours/work-load units assigned to an academic member of staff

II. Annex – Timetable

Please note that some of the dates given are provisional and therefore may be liable to change

Activity	Date
The membership of the Independent REF Staff Circumstances Group and REF Appeals Panel will be confirmed	May/June 2019
The institution submits the Code of Practice to Research England	noon, 7 June 2019
<ul style="list-style-type: none"> Online publication of the REF Code of Practice An email sent from the Provost will announce the online publication of the Code of Practice and outline the timetable for notification of SRR status Complete consultations with the University and College Union and incorporate the agreed changes into the final submission of the Code of Practice 	June 2019
<ul style="list-style-type: none"> Online REF EDI training for REF Decision Makers and Advisors launches (session will be open to all staff) The online training session will be offered to all staff and promoted via the Staff comms weekly email and the internal social media platform Yammer 	July 2019
Classroom based REF EDI training session for REF Decision Makers and Advisors launches	July/August 2019
<ul style="list-style-type: none"> The SRR identification process will be conducted by the Research Office An email will be sent to all staff in the Research only pool to inform them that a programme of work will be undertaken to determine if they are independent researchers. Staff will also be guided to the LSBU Code of Practice for further information. 	July/August 2019
An Equality Impact Assessment will be undertaken of LSBU's prospective staff submission	July/August 2019
Funding bodies notify institutions that their respective code of practice documents meets REF requirements; or requests resubmission of the Code of Practice	16 August 2019
<ul style="list-style-type: none"> REF eligible staff will notified by their Dean/Directors of Research if they have SRR status. REF eligible staff without SRR will also be notified of the Appeals process 	August/September 2019
<ul style="list-style-type: none"> The Appeals process opens A confidential role-based email account will be created by LSBU's Human Resources department for staff to 	September 2019

declare circumstances that may have impeded their ability to contribute to the REF	
Institution resubmits code of practice to Research England	20 September 2019
Invitations for declarations of staff circumstances, via an accompanying form, will be disseminated and the confidential, role based email account for making these disclosures will become accessible to staff	October 2019
An email inviting declarations of equality-related circumstances will be sent from the Provost to all academic staff and research staff. Additionally, School HR Business partners will be fully briefed on the communications process and they will be tasked with supporting the dissemination of the call for staff circumstances submissions.	October/November 2019:
Funding bodies notify institutions that the code of practice meets REF requirements; or requests a second resubmission of the code of practice	By 8 November 2019
Institution resubmits code of practice to funding bodies	15 November 2019
Funding body notifies institution whether or not code of practice meets REF requirements	29 November 2019
Emails will be sent from the Deans inviting declarations of staff circumstances;	December 2019:
Short presentations at each of LSBU's seven Schools on the staff circumstances declaration process will be given;	December 2019/January 2020:
<ul style="list-style-type: none"> • Final request for staff circumstances declarations • Closure of role based account for submitting staff circumstances 	January 2020
<ul style="list-style-type: none"> • Circumstances submitted by staff to the confidential email account will be collated, by the Staff Circumstances Group (SCG) • All circumstances reported will be checked by the SCG against the HR record. • All staff circumstances declared by staff with SRR will be processed by the SCG and decisions made regarding each case's status 	February 2020
The agreed research output tariff reductions made in relation to the staff circumstances applications submitted will be compiled by the Research Office and submitted to the funding bodies.	March 2020
The SRR identification process will be reprised	June/July 2020
<ul style="list-style-type: none"> • REF eligible Staff will be notified of any changes in their SRR status. 	August 2020,

<ul style="list-style-type: none"> REF eligible staff who have joined LSBU since July 31st 2019 will also be notified whether they have SRR in early September 2020. 	
The Appeals process closes	September 2020
Staff who were appointed after the closure of the formal Staff Circumstances process in Feb/March 2020 will be invited to submit circumstances declarations and their declarations will be processed by the SCG. Staff who were affected by COVID-19 and also, staff who missed the initial circumstances deadline will be invited to submit staff circumstances declarations.	August/ September/ October 2020
An Equality Impact Assessment will be undertaken of LSBU's	September/October 2020
An Equality Impact Assessment will be undertaken of the cohort of staff with SRR in LSBU's REF 2021 submission, the context under analysis being LSBU's overall REF-eligible staff body.	October 2020
An Equality Impact Assessment will be undertaken of the proposed pool of outputs to be returned in LSBU's REF 2021 submission, looking in particular at inequalities in the numbers of outputs assigned to staff members.	January/February 2021
<ul style="list-style-type: none"> REF submission deadline Further requests for research output Unit reductions may be made if, once the SCG has assessed the circumstances declared in the second call for staff circumstances (in September/October 2020), the UoA lead and Director of Research (of the UoA's parent School), in consultation with the REF Coordinator, consider that a request for a unit-level reduction is warranted. 	31 March 2021
<ul style="list-style-type: none"> LSBU will submit a report to the Funding Bodies, in line with their requirements, that reflects on LSBU's experience of supporting staff with circumstances, including a breakdown of the circumstances declared, using the categories given in 5.2.1 and 5.2.2, and the number of requests for the removal of the minimum one output requirement. LSBU will report also on how the circumstances declared fed into decisions on whether to request a reduction in outputs required for submitting units, indicating how often reductions were/were not requested and how the expectations made of individuals were managed in both cases. Further, this report will review any anomalies found with respect to the EIAs of the submitted research output pools for each UoA and make recommendations accordingly. 	July 2021

<ul style="list-style-type: none"> Produce an internal, anonymised report for the university's Provost and HR department on the scale and nature of the equality-related staff circumstances declared, with recommendations on key actions to take to ensure all ≥ 0.2 FTE academic and research staff can be supported fully for future cases of the nature reported. 	September 2021
Deletion of all personalised information held on declared staff circumstances	January 2022

III. Annex – Code of Practice Working Group: Terms of Reference

October 2018 START HERE

Operating context of and driver for the Group

The REF

The UK government funded, Research Excellence Framework (REF) assessment takes place every 6-7 years: the next REF will be in 2021. The results of REF direct the annual distribution of over 1 billion pounds of Quality-related Research (QR) funding across the submitting Higher Education Institutes (HEIs).

In the last REF (2014), LSBU achieved a significant QR funding allocation and consolidated its position as a force for research. Success in the REF is therefore of vital importance, both in terms of research income and cementing LSBU reputation and international standing in league tables.

To conduct an equitable and nuanced assessment, an institution's REF submission is partitioned into its core research areas, as mapped against the REF's Units of Assessment (UoAs). Each UoA represents a discrete research area/theme, although some UoAs may overlap, especially where the research is interdisciplinary. In REF 2014 there were 36 UoAs, in Ref 2021 there are 34.

Significant Responsibility for Research (SRR)

For REF 2021, all staff with Significant Responsibility to undertake Research (SRR) must be submitted, provided that they are independent researchers. Contractual status will be used, in the first instance, to identify these staff.

All Staff who meet all of HEFCE's contractual criteria for significant responsibility to undertake research are termed **category A** staff. The criteria are:

- ≥ 0.2 FTE
- Substantive connection to institution
- HESA coding of research only/teaching and research AND independent IF research only (identified as codes '2' or '3' in the ACEMPFUN field)
- On payroll on census date [31st July 2020] with significant responsibility for research and thus, are submitted

Only staff with Category A status are admissible to the REF (with the exception of category C staff, who represent "honorarys" – individuals employed by an organisation

other than the HEI, whose contract or job role (as documented by their employer) includes the undertaking of research, and whose research is primarily focused in the submitting unit). Moreover, where the 'Category A eligible' staff definition accurately identifies staff in the UoA with significant responsibility for research, the unit should submit 100 per cent of staff.

For UoAs, however, where category A status does not accurately reflect who has significant responsibility for research, because, for example, staff members have other major responsibilities such as knowledge exchange, professional practice, and scholarship, submitting institutions can, assuming they comply with HEFCE's conditions, set their own criteria for identifying, from the Category A pool, who has significant responsibility for research. Where institutions choose to do this, the processes for identifying who, from the pool of category A staff (*Category A eligible*), has significant responsibility for research on the census date (July 31st 2020) and thus, has *Category A submitted* status, must be explicated in the Code of Practice.

Key definitions

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

Code of Practice (CoP) components and requirements

Core elements

The CoP should cover:

- Processes for ensuring a fair approach to selecting research outputs
- Processes for identifying 'Category A' staff with *significant responsibility for research* and thus, are submitted, for any Unit of Assessment (UoA) not submitting 100 % of Category A eligible staff

CoP requirements

- The CoP needs to document the processes followed, at UoA level, for identifying staff with significant responsibility for research;
- The CoP needs to evidence institutional-wide consultation on the processes followed for identifying significant responsibility for research;
- The CoP needs to provide evidence of institution-wide consultation with the academic staff body on the criteria for identifying staff;
- The processes for identifying staff should be context dependent, drawing on standard ways of working at the institution;
- It should be possible to test the criteria for significant responsibility for research fairly and evenly against the responsibilities of all academic staff;
- The CoP needs to be approved by the Funding Bodies, with advice from the Equality and Diversity Advisory Panel (EDAP).

Key provisos and conditions

- Institutions are to provide evidence that ‘Category A eligible’ staff who are not submitted do not have significant responsibility for research
- The Funding Bodies recognise that many institutions will want to draw on the proportion of time that is allocated for research to identify staff in scope. The Funding Bodies consider this will be an appropriate approach, where there is a clear and agreed rationale for the proportion set.
- The approach to identifying who has significant responsibility for research may vary by UOA where employment practices vary at this level.

Purpose / role of the CoP Work Group

- 1) To scope, evaluate (considering benefits, risks, ease of implementation and both resource and data availability) and make recommendations in relation to criteria for Significant Responsibility for Research (SRR) and the options for robustly identifying and evidencing who has SRR. Options include:
 - AURA completion
 - Production of REFable quality outputs
 - My Roadmap
 - Workload models
 - Doctoral supervision
 - Self-designation
 - Research Centre membership
 - Systems and frameworks utilised by other UK Higher Education Institutions.
- 2) To develop, seek feedback on and iterate LSBU's processes and criteria for identifying who has Significant Responsibility for Research, ensuring that
 - The approach complies with General Data Protection Regulations (GDPR)
 - The criteria are endorsed by all key stakeholders, including the academic staff body, the Executive, the Unions, and the following key Professional Service Groups: People and Organisation; the Research, Enterprise and Innovation.
 - The criteria fully comply with HEFCE's and EDAP's conditions and requirements
 - The criteria and supporting processes are feasible and can be implemented within the current REF's timescale across all submitting UoA.
- 3) To produce, for LSBU's REF 2021 submission, a Code of Practice (CoP) that:
 - Transparently describes the processes developed for ensuring a fair approach to selecting research outputs;

- Clearly details the processes followed and criteria used for identifying which staff members, from the category A staff pool, have significant responsibility for research;
 - Evidences that across the institution, the academic staff body has been consulted on the processes and criteria used for identifying who has significant responsibility for research;
 - Complies with the Funding Bodies' requirements;
 - Meets approval by The Funding Bodies and the Equality and Diversity Advisory Panel (EDAP);
 - Is completed and approved within the timeframe set out by the Funding Bodies;
 - Presents a coherent, fair and robust appeals process.
- 4) To produce a communications plan and timeline, taking into consideration channels such as Yammer, the Staff Comms email *etc.*, that ensures:
- academics who do not receive Significant Responsibility for Research (SRR) are not and do not feel, disadvantaged or excluded from contributing to LSBU's wider research agenda;
 - eligible staff are who are not identified as having SRR are informed both why they did not meet the SRR criteria and further, have the opportunity to discuss with their Dean/Director of Research what actions they can take to develop their research responsibility.
- 5) To produce and disseminate, across all schools, the agreed framework for identifying who has significant responsibility for research, ensuring compliance with General Data Protection Regulations (GDPR).
- 6) To confirm and issue a protocol and framework, as well as an implementation plan, for providing evidence that 'Category A eligible' staff who are not submitted do not have significant responsibility for research.

Chair

- Director of Education and Student Experience - School of Engineering

Secretariat

- REF Coordinator – Research, Enterprise and Innovation

Core Members:

- Dean – School of Applied Science
- UoA Co-lead – School of Business
- A Research Centre Head – School of Built Environment and Architecture
- A Head of Department – School of Law and Social Sciences
- A Research Group Head - School of Health and Social Care

- Early Career Researcher – School of Engineering
- Director of Research – Schools and Arts and Creative Industries
- Head of Learning & Development – People and Organisation
- Scholarly Communications & Repository Manager - Library and Learning Resources

Affiliated members

- Director of Research – School of Business
- Equality, Diversity and Inclusivity Lead - People and Organisation

Accountability:

- The Code of Practice Working Group reports to the University Research Committee.

Working methods / ways of working

- The CoP WG meets at least bi-monthly, with meeting frequency dictated by the stage of development of the CoP.
- All information is stored in a password protected, shared OneDrive folder, managed by the secretariat.

Work plan (note, dates have since changed)

Activity/output	Completion date
Draft terms of reference and work plan for CoP WG	Jan. 2018
Confirm membership of CoP WG and secure involvement of agreed members	Feb. 2018
Convene first CoP WG meeting, covering: <ul style="list-style-type: none"> • Menu of options for identifying and evidencing significant responsibility for research • Terms of Reference and ways of working • CoP priorities • Timeline for delivery and individual responsibilities 	March 2018
Review options for adding research tagging functionality to objectives in My Roadmap	April 2018
Produce outline comms plan for processes in train to define Significant Responsibility for Research	May 2018
Produce matrix of options for identifying and evidencing Significant Responsibility for Research	May 2018
Commence analysis within each school of Work-Load Models	May 2018
Produce recommendations regarding identifying and evidencing Significant Responsibility for Research	June 2018
Produce outline CoP	June 2018

Initiate communications to appropriate stakeholders	June 2018
Obtain CoP template and guidance and circulate with CoP and key stakeholders	June/July 2018
Produce first draft of CoP and request feedback from all stakeholders	Sept. 2018
Iterate and refine the CoP	Oct. 2018
Commence preparation of operational framework for evidencing significant responsibility for research	Oct. 2018
Completion of second draft of CoP	Nov. 2018
Finalisation of CoP	Dec. 2018
Presentation of CoP to the Funding Bodies	Jan. 2019
Develop operational framework for identifying and evidencing significant responsibility for research	Jan. 2019
Complete operational framework for identifying and evidencing significant responsibility for research	March 2019
Submission to The Funding Bodies/UKRI	Spring 2019
Publication by The Funding Bodies/UKRI of CoP	End of 2019

IV. Equality Diversity and Inclusion Policy – 2015

London South Bank University

Equality, Diversity and Inclusion Policy

Introduction

London South Bank University is committed to the provision of equality for all, valuing diversity across all the dimensions of difference. This is set out in the University's Equality and Diversity Policy Statement.

In the furtherance of this objective, the University has developed this Equality, Diversity and Inclusion Policy including procedures to be followed in implementing them, to ensure everyone who studies and works here does so free of discrimination.

This document was first produced in 1996 with full consultation with staff, students and trade unions. Copies were circulated to all staff and also made available to students via the Student Union as well as making reference to it in the Student Handbook. The document was revised in October 2000 and again in May 2002, the latter to take account of changes in legislation with the introduction of the Race Relations (Amendments) Act (2000) and the Special Educational Needs and Disability Act (2001). This version was updated in 2013 to reflect and include the Equality Act 2010. This new 2015 version reflects the changing equality, diversity and inclusion landscape in relation to trans people and bisexuals.

This version of the document includes legislation on the nine 'protected characteristics' and is available on the University's website.

Vision, Aim and Approach

Our Vision

We are a unique educational institution that is proactively committed to creating a stimulating teaching and learning environment that values diversity, fairness, mutual respect and inclusion. We are dedicated to realising the potential of our staff, students and local community we believe that diversity enriches our individual and collective experience, performance and achievement.

Our Aim

Our aim is to set objectives, milestones and targets to:

- Develop diversity and inclusion as a widely recognised area of competitive strength.
- Effectively integrate and mainstream diversity and equality into our corporate strategies, policies, academic curriculum, teaching delivery, assessment methods, learning environment and management practice.
- Continue to be at the forefront of the access and widening participation agenda.
- Create an inclusive environment where differences are celebrated and everyone is valued and respected.

The drive and commitment to diversity and equality at the University will ensure that:

- We are adequately equipped to meet the diverse needs and aspirations of staff, students and wider community.
- We create an inclusive environment that promotes dignity at work and mutual respect.
- We set the standard within higher education and are recognised as an example of Equality, Diversity and Inclusion (EDI) good practice.

The University is committed to equality of opportunity both as an education institution and as an employer. Equality of opportunity means working to ensure that no student or member of staff receives less favourable treatment on the basis of their 'protected characteristics'.

This means on the grounds of age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief (or no belief); sex; sexual orientation.

In complying with the Equality Act 2010, the University will:

- Promote good relations among its staff and students and will create conditions which contribute to the full development and potential of everyone.
- Create a climate where staff and students are given confidence to challenge acts and behaviour which contravene the University's Equality, Diversity & Inclusion Policy and the law.
- Treat fairly and appropriately each job applicant, course assessment, progression or promotion decisions at the University.

Definitions

- Equality is about creating a fairer society where everyone can participate and has the same opportunity to fulfil their potential. Equality is backed by legislation designed to address unfair discrimination based on membership of a particular protected group.
- Diversity comprises of a mosaic of people from all walks of life, who bring a variety of backgrounds, styles, perspectives, values and beliefs as assets to all those with whom they interact.
- Inclusion is the complete acceptance and integration of all students and employees regardless of diversity background that proactively leads to a sense of belonging, engagement and full participation within and across the University.

Legislation

The majority of the Equality Act provisions became law in October 2010. It replaces previous legislation (such as the Race Relations Act 1976 and the Disability Discrimination Act 1995) and ensures consistency in what public sector organisations need to do to make the workplace a fair environment and to comply with the law.

The Act is intended to simplify, strengthen and harmonise the current legislation and to provide the UK with a new discrimination law that protects individuals from unfair treatment and promotes a fair and more equal society.

The Act streamlines discrimination law, making it easier for people to understand their rights and responsibilities. In addition, the Act contains wide positive action provisions which offer special encouragement to those from disproportionately under-represented or otherwise disadvantaged groups.

The nine main pieces of legislation that have merged are:

- the Equal Pay Act 1970
- the Sex Discrimination Act 1975
- the Race Relations Act 1976
- the Disability Discrimination Act 1995
- the Employment Equality (Religion or Belief) Regulations 2003
- the Employment Equality (Sexual Orientation) Regulations 2003
- the Employment Equality (Age) Regulations 2006
- the Equality Act 2006, Part 2
- the Equality Act (Sexual Orientation) Regulations 2007

The protected characteristics are age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief (or no belief); sex; or sexual orientation.

Other Key Provisions of the Equality Act

The Public Sector Equality Duty requires Universities to have due regard to the need to:

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

Positive Action provisions also permit the University to take proportionate action to overcome disadvantage, meet needs and tackle under-representation.

Our Approach

We have adopted a comprehensive approach that seeks to embed equality, value the multiple dimensions of diversity and mainstream inclusion. This means that we are committed to ensuring that this agenda is fundamental to the development and delivery of our policies and effectively integrated into the very fabric of our professional practice and service delivery.

Leadership and Management

The University's Board of Governors, Executive Team, and the Leadership Forum will set the pace providing leadership at all levels to champion equality, diversity and inclusion, monitor progress against planned activities and respond effectively to the University's statutory requirements and legal obligations.

Access and Inclusive Learning

The University will provide an accessible environment for people with disabilities and from different cultures to study and work. Applications from groups currently under-represented in higher education will be positively encouraged.

Staff Development and Training

Equality, diversity and inclusion training in relation to legislation, employment, leadership, the student experience; cultural competence and how to put equality and the core principles of diversity into practice will be provided for all employees

All employees will be given access to staff development, and where appropriate additional development, to enable them to fulfil their potential and to progress within the organisation.

Curriculum and Skills Development

Students will be educated for life and work in a global, multi-cultural society. The University will promote understanding, pay due regard and respect for all cultures. All students will be given the

opportunity to develop further their skills to enhance their employability and progression opportunities when leaving the University.

The Student Experience

The University is committed to:

- Ensuring and promoting equality through teaching and learning, and also in the selection, enrolment, assessment and progression of students.
- Providing appropriate student support and guidance which reflects the diversity of students' needs both pre-entry and on-course.

This means that no student will receive less favourable treatment on the basis of their protected characteristics. Support and guidance for students will be linked to their particular needs. It also means the University aims to promote equal respect for all people, to challenge prejudice and to prepare students to work in a multicultural and diverse society.

Selection, assessment and progression will be kept under review to ensure that individuals are selected and treated only on the basis of their relevant merits and abilities.

Publicity and Promotions Policies

The University seeks to ensure that publicity and promotion practices encourage applicants from under-represented groups. There is careful scrutiny of publicity and promotion materials and marketing related activities to ensure that brochures, advertisements, applications forms and display materials reflect the diversity of students at the University.

This means materials do not contain socially, racially biased or stereotypical terminology, information or illustrations which contravene this policy. It also includes a proactive approach towards marketing courses to under-represented groups which is designed to enhance the overall image of the University as an institution with a determination to reflect and implement its EDI commitment. We will also provide impartial guidance to all applicants so that they are placed on the best courses to help them succeed. Publicity and promotion of the University to students may include:

- Developing entry criteria which is clear and does not discriminate unfairly by, for example, only referring to traditional entry qualifications.
- Placing advertisements in non-traditional outlets.
- Establishing links with the publicity networks of local community groups and other organisations.
- Developing progression partnerships with local schools and FE colleges.
- Providing detailed information about the range of opportunities open to mature people without traditional entry requirements, which makes explicit the criteria and procedures for entry.
- Undertaking monitoring exercises on the above to determine the most effective means of contacting people from under-represented groups.

Access and Educational Opportunities for Under-Represented Groups

The University is committed to working towards providing additional educational opportunities for under-represented groups. Methods to achieve this aim may include the following:

- An increase in the number of courses designed to be particularly attractive for these groups, taking advantage wherever possible of any external funding available and working closely with local and national bodies, which seek to extend educational opportunities for under-represented groups.

- An increase in the number of routes to improve access into existing provision in partnership with local schools and FE colleges.
- Moves towards greater diversity in course structure, including an extension of short course, part-time and evening provision, and the creation of more flexible learning opportunities so that students can vary their pace of study.

Admissions Policy

On courses where particular groups are significantly under-represented, the University will seek to identify the cause and to take positive action.

To assist in this process, course or subject teams will need to:

- Monitor the profile of entrants to their programmes.
- Identify the nature and cause of significant under-representation within their student intake.
- To develop recruitment policies designed to attract groups that are currently under-represented.
- To ensure that admissions tutors make explicit their criteria and procedures for entry of 'non-traditional' as well as 'traditional' applicants and that they endeavour to identify study potential in the absence of conventional indicators as examination results.

The University will ensure that the application procedures and criteria for non-traditional entry to particular courses are explicit and made available to the general public. It will also ensure that this information is collated across the University in order to obtain an overall picture of developing practice.

Student Support

In the organisation and resourcing of its support services the University will make every effort to meet the needs of students who, as an outcome of age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief (or no belief); sex; or sexual orientation, may find particular difficulties related to their academic or vocational work or other aspects of their lives in the University.

The network of care in the University will link up the specialist services provided by the Student Centre which provides personal development advice unit, core skills, careers and employment service with the system of support in Schools and the services of the Student Union.

The University will seek to ensure that the general facilities and services to students – e.g. halls of residence, canteens, libraries and the learning resource centre, are appropriately designed to meet the needs of a culturally diverse student body and that they are also accessible to students with disabilities.

With an ageing population, and an increase in the number of students with children, the University recognises the care responsibilities that students have, which are viewed as the role for both men and women, and takes into account the specific challenges that care responsibilities bring and the impact they may have on attendance, learning and academic performance.

The University offers bursaries, scholarships and other financial assistance to ensure we meet the needs of our students and continue our commitment to widening participation.

Curriculum Development Policies

The University is committed to a curriculum development policy, which furthers its equality, diversity and inclusion commitment with respect to both the content, presentation and delivery of academic courses. The implementation of a curriculum development policy requires monitoring, scrutiny, and where necessary revision, of internally validated course submissions, unit guides and

associated assessments to ensure that they do not promote discriminatory terminology, stereotypes, information or concepts.

Where possible the curriculum will promote equality, diversity and inclusion and will prepare students for a global multi-cultural society by promoting understanding and respect for all cultures and by encouraging tolerant discussion of a range of political beliefs and religious conviction. Where relevant, the curriculum will expose students to cases and methodologies that incorporate variations by gender, race, ethnicity, sexuality, disability and religion.

The curriculum development policy will include:

- The development of alternative full-time and part-time forms of study mode which would have the advantages of shorter-term objectives and transferability (to other courses) for those who may find difficulty in committing themselves initially to three or more years of study.
- A variety of modes of assessment to enable students to demonstrate a variety of skills and areas of comprehension, for example: projects, course work, seminar papers, open book exams, objective response exams, as well as or instead of the traditional essay or written examination. Assessment criteria will be fair and transparent.
- Dissemination of good practice from both within the University and from external agencies in the development of curriculum which promotes equality, diversity and inclusion (for example, the Good Practice Guide from the Higher Education Funding Council for England (HEFCE), Equality and Human Rights Commission (EHRC) and the Equality Challenge Unit (ECU).
- An approach to teaching which recognises that an appreciation of students' diversity, cultural background and individual learning style is an essential element of any approach to academic delivery.
- Pro-active due regard to the principles of inclusive teaching to encourage the creation of a stimulating learning environment where all students, regardless of their backgrounds are given the opportunity to realise their full potential and enhance their employability.
- Staff development will be undertaken to promote inclusive learning and the management of the learning environment for a diverse group of students.

Equality Impact Analyses (EIAs) will be used as an important mechanism to ensure that curriculum development policy does not have a differential negative impact on minority groups.

Equality and Diversity for Staff

The University is committed to equality of opportunity, valuing diversity and promoting inclusion. As an employer the University will ensure that no applicant for a post or existing employee receives less favourable treatment on the grounds of their protected characteristics.

Recruitment and Selection

The commitment to Equality, Diversity and Inclusion underpins the University staff Recruitment and Selection Policy. Through the use and application of training and monitoring, the University is committed to ensuring that these recruitment and promotion procedures are kept constantly under review in order to ensure that individuals are selected for interview and appointed to posts on the basis of their ability to do the job required.

The University will use published, objective and job-related criteria when making decisions on recruitment, remuneration, training, promotion and termination of employment. Where possible barriers to equality of opportunity will be identified and positive action taken to address them by for example, targeted training and development.

Staff Development on Equality, Diversity and Inclusion

Human Resources are responsible for ensuring the implementation throughout the University of training, education and information for staff on equality, diversity and inclusion legislation, policies and best practice.

All managers responsible for training and development of staff should ensure that all opportunities are allocated objectively, fairly and without discrimination. This includes in-house events and external training, staff sabbaticals, secondments and sponsored study.

All training and development events for staff will include an equality, diversity and inclusion dimension where appropriate.

Delivering an Inclusive Environment

The University will provide an inclusive environment that promotes equality of opportunity and diversity and is free from unlawful discrimination, harassment or victimisation of any kind. This also includes bullying, harassment and unlawful behaviours towards trans students and staff (transphobia) and/or bisexual staff or students (biphobia).

All staff (including staff employed by agencies for contracted out services), students and other users of the University services will be made aware of behaviour which amounts to discrimination, harassment or victimisation and that such behaviours may result in disciplinary action and/or amount to a criminal offence.

The University will do this by:

- Taking appropriate action against any student or member of staff who does not comply with the policy. The University has engaged in disciplinary action against both staff and students who have breached the University's Equality, Diversity and Inclusion Policy and in some cases this has led to permanent removal from the University.
- Ensuring promotional and teaching materials present appropriate and positive images relating to all the dimensions of diversity and equality.
- Ensuring Governors and Staff have access to comprehensive information to assist them in planning, putting into practice and monitoring their responsibilities under the Equality, Diversity and Inclusion Policy.
- Striving to challenge behaviour which does not accord with the University's Equality, Diversity and Inclusion Policy. Considering appropriate measures to overcome under-representation in particular jobs or education identified by the monitoring and impact assessment processes.
- Responding positively and competently when issues relating to equality, diversity and inclusion are discussed. Ensuring that all students and staff know how to raise complaints and that the University provides a timely and sensitive response.

Complaints

If a member of staff or a student believes that they have been discriminated against, they should seek the advice of their Human Resources Business Partner in the case of a member of staff or the Solicitor in the University Secretary's Office.

All complaints from staff concerning bullying should be raised under the University's Staff Inclusion Policy. Other complaints concerning unfair treatment within the scope of this Equality, Diversity and Inclusion Policy should be raised under the Students' Complaints Procedure or the Staff Grievance Procedure.

Responsibilities for Equality and Diversity

It is unlawful for anybody to discriminate on the grounds of age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief (or no belief); sex; or sexual orientation. This also includes discriminating against trans people (transphobia) and/or bisexuals (biphobia). Responsibilities for approving and monitoring this Policy lie with the Board of Governors and associated HR Committee.

Board of Governors

- To ensure that the University fulfils its legal responsibilities.
- To provide adequate scrutiny in monitoring the implementation of the policy and associated action plan.
- The HR Committee of the Board will monitor this policy in relation to university employees.

The Vice Chancellor and Executive Team

- To take responsibility for the implementation of the policy.

Leadership Forum

- To provide active visible leadership on equality, diversity and inclusion.
- To ensure that related aims and objectives of the Equality, Diversity and Inclusion Policy are effectively implemented.
- To ensure that all are aware of their individual and collective responsibility and accountability.
- To exhibit and role model LSBU's core Values.
- The Director of Human Resources is responsible for drawing up an annual action plan and raising staff awareness of their responsibilities under equality, diversity and inclusion legislation.

School & Operational Management

- Take ownership of equality, diversity and inclusion by implementing the policy and its related action plan.
- To ensure staff understand equality, diversity and inclusion issues and how to report any perceived discrimination or unequal opportunity and that all training and development opportunities are allocated objectively, fairly and without discrimination.

Staff

- To practically demonstrate the core principles of equality, diversity and inclusion by treating others with dignity and respect.
- To effectively identify and challenge discriminatory behaviour and attitudes.
- To speak out and report if they witness or are a victim of any form of discrimination, bullying, unfair treatment or harassment.
- To maintain an awareness of equality legislation by attending staff development programmes.
- To exhibit LSBU's core Values.
- To actively participate and contribute to creating an inclusive learning environment that values difference.
- To ensure that equality and diversity is effectively integrated into the professional practice of teaching, research and service delivery.

Students

- To speak out, or report it, if they witness or are aware of discrimination, bullying, unfair treatment or harassment and not assume that it is someone else's responsibility.
- To effectively challenge any form of discrimination.
- To take equal responsibility in ensuring that we create a learning environment where people are valued and respected.
- To express opinions constructively with sensitivity and respect.

Service Providers

- Service providers working in University premises are expected to act within the requirements of the law and the terms of the University's Equality and Diversity and Inclusion Policy

Support Infrastructure

The Equality and Diversity Team is part of HR and is responsible for providing expert guidance, advice and management support at a strategic and operational level across the University and disseminating good practice.

Monitoring

Monitoring of the effectiveness of the policy will take place on an annual basis and a report of the results made available across the University. The results will inform corporate decision making through the Board of Governors, Academic Boards and Executive Management Team.

The University is committed to devising and implementing appropriate methods of monitoring and evaluation of the University's Equality, Diversity and Inclusion Policy. The University will produce statistical analysis which will help to identify and to diagnose problems. This will enable the monitoring of the effectiveness of the University's Equality, Diversity and Inclusion Policy and identify actions that will make the implementation of the Policy more effective.

In order to provide essential statistical information, monitoring and evaluation will include:

- People making applications to the University for employment will be requested and encouraged to indicate their ethnic origin, gender, age, sexual orientation, disability, religion and belief as perceived by themselves. This includes trans and bisexual applicants. The same applies to existing staff.
- As part of the enrolment process, students will be requested and encouraged to indicate race, gender, age, sexual orientation, disability and religion, belief and no belief. This includes trans and bisexual students. Schools will monitor admissions to their courses as part of the annual monitoring process and will consequently review their admission practices annually in the light of their student intake and make recommendations accordingly.

Data relating to students' admission and progression will be produced at Schools' and course level by the Registry.

Monitoring of curriculum development policy will be evaluated through the University's validation and review procedures.

Student Services will monitor by race, age, disability, sexual orientation, gender and religion, belief and no belief of use by students of its services. This monitoring will also include trans and bisexual students.

Student opinion on the effectiveness of the University's Equality, Diversity and Inclusion Policy will be obtained through the annual Student Satisfaction Survey.

Appendix 1

Protected Characteristics Definitions

Age

Where this is referred to, it refers to a person belonging to a particular age or range of ages

Disability

A person has a disability if s/he has a physical or mental impairment which has a substantial and long-term adverse effect on that person's disability to carry out normal day-to-day activities. This has extended to cover people who have had a disability in the past.

Gender reassignment

The process of transitioning from one gender to another. The definition of gender re- assignment has been extended to cover people who have proposed, started or completed a process to change their sex, but are not under medical supervision.

Marriage and civil partnership

Marriage is defined as a 'union between a man and a woman'. Same-sex couples can have their relationships legally recognised as 'civil partnerships'. Civil partners must be treated the same as married couples on a wide range of legal matters.

Pregnancy and maternity

Pregnancy is the condition of being pregnant or expecting a baby. Maternity refers to the period after the birth, and is linked to maternity leave in the employment context. In the non- work context, protection against maternity discrimination is for six months after giving birth, and this includes treating a woman unfavourably because she is breastfeeding. After six months a breastfeeding mother is protected through the sex discrimination provisions in the Equality Act.

Race

Refers to a group of people defined by their race, colour, and nationality (including citizenship), ethnic or national origins.

Religion and Belief

Religion has the meaning usually given to it but belief includes religious and philosophical beliefs including lack of belief (e.g. Atheism). Generally, a belief should affect life choices or the way a person lives for it to be included in the definition.

Sex

A man or a woman.

Sexual Orientation

Whether a person's sexual attraction is towards their own sex, the opposite sex or to both sexes

Information and Contact

The Equality, Diversity and Inclusion (EDI) team has been established to facilitate and assist London South Bank University (LSBU) in realising its vision to become: *the University of Choice and centre of excellence for diversity and equality*. For further information and access to all our equality, diversity policies and action plans please visit us online: <http://www.lsbu.ac.uk/about-us/policies-and-initiatives/equality-and-diversity> or contact:

Equality, Diversity & Inclusion team

Phone: +44 207 815 6235

e-mail: gouldbol@lsbu.ac.uk

V. Annex Sickness Absence Policy and Procedure

A guide to sickness absence management

June 2017

Purpose and Principles

1.1 London South Bank University is committed to improving the health, safety, well-being and attendance of all employees. This policy aims to enable sickness absence to be addressed consistently and fairly, ensuring that the need to meet operational requirements is balanced with individual support and compliance with the University's legal, health and safety and equality obligations.

1.2 Sickness absence can vary from short intermittent periods of ill-health to a continuous period of long-term absence and have a number of different causes (for example, injuries, recurring conditions, or a serious illness requiring lengthy treatment).

1.3 The Vice Chancellor has overall responsibility for the effective operation of this policy and for ensuring compliance with the relevant statutory framework. Day-to-day responsibility for operating the policy and ensuring its maintenance and review has been delegated to the Human Resources Department.

1.4 Managers, Human Resources and employees each have responsibilities in this process. Managers are responsible for fair application of this policy, monitoring and supervising attendance and fulfilling the University's duty of care towards its employees. Human Resources is responsible for advising managers, ensuring fairness and consistency in the application of the policy, administration such as recording absence and sickness, adjusting pay and making referrals to occupational health or any other related requirements. Employees are responsible in line with the implied terms of their contracts of employment, for achieving and maintaining good attendance and for following the University's sickness reporting procedures.

1.5 The University is aware that sickness absence may result from a disability. At each stage of the sickness absence procedure, the University will give consideration to whether there are reasonable adjustments that could be made to a disabled employee's working arrangements that will provide support at work and/or assist a return to work, and it will seek medical and occupational health advice as appropriate for these purposes.

1.6 Where sickness absence becomes unsustainable, having considered all options and alternatives, the University as a last resort, may terminate an employee's employment on the grounds of capability or ill health. The University will follow a fair and transparent process which will:

- Set out clear standards of required improvement at each stage, taking into account individual circumstances;
- Give appropriate warnings and opportunities for improvement, identifying what support and adjustments need to be made;
- Put in place reasonable adjustments to enable a disabled employee to carry out their duties without being disadvantaged;
- Ensure each stage is heard by an appropriate manager, with an appeal at each formal stage to a manager of at least equal status who has not previously been involved;

- Provide representation at each formal stage by a trade union representative or work colleague;
- Provide for potential dismissal to be heard by a member of the Executive with an additional senior manager on the panel; and Appeal against dismissal to be heard by the Vice Chancellor, or delegated to a Pro or Deputy Vice Chancellor, with another senior manager on the panel.

- 1.7 Except for sick pay entitlements (Annex 4), this policy does not form part of an employee's contract of employment or otherwise have a contractual effect. This policy may be reviewed from time to time and may be changed or be withdrawn at the University's discretion. It supersedes all other sickness policies, procedures and practices.

Procedure

2. Sickness absence reporting and monitoring

- 2.1 Staff should report any absence promptly in accordance with local School or Department protocols, which normally require contact with a line manager (or his/her nominee) prior to or immediately any absence is apparent. This will allow the University to offer the right kind of support and assistance and ensure that services are maintained. Line Managers should complete and forward to Human Resources Forms A and B (Annex 3) to record the start and finish of any sickness absence.
- 2.2 On return to work, for absence of up to 7 calendar days a self- certification form should be completed. If absent from work sick for 8 calendar days or more days, the employee will need to obtain a certificate from their doctor (a 'Statement of Fitness for Work') stating that the employee is not fit for work and the reasons why. This should be forwarded to the employee's line manager as soon as possible. If the employee's sickness absence continues, further medical certificates must be provided to cover the whole period of absence. This process is detailed at Annex 2.
- 2.3 Where the University is concerned about the reason for absence, or frequent short-term absence, it may require a medical certificate from the employee for each period of absence and will reimburse any reasonable costs for doing so upon production of a receipt.
- 2.4 The employee should expect to be contacted during their absence from work by their line manager who will want to enquire after the employee's health and be advised, if possible, as to the employee's expected date of return to work. Such contact is intended to provide reassurance and should typically be on a weekly basis.

3. Occupational Health

- 3.1 The University may, at any time in operating this policy, require an employee to consent to a medical examination by its occupational health provider and/or a doctor nominated by the University.
- 3.2 The employee will be asked to provide written consent that any report produced in connection with any such examination may be disclosed to the University and that the University may discuss the contents of the report with the relevant medical practitioner.

4 Return to Work Meeting

- 4.1 This discussion is a critical part of the informal process and the line manager should meet with the employee as soon as possible following every return from sickness absence.
- 4.2 Line managers should address concerns as soon as they arise including referrals to Occupational Health where this supports early interventions to address underlying work-related issues such as stress or depression. The meeting should be informal and informative based on concern for the health of the individual and to identify any underlying causes and reasonable adjustments that might be required.

5. Disability and reasonable adjustments

- 5.1 Under equality legislation, the University is under a duty to make reasonable adjustments to accommodate the needs of a disabled worker where the University's working arrangements or the physical features of its premises place that person at a substantial disadvantage.
- 5.2 Where an employee has an underlying medical condition and is considered disabled under the Equality Act 2010, line managers will establish what reasonable adjustments to the workplace, working practices and/or working hours can be made to enable the employee to return to work/carry out their duties taking advice from Occupational Health in consultation with Human Resources and where appropriate, following a risk assessment.
- 5.3 In the case of long term absence where the hours of work are reduced as part of a phased return programme, employees would normally remain on full pay for a limited period of up to 4 weeks. If a longer period of rehabilitation is required a corresponding reduction in salary would result, although individual circumstances will be considered on a case by case basis.
- 5.4 If an employee considers that they are affected by a disability or any medical condition which affects their ability to undertake their work, they should inform their line manager or the relevant HR Business Partner supporting their School/Professional Service.

Formal Stages

6. Trigger Points

- 6.1 Trigger points act as a prompt to review absence on a regular and consistent basis and initiate formal action where necessary. The trigger points are:
- eight or more working days/five separate occasions during a 12 month rolling period (short term absence);
 - Twenty or more continuous working days (long term);
 - A distinct pattern of sickness absence (i.e. sickness absence prior to or after annual leave or single days on the same day of each week)
- 6.2 For part time staff, the triggers will be calculated on a pro rata basis, i.e. for an employee working 2 days per week (0.4 FTE) the triggers will be 3 days for short term absence and 8 days for long term absence.

7. Process and right to be accompanied

7.1 Employees have the right to be accompanied by a recognised trade union representative or workplace colleague at all formal meetings. It is the responsibility of the employee to make arrangements for such representation.

7.2 If the employee's representative is not available, a formal meeting should be rescheduled once and an alternative date offered within 5 working days of the original date.

7.3 The employee will be given at least 5 working days' written notice of each formal meeting and a record of the outcome of the meeting within 10 working days, a copy of which should be forwarded to Human Resources. Such meetings may take place at the employee's home if medical circumstances require.

8. First formal sickness investigation meeting

8.1 The line manager should arrange a first formal meeting with an employee whose absence has reached a trigger point or whose pattern of absence or health is a concern. At the meeting the manager will consider the further actions where appropriate:

- Review the employee's attendance record;
- Focus on the frequency, duration and any patterns of the absence(s) and their effect on the University;
- Provide an opportunity for the employee to discuss any problems or work-related concerns;
- Identify support and measures which may assist the employees' recovery and early return to work;
- Refer the employee to Occupational Health if appropriate;
- Where a medical opinion has been obtained, reviewing the medical report and consider any recommendations;
- Instigate a monitoring period, usually up to 3 months, depending upon individual and workplace circumstances;
- Agreeing a way forward, action that will be taken and specifying a timescale for review and/or a further meeting under the sickness absence procedure
- Caution the employee that if the required improvement is not made a meeting under the second stage may be arranged.

8.2 Following the meeting the outcome of the discussion will be confirmed in writing within 10 working days.

8.3 The employee's absence pattern should be regularly reviewed during the monitoring period and a formal meeting arranged at the end of the monitoring period to review progress.

8.4 If there is a satisfactory level of improvement the employee will be advised of the need to sustain the improvement to avoid further action.

8.5 If the required level of improvement has not been made the employee's monitoring will move to a second sickness meeting.

8.6 In the case of long term sickness please also see section 11.

9. Second sickness meeting

9.1 If the employee's sickness absence remains unsatisfactory, or if they have been unable to sustain any improvement made within 12 months, the line manager will arrange a second sickness meeting to:

- Explain that the employee is at the second stage of the formal process;
- Review the employee's attendance and discuss continuing concerns;
- Consider whether a medical opinion is required and a referral to Occupational Health if appropriate;
- Where a medical opinion has been obtained, reviewing the medical report and considering any recommendations;
- Explore options to support the employee including short-term alternative working arrangements, reasonable adjustments, redeployment and ill-health retirement;
- Instigate a second monitoring period, usually up to 3 months;
- Specify the improvements expected during the second monitoring period;
- Caution the employee that their level of attendance is unacceptable and that failure to improve may lead to dismissal at the final stage of the procedure.

9.2 The outcome of the second sickness meeting will be confirmed in writing within 10 working days.

9.3 The employee's absence pattern should continue to be monitored with regular reviews and referrals to Occupational Health as required. A formal meeting should be arranged at the end of the monitoring period to review the employee's attendance during the monitoring period.

9.4 If satisfactory improvement in the employee's sickness absence is made by the end of the monitoring period the employee will be advised of the need to sustain the improvement in order to avoid further action. If after a period of satisfactory improvement, the employee's absence levels reaches those defined in 6.1 above, a second stage sickness meeting will be repeated.

9.5 If the required level of improvement has not been made during the monitoring period, depending on the circumstances, the line manager may extend monitoring for a further period (no more than 3 months) to provide the employee with a further opportunity to demonstrate satisfactory attendance or alternatively, a meeting under the final stage of the sickness absence procedures will be arranged.

10. Final Stage Hearing

10.1 If at the end of the second stage monitoring period sickness absence remains unsatisfactory, or improvement made following the second meeting has not been sustained over 12 months, or in a case of long term sickness having exhausted all the options it remains clear that an employee will not be able to return to work, the employee will be required to attend a Final Stage hearing which may lead to dismissal.

10.2 The final stage hearing will be before a panel comprising an Executive member and a senior manager who have not been involved in the management of the absence being considered. The panel will be advised by a member of Human Resources and a note taker will be present.

10.3 The purpose of the hearing will be to:

- Review actions taken at the first and second stages;
- Review what support has been put in place to improve attendance;
- Allow the employee to respond to the concerns and/or present any mitigating circumstances that they wish to be taken into account;

- Review any Occupational Health advice that has been received and implemented;
- Consider whether there is a reasonable likelihood of the employee returning to work or achieving the desired level of attendance within a reasonable period of time;
- Reconsider all options such as transfer to alternative work or ill health retirement.
- Consider whether the employee should be dismissed on the grounds of capability, or whether an extended monitoring period would be appropriate;

10.4 In considering dismissal, the panel will take account of the timescales within which there may be a return to work, the impact of the continuing absence on the work place and what alternatives may be appropriate under the circumstances. Only if there are no viable alternatives and the panel considers the level of absence is unacceptable and that sufficient opportunity to improve has been provided, will the employee be given notice of dismissal.

10.5 In exceptional circumstances the monitoring period may be extended to provide a further opportunity to demonstrate satisfactory attendance or an ability to return to work. This should only be considered where there is clear evidence that further monitoring would lead to the intended aim.

10.6 If an extension is agreed, regular reviews should be undertaken during the monitoring period. Failure to sustain any improvements made or meet the targets set during the extended monitoring period will result in a further meeting at the Final Stage being convened.

10.7 The decision of the panel will be confirmed in writing within 10 working days with the reasons and the employee will be informed of their right of appeal as stated below.

11. Long Term Sickness Absence

11.1 Long term sickness absence is defined as a protracted period of absence (more than 20 working days in one single period) which may be due to a single health problem, e.g. caused by an operation or by a combination of health issues. The primary aim, in dealing with cases of long term sickness absence, should be to facilitate the individual's return to work at the earliest reasonable point. At the same time, it is important for managers to bear in mind that, in extreme cases, the person may ultimately be unable to return to work.

11.2 The line manager should agree with the employee the arrangements for keeping in touch in order to maintain support for the employee and to make it easier for them to come back to work.

11.3 Where the employee is deemed unfit for work and after all the relevant considerations have been explored, including medical advice, ill health retirement, redeployment and reasonable adjustments, consideration will be given to proceeding to a Final Stage hearing which may result in a decision to dismiss the employee on the grounds of capability.

12. Appeals

12.1 Employees may appeal each decision made under the formal stages of this procedure.

12.2 Appeals must be submitted in writing to the relevant Human Resources Business Partner within 10 working days of receiving written confirmation of the outcome decision.

- 12.3 Appeals against decisions at stages 1 and 2 will be heard by a manager of at least equal status who has not previously been involved in management of the sickness absence.
- 12.4 Appeals against decisions at the final stage, including dismissal, will be heard by a panel comprising the Vice Chancellor (who may delegate to a Deputy or Pro Vice Chancellor) and a member of the Executive who have not been involved in the management of the sickness absence. The Panel will be advised by a representative of the Human Resources Department and a HR note taker will also be present.
- 12.5 The grounds of appeal must be in writing, specifying each ground of appeal and must be on one of the following grounds:
- Procedural: Failure to follow procedure and how this materially affected the decision
 - Decision: The decision reached was unreasonable and not supported by the evidence presented
 - New evidence: New information which has become available that could not reasonably have been known at the time of the meeting
- 12.6 Arrangements will be made for appeals to be heard as soon as reasonably practical. Any new matters raised in an appeal may delay an appeal meeting if further investigation is required. The employee will be given at least 10 working days' notice of the appeal hearing and outcome of the appeal will be communicated in writing within 10 working days where reasonably practicable.
- 12.7 The date that any dismissal takes effect will not be delayed pending the outcome of an appeal. However, where an appeal is upheld, the original decision will no longer be valid. If an appeal against dismissal is upheld, the employee's pay will be reinstated and continuity of service will be maintained.
- 12.8 The appeal decision will be final and there will be no further right of appeal.

Further Information and Guidance

- 13.5 Business Disability Forum tel: 020 7403 3020 email: advice@businessdisabilityforum.org.uk.
- 13.6 Free confidential counselling (24 hours a day, 365 days of the year) – Employee Assistance Programme: Right Management Limited (Freephone): 0800 1116 387
- Email: helpline.wellness@rehabworks.co.uk
- Website: www.my-eap.com
Username: lsbuwell
- 13.7 A Health and Safety Stress Survey can be requested through the HR Business Partner

VI. Annex: Staff Inclusion Policy

June 2011

Section:	Topic:
1.1	Policy Statement
1.2	Purpose of this Policy
1.3	Supporting Policies and Procedures
1.4	Scope of this Policy
2.1	Inclusivity: Definition.
2.2	Discrimination: Definition.
2.3	Legal Status
2.4	The Equality Act 2010 Protected Characteristics
2.5	Examples of Discrimination
2.6	Harassment: Definition
2.7	Scope of Harassment
3.1	Examples of Harassment
4.1	Bullying: Definition
4.2	Bullying by all Levels of Employees
4.3	Examples of Bullying
4.4	Upward Bullying
4.5	Examples of Upward Bullying
4.6	Victimisation: Definition
5.0	Expectations of all LSBU Employees
5.1	Breach of this Policy
5.2	Complaints
6.0	Responsibilities for Promoting Inclusivity in LSBU
7.0	Balancing this Policy with Performance Mngt.
8.0	Further Reading

1.1. Policy Statement:

At London South Bank University (LSBU) we are committed to promoting equality of opportunity, respecting difference and providing an inclusive environment which is free from discrimination, harassment, victimisation and bullying. The University acknowledges that such behaviour or conduct can lead to illness, tension, increased absenteeism, poor performance and unnecessary resignations.

Every LSBU employee has the right to work in an inclusive environment. Equally, all of our staff and managers share responsibility for promoting and fostering an inclusive working environment.

1.2 Purpose of this Policy:

The purpose of this policy is to communicate our commitments to inclusivity by defining:

- (i) The expectations of all LSBU staff within this area.
- (ii) The key principles of Inclusion, Discrimination and Harassment
- (iii) Our arrangements for reporting of incidents and monitoring complaints.

1.3 Supporting Policies and Procedures:

This policy is designed to be used in conjunction with a number of existing LSBU policies and procedures. These include:

- (i) Equality, Diversity and Inclusion Policy
- (ii) Equality and Diversity Action Plan.
- (iii) Academic / APT&C Staff Grievance Procedure

1.4 Scope of this policy:

This policy applies to all LSBU employees, freelance workers and contractors. It supersedes our previous Policy and Procedure for Dealing with Complaints of Acts of Bullying.

2.1 Definition of an Inclusive Environment:

For the purposes of this policy, an inclusive environment is defined as

The provision of working conditions, arrangements and practices that are free from all forms of discrimination/ harassment and promoting relationships that do not exclude or marginalise others.

2.2 Definition of Discrimination:

Discrimination is defined as ¹ “***Less favourable treatment to a person (or persons) that is not capable of being justified***”. It is unlawful to discriminate against any person on the grounds of their ‘*Protected characteristics*’. (See next page.)

LSBU is committed to promoting equality and avoiding discrimination. This does not mean that we must treat everyone in the same way. People may, for example, have different needs from us. It does however mean that we should provide ‘equality of opportunity’.

2.3 Legal Status:

As of April 2011, LSBU has a legal obligation to provide ‘equality of opportunity’ to nine groups of people² who hold ‘Protected Characteristics’³.

1: Source: *The Equality Act 2010*

2: ‘People’ are LSBU employees, students, job applicants, course applicants, freelancers, contractors and members of the public who have dealings with us.

3: Protected characteristics are defined by *The Equality Act 2010*.

2.4 Protected Characteristics:

The Equality Act 2010: Protected Characteristics 2011

LSBU has a legal duty to provide equality of opportunity to people of different:

- 1) **Genders.** Men and women.
- 2) **Races.** All racial groups.
- 3) **Religions or Beliefs.** This includes non religious belief systems such as atheism.
- 4) **Sexual Orientations.** Heterosexual, homosexual and bisexual.

5) **Ages.**

6) **Marital Status.** Single, married, divorced, in a civil partnership etc.

7) **Disabilities.** Physical and mental.

Protected characteristics also include:

8) People who have **Changed their Gender or are Transsexual**

9) People who are **Pregnant** or absent in connection with childbirth.

2.5 Examples of Discrimination:

Note that discrimination can occur in many different ways. This includes:

2.5.1 Direct Discrimination

For example deliberately selecting only female students for a course.

2.5.2 Indirect Discrimination.

Where our policies, activities or actions *indirectly* affect people who have different 'Protected Characteristics'. E.g. where a member of staff takes a decision or puts in place a policy which appears to treat everyone equally, but which in practice leads to people from a particular protected group being treated less favourably than others

2.5.3 Harassment.

This can be unwanted conduct which affects the dignity of staff in their workplace or creating an intimidating, hostile, degrading, humiliating or offensive environment. Harassment includes acts performed by third parties e.g. members of the public, contractors etc.

2.5.4 By Association

For example, where a staff member is treated less favourably because their partner has undergone gender reassignment.

2.5.5 Victimisation

For example, victimisation could occur when an employee is subjected to detriment, such as being denied a training opportunity because they have made or are suspected of making a complaint under the Equality Act 2010.

2.5.6 By Perception

For example, where a member of staff is perceived to be gay / not gay and is teased about it - irrespective of the person's actual sexual orientation.

2.6 Definition of Harassment:

Harassment is defined as:

Unwanted conduct which has the purpose or effect of violating an individual's dignity or creating an intimidating, hostile, degrading, humiliating or offensive environment. †

2.7 Scope of Harassment:

Harassment applies to:

- Actions or behaviours related to a 'Protected Characteristic' (page 6 of this document). Note this currently excludes *Pregnancy* and *Marital* status.
- Actions or behaviours considered to be offensive even if it was not directed at, or does not apply to, the person who is offended by the behaviour.
- Physical, verbal, written and non verbal actions or behaviours.
- Harassment by third parties. Under certain circumstances, LSBU is responsible for harassment committed by people who are not employees of the University. For example, contractors and members of the public who have dealings with us.
- Single or repeated incidents.

† Source: ACAS

3.1 Examples of Harassment:

Note these are examples, not a definitive list of types of behaviour which could be found to constitute harassment

- Shunning or deliberately excluding people from normal workplace conversations or social events.
- Insensitive jokes and remarks (however intended).
- Offensive or threatening e-mails or telephone text messages.

- Unnecessary copying of e-mails or other communications to others.
- Placing of inappropriate, demeaning or offensive remarks on social networking web sites (both internally and externally).
- Distribution or displaying (electronic or otherwise) offensive or obscene materials or images however intended
- Threatening behaviour - physical or verbal including unfounded threats about job security.
- Spreading malicious rumours.
- Constant criticism.
- Unwelcome physical or sexual advances which includes remarks, staring, touching and invasion of physical space.
- Excessive supervision or unfair allocation of work load.

4.1 Definition of Bullying:

Bullying is offensive, intimidating, malicious or insulting behaviour or an abuse of power, which is meant to undermine or humiliate the recipient.

Bullying is a serious form of harassment.

4.2 Bullying by all levels of Employees:

Bullying behaviour can occur in many different types of working relationships. It is possible, for example, for a junior colleague to bully a person in a senior role (upward bullying), for a student to bully a member of staff, or a woman to bully a man.

4.3 Examples Of Bullying:

- Psychological intimidation, humiliation, excessive and/or unreasonable criticism or fault-finding of any colleague or peer.
- Preventing an individual progressing by deliberately blocking promotion or training opportunities

- Unfair allocation of work and responsibilities or setting unreasonable goals or targets in work or study.
- Asserting a position of intellectual superiority in an aggressive, abusive or offensive manner whether orally or in writing, publicly or in private/

4.4 Upward Bullying:

This occurs when a junior person bullies a more senior person. For example, when a member of staff bullies their line manager. This is equally unacceptable to other kinds of bullying.

4.5 Examples of Upward Bullying:

- Attempting to undermine a manager in front of his/her team.
- Sabotaging initiatives or ideas.
- Disruptive behaviour. For example, during team meetings.
- Not passing on important messages.
- Unnecessary escalation of issues or copying of e-mails.
- Public criticism.
- Refusal to carry out legitimate requests.
- Hostile or aggressive communication style.

4.6 Definition of Victimisation:

Victimisation occurs when an employee is treated less favourably on the grounds that they have made, supported or are suspected of making a complaint. For example, a complaint of discrimination or harassment.

5.0 Expectations of all LSBU Managers and Staff:

We expect all LSBU staff, freelancers and contractors to: (i)

Uphold the principles of this Staff Inclusion policy.

(ii) Challenge behaviour which may marginalise or exclude others. (iii)

Report behaviours or actions that contravene this policy.

5.1 Breach of our Staff Inclusion Policy:

LSBU will not accept any acts of discrimination, harassment, victimisation or bullying towards students, staff or other people who have dealings with us.

Committing or condoning such acts may be considered as gross misconduct and dealt with via our disciplinary procedures.

5.2 Complaints of Harassment, Discrimination or Bullying:

Any employee who believes that they or others have been bullied, harassed or discriminated against may make a formal complaint by using the University's Grievance Procedure. Full details of the guidelines and processes for the making and handling of formal complaints are outlined in the University's Grievance Procedures

Statistics and analysis of the requests for advice, method of resolution and outcome of complaints, will be provided to the HR Committee on an annual basis as part of our annual report on EDI.

6.0 Responsibilities for Promoting Inclusion at Work within LSBU:

Everyone who has a connection with us shares responsibility for promoting and upholding the principles of our staff inclusion policy. A summary of key responsibilities is shown below.

Group:	Responsible for:

LSBU Board Members	Ensuring the University has developed up to date policies and measures the Outcomes versus planned objectives.
Vice Chancellor, the Executive Team and Senior Management Teams	<p>Demonstrating visible commitment to promoting Inclusion within the University.</p> <p>Development of policies, procedures, and measures. Monitoring and reviewing our progress.</p> <p>Development of values that we want the University to be known by</p>
LSBU Managers and Staff	<p>Putting our policies into practice. Promoting inclusivity and discouraging exclusion.</p> <p>Reporting of actions or behaviour which breach our <i>Staff Inclusion Policy</i>.</p> <p>Investigating and acting upon Complaints. (Managers only.)</p>

7.0 Balancing this Policy with Performance Management:

Whilst the University will not accept exclusion, discrimination or harassment from any employee, we do expect our managers to take legitimate action to improve the performance of their teams. Legitimate performance management can sometimes be incorrectly perceived as bullying or harassment. We expect our manager to follow our policies and procedures e.g. *LSBU Capability Policy* when taking such action.

If you are in any doubt as to whether any action being taken against you (or others) is legitimate or not, you should, in the first instance, discuss this with the Human Resources Department.

7.1 Dealing with vexatious complaints

If it is established during the investigation stage that an individual has intentionally raised a vexatious or malicious allegation against another person, they will be the subject of disciplinary action. The knowingly false defamation of another person's character is unacceptable.

8.0 Further Reading and Advice

Further information and advice may be sought at any stage from the following external organisations:

Advisory Conciliation and Arbitration Service: www.acas.org.uk

Andrea Adams Trust, Hova House, 1 Hova Villas, Hove, East Sussex, BN3 3DH Tel: 01273-704900 - www.andreaadamstrust.org -

Bully Online – www.bullyonline.org

Chartered Institute of Personnel and Development, Bullying at Work; Beyond Policies to a Culture of Respect, 2005.

CIPD, Tackling Bullying at Work: A Good Practice Framework, 2007.

Chartered Management Institute, Bullying at Work: the Experience of Managers, 2005.

CMI, Bullying in the Workplace: Guidance for Managers, 2005. CMI,

Managing the Bully, 2006.

Equality and Human Rights Commission EHRC.org.uk ,.

Equality Challenge Unit, UCU, UNISON, Dignity at Work: A Good Practice Guide for HEIs on Dealing with Bullying and Harassment in the Workplace, 2007.

GMB, 22/24 Worple Road, London SW19 4DD, Tel. 020-8947-3131
www.gmb.org.uk

UCU, Egmont House, 25-31 Tavistock Place, London WC1H 9UT, Tel. 020-7670-9700 www.ucu.org.uk

UNISON Education Workforce Unit, 1 Mabledon Place, London WC1H 9AJ, Tel.

020-7551-1364 www.unison.co.uk

VII. Annex - Disability: Research Councils Guidance and definition

The Equality Act 2010, the Disability Discrimination Act (1995) (Northern Ireland only) and the Disability Discrimination (Northern Ireland) Order 2006 prevent unlawful discrimination, victimisation and harassment relating to disability. Individuals are also protected if they are perceived to have a disability or if they are associated with a person who has a disability (for example, if they are responsible for caring for a family member with a disability).

A person is considered to have a disability if they have or have had a physical and/or mental impairment which has 'a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities'. Long-term impairments include those that last or are likely to last for at least 12 months.

Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities. An impairment which is managed by medication or medical treatment, but which would have had a substantial and long-term adverse effect if not so managed, is also a disability.

The definition of disability is different in Northern Ireland in that a list of day-to-day activities is referred to.

There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people generally, not a specific individual, carry out on a daily or frequent basis.

While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:

- sensory impairments
- impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy
- progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer
- organ specific impairments, including respiratory conditions and cardiovascular diseases
- developmental impairments, such as autistic spectrum disorders and dyslexia
- mental health conditions such as depression and eating disorders
- impairments caused by injury to the body or brain.

It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.

Equality law requires HEIs to anticipate the needs of people with disabilities and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a researcher's impairment has affected the quantity of their research outputs, the submitting unit may return a reduced number of outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances').

VIII. Annex: Reductions for staff circumstances

Note: this guidance is adapted from Annex L of The Funding Bodies' Guidance of Submissions document

Early career researchers: Permitted reduction in outputs

Date at which the individual first met the REF definition of an ECR:	Output pool may be reduced by up to:
On or before 31 July 2016	0
Between 1 August 2016 and 31 July 2017 inclusive	0.5
Between 1 August 2017 and 31 July 2018 inclusive	1
On or after 1 August 2018	1.5

Absence from work due to secondments or career breaks

The permitted reductions in outputs without penalty may be requested for absence from work due to secondments or career breaks outside of the Higher Education sector, and in which the individual did not undertake academic research, are given below.

Total months absent from working in Higher Education between 1 January 2014 and 31 July 2020 due to a staff member's secondment or career break:	Output pool may be reduced by up to:
Fewer than 12 calendar months	0
At least 12 calendar months but less than 28	0.5
At least 28 calendar months but less than 46	1
46 calendar months or more	1.5

Reduction due to part-time working

Part-time working is taken account of within the calculation for the overall number of outputs required for the unit. Research output reduction requests on the basis of part-time working can only be made exceptionally. For example, where the FTE of a staff member late in the assessment period does not reflect their average FTE over the period as a whole.

- In relation to the above, for part-time working, the equivalent 'total months absent' should be calculated by multiplying the number of months worked part-time by the full-time equivalent (FTE) not worked during those months.
- For example, an individual worked part-time for 30 months at 0.6 FTE. The number of equivalent months absent = $30 \times 0.4 = 12$.

Qualifying periods of family-related leave

The total output pool may be reduced by 0.5 for each discrete period of:

- Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2014 to 31 July 2020, regardless of the length of the leave.
- *Additional paternity or adoption leave*, or shared parental leave lasting for four months or more, taken substantially during the period 1 January 2014 to 31 July 2020, where:
 - 'Additional paternity or adoption leave' refers to leave of up to 26 weeks which is taken to care for a child where the person's spouse, partner or civil partner was entitled to statutory maternity leave or statutory adoption leave, and has since returned to work. The term 'additional paternity leave' is often used to describe this type of leave although it may be taken by parents of either gender. For the purposes of the REF, we refer to this leave as 'additional paternity or adoption leave'.
 - 'Shared parental leave' refers to leave of up to 50 weeks which can be shared by parents having a baby or adopting a child. This can be taken in blocks, or all in one go.
- Any period of maternity, adoption, paternity or shared parental leave that qualifies for the reduction of an output under the provisions above may in individual cases be associated with prolonged constraints on work that justify more than the defined reduction set out. In such cases, the circumstances should be explained in the request.

While the above reduction of outputs due to additional paternity or adoption leave is subject to a minimum period of four months, shorter periods of such leave could be taken into account as follows:

- By applying a reduction in outputs where there are additional circumstances, for example where the period of leave had an impact in combination with other factors such as ongoing childcare responsibilities.
- By combining the number of months for shorter periods of such leave in combination with other circumstances, as described in section 5.2.1.

IX. Annex: Staff Circumstances Form

Declaration of Individual Staff Circumstances template

This document is being sent to all ≥ 0.2 FTE Academic and Research staff. As part of London South Bank University's (LSBU's) commitment to supporting equality and diversity in REF, we have put in place safe and supportive structures for staff to declare information about any equality-related circumstances that may have affected their ability to research productively during the assessment period (1 January 2014 – 31 July 2020) and particularly, their ability to produce research outputs at the same rate as staff not affected by circumstances. The purpose of collecting this information is five-fold:

- To enable staff with Significant Responsibility for Research who have not been able to produce a REF-eligible output during the assessment period to be exempt from the requirement of submitting a minimum of 1 eligible research output on the basis that that have experienced;
 - circumstances that have resulted in an overall period of 46 months or more absence from research during the assessment period, due to equality-related circumstances (see below)
 - circumstances *equivalent* to 46 months or more absence from research due to equality-related circumstances
 - two or more qualifying periods of family-related leave.
- To recognise the effect that equality-related circumstances can have on an individual's ability to research productively, and to adjust expectations in terms of expected workload / production of research outputs.
- To establish whether there are any Units of Assessment where the proportion of declared circumstances is sufficiently high to warrant a request to the higher education funding bodies for a reduced required number of outputs to be submitted.
- To give all ≥ 0.2 FTE academic and research staff without Significant Responsibility for Research the opportunity to declare any disability in a confidential way and seek, where feasible, a reasonable adjustment: please note, if a high volume of declarations are made, the Staff Circumstances Group will need to prioritise declarations by staff with SRR, although the SCG will endeavour to cover all declarations;
- To produce an internal, anonymised report for the university's Provost and HR department on the scale and nature of the equality-related staff circumstances declared, with recommendations on key actions to take to ensure all ≥ 0.2 FTE academic and research staff can be supported fully for future cases of the nature reported.

Applicable circumstances

- Qualifying as an ECR (started career as an independent researcher on or after 1 August 2016)
- Absence from work due to secondments or career breaks outside the HE sector
- Qualifying periods of family-related leave

- Junior clinical academics who have not gained a Certificate of Completion of training by 31 July 2020
- Disability (including chronic conditions)
- Ill health, injury or mental health conditions
- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment

If your ability to research productively during the assessment period has been constrained due to one or more of the following circumstances, you are invited to complete this form.

Further information can be found paragraph in 160 of the REF 2021 Guidance on Submissions document (REF 2019/01). Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. This form is the only means by which LSBU will be gathering this information; we will not be consulting HR records, contract start dates, etc. to identify who has experienced equality-related staff circumstances. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

Ensuring Confidentiality

Confidentiality will be maintained in accordance with the approach described in LSBU's REF 2021 Code of Practice – see the Staff Circumstances section (5.2.1) of LSBU's REF 2021 Code of Practice.

If LSBU decides to apply to the funding bodies for either form of reduction of outputs (removal of 'minimum of one' requirement or unit circumstances), we will need to provide the Funding Bodies with data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see the REF 2021 ['Guidance on submissions'](#) document (paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted.

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

Changes in circumstances

The university recognises that staff circumstances may change between completion of the declaration form and the REF census date (31 July 2020). If this is the case, then staff should contact the REF Coordinator (karl.smith@lsbu.ac.uk) for advice on next steps.

To submit this form you should email it to the confidential role-based account created for managing REF 2021 Staff circumstances submissions (see section 5.2 of the Code of Practice).

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

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

Do you have or are you firmly on track to have a REF-eligible output published between 1 January 2014 and 31 December 2020?

Yes ☐

No ☐

Are you happy for the information submitted to be checked against the HR record in order that LSBU can determine if its HR system has captured this information and further, to produce an internal, anonymised report, produced in early 2021, for the university's Provost and HR department on the scale and nature of the circumstances reported – this report will recommend key actions to take to ensure staff can be supported fully for future such cases.

Yes ☐

No ☐

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

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

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

constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.

Caring responsibilities

To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.

Click here to enter text.

Gender reassignment

To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.

Click here to enter text.

Any other exceptional reasons e.g. bereavement.

To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.

Click here to enter text.

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below
- I realise that the above information will be used for REF and staff support purposes only and will be seen by *the Staff Circumstances Group*.
- I realise it may be necessary to share the information with the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs
- You acknowledge and understand that the information provided will be held by HR in a secure folder/storage system that will be erased in January 2022 and will be used to produce an anonymised, internal report for the Provost and HR on the scale and nature of the equality-related staff circumstances declared, with recommendations on key actions to take to ensure all ≥ 0.2 FTE academic and research staff can be supported fully for future cases of the nature reported.

I agree ☐

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

☐ I give my permission for the Senior HR Business Partner to contact me to discuss my circumstances, and my requirements in relation this these.

☐ I give my permission for the information provided to be passed on, in outline, to the relevant contact within my School. (Please note, if you do not give permission your department may be unable to adjust expectations and put in place appropriate support for you).

☐ I give my permission for the circumstances information provided, where the Staff Circumstances Group have deemed that it does qualify either for the removal of the minimum 1 research output requirement AND/OR a reduction in the total number of research outputs required from the Unit of Assessment, to be used for these purposes.

I would like to be contacted by:

Email ☐ Insert email address

Phone ☐ Insert contact telephone number

X. Annex: Significant Responsibility for Research consultation email

From: Pat Bailey [mailto:communications@lsbu.ac.uk]
Sent: 15 November 2018 16:53
Subject: Celebrating Research, AURA and preparing for REF 2021

No Images? [Click here](#)



Dear Karl,

Every 6-7 years, the quality of research in UK Higher Education Institutions is assessed via the Research Excellence Framework (REF). The REF results inform the allocation of over £1 billion per year of government funding and comprise one of the key performance metrics for universities.

Achieving a strong performance in REF 2021 is crucial to enhancing LSBU's research income, league table standing and global reputation.

Research Centres are a key element of our REF preparations at LSBU. Together with our Research Groups, they deliver a strategically focused and supportive research environment. You are invited to join us on **November 20** at 17:30 as we celebrate the achievements of our Research Centres and Groups and the launch of our innovative Professoriate.

[Register today](#)

In support of our mission to enhance our research environment, we have just launched this year's [Annual University Research Audit \(AURA\)](#). AURA is critical to our research vision, helping us to:

- recognise and record the achievements of our researchers
- identify how we can improve support for your research
- inform the development of our Research Centres and Groups.

We need all research-active staff to complete AURA by **13th Dec. 2018**. For this year's AURA, we have introduced Symplectic's Professional Activities module, which enables all researchers

to record their conference talks, editorships, awards, impact/enterprise activity etc, all year round.

[Start your AURA submission now](#)

At LSBU, our prevailing research ethos is one of opportunity for all. In this light, LSBU is working to deliver a REF submission that encompasses all of our excellent research and is focused on the institution, rather than the individual. It is important to emphasise that LSBU is committed to ensuring that those who are not submitted to the REF due to their outstanding contributions to teaching, administration and other areas of the institution are fully supported in their work.

We are currently developing the criteria, underpinned by the principles of equality, equity and transparency, for identifying those REF-eligible academic and contract researchers who have Significant Responsibility for Research (SRR) and therefore, are to be submitted.

Research England define staff with SRR as those who have explicit time and resources made available to them to engage actively in independent research. We are currently creating a SRR Focus Group to consult on the SRR criteria that LSBU will use. We have gone out to the Staff networks to find volunteers. We also strongly welcome additional input from the wider academic and research body. To get involved, please email our [REF Coordinator](#).

Once agreed with the SRR Focus Group, we will then invite further comment on the SRR proposal by email and through presenting to Schools via Town halls.

You can read more about LSBU's work towards its REF 2021 submission [here](#). We look forward to working with you in developing and optimising our REF 2021 submission.

Best wishes,
Professor Pat Bailey
Deputy Vice Chancellor



Staff Communications, London South Bank University,
103 Borough Road, London SE1 0AA.
E: communications@lsbu.ac.uk | W: www.lsbu.ac.uk

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XI. Annex: Reasonable Adjustment policy



REASONABLE ADJUSTMENT POLICY

1. Introduction

One of London South Bank University's (LSBU) key goals is to 'create an open, diverse and inclusive organisation.' This Reasonable Adjustment Policy, which should be read alongside our Sickness Policy, will enable us to ensure that staff who may have a disability, are not disadvantaged in the workplace.

2. Purpose

This policy is intended as a general statement to provide advice in relation to the support/considerations that may be required. However, each situation should be assessed on an individual basis. The aims are:

- **confirms our commitment to improving accessibility** for colleagues who require reasonable adjustments;
- **sets out the basic principles of our legal duty** to support colleagues who have a disability;
- **set out the factors for consideration when dealing with** requests for reasonable adjustments; and
- is line with **our Behavioural Values and Framework**.

3. What is a disability?

You are disabled under the Equality Act 2010 if you have a physical or mental impairment that has a 'substantial' and 'long-term' negative effect on your ability to do normal daily activities.

- 'Substantial' is more than minor or trivial, e.g. it takes much longer than it usually would to complete a daily task like getting dressed
- 'Long-term' means 12 months or more (or expected to last 12 months or more) e.g. a breathing condition that develops as a result of a lung infection.

It should be noted that while some disabilities are 'visible', others are 'invisible'. For example, while the needs of a wheelchair-user may be more visible in terms of physical access, some disabilities may be 'invisible', for example, asthma or cancer.

Colleagues who experience mental ill-health conditions such as depression or bipolar disorder, which are 'invisible' disabilities, also may need to be supported by managers.

If you, as a manager, sees that a colleague is having problems at work, **talk to them**. Try and find out what would help. Make any changes you reasonably can to help them do their job. Do not spend time trying to work out if your colleague meets the legal definition of disability.

4. What is a reasonable adjustment?

A reasonable adjustment involves making changes to the employees working arrangements to ensure that disabled colleagues are provided with the support they need to be able to carry out their duties. This may involve, for example:

- providing additional support or specialist equipment, such as a software to facilitate speech-to-text formatting; or
- ensuring access to buildings are accessible or do not present hazards for disabled colleagues, for example ensuring a lift is available where necessary or hosting meetings on the ground floor.

A reasonable adjustment will remove or significantly reduce the barrier that a disabled person experiences. This means the adjustment will depend on the individual. Remember that to treat people fairly you have to treat them differently.

5. The Law and Disabled Employees

Disability is a protected characteristic under the Equality Act 2010. The Act outlaws discrimination against disabled people in the field of employment and the provision of goods and public services.

It requires us as a responsible employer to make reasonable adjustments for disabled employees. This means wherever possible removing any barriers that may prevent a colleague with a disability from carrying out their duties.

6. Managers' responsibilities

Managers are responsible for the staff that they manage. More often than not, managers will have a colleague who will share relevant information about their disability that will enable you to *both* agree what would make a suitable reasonable adjustment.

It may be that a colleague chooses not to share the precise details of their disability with their manager; however, managers still have a responsibility to work with partners, such as Occupational Health (who may have this information), to ensure that the reasonable adjustments are put in place for your disabled colleagues.

In other cases a colleague may not tell their manager that they need an adjustment and may not even be aware that they have a disability or that adjustments are available to help them do their job. A manager might notice a change in the employee's attendance, performance, behaviour or appearance. In this instance it is the manager's job to

recognise that a colleague is struggling and to talk to them about any workplace barriers they are experiencing because of a physical or mental health condition.

The important thing is to follow *a clear and transparent process* when applying a reasonable adjustment. Managers who have a reputation for being fair and reasonable are more likely to have open communications with colleagues who are equally fair and reasonable.

An example of a simple process chart is contained in Appendix 1 of this document; it should be noted that this is a merely a guideline, although it does have the benefit of being equality-proofed by Business Disability Forum (BDF).

Managers, when considering a request for a reasonable adjustment, need to ensure that their decisions are **fair**, **relevant** and **proportionate**.

Fair: balanced and impartial

Relevant: has a connection to the issue being considered

Proportionate: consistent, compatible with your colleague's circumstances

7. Employees' responsibilities

Colleagues are encouraged to discuss any health issues with their line manager as soon as possible in order to ensure that the appropriate support can be identified and additional medical advice obtained where necessary.

Sometimes colleagues don't want to think of themselves as disabled because they are embarrassed or fear their manager's reaction. In these instances, it may be useful for colleagues to speak to a Dignity At Work (D@W) Adviser or contact the Employee Assistance Programme (EAP) on 0800 1116 387 (for management support 0800 1116 385).

8. Cost, practicality and effect on others

There are several factors for managers to consider in reaching a decision as to whether to implement a reasonable adjustment. These factors can include cost; the circumstances of your colleague (e.g. nature of contract, valuable skills, contacts they have) and the effect the reasonable adjustment will have on others.

Many reasonable adjustments will be free to make or cost very little. Often, the change that is required is a shift in attitude from work colleagues to their colleague's new circumstances.

9. Monitoring

HR and the Equality, Diversity & Inclusion (EDI) team will record and monitor the reasonable adjustments that have been requested and made. This allows us to review our services and help us identify additional areas of improvement.

10. Templates

The EDI team can also supply useful templates produced by the Business Disability Forum (BDF) to help facilitate reasonable adjustments. These include:

- a. A **Disability Passport**: this is a document that explains an individual's disability and the reasonable adjustments they usually have in place to enable them to do their job; and
- b. A **template letter from a colleague requesting a reasonable adjustment**. Often, this letter will have the Disability Passport attached. Your D@W advisor or the EDI team can help you with this.

XII. Annex: A FRAMEWORK FOR MANAGERS TO HELP SUPPORT COLLEAGUES WITH REASONABLE ADJUSTMENTS

- a. **Always** look at what is the *barrier or obstacle* that is being sought to overcome.
- b. **Always** look at how the reasonable adjustment can help overcome the barrier or obstacle.

1. Identification

- Identify who needs an adjustment.
- Look for possible warning signs in relation to a colleague's attendance, behaviour and/or performance.
- Create an open and supportive atmosphere.
- **Let colleagues talk.**
- Remember: some colleagues may not want to share the nature of their disability with you; you are still responsible for making sure the reasonable adjustment(s)

2. Look At Differences Positively

- Identify how work can be done differently.
- Look at how your non-disabled staff may also benefit from the changes made.

3. Decide If An Adjustment Is Reasonable

- Discuss colleague's concerns; **ask for their idea(s) for solutions.** They might not know what they need in which case you may need to ask for help from HR or Occupational Health
- What are the barriers and how can they be overcome?
- **Gather all the relevant facts.**
- Examine the costs of making an adjustment

4. Treat Your Colleague Fairly

- Consider the facts before you reach your decision, including: cost, practicality, effectiveness, disruption, effect on others, health & safety and valuable skills.
- Establish a **timeline** as to when the reasonable adjustment will be put in place.

5. Seek Help

- If in any doubt, speak to your HR Business Partner and/or the EDI team especially if you think an adjustment is unreasonable or too costly
- Improve your knowledge by reading and learning more about disability equality (e.g. information produced by the Business Disability Forum [BDF].)

XIII. Annex: LSBU Statement on Responsible Use of Research Metrics

Statement on Responsible Use of Research Metrics

Introduction

London South Bank University makes use of quantitative metrics and indicators to gain insight into the performance of its research. In particular, using them can assist in the identification of excellent research output, benchmark against its peers, prepare for internal and external assessments, and inform the allocation of resources.

Informed by the *Metric Tide* report of the Independent Review of the Role of Metrics in Research Assessment and Management, the Leiden Manifesto and San Francisco Declaration on Research Assessment, as well as its own Behavioural Framework, the university commits to use metrics with integrity in a fair, transparent and responsible manner.

Statement

All research assessment using metrics at London South Bank University should be informed by the following five dimensions articulated in the *Metric Tide* report:

Robustness: basing metrics on the best possible data in terms of accuracy and scope

- At LSBU, metrics will be selected and used which are accurate and comprehensive; where there are limitations in available metrics these will be noted as part of any formal use.
- At LSBU, metrics will not be used inappropriately: an example is using a journal metric to infer the quality of an individual article.

Humility: recognising that quantitative evaluation should support – but not supplant – qualitative, expert assessment

- At LSBU, metrics will not replace expert opinion or peer review but can support such assessment.
- At LSBU, all decision-makers using research metrics will understand their proper uses, and any limitations or deficiencies. Support in the attainment of this commitment will be provided through briefings and training.

Transparency: keeping data collection and analytical processes open and transparent, so that those being evaluated can test and verify the results

- At LSBU, assessment criteria and any quantitative data used will be transparent and made available (on request) to those being assessed. Those conducting assessments must disclose the data sources used and ensure that researchers can access (on request) and correct data about their work.

Diversity: accounting for variation by field, and using a range of indicators to reflect and support a plurality of research and researcher career paths across the system

- At LSBU, disciplinary differences in research inputs, processes and outputs will be taken into account. Any disciplinary biases in indicators used must be explicitly acknowledged and addressed.
- At LSBU, we are mindful of our commitment to equality, diversity and inclusion, and we will address these in selecting and using metrics. We will not make use of the h-index, since it does not take account of factors such as career breaks.
- At LSBU, research assessment and management activities will be tailored to the scale of the research activity being assessed. Particular caution is needed when interpreting quantitative indicators in small scale assessments such as the assessment of an individual researcher. However, we are also mindful that bibliometric data can be less prone to subjectivity (especially when field weighted) than reviews undertaken by peers so we will strive to use them in a manner that upholds objectivity and counters personal bias.

Reflexivity: recognising and anticipating the systemic and potential effects of indicators, and updating them in response

- At LSBU, the potential or systemic effects of using metrics will be acknowledged: where such effects are identified, they will be addressed and updated.

Actions

- The Provost to sign DORA (the San Francisco Declaration on Research Assessment) as a public sign of LSBU's commitment to responsible metrics.
- The Provost to affirm LSBU's agreement with the Leiden Manifesto alongside DORA.
- The Scholarly Communications and Repository Manager to arrange regular (at least once per semester) training and briefing in the responsible use of metrics in concert with colleagues in Research, Enterprise & Innovation and Planning, Performance & Assurance.
- Anyone with concerns about the use or application of research metrics is invited to raise them with their Director of Research & Enterprise and Dean, or the Provost.

XIV. Annex: Independent Fellowships

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

The table was produced by the Funding Bodies (22/03/2019) and is available from: <https://www.ref.ac.uk/guidance/additional-guidance/>

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

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

Royal Academy of Engineering	RAEng Engineering for Development Research Fellowship
Royal Academy of Engineering	Industrial Fellowships
Royal Academy of Engineering	RAEng Research Fellowship
Royal Academy of Engineering	RAEng Senior Research Fellowship
Royal Academy of Engineering	UK Intelligence Community (IC) Postdoctoral Research Fellowship
Royal Society	Royal Society Wolfson Fellowship
Royal Society	Dorothy Hodgkin Fellowship*
Royal Society	JSPS Postdoctoral Fellowship
Royal Society	Newton Advanced Fellowship
Royal Society	Royal Society/Leverhulme Trust Senior Research Fellowship
Royal Society	University Research Fellowship*
Royal Society and Wellcome Trust	Sir Henry Dale Fellowship*
Royal Society of Edinburgh	RSE Arts & Humanities Awards (for permanent staff)
Royal Society of Edinburgh	RSE Personal Research Fellowship
Royal Society of Edinburgh	RSE Sabbatical Research Grants (for permanent staff)
Sêr Cymru	Research Chairs
Sêr Cymru	Rising Stars
Sêr Cymru	Recapturing Talent*
Sêr Cymru	Research fellowships for 3 -5 year postdocs
STFC	CERN Fellowships
STFC	Ernest Rutherford Fellowship
STFC	ESA Fellowships
STFC	Innovations Partnership Scheme Fellowships
STFC	Returner Fellowships
STFC	RSE/STFC Enterprise Fellowships
STFC	Rutherford International Fellowship Programme
UKRI	UKRI Future Leaders Fellowships
UKRI	UKRI Innovation Fellowships
Wellcome Trust	Intermediate Fellowship in Public Health and Tropical Medicine
Wellcome Trust	Principal Research Fellowships
Wellcome Trust	Research Award for Health Professionals

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

XV. Annex. Confirmation of approval of Code of Practice



Research
England

8 November 2019

Professor David Phoenix OBE
London South Bank University
103 Borough Road
London
NW4 4BT

Nicholson House
Lime Kiln Close
Stoke Gifford
BRISTOL
BS34 8SR

Telephone 0117 931 7600

<http://re.ukri.org>

Email:

researchpolicy@re.ukri.org

Dear Professor Phoenix,

Carbon Copied to: Professor Peter Doyle, Karl Smith,

Research Excellence Framework 2021: Codes of Practice Assessment Outcome

Assessment outcome: Accepted

Thank you for your re-submitted Code of practice (COP) for the Research Excellence Framework (REF) 2021.

I am pleased to inform you that following assessment, your institution's COP is considered to meet the published requirements set out in the REF 2021 COP Guidance (REF 2019/03).

No further action is required from you in relation to the COP assessment process and the COP, as it has been submitted, may be used to inform key decisions for REF 2021.

You are encouraged to make your institution's COP publically available on your website. All REF 2021 COPs will also be published on the REF 2021 website.

The UK Funding Bodies may seek to verify through audit, that HEIs have adhered to the approaches and processes set out in their code of practice. For this purpose, and the effective

Research England, Nicholson House, Lime Kiln Close, Stoke Gifford, Bristol, BS34 8SR
T: 0117 905 7600 W re.ukri.org
VAT number: 287461957



management of an HEI's own processes, you should ensure accurate records of decisions are kept.

Once again, I would like to thank you for your ongoing commitment to the REF 2021 COP. Please do not hesitate to contact us at researchpolicy@re.ukri.org, should you have any questions.

Yours sincerely

Steven Hill

Director of Research

A handwritten signature in black ink that reads 'S Hill'.

Research England, Nicholson House, Lime Kiln Close, Stoke Gifford, Bristol, BS34 8SR
T: 0117 905 7600 W re.ukri.org
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Sent by email to <mailto:researchpolicy@re.ukri.org>

17th Sep 2019

Dear Dr Hill

Thank you for your letter of 16th August, confirming that both Research England and the EDAP acknowledge that LSBU's Code of Practice meets the published requirements set out in the REF 2021 COP Guidance (2019/03), subject to one further point of clarification:

The code does not explicitly confirm that staff agreement has been received for the processes established to identify staff with significant responsibility for research. Agreement should be sought from appropriate staff representation mechanisms, as required in paragraph 41 of the guidance on codes of practice. Please confirm directly to us, when staff agreement has been obtained, with a signed letter to this effect, emailed to the address specified below. Please also append the signed letter to the code and send this to us. If you are unable to obtain staff agreement before the deadline set out in this letter, please advise that this is the case and provide explanation.

In response to this, I can confirm that an extensive and thorough consultation was carried out, and I have summarised this in attachment 1 ('Summary of consultation on CoP and SRR'). Based on this, I also attach a statement from myself as Vice Chancellor, summarising the consultation and confirming that it meets the appropriate standards (attachment 2: 'VC's CoP consultation statement'). If approved by Research England and EDAP, this will be added as an appendix to our CoP.

We have also identified a number of other minor changes, or points of clarification that have been requested by the Union (UCU), and attachment 3 provides a summary of 'proposed CoP changes', together with the reasons for those changes. We trust that Research England and EDAP are content with these, as they provide some further clarification, without altering any substantive points in the CoP.

Finally, attachment 4, contains our proposed 'final version of LSBU's CoP', with tracked changes.

UCU are fully in support of the CoP, but have identified specific issues concerning how the 20% research time relating to SRR will be calculated in the workload allocation model. This is part of a wider discussion about the future distribution of academic staff's workload and I hope this will be finalised in the coming months.

We trust that the above meets with the approval of Research England and EDAP, and we look forward to receiving confirmation of this.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'D Phoenix', with a stylized flourish at the end.

Prof David Phoenix
Vice Chancellor and CEO

Summary: the development of the SRR identification processes

Initial drafting of the SRR identification criteria and processes

The SRR criteria were initially developed and drafted by the Code of Practice (CoP) Working Group, which included representatives of:

- each of LSBU's 7 Schools;
- the Human Resources/Organisational Development department;
- an Early Career Researcher;
- a Dean;
- a Unit of Assessment (UoA) lead;
- the Directors of Research;
- the Research Centre Heads.

The criteria initially agreed upon by the CoP Working Group were presented to and approved by the Deans and Provost in December 2018.

Consultation with the Significant Responsibility for Research (SRR) Focus Group

The SRR criteria approved by the Deans and Provost were refined through consultation with the Significant Responsibility for Research (SRR) Focus Group*. The Group comprised members of LSBU's key staff representative bodies, including the University and College Union and the staff networks.

The initial consultation with the Significant Responsibility for Research (SRR) Focus Group was held on 9 Jan 2019. Further consultations were held with the Group in April/May 2019 to obtain sign-off of the SRR criteria and process.

Consultation with the University and College Union

This consultation was initiated via the UCU member of the SRR Focus Group. The SRR proposal was shared with the UCU in March 2019.

Consultation with and approval by staff of the SRR criteria

The REF Code of Practice has been developed to support LSBU's staff body, so broader staff engagement took place through School consultations that began in April 2019 and, on 2 May 2019, an online staff survey was launched on the draft Code of Practice, which closed on 15 May 2019. There were no staff who disagreed with the CoP or the SRR criteria, nor any suggestions for modifications to the draft CoP or SRR criteria.

***Membership of the Significant Responsibility for Research Focus Group**

Name	School /Department	Employment role	Group	Role in Group
------	--------------------	-----------------	-------	---------------

Shaminder Takhar	Law and Social Sciences (LSS)	Academic	<i>Equinet</i>	<i>Equinet and LSS representative</i>
Bisi Adelaja	Teaching Quality and Enhancement - Centre for Research Informed Teaching	Professional Service Group (PSG)	<i>Equinet</i>	<i>Equinet and wider staff body representative</i>
Gilberto Buzzi (HSC)	Health and Social Care (HSC)	Academic	<i>Gendernet</i>	<i>Gendernet and HSC representative</i>
Calvin Moorley	HSC	Academic	<i>Gendernet</i>	<i>Gendernet and HSC representative</i>
Scott King	Built Environment and Architecture (BEA)	Academic	<i>Sonet</i>	<i>SONET and BEA representative</i>
Nicki Martin	LSS	Academic	<i>DNet</i>	<i>DNet representative</i>
Denise Harvey	HSC	Hourly Paid Lecturer	<i>Provost email respondent</i>	<i>Contract staff representative</i>
Syeda Rahimunnessa	Research, Enterprise and Innovation (REI)	PSG	<i>Provost email respondent</i>	<i>Represent wider staff body</i>
Manoj Ponugubati	Engineering (ENG)	Academic	<i>Staff Engagement Champion</i>	<i>School of Engineering representative</i>
Mohamed Mehbali	Teaching Quality and Enhancement	PSG	<i>Equinet</i>	<i>Equinet representative</i>

Gaspar Epro	Applied Sciences	Research Associate/ Assistant	<i>Suggested by Staff Engagement Champion</i>	<i>Research Assistants/Associate representative and School of Applied Sciences</i>
Aidan McKearney	Business	Academic	Staff engagement champion	School of Business representative
Tahera Aziz	Arts and Creative Industries	Academic	<i>Union</i>	<i>Union representative</i>
Shushma Patel	ENG	Academic	<i>REF Code of Practice (CoP) Working Group Chair</i>	<i>Convener of Group</i>
Karl Smith	REI	PSG	<i>REF CoP Working Group Secretariat</i>	<i>Secretariat of Group</i>

Heads of the Staff networks

- dNet - disability and mental health issues; Nicki Martin (acting Head)
- Equinet - Black, Asian and Minority Ethnic (BAME) issues; Shaminder Takhar
- Sonet - sexual orientation and gender identity; Michael Woolley/Scot King
- GenderNet - gender equality. Sam White (former head)

REF 2021: Code of Practice and Significant Responsibility for Research (SRR)

Supporting statement from the Vice Chancellor

The Code of Practice (CoP), including the 'Significant Responsibility for Research' (SRR) criteria, was initially developed and drafted by the CoP Working Group, which included representatives of:

- each of LSBU's 7 Schools;
- the Human Resources/Organisational Development Department;
- an Early Career Researcher;
- a Dean;
- a Unit of Assessment (UoA) lead;
- the 7 Directors of Research;
- the 15 Research Centre Heads.

The SRR criteria were then further scrutinised by the 'SRR Focus Group', which included representatives from all four of LSBU's EDI Network Groups [Dnet (disability), Equinet (BAME), Gendernet (gender) and Sonet (sexual orientation and gender identity)], and from UCU. Finally, all staff could comment on the CoP through an online survey between 2-15 May 2019, from which no issues were raised.

Consequently, I am content that our Code of Practice has been developed with extensive input from all relevant sections of the University, has received overwhelming support from the staff after full consultation, and that the aspect of SRR has been explicitly scrutinised by a focus group that included representatives from all appropriate sections of the University.

Prof. David Phoenix

Vice Chancellor



16 August 2019

Professor David Phoenix OBE
London South Bank University

(Sent via email)

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Dear Professor Phoenix

Research Excellence Framework 2021: Codes of Practice Assessment Outcome

Assessment Outcome: Accepted, subject to further clarification

Thank you for submitting a Research Excellence Framework (REF) 2021 Code of practice (COP).

I am pleased to inform you that following assessments conducted by both the REF 2021 Equality and Diversity Panel (EDAP) and Research England, your institution's COP is broadly considered to meet the published requirements set out in the REF 2021 COP Guidance (2019/03), subject to further clarification.

The assessment process highlighted the following area(s), where further clarification is required.

- The code does not explicitly confirm that staff agreement has been received for the processes established to identify staff with significant responsibility for research. Agreement should be sought from appropriate staff representation mechanisms, as required in paragraph 41 of the guidance on codes of practice. Please confirm directly to us, when staff agreement has been obtained, with a signed letter to this effect, emailed to the address specified below. Please also append the signed letter to the code and send this to us. If you are unable to obtain staff agreement before the deadline set out in this letter, please advise that this is the case and provide explanation.

...

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Please provide this clarification to Research England. This should be sent to researchpolicy@re.ukri.org, by 12pm, 20th September 2019. Please ensure that

- Where codes have been directly edited, two electronic copies of the updated COP are provided. One should include tracked changes, the second a final version with changes incorporated.
- Materials are submitted in Microsoft Word format
- The above guidance is followed, both in terms of subject and presentation of any additional information (where indicated).

Should Research England view that following clarification, your institution's COP does not meet the criteria as set out in the REF [2021 COP Guidance \(2019/03\)](#), the COP will be returned and will require further review as per the COP Assessment Process (an outline of the process is available at: <https://re.ukri.org/news-events-publications/publications/cop-circular-letter-to-institutions/>)

A new webinar on codes of practice and staff circumstances is available on the REF website: <https://www.ref.ac.uk/guidance/training-and-events-materials/webinar-on-codes-of-practice-and-staff-circumstances-in-ref-2021/>. The webinar focuses on areas HEIs may find useful as they amend or revise their COPs. It particularly focuses on staff eligibility, significant responsibility for research, research independence, and staff circumstances.

Overall, EDAP and Research England assessors were pleased to note the general quality of the submitted codes, which show clear commitment across the sector to equality and diversity and ensuring that COPs reflect the four key principles set out in the COP guidance: transparency, consistency, accountability and inclusivity. There are many examples of good practice and I anticipate that these will be shared with the sector in due course.

In the interests of best practice, I encourage all institutions participating in REF 2021, to consider the need for more than one person hearing appeals. The REF 2021 COP guidance did not explicitly outline a minimum number of members required for appeals panels and I recognise that as such, no formal requirements have been set. Despite this, the COP assessment process has highlighted that codes with appeals panels with more than one member, were strengthened by this and helped uphold the four key COP principles.

In addition to the specific feedback above, Research England would like to offer the following generic guidance that discusses some of the more prevalent issues that have been highlighted by the COP assessment process.

Staff Agreement

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It is a requirement that processes established to identify staff with significant responsibility for research were agreed with staff, through appropriate staff representation mechanisms within an HEI. All institutions participating in REF 2021 must provide confirmation that staff agreement has been reached, along with the details of the staff representative groups providing this agreement. This requirement reflects the need for these processes to be developed collaboratively with the academic staff body, ensuring that selected criteria are objective and non-discriminatory and again uphold the four key COP principles of transparency, consistency, accountability and inclusivity.

Adjustment of an institution's expectations of the contribution to a unit's output pool of staff with voluntarily declared circumstances

A key aim of the approach for taking account of staff circumstances is to recognise the effect that equality-related circumstances can have on an individual's ability to research productively. In addition to instances where formal reductions are sought, HEIs must ensure that their COP details how they will adjust their expectations of an individual's contribution to the unit output pool where that individual has voluntarily declared circumstances. This may be reflected in a reduction of expected workload / expected production of research outputs. Even where an HEI has no formal expectation of staff members' contribution to the output pool, they must still develop and outline approaches to adjusting expectations of staff with declared circumstances.

Output Reduction Requests

Equality-related circumstances, in isolation or together, may significantly constrain the ability of submitted staff to produce outputs or to work productively throughout the assessment period. In such instances, submitting units may optionally request a reduction, without penalty, in the total number of outputs required for a submission. It is expected that requests will only be made where the cumulative effect of circumstances has disproportionately affected the unit's potential output pool. The reductions requested should be set out in accordance with the guidance set out in REF 2021 Guidance on Submissions (REF 2019/01).

In addition, the nature of an individual's circumstances may have an exceptional effect on their ability to work productively throughout the period, so that the staff member has not been able to produce the required minimum of one output. In such instances, and in all UOAs, an individual may be returned without the required minimum of one output without penalty in the assessment - as per the guidance set out in REF 2021 Guidance on Submissions (REF 2019/01).



Institutions will be invited to submit requests for reductions for staff circumstances in September 2019. The deadline for these requests will be 6 March 2020. Further details on how to submit these requests will accompany the invitation.

Once again, I would like to thank you for your ongoing commitment to the REF 2021 COP. Please do not hesitate to contact us at researchpolicy@re.ukri.org, should you have any questions.

Yours sincerely

A handwritten signature in black ink, appearing to read "S Hill", written over a light grey circular background.

Steven Hill
Director of Research

cc: REF Institutional Contact
Professor Peter Doyle
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Karl Smith
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