



University
of Dundee

Research Excellence Framework (REF) 2021 Code of Practice

Should you require this document in an alternative format please e-mail your requirements to altformats@dundee.ac.uk



Contents

Background.....	4
Purpose of the REF	4
Framework for Assessment.....	4
Assessment Criteria and Outcomes	5
Categories of Staff Eligible for Submission to the REF	5
Strategy	7
Equality, Diversity and Inclusion.....	7
Code of Practice	8
Part 1: Introduction.....	8
1.1 Relationship to Broader Institutional Policies and Strategies	8
1.2 Revisions to the Code of Practice: October 2020	9
1.3 Achievements Since REF 2014.....	9
1.4 Key Principles.....	9
1.5 Communication	10
Part 2: Identifying Staff with Significant Responsibility for Research.....	12
Part 3: Determining Research Independence	13
3.1 Policies and Procedures.....	13
3.1.1 <i>Process for Determining Independence for ‘research-only’ Staff</i>	13
3.1.2 <i>Criteria for Independence</i>	15
3.1.3 <i>Former Staff</i>	16
3.1.4 <i>Training</i>	16
3.2 Appeals	16
3.2.1 <i>Informal Appeals Procedure</i>	16
3.2.2 <i>Formal Appeals Procedure</i>	17
3.3 Equality Impact Assessment (EIA)	17
Part 4: Selection of Outputs	18
4.1 Policies and Procedures.....	18
4.2 The Output Pool	18
4.3 Review and Attribution of Outputs.....	18
4.3.1 <i>Selection of Outputs from Former Staff</i>	19
4.3.2 <i>Feedback</i>	20
4.4 Staff Circumstances	20
4.4.1 <i>Measures to Support Staff with Individual Circumstances</i>	20
4.4.2 <i>Circumstances for Which a Reduction in Outputs is Permitted</i>	20
4.4.3 <i>Exceptional Circumstances</i>	21



4.4.4 Permitted Reductions	22
4.4.5 Expectations of Staff with Individual Circumstances	22
4.4.6 Declaration of Individual Circumstances.....	22
4.4.7 Review of Individual Circumstances	23
4.5 Notification of Reductions to UOA Planning Groups	23
4.6 Appeals	24
4.6.1 Informal Appeals Procedure	24
4.6.2 Formal Appeals Procedure.....	24
4.7 Requests for a Reduction to the Number of Outputs Required for a Submission (Unit Circumstances)	25
4.7.1 Submission and Outcomes of Requests for Unit Circumstances	26
4.8 Equality Impact Assessment	27
4.9 Promotion.....	27
4.10 Joint Submissions	27
4.11 Data Protection.....	27
Part 5: Appendices.....	28
Appendix 1: Management of the REF Process: Staff, Committees and Training.....	29
Appendix 1.1: REF Steering Group.....	30
Appendix 1.2: Main Panel Coordinating Groups	32
Appendix 1.3: Unit of Assessment (UOA) Planning Groups and Coordinators	34
Appendix 1.4: REF Equality, Diversity and Inclusion Group (REF EDI Group)	36
Appendix 1.5: REF Staff Circumstances and Independence Group (REF SCI Group).....	37
Appendix 1.6: REF 2021 Formal Appeals Panel.....	39
Appendix 2: Equality, Diversity and Inclusion (EDI) Governance and Management.....	40
Appendix 3: Independent Fellowships.....	43
Appendix 4: Appeals Procedure Flowchart	46
Appendix 5: REF Main Panel Criteria and Level Definitions	47
Appendix 6: Review of Outputs on a 13-Point Scale.....	53
Appendix 7: Summary of Equality Legislation Relevant to Scotland.....	54
Appendix 8: Permitted Reductions in Outputs for Individual Staff Circumstances	58
Appendix 9: List of Abbreviations	61
Appendix 10: Equality Impact Assessment on Code of Practice.....	62
Further Information	69

Background

Purpose of the REF

The Research Excellence Framework (REF) is the system for assessing research in UK Higher Education Institutions (HEIs). The REF is managed by the UK REF Team based at Research England, on behalf of the four UK higher education (HE) funding bodies, and is overseen by a REF Steering Group, consisting of representatives of the four funding bodies.

The outcomes of the REF:

- Inform the selective allocation of funding for research by the four funding bodies with effect from 2022-23; in Scotland this grant is made annually by the Scottish Funding Council (SFC) and is called the Research Excellence Grant (REG) – for 2019/20 the University of Dundee will receive over £19M in REG funding; of which over £11M is based on the results from REF 2014.
- Provide accountability for public investment in research and produce evidence of the benefits of this investment; and
- Provide benchmarking information and establish reputational yardsticks for use within the HE sector and for public information.

Framework for Assessment

The REF will be a process of expert review. Discipline-based expert sub-panels for each of the 34 Units of Assessment (UOAs) will assess submissions, working under the leadership and guidance of four main panels (A, B, C and D).

HEIs will be invited to make submissions in their chosen UOAs by 31 March 2021. Each submission in a UOA will contain, in summary:

- Information on staff in post on the census date of 31 July 2020, with significant responsibility for research, and information about former staff to whom submitted research outputs are attributed;
- Details of assessable outputs produced during the publication period (1 January 2014 to 31 December 2020)¹; the total number must equal 2.5 times the summed full-time equivalent (FTE) of the unit's submitted staff, rounded to the nearest whole number;
- Case studies describing specific examples of impacts achieved during the assessment period (1 August 2013 to 31 December 2020) that are underpinned by excellent research in the period 1 January 2000 to 31 December 2020²;
- Data about research doctoral degrees awarded, research income and income-in-kind for the period 1 August 2013 to 31 July 2020;

¹ Outputs expected to be in the public domain by 31 December 2020 which have been delayed by the effects of COVID-19 may also be submitted subject to meeting the eligibility requirements in the [Guidance on revisions to REF 2021](#).

² Outputs expected to be in the public domain by 31 December 2020 which have been delayed by the effects of COVID-19 may also be listed as references to the underpinning research subject to meeting the eligibility requirements in the [Guidance on revisions to REF 2021](#).



- An institutional-level environment statement, and a completed template describing the submitted unit’s research and impact environment for the period 1 August 2013 to 31 July 2020;
- Information on staff circumstances; where removal of the requirement for the minimum of one output from each staff member, or a unit reduction in the number of outputs required, is requested.

Assessment Criteria and Outcomes

Three distinct elements of submissions will be assessed:

- **Outputs:** The quality of submitted research outputs in terms of their ‘originality, significance and rigour’ with reference to international research quality standards;
- **Impact:** The ‘reach and significance’ of impacts on the economy, society, culture, public policy or services, health, the environment or quality of life that were underpinned by excellent research conducted in the submitted unit;
- **Environment:** The ‘vitality and sustainability’ of the research environment of the unit, including the approach to enabling impact.

The sub-panels will produce a ‘sub-profile’ for each element showing the proportion of research activity at each point on a 5 point scale (4*; 3*; 2*; 1*; unclassified). The three sub-profiles will then be combined into an overall quality profile using the following weightings:

Outputs	Impact	Environment
60%	25%	15%

The overall quality profile awarded to each submission will be the primary outcome of the REF.

Categories of Staff Eligible for Submission to the REF

Staff eligible to be returned to REF 2021 are termed ‘Category A eligible staff’. These are staff:

- With a contract of employment of 0.2 FTE or greater, on the payroll of the HEI on the census date (31 July 2020);
- Whose primary employment function is to undertake either ‘research-only’ or ‘teaching and research’³; and
- Who have a substantive research connection with the submitting unit.

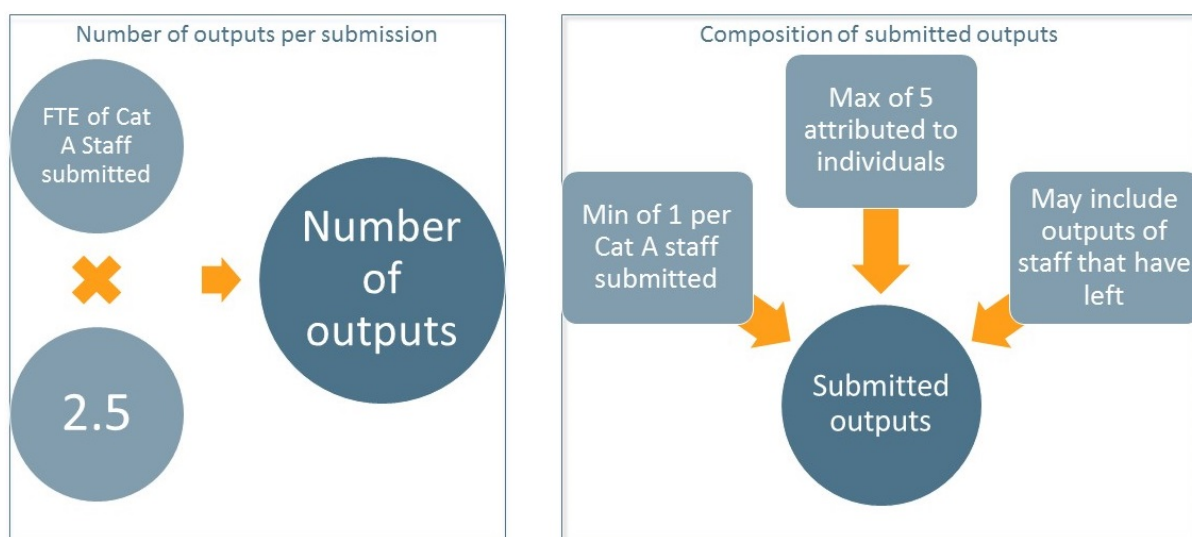
‘Research-only’ staff must meet the definition of an independent researcher, defined as an individual who undertakes self-directed research, rather than carrying out another individual’s research programme (section 3.1).

³ Staff returned to the Higher Education Statistics Agency (HESA) Staff Collection with an academic employment function of either ‘Academic contract that is research only’ or ‘Academic contract that is both teaching and research’.

Although vital to the research productivity of the University, research assistants⁴ are **not** eligible **unless**, exceptionally, they meet the definition of an independent researcher on the census date (section 3.1) **and** satisfy the definition of Category A eligible staff above.

HEIs must return all Category A eligible staff who have significant responsibility for research to the REF. 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. The University of Dundee aims to be inclusive and will return all Category A eligible staff (as defined above) to the REF.

The requirement to return all Category A eligible staff who have significant responsibility for research to REF 2021 reflects the shift in focus from selecting individual staff for submission in each unit (REF 2014) to selecting a portfolio of outputs for submission by each unit (REF 2021). The total number of outputs returned must equal 2.5 times the FTE of the Category A staff submitted in a unit. In building the portfolio of outputs, there is flexibility to attribute between 1 and 5 outputs to Category A staff, and to include up to 5 outputs of former staff who were on an eligible contract when the outputs were first made publicly available.



Adapted from Figure 3 in REF Guidance on Submissions

This flexibility, combined with the provision for Category A staff to be returned without the minimum of one output due to exceptional individual circumstances (section 4.4.3), will enable HEIs to: 1) select their highest quality outputs for each unit; and 2) take account of the effects individual circumstances can have on the productivity of researchers and their ability to contribute to the pool of outputs at the same rate as other staff (section 4.4). When REF 2021 submissions are published online in summer 2022 the submitted outputs will not be listed by author name, and the names of the staff submitted will not be published, consistent with the ethos that REF 2021 should focus on the submitting units, rather than individual researchers.

⁴ The REF defines research assistants as: Academic staff whose primary employment function is 'research only', and they are employed to carry out another individual's research programme rather than as independent researchers in their own right. They are usually funded from research grants or contracts from Research Councils, charities, European Union or other overseas sources, industry, or other commercial enterprises, but may also be funded from the institution's own funds.

Strategy

The University will seek to:

- Capture the breadth, depth, intensity and impact of its internationally excellent and world-leading research, and the vibrancy of its research environment, in its submission - building on the research strengths across and between all academic Schools;
- Ensure that the preparation of the submission has strong academic and Professional Services leadership, informed by performance enhancement measures such as the Annual Review of Research (ARR); and
- Ensure that all aspects of preparing the submission are fair, transparent and consistent with the University's policies on equality, diversity and inclusion and the avoidance of discrimination.

Staff who are not eligible for return to REF 2021 (for example, staff on teaching and scholarship, academic-related or technical contracts) should be reassured that their contribution to the ambitions of the University is as valuable as colleagues who are returned. Consistent with our institutional values, true success in REF 2021 requires all academic and Professional Services staff to work together in pursuit of the University's mission to transform lives by the creation, sharing and application of knowledge.

Equality, Diversity and Inclusion

The University is committed to providing and maintaining an environment that is free from unlawful discrimination and any forms of harassment, bullying or victimisation of individuals because of age, disability, gender identity, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex or sexual orientation. The University will also ensure that fixed-term and part-time employees are not treated any less favourably than comparable employees on open-ended or full-time contracts. In the next section we detail a Code of Practice which frames the University's decision-making processes in relation to REF 2021 in the context of the principles of equality, diversity and inclusion, and all relevant legislation. The Code of Practice has been developed by the University's REF Equality, Diversity and Inclusion Group (REF EDI Group), the terms of reference and membership of which can be found in Appendix 1.4.



Code of Practice

Part 1: Introduction

1.1 Relationship to Broader Institutional Policies and Strategies

Equality, Diversity and Inclusion (EDI) is embedded in the broader structures of the University through its current five-year strategy (to 2022) and as part of its vision to be recognised as Scotland's leading university. The Strategy to 2022 has four interdisciplinary themes: understanding and improving health and wellbeing; life enhancing creativity and design; innovating technological solutions to tomorrow's problems; and promoting social change to enhance diversity, justice and socio-economic prosperity.

The Strategy's eight strands will:

- Enable the people in our community to flourish, enhancing their readiness to succeed in a digital world and transforming our approach to individual and team performance through engaged leadership that achieves collaborative advantage;
- Further advance our commitment to our values, accelerating progress in diversity, inclusion and fairness;
- Increase our impact and public engagement locally and globally;
- Extend and embed an interdisciplinary, team based approach across teaching and research, with all members of our community jointly tackling real world problems in key thematic areas;
- Substantially grow and diversify our student body, ensuring that we remain a uniquely welcoming community;
- Strengthen our ability to achieve extraordinary things in a financially and environmentally sustainable way;
- Transform our business systems and our ways of working, further strengthening our one-Dundee approach to partnership working between and across academic Schools and Professional Services; and
- Grow our reputation for excellence nationally and internationally.

The University of Dundee is committed to advancing equality, diversity and inclusion for its students, staff and the community. Through maintaining a positive and supportive environment for staff, students and visitors alike, we strive to achieve our overarching strategic aim of being a high performance community. The University's strategic goals and indicators demonstrate our overarching alignment with the SFC Outcome Agreement and the Public Sector Equality Duty requirements.

Our Mainstreaming and Equality Outcome Plans progress reports demonstrate embedding of EDI into our processes and practices to effect an institutional cultural change. Our policies and practices that promote EDI include our Equality and Diversity Policy, activities related to gender and transgender (Athena SWAN), LGBT (Stonewall Workplace Equality Index), BME staff and race (Race

Equality Charter) and formal staff networks and initiatives and actions through our commitment to the Concordat for the Career Development of Researchers.

1.2 Revisions to the Code of Practice: October 2020

Whilst the principles, approach and commitments outlined in the institution's Code of Practice are unchanged, COVID-19 has affected the timescales for some of the processes and decisions previously set out in the Code of Practice published in June 2019. This revised Code of Practice sets out the revised timescales.

1.3 Achievements Since REF 2014

As a result of the actions taken since REF 2014 we have:

- Restructured our EDI governance and management framework to facilitate mainstreaming across the University including establishing EDI committees in Schools and Professional Services with dedicated EDI Coordinators appointed to progress the equality agenda (Appendix 2);
- Established an Academic Promotions Mitigating Circumstances Review Group to ensure that academic staff with equality-related individual circumstances are not disadvantaged during the annual promotion round;
- Been awarded an institutional Athena SWAN bronze award and achieved bronze awards in 5 Schools and a silver award in one School;
- Continued to support research staff through the Concordat for the Career Development of Researchers as evidenced by the retention of our HR Excellence in Research Award and reflected in our practices, including establishing cross-institutional mentoring schemes for academic and Professional Services staff;
- As evidenced in our 2019 pay gap report, reduced our average gender pay gap by 1.87%, average ethnicity pay gap by 2.11% and average disability pay gap by 8.93% between 2016 and 2018: whilst our gender pay gap remains significantly in favour of male members of staff, the average ethnicity and disability pay gaps are slightly in favour of these groups. We remain committed to a system which rewards staff fairly and equitably, regardless of protected characteristics and to continuing to work to reduce our gender pay gap;
- Revised the Dignity at Work and Study Policy and Procedure to support staff and students in addressing issues relating to harassment and bullying including appointment of harassment advisers across the University.

1.4 Key Principles

Consistent with our values, in developing the Code of Practice, the University has sought to ensure that the Code embodies the following key principles.

Transparency: The processes for determining whether a member of staff on a 'research-only' contract meets the REF definition of an independent researcher and for selecting outputs for inclusion in submissions to individual UOAs are detailed in this Code (Parts 3 and 4), which will be communicated widely to all potentially-eligible staff, including those who are absent from work (section 1.5). The membership of committees or groups involved in decision-making for the REF will be published on the University of Dundee's internal REF website and updated should existing

members leave or new members be appointed. The final version of the Code of Practice, approved by the Scottish Funding Council, will be published on the University's Human Resources and REF websites. The Code will be made available in alternative formats, on request (e-mail altformats@dundee.ac.uk).

Consistency: The overarching principles of equality, diversity and inclusion will apply to all Category A eligible staff across all UOAs, with a consistent approach to identification of 'research-only' staff who meet the REF definition of an independent researcher, the selection of outputs, measures to support staff with individual circumstances and appeals.

Accountability: The Code defines the roles and responsibilities (including terms of reference) of the individuals, groups and committees involved in decision-making for the REF, including those involved in determining research independence, selecting outputs and considering individual circumstances (Appendix 1). The Code also states what training will be undertaken by those involved in decision-making and the process by which staff can appeal against a decision on their research independence or individual circumstances to an independent panel.

Inclusivity: The Code aims to ensure that all staff on 'teaching and research' contracts and all staff on 'research-only' contracts who meet the REF definition of an independent researcher are included in the REF submission. In doing so, the Code recognises that individual circumstances may have constrained the ability of some staff to research productively throughout the assessment period and outlines how the expected contributions to the relevant unit's output pool will be adjusted for staff who receive a reduction in outputs following voluntary declaration of individual circumstances.

Equality Impact Assessment (EIA) is a planning tool to help ensure that our policies, practices and decisions are equitable and fair, meet the needs of staff, and are not inadvertently disadvantaging any protected group. EIAs will be undertaken on the policy and procedures for determining research independence and selecting outputs. The outcomes of EIAs will be considered and, where appropriate, action taken to address any unintended consequences of the policies and procedures on protected groups. The initial EIA on this Code of Practice is provided in Appendix 10.

1.5 Communication

The University has introduced a programme of communication activity to inform all potential Category A eligible staff of the Code of Practice. This includes:

- Wide consultation with staff (April/May 2019) through:
 - An e-mail from the Convener of the REF EDI Group to all staff to invite feedback on the draft Code of Practice;
 - Announcement and publication of the draft Code on the University's internal REF website;
 - Open briefing and drop-in sessions;
 - Involvement of equality staff networks and groups.

- Submission of the draft Code of Practice to meetings of key University committees and groups for comment and feedback (Equality, Diversity and Inclusion Committee; People and Organisational Development Committee; Union Local Joint Committee; REF Steering Group; Research and Knowledge Exchange Committee; Senate; University Executive Group).

- Following submission of the Code to the SFC for approval (7 June 2019):



- Publication of the final submitted version of the Code (June 2019) and, if any amendments are required, the final approved version of the Code (August to November 2019), on the University's internal Human Resources and REF websites;
 - E-mails from the Convener of the REF EDI Group to raise awareness of i) the final submitted Code of Practice (June 2019); ii) the final approved version of the Code of Practice, incorporating any amendments required by the SFC (August to November 2019).
- Following approval of the revised Code of Practice, which takes into account the effects of COVID-19:
 - Publication of the revised version of the Code on the University's internal Human Resources and REF websites (October-November 2020);
 - E-mails to all relevant staff from the Convener of the REF EDI Group to raise awareness of the revised Code of Practice (October- November 2020).
 - Briefings for UOA Coordinators/Planning Groups (for terms of reference and membership see Appendix 1.3), and other Groups and individuals involved in preparation of the REF submission, on the operation of the Code (ongoing).
 - Communication (by Human Resources) of the draft and final versions of the Code of Practice to staff who are absent from the University either electronically or by letter/hard copy using their most appropriate contact details.

All consultation responses were considered by the REF EDI Group and changes incorporated into the final version of the Code of Practice as appropriate.



Part 2: Identifying Staff with Significant Responsibility for Research

Subject to any decision to request an exception from submission for small units (< 5 FTE), the University will submit 100% of Category A eligible staff to UOAs and will therefore not require a process to identify staff with significant responsibility for research. Category A submitted staff for the REF will therefore be all 'teaching and research' staff⁵, and all 'research-only' staff⁶ who meet the REF definition of an independent researcher (section 3.1).

⁵ Staff returned to the Higher Education Statistics Agency Staff Collection with an academic employment function of 'Academic contract that is both teaching and research'.

⁶ Staff returned to the Higher Education Statistics Agency Staff Collection with an academic employment function of 'Academic contract that is research only'.

Part 3: Determining Research Independence

3.1 Policies and Procedures

Staff employed on 'research-only' contracts perform a variety of important roles in the University including acting as research assistants, research services and facilities managers and Principal Investigators, all of which are vital for the generation of excellent research. However, not all staff employed on 'research-only' contracts meet the definition of Category A eligible staff for the REF. To be eligible for submission to the REF, staff on 'research-only' contracts must meet the REF definition of an independent researcher. For the purposes of the REF, an independent researcher is defined as:

- An individual who undertakes self-directed research, rather than carrying out another individual's research programme.

As research assistants are members of academic staff employed to carry out another individual's research programme rather than as independent researchers in their own right they are not eligible to be returned to the REF unless, exceptionally, they meet the definition of an independent researcher on the REF census date and satisfy the definition of Category A eligible staff.

3.1.1 Process for Determining Independence for 'research-only' Staff

All Category A eligible staff on 'research-only' contracts who meet the definition of an independent researcher will be included in the University's submission to the REF. There will be two major exercises to determine research independence, aligning with the preparation of data for the HESA returns for 2018/19 and 2019/20, based on staff in post on 31 July 2019 and 31 July 2020. Staff joining the University after 31 July 2019 will be considered on a case by case basis up until the census date of 31 July 2020. The initial list of 'research-only' staff who meet the REF definition of an independent researcher is expected to be determined and communicated to eligible staff and UoA Planning Groups by the end of December 2019. Where possible (subject to appeals), the final list of 'research-only' staff who meet the REF definition of an independent researcher will be determined and communicated to eligible staff and UoA Planning Groups by the end of October 2020. Indicative timings for the process are shown below.

	2019					2020											
	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	
Determination of independence for research only staff in post on 31 July 2019	■																
2018/19 HESA submission				■													
Communication of decisions on independence to research only staff in post on 31 July 2019 and UoA Planning Groups (including right to appeal where relevant)				■													
Determination of independence for research only staff in post from August 2019 onwards			■														
Appeals against decisions on independence				■													
Communication of decisions on independence to research only staff in post on 31 July 2020 and UoA Planning Groups (including right to appeal where relevant)													■				
Decisions on appeals completed and communicated															■		

The process for determining independence will build on the current process for preparing the annual HESA return and staff lists for the University's ARR, and will be managed centrally to ensure consistency across all Schools and UOAs. The process will include the following steps:

- 1) A list of all 'research-only' staff employed by the University on a 0.2 FTE or greater contract on 31 July 2019 will be generated by Human Resources, indicating staff who do and do not meet the REF definition of a research assistant based on existing data.
- 2) The Convener of the REF EDI Group or nominated deputy will communicate the process for determining whether staff meet the REF definition of an independent researcher to all 'research-only' staff meeting the above criteria. Staff classified as research assistants will be informed that they will not be routinely included in the exercise. If they believe that they meet the REF definition of an independent researcher **and** satisfy the definition of Category A eligible staff they may discuss their eligibility with their Associate Dean for Research or UOA Planning Group Coordinator. If the discussion indicates that they may meet the criteria they will be referred to the REF Staff Circumstances and Independence Group (REF SCI Group), the terms of reference and membership of which are described in Appendix 1.5.
- 3) The REF SCI Group will review each individual on the list (other than research assistants) against the criteria for independence (section 3.1.2). To reduce the burden on individual staff and Schools, the review will be informed in the first instance by information held centrally, including details of externally-funded research grants and research fellowships and information on grade, position title, contract and role. Where further information is required to make a decision, this will be requested directly from Schools (via the Associate Deans for Research and Professional Services Leads for research) or individuals (for example, CVs). The outcome of the review will be a list of provisional decisions on research independence.
- 4) The provisional decisions on which staff meet the REF definition of an independent researcher, and which do not, and the evidence on which they are based, will be provided to School Associate Deans for Research and Professional Services Leads for research for review and feedback.
- 5) Taking into account feedback from Schools, the REF SCI Group will determine which members of 'research-only' staff do, and which do not, meet the REF definition of an independent researcher. The REF SCI Group will then recommend these decisions for approval by the REF Steering Group, the terms of reference and membership of which are described in Appendix 1.1. The REF Steering Group will receive the rationale for the recommendation for each member of staff and may request clarification from the REF SCI Group where it is unable to make a decision on the basis of the information provided.
- 6) All 'research-only' staff included in the exercise (see paragraph 2 above) will be informed of the decision on their research independence and of their right to appeal the decision (section 3.2). The rationale for the decision, referenced to the criteria for independence detailed in this Code of Practice (section 3.1.2), will be provided to each member of staff by the Convener of the REF SCI Group (or nominated deputy).
- 7) The process will be repeated at regular intervals for new staff appointed after the initial exercise up until the census date of 31 July 2020.
- 8) A final review of all 'research-only' staff in post on the census date of 31 July 2020 will be undertaken using the process described. This will provide a definitive list of staff who meet the REF definition of an independent researcher on the census date and ensure that any changes in

independent researcher status that occur (for example, for those who are working towards independence) following the initial review of each member of staff are incorporated.

This process will be used solely to determine which staff on 'research-only' contracts meet the eligibility criteria for return to the REF and to inform the University's HESA return; it will not be used to inform processes relating to promotion or progression. Staff on fixed-term and part-time contracts will not be treated any less favourably than comparable employees on open-ended or full-time contracts when determining independence. All staff on 'research-only' contracts who meet the REF definition of an independent researcher, as determined by this process, will be returned to the REF.

3.1.2 Criteria for Independence

In determining independence, the following indicators will be considered in combination with Human Resources data on grade, position title, contract and role.

Possible indicators of independence (considered appropriate by all Main Panels - A, B, C and D):

- leading or acting as principal investigator or equivalent on an externally funded research project; or
- holding an independently won, competitively awarded fellowship where research independence is a requirement (an illustrative, but not exhaustive, list of independent fellowships can be found in Appendix 3); or
- leading a research group or a substantial or specialised work package.

Other possible indicators of independence (considered appropriate by Main Panels C and D only):

- Being named as a Co-Investigator on an externally funded research grant/award; or
- Having significant input into the design, conduct and interpretation of the research.

The REF definition of an independent researcher will be met where the staff member clearly meets the definition of an individual who undertakes self-directed research through reference to the indicators and Human Resources data, noting that each indicator may not individually demonstrate independence and, where appropriate, multiple factors may need to be considered. Whilst a fellowship is not a prerequisite for independence, normally staff who hold an independently won, competitively awarded fellowship where research independence is a requirement will be considered to be independent researchers unless there is clear evidence to the contrary. The list of indicators above is not exhaustive; other indicators will also be considered where they make a substantial contribution to evidence of research independence. However, a member of staff will not be deemed to have undertaken independent research purely on the basis of their job title or that they are named on one or more research outputs.

A template will be used to record decisions and the evidence on which they are based; this will be made available to School Associate Deans for Research and Professional Services Leads when requesting feedback on provisional decisions and to 'research-only' staff when informing them of the decision. The final decisions of the REF Steering Group will be recorded on the Human Resources database to inform HESA returns. 'Research-only' staff who meet the REF definition of an independent researcher will also be recorded as eligible for submission in the REF 2021 module of

Pure, the Current Research Information System which will be used to prepare the University's submission to the REF.

The evidence underpinning the decision-making process will be held centrally in a secure location to inform responses to any audit requests relating to the independence of submitted members of staff.

3.1.3 Former Staff

Other than in the specific case of compulsory redundancy detailed in section 4.3.1, the outputs of former staff may be included in the University's REF submission if they were made publicly available when the member of staff was on an eligible contract. To ensure that outputs attributed to former 'research-only' staff are eligible, the independence of 'research-only' staff at the time the outputs were made publicly available will be determined on a case by case basis prior to submission using the criteria for independence described above.

3.1.4 Training

Members of all groups involved in preparation of the REF submission are required to have undertaken the University's equality, diversity and inclusion and information security awareness training, and will be required to undertake unconscious bias training (Appendix 1). The REF SCI Group will also receive a tailored briefing on the indicators of independence and Human Resources data from the Human Resources Manager responsible for the HESA return and Research Policy Manager prior to the first review meeting. This will be based on experience of preparing previous HESA returns and the REF Guidance on Submissions. The briefing will also be delivered to UOA Coordinators, Associate Deans for Research and Professional Services Leads for research in each School before their involvement in the process and to members of the REF Steering Group, prior to their consideration of the recommendations of the REF SCI Group.

3.2 Appeals

Staff on 'research-only' contracts can appeal against the decision of the REF Steering Group on the following grounds:

- The procedures outlined in this Code of Practice for determining research independence were not applied or were applied incorrectly.

Appeals can be against the decision to categorise a researcher as either independent or not independent.

There are two routes for appeal (a flowchart is provided in Appendix 4).

3.2.1 Informal Appeals Procedure

Any member of staff who believes that the procedures for determining research independence were not applied or were applied incorrectly in their case should first discuss the matter informally with either the Research Policy Manager or their Associate Dean for Research. If the member of staff still disagrees with the decision after the informal discussion they may ask the REF SCI Group to reconsider their decision by providing: i) an explanation of why they believe the decision was incorrect, with reference to the criteria for independence described in this Code of Practice; and 2) a copy of their current CV and any additional material relevant to the criteria for independence they wish to be considered. A template will be provided for submitting the appeal. The information should be sent to refequality@dundee.ac.uk within 10 working days of receiving the decision. Staff who prefer not to have an initial discussion can request that the decision is reviewed by sending the required information directly to refequality@dundee.ac.uk according to the same timescales.

The REF SCI Group will review the original decision, taking into account the information provided by the member of staff, and make a recommendation to the REF Steering Group on whether the appeal

should be accepted or not. The decision of the REF Steering Group will be relayed to the member of staff within 10 working days of the REF Steering Group meeting and, if the informal appeal was unsuccessful, will include details of how to submit a formal appeal to an independent appeals panel. The relevant UOA Planning Group and Main Panel Coordinating Group will also be informed if the appeal results in a change to the independence status of the member of staff for the REF.

3.2.2 Formal Appeals Procedure

Members of staff who are dissatisfied with the outcome of the informal process may submit a formal appeal to an independent panel. Formal appeals must clearly state the grounds for appeal and be lodged with the Director of Academic and Corporate Governance (ACG) within 10 working days of receiving the decision. A template will be provided for submitting the appeal. The template will allow the appellant to state whether they wish their appeal to be considered solely on the basis of written representation or whether they would like the appeal to be heard in person. Where an appeal is heard in person the appellant will be entitled to be accompanied to the hearing by a work colleague of their choosing or a trade union representative.

Should any formal appeals be received, the Director of ACG will establish a formal Appeals Panel, the terms of reference and membership of which can be found in Appendix 1.6. The Appeals Panel will meet within 20 working days of an appeal being lodged. The Panel will review the information considered by the REF SCI Group when making the original decision, and the rationale provided for that decision in the recommendation to the REF Steering Group, with reference to the criteria for independence in this Code of Practice, taking into account any additional information provided by the member of staff. The decision of the Appeals Panel is final and will be relayed to the member of staff within 10 working days of the Appeals Panel meeting. The relevant UOA Planning Group and Main Panel Coordinating Group will also be informed if the appeal results in a change to the independence status of the member of staff for the REF.

3.3 Equality Impact Assessment (EIA)

EIAs will be undertaken after the completion of the first exercise to identify independent researchers in December 2019 and again on staff in post on the census date (31 July 2020), based on the protected characteristics for which data are available. Data analyses will consider the protected characteristics of staff who meet the REF definition of an independent researcher relative to an appropriate comparator group. EIAs will be conducted under the oversight of the REF EDI Group for consideration of any outcomes identified as having a differential impact on any particular group and any actions that should be taken as a result. The results of EIAs, and any recommendations for actions arising from them, will be reported to the REF Steering Group.

Part 4: Selection of Outputs

4.1 Policies and Procedures

Consistent with the University's strategy to improve its UK and global reputation and ranking for research, and its expectation that all research undertaken at the University is of an internationally excellent standard, the primary criterion for selection of outputs will be quality, referenced to the criteria and level definitions for each Main Panel published in the REF Panel Criteria and Working Methods (REF 2019/02, paragraphs 190 to 205; Appendix 5). The initial selection of outputs will be undertaken by UOA Planning Groups based on internal peer review, supplemented by external validation and advice where appropriate.

4.2 The Output Pool

The initial pool of outputs for each UOA will be those proposed by staff as high quality during the University's ARR and associated School processes, which will have been entered into the REF 2021 module of Pure. After the completion of the ARR for calendar year 2018 in May/June 2019, staff will be invited to view which of their outputs are under consideration in the REF module and to propose any further outputs they consider to be their strongest; this exercise will be performed by UOA Planning Groups in accordance with their local timetables for output assessment and selection, consistent with any University-wide deadlines set by the REF Steering Group. UOA Planning Groups may also propose additional outputs for review where they believe them to potentially be of high quality, including the outputs of former staff. After UOA Planning Groups have been notified of the reductions in the number of outputs required for staff with individual circumstances (section 4.5) they will ensure that a least one output has been proposed for each Category A eligible member of staff except for individuals who have had the requirement for a minimum of one output removed due to exceptional circumstances (section 4.4.3).

4.3 Review and Attribution of Outputs

Academic judgements on the quality of outputs will be made by at least two reviewers using a 13-point scale (Appendix 6). Reviewers will not score their own outputs. If the scores of the reviewers differ, the UOA Planning Group will agree a score through discussion. Where agreement cannot be reached the relevant Main Panel Coordinating Group will agree a score; this may involve seeking advice from an external assessor. Agreed scores will be entered into the Pure REF Module.

UOA Planning Groups will attribute outputs to individual staff from the available output pool. Attribution of outputs to individual members of staff will be performed in the Pure REF module. Outputs will be attributed to individual staff by UOA Planning Groups in a way that aims to maximise the overall quality profile for the submission. In summary, this will involve the following:

- For co-authored outputs, determining that each co-author to whom an output may be attributed made a substantial research contribution to the output;
- Attributing one output to each eligible member of staff (unless the minimum of one requirement has been removed due to exceptional circumstances (see section 4.4.3)); this will be done in a way that maximises the overall quality profile;
- Selecting the highest quality outputs from the remaining pool of outputs of Category A eligible and former staff up to the total required for the submission, ensuring that no individual has more than 5 outputs attributed to them;



- Moderation of the selection to ensure that the 5% tolerance for outputs that do not meet the Open Access policy requirement is not exceeded (if necessary);
- For Main Panel D, moderation of the selection to ensure that the 5% tolerance for co-authored outputs submitted twice in a single UOA is not exceeded (if necessary).

Selection and attribution of outputs will be an iterative process, incorporating the review of new outputs as they become available up until approval of final submissions in March 2021. The initial and subsequent selection of outputs by UOA Planning Groups will form the basis of recommendations on the outputs to be submitted to the relevant Main Panel Coordinating Group during this iterative process. Main Panel Coordinating Groups (the terms of reference and membership of which are described in Appendix 1.2) will provide feedback on output selection and attribution to UOA Planning Groups and make final recommendations on the outputs to be submitted to the REF Steering Group. The final decision on which outputs will be submitted for each UOA will be made by the REF Steering Group.

Consistent with the University's position as a signatory to the San Francisco Declaration on Research Assessment, and the guidance in the REF Panel Criteria and Working methods, REF Groups involved in the selection of outputs will be instructed not to use journal impact factors or any hierarchy of journals in their assessment of outputs. Review of the research content of outputs will therefore be the primary means of assessing outputs. For disciplines covered by REF UOA sub-panels which will use citation data to inform their assessment, such data may also be used as an indicator of the academic significance of outputs to inform the internal review, taking account of the recognised limitations of citation data, as appropriate. As detailed in section 3.1.4 and Appendix 1, members of REF Groups will be required to undertake unconscious bias training in addition to equality, diversity and inclusion and information security awareness training.

External assessors may be asked to provide advice on the quality of outputs either: 1) on a sample basis to validate internal processes; or 2) with respect to specific outputs identified by UOA Planning Groups or Main Panel Coordinating Groups. Where external assessors are invited to comment on the quality of outputs they will be asked to do so with reference to the criteria and level definitions for each Main Panel and in compliance with this Code of Practice.

4.3.1 Selection of Outputs from Former Staff

Other than in the specific case of compulsory redundancy detailed below, all outputs from former staff that meet the REF eligibility criteria will be available for selection providing they became publicly available when the member on staff was employed at the University of Dundee on an eligible contract (a 'teaching and research' or 'research-only' contract where the member of staff met the REF definition of an independent researcher). Selection will be on the basis of research quality.

Redundancy: No outputs will be attributed to any former member of staff who has been subject to compulsory redundancy resulting from an organisational change initiated by the University. For the avoidance of doubt, this category does not include staff who left the University at the end of a fixed-term contract, as a result of a reduction or cessation of external funding or through any mutually agreed severance arrangement including voluntary severance.

Outputs by staff who were subject to compulsory redundancy which were co-authored with other eligible members of staff will remain eligible for attribution to the co-authors.

4.3.2 Feedback

In the interests of transparency, following final submission UOA Coordinators will provide a list of the outputs returned to the REF to all Category A eligible staff returned in the unit.

4.4 Staff Circumstances

4.4.1 Measures to Support Staff with Individual Circumstances

To support equality and diversity in research careers, the funding bodies have put in place the following mechanisms to recognise the effect that an individual's circumstances may have had on their ability to contribute to the output pool for a UOA at the same rate as other staff:

- a) Establishment of safe and supportive structures to enable individuals to voluntarily declare their individual circumstances and have the impact of those circumstances reflected in the HEIs expectations of their contribution to the UOAs output pool;
- b) An option for institutions to apply for a reduction in the total number of outputs required in a submission where the cumulative effect of individual circumstances has disproportionately affected the UOAs potential output pool;
- c) Provision for an individual to be returned without the required minimum of one output without penalty, where the nature of the individual's circumstances has had an exceptional effect on their ability to work productively throughout the assessment period such that they have not been able to produce an eligible output.

4.4.2 Circumstances for Which a Reduction in Outputs is Permitted

The individual circumstances for which a reduction in outputs is permitted are summarised below:

- a) Qualifying as an Early Career Researcher (ECR)

ECRs are members of staff who meet the definition of Category A eligible staff on the census date, and who started their careers as independent researchers on or after 1 August 2016. For the purposes of the REF, an individual is deemed to have started their career as an independent researcher from the point at which:

 - 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; **and**
 - They first met the definition of an independent researcher (section 3.1).
- b) Absence from work due to secondments or career breaks outside the HE sector during which the individual did not undertake academic research.
- c) Qualifying periods of family-related leave. These are:

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 leave⁷, or shared parental leave⁸ lasting for four months or more, taken substantially during the period 1 January 2014 to 31 July 2020.

- d) Qualifying as a Junior Clinical Academic (UOAs 1 – 6 only), defined as:
Clinically qualified academics who are still completing their clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or its equivalent prior to 31 July 2020.

- e) Circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in outputs. These are:
 - i. Disability (as defined in Appendix 7);
 - ii. Ill health, injury, or mental health conditions
 - iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances for qualifying periods of family-related leave;
 - iv. Other caring responsibilities (such as caring for an elderly or disabled family member);
 - v. Gender reassignment;
 - vi. Other circumstances relating to the protected characteristics listed in Appendix 7, or relating to activities protected by employment legislation.

Part-time working is not included in the list of circumstances because it is accounted for within the calculation for the overall number of outputs required for submission (determined by multiplying the unit's FTE by 2.5). However, a reduction in outputs may be permitted in exceptional circumstances, 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.

4.4.3 Exceptional Circumstances

The University recognises that some staff may have had individual circumstances that have had an exceptional effect on their ability to work productively throughout the assessment period such that they **have not been able to produce an eligible output**. Subject to the member of staff declaring the circumstances, the University will request the removal of the requirement to submit a minimum of one output for that individual where any of the following circumstances apply within the period 1 January 2014 to 31 July 2020:

- a) Absence from research for 46 months or more due to one or more of the circumstances described in section 4.4.2 (such as an Early Career Researcher who has only been employed as an eligible staff member for part of the assessment period);

⁷ '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'.

⁸ '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.



- b) Circumstances equivalent to 46 months or more absence from research, where circumstances described in section 4.4.2e (such as mental health issues, caring responsibility, long-term health conditions) apply; or
- c) Two or more qualifying periods of family-related leave (as defined in Appendix 8).

Where a combination of circumstances is declared but the individual thresholds above are not met, a judgement on whether the combined circumstances would have resulted in a similar impact on the ability of the individual to work productively throughout the assessment period will be made.

4.4.4 Permitted Reductions

The permitted reductions in outputs for qualifying as an ECR, absence from work due to secondments or career breaks, qualifying periods of family-related leave, and qualifying as a junior clinical academic, are defined by tariffs set out in the REF Guidance on submissions (REF 2019/01) and reproduced at Appendix 8. Where individuals have had a combination of circumstances that have a defined reduction in outputs, these may be accumulated up to a maximum reduction of 1.5 outputs with the proviso that only one circumstance can be taken into account for any period of time during which they took place simultaneously.

Reductions for circumstances with an equivalent effect to absence will require a judgement to be made about the effect of those circumstances in terms of the equivalent period of time absent from work, applying the same reductions as those used to determine the permitted reduction for staff who have undertaken secondments or career breaks (Appendix 8; Table L2). Where an individual has a combination of circumstances with a defined reduction in outputs and additional circumstances requiring a judgement, these will be considered together, taking into account all of the circumstances.

The University's procedures for considering the impact of staff circumstances on an individual's ability to research productively during the assessment period are described below.

4.4.5 Expectations of Staff with Individual Circumstances

Each UOA will be required to submit an average of 2.5 outputs/FTE to the REF. However, in common with the funding bodies, the University recognises that there are many reasons why an eligible member of staff may have fewer or more excellent outputs and will use the flexibility to return between one and five outputs for each individual submitted to both maximise the predicted overall quality profile for each unit and to ensure that the expectations of staff who are unable to contribute to a unit's output pool at the same rate as other staff due to individual circumstances are adjusted.

4.4.6 Declaration of Individual Circumstances

To ensure staff can declare their circumstances confidentially, and that the process is applied consistently across the University, the procedure for declaring individual circumstances will be managed centrally by the University's Head of Equality, Diversity and Inclusion.

All staff on 'teaching and research' contracts, and all staff on 'research-only' contracts who meet (or provisionally meet) the REF definition of an independent researcher, will be invited to complete an Individual Staff Circumstances Disclosure Form with a first deadline in September 2019 and a second deadline in January 2020. A further deadline in October 2020 will be communicated to all staff on 'teaching and research' contracts and all staff on 'research-only' contracts who meet the REF definition of an independent researcher. The form will be made available on the University's REF 2021 web pages and in paper format. Staff who are

absent from the University will be sent their invitation electronically or by letter using their most appropriate contact details, as determined by Human Resources. The invitation will make it clear that completion of the form is voluntary and that staff do not have to complete and return the form if they do not wish to do so. Shortly before the deadline for completion, staff will be sent a reminder that the deadline is approaching, again using the most appropriate contact details; the reminder will again emphasise that completion and return of the form is voluntary.

Staff who are unsure whether they would like to declare their circumstances may contact the Head of Equality, Diversity and Inclusion, Research Policy Manager or the relevant UOA Coordinator, Associate Dean for Research or Human Resources Officer, for a confidential discussion; no pressure will be placed on any individual to make a declaration should they not wish to do so.

All Individual staff Circumstances Disclosure Forms and associated electronic correspondence will be destroyed on completion of the REF.

4.4.7 Review of Individual Circumstances

The Individual Staff Circumstances Disclosure Forms will be reviewed by the REF SCI Group. The terms of reference for the REF SCI Group, along with details of the membership, can be found in Appendix 1.5. In addition to equality, diversity and inclusion, information security awareness and unconscious bias training (section 3.1.4), the REF SCI Group will receive a tailored briefing on the REF guidance on individual circumstances, including the calculation of reductions in outputs, from the Head of Equality, Diversity and Inclusion and Research Policy Manager before commencing the review.

The REF SCI Group will determine the reduction in each individual's expected contribution to the output pool, based on the published tariffs for defined reductions (Appendix 8) and the Group's estimation of the impact of circumstances requiring a judgement in terms of the equivalent period of absence.

The decision of the REF SCI Group will be communicated promptly to the individual member of staff by the Convener of the REF SCI Group (or nominated deputy), notifying the recipient of their right to appeal (section 4.6).

4.5 Notification of Reductions to UOA Planning Groups

The REF SCI Group will, through the UOA Coordinator, inform the relevant UOA Planning Group of the reduction in the expected contribution of each individual member of staff with individual circumstances to the unit's output pool but not the nature of the circumstances leading to the reduction. This would not prevent the UOA Planning Group from recommending the inclusion in the submission of additional outputs to which the individual had made a substantial contribution where that served to maximise the overall quality profile.

To ensure that the reductions in expected contributions of individual staff are understood at Main Panel Coordinating Group and School level, the REF SCI Group will similarly inform the relevant Main Panel Coordinating Group, through the Convener of the Group, and the relevant School Associate Dean for Research, of the reductions for each member of staff.

Where the cumulative effect of individual staff circumstances has had a disproportionate effect on the unit's output pool, or there are staff with exceptional circumstances who have not been able to produce an eligible output in the assessment period, a request can be made to the UK REF Equality and Diversity Advisory Panel for a reduction in the total number of outputs required in a unit's submission (section 4.7); only if the request is successful will the total number of outputs be reduced.

4.6 Appeals

Staff who have declared individual circumstances can appeal against the decision of the REF SCI Group on the following grounds:

- The procedures outlined in this Code of Practice for determining the impact of individual circumstances were not applied or were applied incorrectly.

There are two routes for appeal (a flowchart is provided in Appendix 4).

4.6.1 Informal Appeals Procedure

Any member of staff who believes that the procedures outlined in this Code of Practice for determining the impact of individual circumstances were not applied or were applied incorrectly in their case should first discuss the matter informally with either the Head of Equality, Diversity and Inclusion or the Director of Human Resources and Organisational Development. If the member of staff still disagrees with the decision after the informal discussion they may ask the REF SCI Group to reconsider their decision by providing: i) an explanation of why they believe the decision was incorrect, with reference to the published guidance on individual circumstances (Appendix 8); and 2) any additional information relevant to their circumstances which was not included in their original declaration. A template will be provided for submitting the appeal. The information should be sent to refequality@dundee.ac.uk within 10 working days of receiving the decision. Staff who prefer not to have an initial discussion can request that the decision is reviewed by sending the required information directly to refequality@dundee.ac.uk according to the same timescales.

The REF SCI Group will review the original decision, taking into account the information provided by the member of staff. The decision of the REF SCI Group will be relayed to the member of staff via the Head of Equality, Diversity and Inclusion or the Director of Human Resources within 20 working days of receiving the information and, if the informal appeal was unsuccessful, will include details of how to submit a formal appeal to an independent appeals panel. The relevant UOA Planning Group, Main Panel Coordinating Group and School Associate Dean for Research will also be informed if the appeal results in a change to the permitted reduction, and thereby expected contribution, of outputs for the member of staff. No further informal appeals to the REF SCI Group will be allowed but members of staff who are dissatisfied with the outcome of the informal process may submit a formal appeal.

4.6.2 Formal Appeals Procedure

Members of staff who are dissatisfied with the outcome of the informal process may submit a formal appeal to an independent panel. Formal appeals must clearly state the grounds for appeal and be lodged with the Director of ACG within 10 working days of receiving the decision from an informal appeal. A template will be provided for submitting the appeal. The template will allow the appellant to state whether they wish their appeal to be considered solely on the basis of written representation or whether they would like the appeal to be heard in person. Where an appeal is heard in person the appellant will be entitled to be accompanied to the hearing by a work colleague of their choosing or a trade union representative.

Should any formal appeals be received, the Director of ACG will establish a formal Appeals Panel, as described in Appendix 1.6. The Appeals Panel will meet within 20 working days of an appeal being lodged. The Panel will review the information considered by the REF SCI Group when making the original decision and the rationale provided for that decision, with reference to the published guidance on individual circumstances (Appendix 8), taking into account any additional information provided by the member of staff. The decision of the Appeals Panel is final and will be relayed to the member of staff within 10 working days of the Appeals Panel meeting. The relevant UOA Planning Group, Main Panel Coordinating Group and School Associate Dean for Research will also be informed

if the appeal results in a change to the permitted reduction, and thereby expected contribution, of outputs for the member of staff.

4.7 Requests for a Reduction to the Number of Outputs Required for a Submission (Unit Circumstances)

UOA Planning Groups will receive the following information from the Individual Circumstances Review Group:

- the reduction in the expected contribution to the unit's output pool awarded to each individual member of staff who declared individual circumstances, and for whom a reduction was awarded by the REF SCI Group;
- the total expected reduction to the unit's output pool based on the sum of the reductions awarded to staff who declared individual circumstances, rounded to the nearest whole number

UOA Planning Groups will then assess whether the overall effect of the declared circumstances has had:

a) No significant effect on the unit's overall output pool:

- in which case the unit will use the flexibility in the number of outputs which can be attributed to each member of staff included in the submission (including former staff) to accommodate the reduction in expected contributions to the output pool of staff who have declared individual circumstances.

or

b) A significant effect on the unit's overall output pool such that the pool of outputs available for selection has been disproportionately affected by equality-related circumstances:

- in which case the unit will submit a case for requesting a reduction to the total number of outputs required for the submission to the REF SCI Group.

A template will be provided for UOA Planning Groups to submit their cases for a unit reduction to the REF SCI Group. In making the case for a unit reduction, UOA Planning Groups should consider:

- The proportion of staff with individual circumstances which have affected their productivity over the assessment period, relative to the predicted total number of staff to be included in the submission (i.e. the size of the unit);
- the total expected reduction to the unit's output pool based on the sum of the reductions awarded to staff who declared individual circumstances, relative to the available output pool;
- The capacity to attribute higher numbers of outputs (up to a maximum of five) to members of staff who did not declare circumstances to balance the reductions for individual circumstances;
- Whether fewer outputs are traditionally published in the discipline(s) covered by the UOA (for example, UOAs for which the monograph is the disciplinary norm), thereby exacerbating the impact of individual circumstances.

The case should include a draft supporting statement that includes information on the context of the unit, how the circumstances affected the unit's pool of outputs, why this effect was deemed to be disproportionate, and how the request for a reduction complies with the process set out in this Code of Practice.

The REF SCI Group will review all cases made to it for reducing the number of outputs required in a submission to a UOA and make a holistic judgement on whether the cumulative effect of staff circumstances has disproportionately affected the output pool for the UOA. If the REF SCI Group decides that a reduction in the total number of outputs required for the submission should be requested it will agree the final version of the supporting statement with the UOA Planning Group and make a recommendation to the REF Steering Group.

UOA Planning Groups will receive a briefing on the REF guidance for requesting a reduction in outputs for unit circumstances from members of the REF SCI Group and may seek advice from the REF SCI Group before submitting a request.

The REF Steering Group will consider all recommendations made by the REF SCI Group to apply for a reduction in the total number of outputs required in a submission to a UOA and make a final decision on each recommendation. The decisions will be relayed to the REF SCI Group through the Convener, and to the relevant UOA Planning Groups, through the UOA Coordinators.

4.7.1 Submission and Outcomes of Requests for Unit Circumstances

The Research Policy Manager or nominated deputy will submit requests for reductions to the total number of outputs required for a unit, and for removing the minimum requirement of one output for staff with exceptional circumstances, via the secure REF submission system by March 2020. The requests will be considered by the UK REF Equality and Diversity Advisory Panel.

The outcomes of requests will be received in September 2020 and relayed to the REF SCI Group, through either the Convener or the Head of Equality, Diversity and Inclusion. The REF SCI Group will inform individuals whose circumstances have been included in a request of the outcome. The REF SCI Group will also inform the relevant UOA Planning Groups, Main Panel Coordinating Groups, Associate Deans for Research and REF Steering Group of the outcome of requests. The REF SCI Group will direct UOA Planning Groups to ensure that:

- There is no expectation placed on individuals for whom the minimum of one output has been removed to make a contribution to the output pool, and that they are included in the submission with zero outputs;
- The individuals contributing to a unit reduction receive adjustments to their expected contributions to the overall output pool, consistent with the reduction allowed for their individual circumstances.

Note that (other than where the requirement for a minimum of one output has been removed) a reduction in the expected contribution of an individual to the overall output pool does not preclude the attribution to that individual of a greater number of outputs than expected if they exceed those expectations before the end of the assessment period and the inclusion of the additional outputs contributes to maximising the overall quality profile for the unit. Additionally, the award of a reduction in the expected number of outputs for individual circumstances does not imply any expectation of a reduction in the quality of those outputs which have been produced.

4.8 Equality Impact Assessment

An EIA will be conducted to determine whether the output selection process has a differential impact on staff with protected characteristics for which data is available. This will include analysis of provisional and final data on the distribution of outputs across staff, by protected characteristic, in the context of the characteristics of the total pool of staff to be submitted. EIAs will be conducted under the oversight of the REF EDI Group as described in section 3.3. As a minimum, EIAs will be conducted following confirmation (in November/December 2019) of the provisional pool of staff to be submitted (which will take into account the results of the first exercise to determine independence for 'research-only' staff; section 3.1.1) and following final submission.

4.9 Promotion

The number of outputs attributed (or which could have been attributed) to an individual in the REF return will not be made available to committees considering applications for promotion as part of the University's Annual Review Procedure for Promotion (which incorporates its own policy and procedure for mitigating circumstances). The University will use the flexibility in the number of outputs that can be attributed to each member of Category A staff to try and maximise the overall quality profile for each of its submissions and to ensure that the expectations of staff who are unable to contribute to a unit's output pool at the same rate as other staff due to individual circumstances are adjusted.

4.10 Joint Submissions

In the event of a joint submission to a UOA, the University will make this Code of Practice available to any collaborating institution and ensure that joint decision-making across institutions does not compromise adherence to the institutions' respective Codes.

4.11 Data Protection

The University is required to provide specified personal information about its staff within the REF submission and will need to use personal data during preparation of the submission. Personal data will be processed in accordance with the General Data Protection Regulation (EU) 2016/279 and the Data Protection Act 2018. Further details of how personal data will be collected and processed will be provided in data collection statements and privacy notices on the University's REF website (<https://www.dundee.ac.uk/ref>). As detailed in section 4.4.6, all personal data relating to the process for individual staff circumstances will be destroyed on completion of the REF. The University's Data Protection Officer will provide guidance to individuals and Groups involved in the preparation of the REF submission as required.



Part 5: Appendices

Appendix 1: Management of the REF Process: Staff, Committees and Training

Appendix 2: Equality, Diversity and Inclusion (EDI) Governance and Management

Appendix 3: Independent Fellowships

Appendix 4: Appeals Procedure Flowchart

Appendix 5: REF Main Panel Criteria and Level Definitions

Appendix 6: Review of Outputs on a 13-Point Scale

Appendix 7: Summary of Equality Legislation Relevant to Scotland

Appendix 8: Permitted Reductions in Outputs for Individual Staff Circumstances

Appendix 9: List of Abbreviations

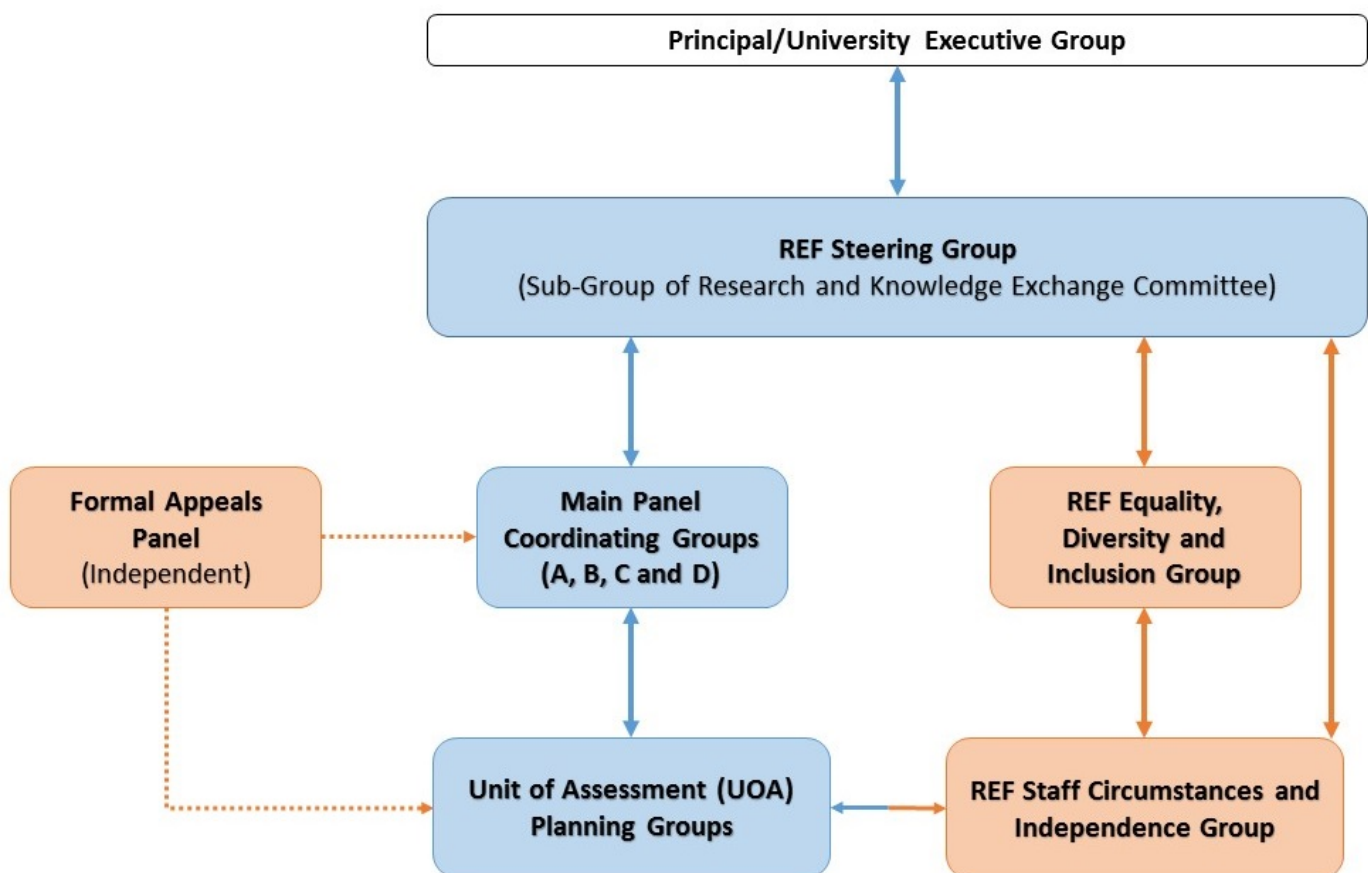
Appendix 10: Equality Impact Assessment on Code of Practice

Appendix 1: Management of the REF Process: Staff, Committees and Training

This section describes the role and membership of the groups involved in the processes described in this Code of Practice, and how they fit into the wider institutional management structure. The names of the individual members of the groups detailed below can be found on the University's internal REF website (<https://www.dundee.ac.uk/ref>); this will be updated to reflect any changes in membership as they occur. All groups have decision-making responsibilities, whether this be coming to initial decisions that result in recommendations to other Groups, or responsibility for final decisions.

Overview

The diagram below provides an overview of the planning, decision-making and reporting structure that will be used to prepare the University's REF submission.



Appendix 1.1: REF Steering Group

The REF Steering Group will play a crucial governance role in the development of the strategy for the University's submission to REF 2021 and overseeing delivery of the best possible institutional outcomes.

Terms of Reference

The REF Steering Group is responsible for:

- Development of the strategy for the University's submission to REF 2021;
- Leading the preparation and planning for the REF submission;
- Decisions on which UOAs the University will submit to, including consideration of options for aggregating units where appropriate synergies exist;
- Appointment and ongoing review of UOA Coordinators/Planning Groups and consideration of the overall planning and reporting structure for REF within the institution;
- Consideration and approval or rejection of opportunities for multiple submissions to the same UOA or joint submissions with other institutions in particular UOAs;
- Setting the internal timetable for development of the REF submission;
- Overseeing the development of the institutional environment template;
- Considering recommendations on research independence and unit reductions from the REF Staff Circumstances and Independence Group;
- Considering recommendations for approval of UOA submissions from Main Panel Coordinating Groups;
- Ensuring, in collaboration with the University's REF Equality, Diversity and Inclusion Group, that the preparation of the University's REF submission is informed by and meets the University's equality and diversity obligations (informed by this Code of Practice);
- Effective communication with other internal groups involved in the preparation of the REF submission, consistent with the planning and reporting structure;
- Identifying areas where targeted investment could significantly enhance REF outcomes;
- Final approval of the University's REF submission.

Membership

The REF Steering Group was appointed by the University's Research and Knowledge Exchange Committee (RKEC, a Senate Committee). The core membership comprises the Vice-Principal for Research, Knowledge Exchange and Wider Impact (Convener), senior academic staff from each of the nine Schools with appropriate knowledge and experience (including staff with experience of previous research assessments), and senior staff with expertise in research administration and management from Professional Services. Representativeness was considered relative to the 'teaching and research' and putative independent 'research-only' staff populations using data provided by Human Resources. The REF Steering Group may invite additional members of staff to meetings to inform discussions which would benefit from their particular expertise.

Training

All members of the REF Steering Group are required to have undertaken the University's online equality, diversity and inclusion training (<https://www.dundee.ac.uk/equality-diversity/what-we-do>), which includes modules on diversity in the workplace and disability, and will be required to undertake unconscious bias training along with any REF-specific training in equality, diversity and inclusion implemented by the University to ensure that the preparation for the REF 2021 submission is informed by and meets the University's equality, diversity and inclusion obligations. All members of the REF Steering Group are also required to have undertaken the

University's information security awareness training. The REF Steering Group will also receive a tailored briefing on the indicators of independence and Human Resources data from the Human Resources Manager responsible for the HESA return and Research Policy Manager, prior to their consideration of recommendations from the REF SCI Group on the independence of 'research-only' staff.

Reporting and Record Keeping

Overall responsibility for the University's engagement with the REF lies with the Principal of the University, who convenes the University Executive Group (UEG). This responsibility is delegated to the University's RKEC, chaired by the Vice-Principal for Research, Knowledge Exchange and Wider Impact and thence to the REF Steering Group. The REF Steering Group will report to RKEC. Minutes of REF Steering Group meetings will be submitted to RKEC. The Vice-Principal for Research, Knowledge Exchange and Wider Impact will update UEG on a regular basis.

Appendix 1.2: Main Panel Coordinating Groups

The REF Steering Group has established Coordinating Groups for Main Panels A, B, C and D to oversee the preparation of the REF submission across the following REF main panel areas:

Main Panel A: Medicine, Health and Life Sciences

Main Panel B: Physical Sciences, Engineering and Mathematics

Main Panel C: Social Sciences

Main Panel D: Arts and Humanities

Terms of Reference

Each Main Panel Coordinating Group will be responsible for:

- Overseeing the development of the submissions from each of the UOAs within its remit in accordance with the internal timetable set by the REF Steering Group;
- Reviewing all elements of draft submissions prepared by UOA Planning Groups;
- Providing feedback to UOA Coordinators/Planning Groups on all elements of draft submissions;
- Working with UOA Coordinators and other Main Panel Coordinating Groups to advise on and resolve any boundary issues between UOAs;
- Ensuring, in collaboration with the University's REF Equality, Diversity and Inclusion Group, that the preparation of submissions complies fully with the University's REF 2021 Code of Practice;
- Reporting on preparedness and making recommendations on approval of UOA submissions to the REF Steering Group.

Membership

Main Panel Coordinating Groups will comprise academic and professional staff with experience of previous research assessments or other relevant expertise which spans the disciplines covered by each Main Panel. Each Main Panel Coordinating Group will be convened by a Dean of School or a nominated deputy. The Vice-Principal for Research, Knowledge Exchange and Wider Impact or a nominated Deputy will be a member of each Coordinating Group. The representativeness of each Main Panel Coordinating Group will be considered against the 'teaching and research' and putative independent 'research-only' staff populations using data provided by Human Resources. A Main Panel Coordinating Group may co-opt additional members of staff to its membership or invite additional staff to inform its discussions, particularly in relation to any cross-Panel or UOA boundary issues.

The University's Head of Equality, Diversity and Inclusion or a nominated deputy will attend meetings of Main Panel Coordinating Groups in order to ensure that the proceedings are fully informed by and comply with the University's REF Code of Practice and equality legislation.

Training

All members of Main Panel Coordinating Groups are required to have undertaken the University's online equality, diversity and inclusion training (<https://www.dundee.ac.uk/guides/online-equality-diversity-and-inclusion-training>), which includes modules on diversity in the workplace and disability, and will be required to undertake unconscious bias training along with any REF-specific training in equality, diversity and inclusion implemented by the University to ensure that the preparation for the REF 2021 submission is informed by and meets the University's equality, diversity and inclusion



obligations. All members of Main Panel Coordinating Groups are also required to have undertaken the University's information security awareness training.

Reporting and Record Keeping

All meetings of Main Panel Coordinating Groups will be supported by Professional Services staff. Meetings will be minuted and the minutes submitted to the REF Steering Group. The Conveners of the Main Panel Coordinating Groups, supported by Professional Services staff, will be responsible for ensuring that the REF Steering Group and relevant School Boards are provided with regular updates on the progress of submissions within their remit and for submitting recommendations to the REF Steering Group.

Appendix 1.3: Unit of Assessment (UOA) Planning Groups and Coordinators

Terms of Reference

Each UOA Planning Group will be responsible for:

- Preparing draft submissions and submitting these for review, feedback and approval by the relevant Main Panel Coordinating Group including recommending:
 - The outputs to be returned, based on an academic judgement of quality against the REF criteria and level definitions for the relevant Main Panel (Appendix 5) taking into account individual circumstances (section 4.4);
 - The impact case studies to be returned based on a judgement of the quality of the underpinning research and the reach and significance of the impact;
 - The content of the environment narrative based on the REF [Guidance on Submissions](#).
- Ensuring that the selection of outputs is performed in accordance with the process described in the Code of Practice;
- Recommending to the REF SCI Group that a request for a unit reduction be made to the UK REF Equality and Diversity Advisory Panel (EDAP) where the Planning Group believes that the level of individual circumstances has disproportionately affected the potential output pool (section 4.2).

The responsibilities of the UOA Coordinator, working in collaboration with other members of the UOA Planning Group, are to:

- Familiarise themselves with the REF guidance and the University's REF Code of Practice;
- Lead on the planning and drafting of the UOA submission, consistent with the timetable set by the REF Steering Group;
- Work to clarify any boundary issues between their UOA and any other UOAs;
- Support staff to understand the REF processes;
- Act as the main point of contact for liaising with Professional Services staff supporting the development of the REF submission;
- In conjunction with the relevant School Associate Dean(s) for Research, ensure that the expected contributions of individuals with individual circumstances to the unit's output pool are adjusted, consistent with the reductions in outputs awarded by the REF SCI Group;
- Report on progress, and make recommendations to, the relevant Main Panel Coordinating Group, on behalf of the UOA Planning Group;
- Where appropriate, submit a request for a unit reduction to the REF SCI Group;
- Following submission, provide a list of the outputs returned to the REF to all Category A eligible staff returned in the unit.

Working with UOA Coordinators, Associate Deans for Research are responsible for ensuring effective overall communication with relevant staff in their Schools on the preparations for REF in the UOA(s) to which their Schools contribute.

Membership

UOA Coordinators and Planning Groups were appointed by the REF Steering Group following nominations by Deans of School (in liaison with Associate Deans Research). UOA Planning Groups comprise the UOA Coordinator as Convener and at least two members of academic staff with experience of previous research assessments or other expertise relevant to the UOA. Where UOAs substantially cross School/disciplinary boundaries, the coordination and membership of the Group

aims to reflect this. All UOA Planning Groups will be supported by one or more Professional Services staff.

In appointing UOA Planning Groups, the REF Steering Group took account of relevant experience/expertise (for the UOA), the representativeness of proposed Groups with reference to equality, diversity and inclusion, and the potential for members to serve instead on the Main Panel Coordinating Groups. The Steering Group received information from Human Resources on the representativeness of the proposed Groups relative to the 'teaching and research' and putative independent 'research-only' staff populations and, where the available staff pool allowed, required the nominations for membership to be amended to provide a more appropriate gender balance in a small number of Planning Groups before final approval.

Training

All members of UOA Planning Groups are required to have undertaken the University's online equality, diversity and inclusion training (<https://www.dundee.ac.uk/guides/online-equality-diversity-and-inclusion-training>), which includes modules on diversity in the workplace and disability, and will be required to undertake unconscious bias training along with any REF-specific training in equality, diversity and inclusion implemented by the University to ensure that the preparation for the REF 2021 submission is informed by and meets the University's equality, diversity and inclusion obligations. All members of UOA Planning Groups are also required to have undertaken the University's information security awareness training and will receive a briefing from members of the REF SCI Group on the REF guidance for requesting a reduction on unit circumstances, prior to their involvement in the process. UOA Coordinators will also receive a tailored briefing on the indicators of independence and Human Resources data from the Human Resources Manager responsible for the HESA return and Research Policy Manager before their involvement in the process.

Reporting and Record Keeping

Members of UOA Planning Groups will work closely together in preparing the REF submission for their unit. All formal meetings of UOA Planning Groups in which initial decisions are made and recommendations are formulated will be recorded in writing. The Conveners of the UOA Planning Groups, supported by Professional Services staff, will submit draft submissions and recommendations to the relevant Main Panel Coordinating Group for review and feedback in accordance with timelines determined by the REF Steering Group and ensure, working with their Associate Deans for Research, that the relevant School Boards are provided with regular updates on the progress of submissions within their remit.

Appendix 1.4: REF Equality, Diversity and Inclusion Group (REF EDI Group)

Terms of Reference

The REF EDI Group is responsible for:

- Developing this Code of Practice, thereby providing a framework for the University's decision-making processes for REF 2021 in the context of the principles of equality, diversity and inclusion, and relevant legislation;
- Monitoring compliance with the Code of Practice during development of the REF submission;
- Overseeing and considering the outcomes of EIAs conducted during the development of the REF submission and any actions that should be taken as a result.

Membership

The REF EDI Group was established and appointed by the REF Steering Group with membership reflecting a wide range of knowledge and experience of equality, diversity and inclusion including service on the REF 2014 Equality and Diversity Working Group (responsible for developing the REF 2014 Code of Practice), the REF 2014 Individual Circumstances Review Group, the University's committee for considering Mitigating Circumstances in relation to the University's Annual Review Procedure for Promotion, and responsibilities in relation to provision and analysis of institutional data.

The membership of the REF EDI Group comprises the Director of Human Resources and Organisational Development (Convener), Dundee University and College Union representative, Head of Equality, Diversity and Inclusion, Research Policy Manager, Head of Disability Services, Convener of the BME Steering Group, Human Resources Manager (Strategic Projects), Vice-Principal for Research, Knowledge Exchange and Wider Impact, Convener of the University Research Governance and Policy Sub-Committee and two senior members of academic staff with REF experience, one of whom who served on the Individual Circumstances Review Group in REF 2014. The Group provides an appropriate balance of academic and Professional Services staff. Representativeness was considered relative to the 'teaching and research' and putative independent 'research-only' staff populations using data provided by Human Resources.

Training

All members of the REF EDI Group are required to have undertaken the University's online equality, diversity and inclusion training (<https://www.dundee.ac.uk/guides/online-equality-diversity-and-inclusion-training>), which includes modules on diversity in the workplace and disability, and will be required to undertake unconscious bias training along with any REF-specific training in equality, diversity and inclusion implemented by the University to ensure that the preparation for the REF 2021 submission is informed by and meets the University's equality, diversity and inclusion obligations. All members of the REF EDI Group are also required to have undertaken the University's information security awareness training.

Reporting and Record Keeping

Meetings of the REF EDI Group will be minuted and the minutes submitted to the REF Steering Group.

Appendix 1.5: REF Staff Circumstances and Independence Group (REF SCI Group)

Terms of Reference

The REF SCI Group is responsible for:

Individual staff circumstances:

- Providing a safe and supportive structure for staff to declare individual circumstances;
- Administering the invitation to declare individual circumstances to all Category A eligible staff;
- Reviewing all declarations received against the qualifying criteria and tariffs for individual circumstances;
- Determining whether the individual circumstances declared by a member of staff qualify them for a reduction in their expected contribution to the overall output pool for their associated unit;
- Providing feedback to the individual member of staff on the outcome;
- Informing the relevant UOA Coordinator/Planning Group, and Main Panel Coordinating Group, of the reductions in the expected contributions of individual staff to the overall output pool;
- Requesting the removal of the requirement for a minimum of one output where exceptional circumstances apply and the individual has not produced any REF-eligible outputs during the assessment period;
- Reviewing cases made by UOA Planning Groups to apply for a unit reduction in outputs;
- Where there is a case for a unit reduction, preparing the supporting statement in conjunction with the UOA Planning Group and recommending a request be made for a unit reduction to the REF Steering Group;
- Considering informal appeals from staff against decisions on individual circumstances;
- Ensuring that staff circumstances records are destroyed following completion of the REF 2021 process.

Research independence:

- Determining which members of 'research-only' staff meet the REF definition of an independent researcher and recommending these decisions for approval by the REF Steering Group;
- Considering informal appeals from staff against decisions on research independence.

Membership

The REF SCI Group is a sub-group of the REF EDI Group including members who have experience of reviewing applications for reductions in the number of outputs required due to individual circumstances, and determining whether and when researchers met the criteria for research independence, as members of the Individual Circumstances Review Group in REF 2014. The Group consists of the Director of Human Resources and Organisational Development (Convener), Head of Equality, Diversity and Inclusion, Research Policy Manager, Human Resources Manager responsible for the HESA return, and two senior academic members of staff. The Group will be supported by a member of Professional Services staff with experience of working with confidential information. The sub-group may call on the advice of any other member of the REF EDI Group on a confidential basis.

Training

In addition to the training undertaken as members of the REF EDI Group (Appendix 1.4) the REF SCI Group will receive a tailored briefing on the indicators of independence and Human Resources data from the Human Resources Manager responsible for the HESA return and Research Policy Manager prior to the first review meeting. The REF SCI Group will also receive a tailored briefing on the REF guidance on individual circumstances, including the calculation of reductions in outputs, from the Head of Equality, Diversity and Inclusion and Research Policy Manager.

Reporting and Record Keeping

Meetings of the REF SCI Group will be minuted and the minutes of meetings kept confidential. Records will be maintained securely until completion of the REF 2021 assessment phase after which they will be destroyed. The Convener and Head of Equality, Diversity and Inclusion, will be responsible for ensuring that the REF EDI Group and REF Steering Group are provided with regular updates on the individual circumstances process and for submitting recommendations on whether or not staff meet the REF definition of an independent researcher to the REF Steering Group.

Appendix 1.6: REF 2021 Formal Appeals Panel

Terms of Reference

- To independently consider any formal appeals by staff against decisions on individual circumstances or research independence.

Membership

Should any formal appeals be received, the Director of Academic and Corporate Governance (ACG) will establish an independent formal Appeals Panel constituting:

- The Director of ACG or a nominated deputy as Convener;
- The Human Resources (Operations) Manager;
- Two members of academic staff, neither of whom will be from the same School as the appellant or have previously been involved in the case.

The Appeals Panel will be supported by a member of Professional Services staff who has not previously been involved in the decision. The Director of ACG will ensure that no member of the Appeals Panel has an actual or perceived conflict of interest with the appellant.

Training

All members of the Appeals Panel will be required to have undertaken the University's online equality, diversity and inclusion training (<https://www.dundee.ac.uk/guides/online-equality-diversity-and-inclusion-training>), which includes modules on diversity in the workplace and disability, and unconscious bias training. All members of the Appeals Panel are also required to have undertaken the University's information security awareness training.

Prior to considering any appeals on the grounds that the procedures outlined in this Code of Practice for determining research independence were not applied or were applied incorrectly, the Appeals Panel will receive a tailored briefing on the indicators of independence from the Research Policy Manager and Human Resources Manager responsible for the HESA return.

Prior to considering any appeals on the grounds that the procedures outlined in this Code of Practice for determining the impact of individual circumstances were not applied or were applied incorrectly, the Appeals Panel will receive a tailored briefing on the REF guidance on individual circumstances from the Head of Equality, Diversity and Inclusion and Research Policy Manager.

The members of staff who provide the briefings will not take part in the appeals process.

Reporting and Record Keeping

Meetings of the Appeals Panel will be minuted and the minutes of meetings kept confidential. The Director of ACG will directly inform the appellant of the outcome of the appeal. The relevant UOA Planning Group and Main Panel Coordinating Group will also be informed if the appeal results in a change to the expected contribution of outputs or the independence status of the member of staff for the REF.

Appendix 2: Equality, Diversity and Inclusion (EDI) Governance and Management

Introduction

The University is committed in its aims to build an inclusive culture where everyone associated with it feels welcome, valued and respected and where all staff and students are enabled to achieve their desired potentials.

The Code of Practice was developed in accordance with the aims and objectives of the University's Equality Outcomes Plan 2017-2021, which is underpinned by our overarching University Strategy 2022 and Outcome Agreement with the Scottish Funding Council, including legal requirements of meeting the Public Sector Equality Duty (PSED).

The Duty (PSED) requires the University to have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation;
- Advance equality of opportunity; and
- Foster good relations, including tackling prejudice and promoting understanding

The University has a duty to publish equality objectives once every four years and to report biennially on progress in relation to meeting the PSED. The University has made good progress in fulfilling its obligations under the PSED through the implementation of the four outcomes and associated actions. The four identified key priority areas for focus are:

- Outcome 1: Develop and promote a positive, safe and inclusive environment within the University culture and behaviour;
- Outcome 2: To improve student experience through promoting an inclusive and supportive teaching and learning environment;
- Outcome 3: To widen collection and analysis of robust and reliable data; and
- Outcome 4: To improve staff experience through an inclusive and supportive environment.

The following equality progress reports and all EDI-related policies are published and available on our website⁹

- Equality Mainstreaming and Outcome Update Report 2019
- Staff Data Report 2019
- Pay Gap Report 2019

The University's commitment to EDI beyond legal compliance is evidenced through its engagement with externally accredited charters including Athena SWAN, Race Equality and Stonewall (Workplace Equality Index):

Athena SWAN - Of the five STEMM Schools, four have achieved Bronze awards and one has achieved a Silver award. Of the four non-STEMM Schools, one has achieved a Bronze award, while the remaining three are preparing to submit in 2019/2020.

Race Equality Charter - the University formally joined the Charter in December 2018 and will submit for the institutional award in April 2021.

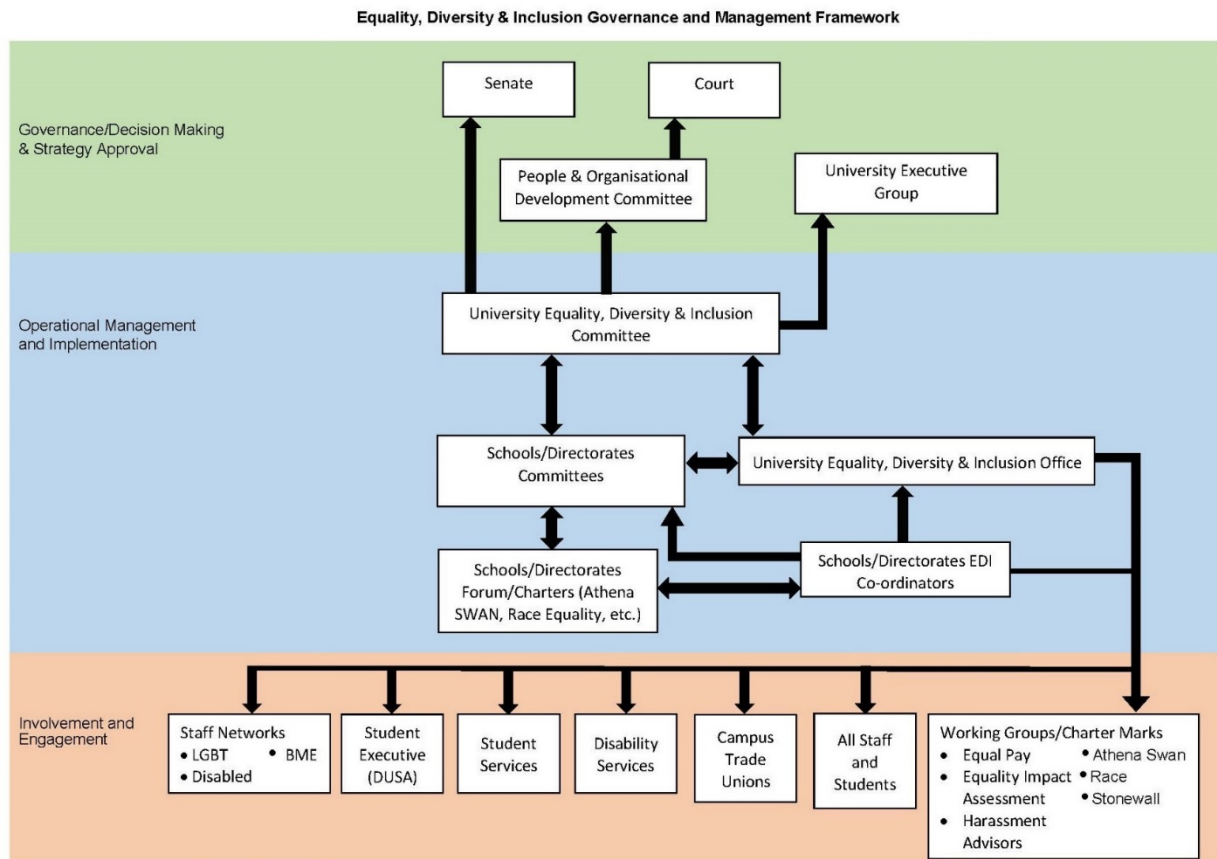
Stonewall Workplace Equality Index - support for our LGBT community is highlighted by achieving our highest ever placing in the index in 2019 representing a climb of 132 places from the previous year.

⁹ <https://www.dundee.ac.uk/equality-diversity/publications-policy/>

Equality, Diversity and Inclusion Governance and Management Framework

In 2015, the entire University went through restructuring to align all its processes and systems including the provision of equality and diversity services consistent with the 'One Dundee' ethos.

The newly established equality, diversity and inclusion management framework is generating positive changes across the University, raising awareness and mainstreaming the equality agenda.



The new Framework promotes collaboration across the University's Schools and Directorates and enables best-practice in the EDI domain to be shared by all staff, students and external stakeholders. It demonstrates a joined-up approach with a clear leadership and management framework aligned to the University's EDI Office. All Schools have designated EDI Coordinators to support mainstreaming and implement EDI policies and action plans at the local level. Advice, information and support on disability-related matters is also provided by Disability Services.

Policies and Procedures

The University of Dundee is a major employer in the region, attracting diverse staff and students from local, national and international backgrounds. The institution is therefore committed to sustaining a diverse and inclusive environment in which all staff and students are treated fairly, equitably and with respect. Our policies and guidance have been developed to deliver equality to all staff, students and the wider community:

Equality and Diversity Policy

This Policy applies to all members of the University community, both staff and students irrespective of their employment contract, including job applicants, student applicants, current and former staff and students, associate members, visitors and service providers and any other persons associated

with the functions of the University. The Policy informs and influences the development of an inclusive culture in the institution.

Dignity at Work and Study Policy and Procedures (Harassment and Bullying)

The University of Dundee is committed to providing and maintaining an inclusive, accessible and positive learning and working environment that is free from unlawful discrimination and any forms of harassment, bullying or victimisation.

Harassment Advisers Network

The University has an established network of appropriately trained staff who provide advice to staff and students on issues relating to harassment, bullying and victimisation in a confidential manner. They provide confidential advice on informal and formal mechanisms for addressing issues of harassment, bullying and victimisation. The role of a Harassment Adviser is to support individual members of staff or students who are concerned that they are the subject of harassment or bullying or who has had a complaint made against them.

Work/Life Balance Policies

There are a range of policies designed to support staff to balance work and home life and deal with personal responsibilities, as well as some of life's major events.

Our aim in developing and promoting our Work/Life Balance policies is to demonstrate the value the University places on its employees and to recognise the need for flexibility in the relationship between employer and employee within a context that supports our equality and diversity objectives.

Disability Policy

The University of Dundee recognises that disabled staff and students are an integral part of the University community and that accessible and appropriate provision is a core element of the overall service which the University seeks to provide.

The policy statement and guidance documents have been developed to detail the support, services and facilities that are available to disabled students, staff and managers including advice on disclosures, Access to Work procedures and implementing adjustments.¹⁰

Fixed-Term and Part-Time Staff

The University ensures that fixed-term and part-time employees are not treated any less favourably than comparable employees on open-ended or full-time contracts.

¹⁰ <https://www.dundee.ac.uk/disabilityservices/staff/>
<https://www.dundee.ac.uk/hr/policiesprocedures/disabilitysupportforstaff/>

Appendix 3: Independent Fellowships

(sourced from '[Additional Guidance](#)' section of the REF 2021 website)

Research Fellowships

Table 1 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.

Table 1

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* ¹¹

¹¹ Those asterisked support the transition to independence. Applicants should demonstrate readiness to become independent and the award enables them to become so. It could be argued those at the start of an award are not 'independent' yet, but those well in the award may be.



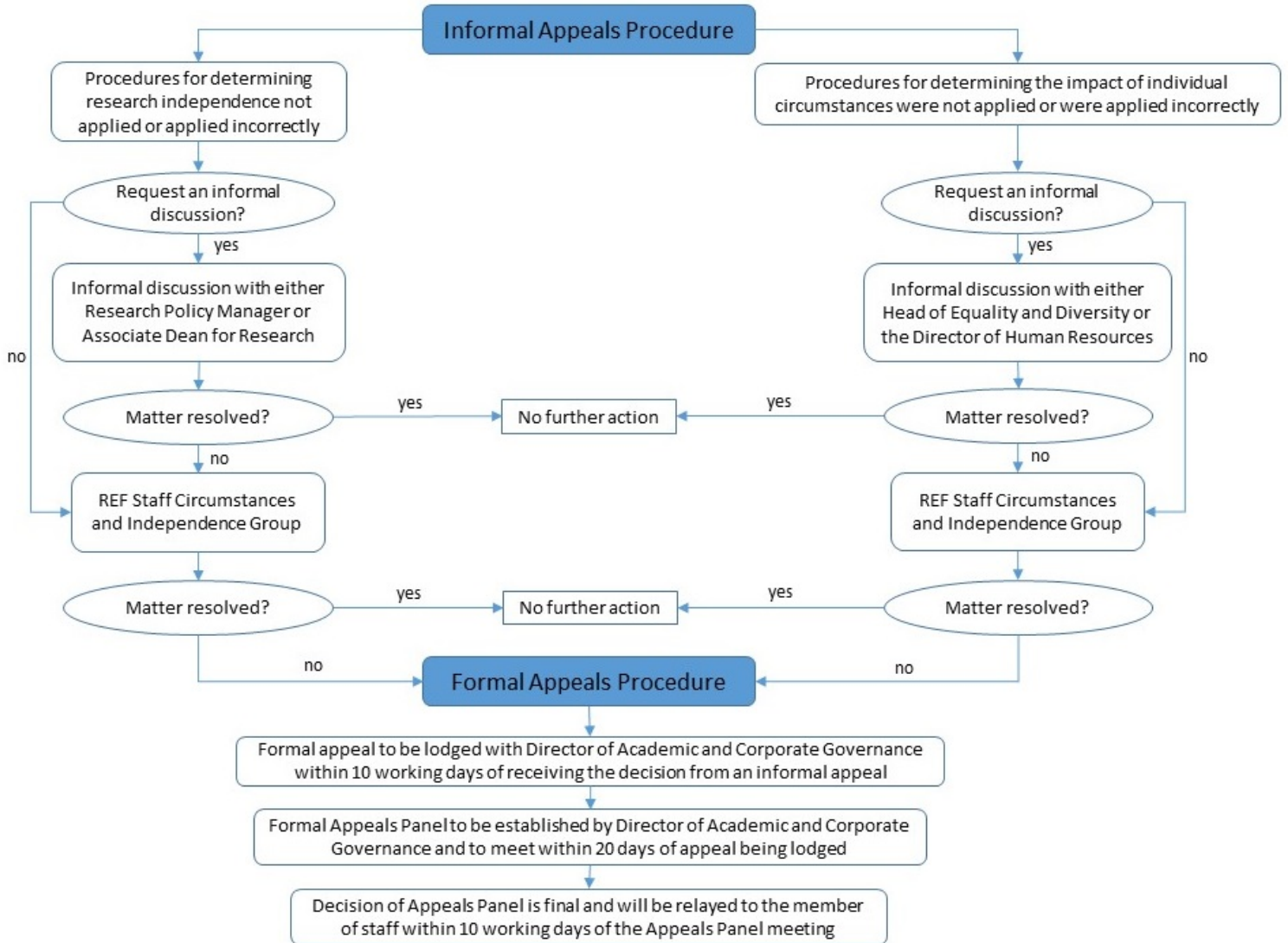
ESRC	ESRC Future Cities Catapult Fellowship
ESRC	ESRC Future Leaders Grant
ESRC	ESRC/Turing Fellowships
ESRC/URKI	Early Career Researcher Innovation Fellowships
European Research Council	ERC Advanced Grants
European Research Council	ERC Consolidator Grants
European Research Council	ERC Starting Grants
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



Appendix 4: Appeals Procedure Flowchart



Section 3: Outputs

Criteria and level definitions

190. This section provides a descriptive account of how the sub-panels will interpret and apply the generic criteria for assessing outputs and the starred quality levels. This descriptive account expands on and complements the generic criteria and definitions in Annex A of ‘Guidance on submissions’, but does not replace them.
191. **Originality** will be understood as the extent to which the output makes an important and innovative contribution to understanding and knowledge in the field. Research outputs that demonstrate originality may do one or more of the following: produce and interpret new empirical findings or new material; engage with new and/or complex problems; develop innovative research methods, methodologies and analytical techniques; show imaginative and creative scope; provide new arguments and/or new forms of expression, formal innovations, interpretations and/or insights; collect and engage with novel types of data; and/or advance theory or the analysis of doctrine, policy or practice, and new forms of expression.
192. **Significance** will be understood as the extent to which the work has influenced, or has the capacity to influence, knowledge and scholarly thought, or the development and understanding of policy and/or practice.
193. **Rigour** will be understood as the extent to which the work demonstrates intellectual coherence and integrity, and adopts robust and appropriate concepts, analyses, sources, theories and/or methodologies.
194. The generic definitions of the starred quality levels in the overall quality profile in each of the three sub-profiles – outputs, impact and environment – are in Annex A of ‘Guidance on submissions’. The panels would like to emphasise that ‘world-leading’, ‘internationally’ and ‘nationally’ in this context refer to quality standards. They do not refer to the nature or geographical scope of particular subjects, nor to the locus of research, nor its place of dissemination.
195. The main panels have set out below a descriptive account of the starred level definitions for outputs, as they apply in each main panel. These are provided to inform their subject communities about how the panels will apply the definitions in making their judgements. Variations in terminology reflect disciplinary norms but do not indicate a difference in the quality standards themselves. These descriptive accounts should be read alongside, but do not replace, the generic definitions.

Interdisciplinary research

196. Interdisciplinary outputs will be assessed against the generic criteria of originality, significance and rigour. In assessing interdisciplinary outputs, the sub-panels will make use of guidance provided by the Interdisciplinary Research Advisory Panel (IDAP) that originality and significance can be identified in one, some or all of the constituent parts brought together in the work, or in their integration; they do not need to be demonstrated across all contributing areas/fields. This guidance will work in parallel with – rather than replace – the generic criteria of originality, significance and rigour.



Main Panel A supplementary criteria – level definitions

197. In assessing outputs, the sub-panels will look for evidence of the quality of the output in terms of its originality, significance and rigour, and will apply the generic definitions of the starred quality levels.
198. The sub-panels will look for evidence of some of the following types of characteristics of quality, as appropriate to each of the starred quality levels:
- scientific rigour and excellence, with regard to design, method, execution and analysis
 - significant addition to knowledge and to the conceptual framework of the field
 - actual significance of the research
 - the scale, challenge and logistical difficulty posed by the research
 - the logical coherence of argument
 - contribution to theory-building
 - significance of work to advance knowledge, skills, understanding and scholarship in theory, practice, education, management and/or policy
 - applicability and significance to the relevant service users and research users
 - potential applicability for policy in, for example, health, healthcare, public health, food security, animal health or welfare.
199. Unless there is sufficient evidence of at least one of the above, or the definition of research used for the REF is not met, research outputs will be graded as ‘unclassified’.
200. The sub-panels welcome research practice that supports reproducible science and the application of best practice. Examples include registered reports, pre-registration, publication of data sets, experimental materials, analytic code, and use of reporting checklists for publication purposes and those relating to the use of animals in research. These contribute to the evaluation of rigour for submitted outputs. Replication studies may be submitted as outputs and will be evaluated on the extent to which they contribute significant new knowledge, improved methods, or advance theory or practice¹².
201. The sub-panels will use citation information, where appropriate and available, as part of the indication of academic significance to inform their assessment of output quality. Further details on the use of citation data are provided in paragraphs 274 to 276.

Main Panel B supplementary criteria – level definitions

202. In assessing outputs, the sub-panels will look for evidence of originality, significance and rigour and apply the generic definitions of the starred quality levels as follows:

¹² Institutions may find it useful to refer to international guidelines such as the following:

ARRIVE	https://www.nc3rs.org.uk/arrive-guidelines
CONSORT	http://www.consort-statement.org/
PRISMA	http://www.prisma-statement.org/
COPE	http://publicationethics.org/
ICMJE	http://www.icmje.org/
ITHENTICATE	http://www.ithenticate.com/



- a. In assessing work as being four star (quality that is world-leading in terms of originality, significance and rigour), sub-panels will expect to see evidence of, or potential for, some of the following types of characteristics:
- agenda-setting
 - research that is leading or at the forefront of the research area
 - great novelty in developing new thinking, new techniques or novel results
 - major influence on a research theme or field
 - developing new paradigms or fundamental new concepts for research
 - major changes in policy or practice
 - major influence on processes, production and management
 - major influence on user engagement.
- b. In assessing work as being three star (quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence), sub-panels will expect to see evidence of, or potential for, some of the following types of characteristics:
- makes important contributions to the field at an international standard
 - contributes important knowledge, ideas and techniques which are likely to have a lasting influence, but are not necessarily leading to fundamental new concepts
 - significant changes to policies or practices
 - significant influence on processes, production and management
 - significant influence on user engagement.
- c. In assessing work as being two star (quality that is recognised internationally in terms of originality, significance and rigour), sub-panels will expect to see evidence of, or potential for, some of the following types of characteristics:
- provides useful knowledge and influences the field
 - involves incremental advances, which might include new knowledge which conforms with existing ideas and paradigms, or model calculations using established techniques or approaches
 - influence on policy or practice
 - influence on processes, production and management
 - influence on user engagement.
- d. In assessing work as being one star (quality that is recognised nationally in terms of originality, significance and rigour), sub-panels will expect to see evidence of, or potential for, some of the following types of characteristics:
- useful but unlikely to have more than a minor influence in the field
 - minor influence on policy or practice



- minor influence on processes, production and management
 - minor influence on user engagement.
- e. Research will be graded as 'unclassified' if it falls below the quality levels described above or does not meet the definition of research used for the REF.

Main Panel C supplementary criteria – level definitions

203. In assessing outputs, the sub-panels will look for evidence of originality, significance and rigour, and apply the generic definitions of the starred quality levels as follows:

- a. In assessing work as being four star (quality that is world-leading in terms of originality, significance and rigour), sub-panels will expect to see some of the following characteristics:
- outstandingly novel in developing concepts, paradigms, techniques or outcomes
 - a primary or essential point of reference
 - a formative influence on the intellectual agenda
 - application of exceptionally rigorous research design and techniques of investigation and analysis
 - generation of an exceptionally significant data set or research resource.
- b. In assessing work as being three star (quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence), sub-panels will expect to see some of the following characteristics:
- novel in developing concepts, paradigms, techniques or outcomes
 - an important point of reference
 - contributing very important knowledge, ideas and techniques which are likely to have a lasting influence on the intellectual agenda
 - application of robust and appropriate research design and techniques of investigation and analysis
 - generation of a substantial data set or research resource.
- c. In assessing work as being two star (quality that is recognised internationally in terms of originality, significance and rigour), sub-panels will expect to see some of the following characteristics:
- providing important knowledge and the application of such knowledge
 - contributing to incremental and cumulative advances in knowledge
 - thorough and professional application of appropriate research design and techniques of investigation and analysis.
- d. In assessing work as being one star (quality that is recognised nationally in terms of originality, significance and rigour), sub-panels will expect to see some of the following characteristics:



- providing useful knowledge, but unlikely to have more than a minor influence
- an identifiable contribution to understanding, but largely framed by existing paradigms or traditions of enquiry
- competent application of appropriate research design and techniques of investigation and analysis.
- e. Research will be graded as 'unclassified' if it falls below the quality levels described above or does not meet the definition of research used for the REF.

Main Panel D supplementary criteria – level definitions

Interpretation of generic level definitions

204. The terms 'world-leading', 'international' and 'national' will be taken as quality benchmarks within the generic definitions of the quality levels. They will relate to the actual, likely or deserved influence of the work, whether in the UK, a particular country or region outside the UK, or on international audiences more broadly. There will be no assumption of any necessary international exposure in terms of publication or reception, or any necessary research content in terms of topic or approach. Nor will there be an assumption that work published in a language other than English or Welsh is necessarily of a quality that is or is not internationally benchmarked.

205. In assessing outputs, the sub-panels will look for evidence of originality, significance and rigour and apply the generic definitions of the starred quality levels as follows:

- a. In assessing work as being four star (quality that is world-leading in terms of originality, significance and rigour), sub-panels will expect to see evidence of, or potential for, some of the following types of characteristics across and possibly beyond its area/field:
 - a primary or essential point of reference
 - of profound influence
 - instrumental in developing new thinking, practices, paradigms, policies or audiences
 - a major expansion of the range and the depth of research and its application
 - outstandingly novel, innovative and/or creative.
- b. In assessing work as being three star (quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence), sub-panels will expect to see evidence of, or potential for, some of the following types of characteristics across and possibly beyond its area/field:
 - an important point of reference
 - of considerable influence
 - a catalyst for, or important contribution to, new thinking, practices, paradigms, policies or audiences
 - a significant expansion of the range and the depth of research and its application



- significantly novel or innovative or creative.
- c. In assessing work as being two star (quality that is recognised internationally in terms of originality, significance and rigour), sub-panels will expect to see evidence of, or potential for, some of the following types of characteristics across and possibly beyond its area/field:
- a recognised point of reference
 - of some influence
 - an incremental and cumulative advance on thinking, practices, paradigms, policies or audiences
 - a useful contribution to the range or depth of research and its application.
- d. In assessing work as being one star (quality that is recognised nationally in terms of originality, significance and rigour), sub-panels will expect to see evidence of the following characteristics within its area/field:
- an identifiable contribution to understanding without advancing existing paradigms of enquiry or practice
 - of minor influence.
- e. A research output will be graded 'unclassified' if it is either:
- below the quality threshold for one star; or
 - does not meet the definition of research used for the REF.



Appendix 6: Review of Outputs on a 13-Point Scale

Academic judgements on the quality of outputs will be made using the 13-point scale below, referenced to the criteria and level definitions for each Main Panel published in the REF Panel Criteria and Working Methods (REF 2019/02), paragraphs 190 to 205; Appendix 5).

	Star Rating*
1	Unclassified
2	one minus
3	one
4	one plus
5	two minus
6	two
7	two plus
8	three minus
9	three
10	three plus
11	four minus
12	four
13	four plus

*REF scale shown in bold



Appendix 7: Summary of Equality Legislation Relevant to Scotland

(adapted from REF 2021 [Guidance on Codes of Practice](#) (REF 2019/03))

<p>Age</p>	<p>All employees within the HE sector are protected from unlawful age discrimination, harassment and victimisation in employment under the Equality Act 2010. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group.</p> <p>Age discrimination can occur when people of a particular age group are treated less favourably than people in other age groups. An age group could be, for example, people of the same age, the under 30s or people aged 45-50. A person can belong to a number of different age groups.</p> <p>Age discrimination will not be unlawful if it is a proportionate means of achieving a legitimate aim. However, in the context of the REF, the view of the funding bodies is that if a researcher produces excellent research an HEI will not be able to justify not selecting their outputs because of their age group.</p> <p>It is important to note that early career researchers (ECRs) are likely to come from a range of age groups. The definition of ECR used in the REF (see ‘Guidance on submissions’, paragraphs 148 to 149) is not limited to young people.</p> <p>HEIs should also note that, given developments in equalities law in the UK and Europe, the default retirement age has been abolished from 1 October 2011 in England, Scotland, Wales and Northern Ireland.</p>
<p>Disability</p>	<p>The Equality Act 2010 prevents 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).</p> <p>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.</p> <p>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.</p> <p>In England, Scotland and Wales day-to-day activities are taken to mean activities that people generally, not a specific individual, carry out on a daily or frequent basis.</p> <p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p> <ul style="list-style-type: none"> • sensory impairments • impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy



	<ul style="list-style-type: none"> • 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. <p>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.</p> <p>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').</p>
<p>Gender reassignment</p>	<p>The Equality Act 2010 protects from discrimination, harassment and victimisation of trans people who have proposed, started or completed a process to change their sex. Staff in HE do not have to be under medical supervision to be afforded protection because they are trans and staff are protected if they are perceived to be undergoing or have undergone related procedures. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.</p> <p>Trans people who undergo gender reassignment will need to take time off for appointments and, in some cases, for medical assistance. The transition process is lengthy, often taking several years, and it is likely to be a difficult period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole.</p> <p>The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a transsexual may commit a criminal offence if they pass the information to a third party without consent.</p> <p>Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care.</p> <p>If a staff member's ability to work productively throughout the REF assessment period has been constrained due to gender reassignment, the unit may return a reduced number of research outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'). Information about the member of staff will be kept confidential as described in 'Guidance on submissions', paragraph 195.</p> <p>HEIs should note that the Scottish government recently consulted on, and the UK government is currently consulting on, reform of the Gender Recognition</p>



	<p>Act 2004, which may include streamlining the procedure to legally change gender.</p>
Marriage and civil partnership	<p>Under the Equality Act 2010 individuals are protected from unlawful discrimination, harassment and victimisation on the grounds of marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and treatment in employment. The protection from discrimination does not apply to single people.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff who are married or in civil partnerships.</p>
Pregnancy and maternity	<p>Under the Equality Act 2010 women are protected from unlawful discrimination, harassment and victimisation related to pregnancy and maternity.</p> <p>Consequently, where researchers have taken time out of work, or their ability to work productively throughout the assessment period has been affected, because of pregnancy and/or maternity, the submitting unit may return a reduced number of research outputs, as set out in 'Guidance on submissions', paragraphs 169 to 172.</p> <p>In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process.</p> <p>For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.</p>
Race	<p>The Equality Act 2010 protects HEI staff from unlawful discrimination, harassment and victimisation connected to race. The definition of race includes colour, ethnic or national origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their race or assumed race (for example, based on their name).</p>
Religion and belief including non-belief	<p>The Equality Act 2010 protects HEI staff from unlawful discrimination, harassment and victimisation related to religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived religion or belief, including non-belief. 'Belief' includes any structured philosophical belief with clear values that has an effect on how its adherents conduct their lives.</p>
Sex (including breastfeeding and additional	<p>The Equality Act 2010 protects HEI staff from unlawful discrimination, harassment and victimisation related to sex. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex.</p>



paternity and adoption leave)	<p>The sex discrimination provisions of the Equality Act explicitly protect women from less favourable treatment because they are breastfeeding. Consequently, the impact of breastfeeding on a woman's ability to work productively will be taken into account, as set out in 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'.</p> <p>If a mother who meets the continuity of employment test wishes to return to work early or shorten her maternity leave/pay, she will be entitled to shared parental leave with the father or her partner within the first year of the baby's birth. Partners may also be eligible for shared parental leave or pay. Fathers/partners who take additional paternity or adoption leave will have similar entitlements to women on maternity leave and barriers that exist to taking the leave, or as a result of having taken it, could constitute unlawful sex discrimination. Consequently, where researchers have taken additional paternity and adoption leave, the submitting unit may return a reduced number of outputs, as set out in 'Guidance on submissions', Annex L.</p> <p>HEIs need to be wary of implementing procedures and decision-making processes in relation to REF 2021 that would be easier for men to comply with than women, or vice versa. There are many cases where a requirement to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women.</p> <p>HEIs should note that there are now requirements under UK and Scottish legislation for public authorities (including HEIs) to report information on the percentage difference amongst employees between men and women's average hourly pay (excluding overtime).</p>
Sexual orientation	<p>The Equality Act 2010 protects HEI staff from unlawful discrimination, harassment and victimisation related to sexual orientation. Individuals are also protected if they are perceived to be or are associated with a person who is of a particular sexual orientation.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived sexual orientation.</p>

Appendix 8: Permitted Reductions in Outputs for Individual Staff Circumstances
(extracted from REF 2021 [Guidance on Submissions](#) (REF 2019/01))

Annex L: Reductions for staff circumstances

1. Given the reduced output requirement for 2021, the tariffs for the defined reductions differ from those set in REF 2014. This is to ensure that a broadly equivalent reduction is given in the context of the submitted output pool, and to ensure that panels receive a sufficient selection of research outputs from each submitted unit upon which to base judgements about the quality of that unit's outputs.

Early career researchers

2. ECRs are defined in the '[Guidance on Submissions](#)' (paragraph 148). Table L1 sets out the permitted reduction in outputs without penalty in the assessment that HEIs may request for ECRs who meet this definition.

Table L1: 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

3. Table L2 sets out the permitted reduction in outputs without penalty in the assessment that HEIs may request for absence from work due to secondments or career breaks outside of the HE sector, and in which the individual did not undertake academic research.

Table L2: Secondments or career breaks: Permitted reduction in outputs

Total months absent 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

4. The allowances in Table L2 are based on the length of the individual's absence or time away from working in HE. They are defined in terms of total months absent from work.

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

Qualifying periods of family-related leave

6. 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 leave¹³, or shared parental leave¹⁴ lasting for four months or more, taken substantially during the period 1 January 2014 to 31 July 2020.
7. This approach to reductions for qualifying periods of family-related leave is based on the funding bodies' considered judgement following consultation in the previous REF exercise that the impact of such a period of leave and the arrival of a new child into a family is generally sufficiently disruptive of an individual's research work to justify the specified reduction.
8. 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, according to Table L2.
9. Any period of maternity, adoption, paternity or shared parental leave that qualifies for the reduction of an output under the provisions in paragraph 6 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.

¹³ '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'.

¹⁴ '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.

Combining circumstances

10. Where individuals have had a combination of circumstances that have a defined reduction in outputs, these may be accumulated up to a maximum reduction of 1.5 outputs. For each circumstance, the relevant reduction should be applied and added together to calculate the total maximum reduction.

11. Where Table L1 is combined with Table L2, the period of time since 1 January 2014 up until the individual met the definition of an ECR should be calculated in months, and Table L2 should be applied.

12. When combining circumstances, only one circumstance should be taken into account for any period of time during which they took place simultaneously.

13. Where an individual has a combination of circumstances with a defined reduction in outputs **and** additional circumstances that require a judgement, the institution should explain this in the reduction request so that a single judgement can be made about the appropriate reduction in outputs, taking into account all the circumstances. The circumstances with a defined reduction in outputs to be requested should be calculated according to the guidance above (paragraphs 2 to 10).

Other circumstances that apply in UOAs 1–6

14. In UOAs 1–6, the number of outputs may be reduced by up to one, without penalty in the assessment, for Category A submitted staff who are junior clinical academics. These are defined as clinically qualified academics who are still completing their clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or its equivalent prior to 31 July 2020.

15. This allowance is made on the basis that the staff concerned are normally significantly constrained in the time they have available to undertake research during the assessment period. Where the individual meets the criteria in paragraph 14, and has had significant additional circumstances – for any of the other reasons set out in the [‘Guidance on Submissions’](#) in paragraph 160 – the institution can make a case for further reductions in the unit reduction request.

Circumstances requiring a judgement about reductions

16. Where staff have had other circumstances during the period (see paragraph 160 in this [‘Guidance on Submissions’](#) document) – including in combination with any circumstances with a defined reduction in outputs – the institution will need to make a judgement about the effect of the circumstances in terms of the equivalent period of time absent, apply the reductions as set out in Table L2 by analogy, and provide a brief rationale for this judgement.



Appendix 9: List of Abbreviations

ACG	Academic and Corporate Governance
ARR	Annual Review of Research
CCT	Certificate of Completion of Training
ECR	Early Career Researcher
EDI	Equality, Diversity and Inclusion
EIA	Equality Impact Assessment
FTE	Full-time Equivalent
HE	Higher Education
HEI	Higher Education Institution
HESA	Higher Education Statistics Agency
PSED	Public Sector Equality Duty
REF	Research Excellence Framework
REF EDI Group	REF Equality, Diversity and Inclusion Group
REF SCI Group	REF Staff Circumstances and Independence Group
REG	Research Excellence Grant
RKEC	Research and Knowledge Exchange Committee
SFC	Scottish Funding Council
UEG	University Executive Group
UOA	Unit of Assessment

Appendix 10: Equality Impact Assessment on Code of Practice

1. Introduction

The Research Excellence Framework (REF) is the system for assessing research in UK Higher Education Institutions and is undertaken on behalf of the UK's HE Funding Bodies. It is a process of expert review, carried out at national level, by expert panels for each of the 34 subject-based Units of Assessment (UOAs), under the guidance of four main panels.

All Higher Education Institutions (HEIs) submitting to REF2021 must produce and implement a Code of Practice on the fair and transparent identification of staff with significant responsibility for research (where not submitting 100% eligible staff); determining who is an independent researcher; and the selection of outputs. Codes must be agreed by the HEI and submitted for examination by the national REF Equality and Diversity Advisory Panel (EDAP). The University of Dundee's Code of Practice will be submitted for approval to EDAP by 7 June 2019. EDAP aims to review and approve all codes of practice for publication by December 2019.

The University of Dundee, as a public sector employer, is committed to the promotion of equality, diversity and a supportive environment for all its staff and students and members of the wider community. The University, in carrying out its functions, is actively working towards fulfilling the requirements of the public sector equality duty of the Equality Act 2010 to:

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

In addition, the University of Dundee is required to carry out Equality Impact Assessments (EIAs) of its policies as part of the Scottish specific duties of the Act.

The Guidance on codes of practice for REF 2021 defines an EIA as follows:

- *'An EIA should be a thorough and systematic analysis to determine whether the institution's processes for identifying staff, determining research independence and output selection for the REF may have a differential impact on particular groups by reference to one or more protected characteristic(s).'*

The University of Dundee is committed to embedding equality, diversity and inclusion in its preparations for REF 2021 in accordance with its legal obligations under equality legislation. When developing our REF Code of Practice we will need to evidence how committees or groups have been formed including steps taken to consider and reflect on representativeness.

The University is committed to conducting three EIAs during the REF 2021 process:

- EIA 1: when identifying independent researchers;
- EIA 2: when selecting outputs for submission; and
- EIA 3: post-final submission.

EIAs will be reviewed by the University's REF Equality, Diversity and Inclusion Group on behalf of the University's REF Steering Group. All completed EIAs will be published on the University's REF 2021 and Human Resources and Organisational Development web pages.



2. What is the policy?

The policy is a Code of Practice which frames the University's decision-making processes in relation to REF 2021 in the context of the principles of equality, diversity and inclusion and all relevant legislation.

3. What is the purpose of the policy?

The University has developed and will implement a Code of Practice for the submission as required for the REF 2021 process.

The purpose of this policy is to:

- Apply the Code of Practice to all members of staff involved in the REF processes as well as any REF external advisers engaged by the University.
- Demonstrate that the University is operating in a fair, equitable, transparent, consistent, accountable and inclusive manner, and within the confines of the relevant equalities and employment legislation.
- Demonstrate inclusiveness through submission of 100% eligible staff to the REF.
- Promote an inclusive environment where processes established enable the University to identify all eligible staff and outputs for submission to REF 2021.
- Provide transparent information about the committees/groups and individuals involved in the preparation of the REF submission including their terms of reference, membership, roles and record-keeping procedures.
- Ensure that the processes for identification of 'research-only' staff who meet the REF definition of an independent researcher; selection of outputs; supporting staff with individual circumstances; and appeals, are consistent across all Units of Assessment.
- Ensure that all eligible staff are fully aware of the decision making processes for determining research independence, selecting outputs and individual circumstances.
- Inform staff about the processes and mechanisms available for making appeals.
- Provide clear information and guidance that is accessible to all eligible staff who wish to disclose their individual circumstances for the REF submission.
- Detail how confidentiality and sensitive issues will be processed and dealt with.
- Ensure that all stakeholders are aware of the University's communication plan regarding the REF process.
- Provide clear guidance on what training needs to be provided and which staff will need to participate to fulfil the requirements of the REF process.

4. Who is affected by or benefits from the policy? Who are the stakeholders (e.g. staff, students, trade unions)?

The policy will directly affect individual staff members categorised as 'research-only' or 'teaching and research' as defined by the REF 2021 Guidance on Submissions, which sets out the full eligibility criteria for inclusion of staff in the REF submission.

In terms of benefit, it will be beneficial to the wider University community, especially for people not directly involved in the REF decision making process but who have a responsibility for managing people in the institution. The policy will help staff to better understand, and enhance their awareness of, other equality, diversity and inclusion related ongoing activities which the



University is pursuing, and the REF process in itself will have a positive impact on promoting an inclusive culture.

Throughout the process, staff have the opportunity to declare, voluntarily, any circumstances which may have affected their ability to work productively during the assessment period and have this taken into account.

5. Who implements the policy?

Responsibility for the University's Code of Practice and overall direction of the REF process sits with Professor John Rowan, Vice-Principal for Research, Knowledge Exchange and Wider Impact. Supporting the Vice-Principal for Research, Knowledge Exchange and Wider Impact, there are various groups, committees, panels and individuals, such as the REF Steering Group, Main Panel Coordinating Groups, Unit of Assessment Planning Groups/Coordinators, Deans of Schools, Appeal Panels, REF Equality, Diversity and Inclusion Group and REF Staff Circumstances and Independence Group, which will be responsible for implementing the Code of Practice.

Human Resources will deliver equality, diversity and inclusion training to all staff who have an involvement in the implementation of this Code of Practice.

A variety of training methods will be used, such as briefing sessions and including online training modules.

The Code of Practice will be disseminated widely and published on the University's REF 2021 and Human Resources web pages to raise awareness of the internal REF process.

6. What information is available to facilitate the equality analysis of the policy?

To conduct an analysis on this Code of Practice prior to the initial identification of eligible staff, a University-wide consultation was carried out. The response and feedback received from a range of stakeholders was constructive and helped to inform the development of the Code of Practice.

Currently, of the nine protected characteristics as defined by the Equality Act 2010, the University collects data on age, disability, gender and race. The University recognises that there is a gap in availability of data in relation to other equality groups. It is the intention of the University to exhibit comparative data where available when it fulfils its commitment to undertake further EIAs as stated in the Code of Practice.



7. Has consultation taken place with any of the protected characteristic groups or other relevant bodies in the development or revision of the policy? Please provide details of engagement.

This Code of Practice was developed by the University's REF Equality, Diversity and Inclusion Group on behalf of the REF Steering Group (a sub-committee of the University Research and Knowledge Exchange Committee). The Code of Practice was revised and modified several times following an on-going extensive consultation with the University community. This involved many meetings of the REF Equality, Diversity and Inclusion Group, open meetings and drop-in sessions for academic and Professional Services staff of the University, as well as the distribution of the draft document to all staff and various equality groups in the University for feedback.

Feedback received from various stakeholders in the University was considered by the REF Equality, Diversity and Inclusion Group and informed the final drafting of the Code of Practice.

Further groups consulted on the Code of Practice were:

- Dundee University College Union (DUCU); the DUCU was engaged in the preparation of the Code of Practice, through having a member on the REF Equality, Diversity and Inclusion Group and through the University/Unions Local Joint Committee.
- Equality, Diversity and Inclusion Committee of the University (including members of the Dundee University Student Association (DUSA), equality staff networks and the senior management team), which has an overall responsibility for progressing the equality, diversity and inclusion agenda in the University.
- University Research and Knowledge Exchange Committee, University Executive Group, People and Organisational Development Committee (PODCO) and Senate.

8. Is there any evidence of varying levels of participation by any of the following protected characteristic groups? (Protected Characteristics groups to be listed separately)

Protected Characteristic ¹⁵	Positive Impact ¹⁶	Negative Impact ¹⁷	Unclear	Comments
Age	Yes			As part of the individual staff circumstances, Early Career Researchers (ECRs) are permitted a reduction in outputs. ECRs can be of any age.
Disability	Yes			As part of the individual staff circumstances, eligible staff with disabilities have the opportunity to declare, voluntarily, any circumstances which may have disrupted or affected their ability to work productively during the assessment period and are permitted a reduction in outputs.
Gender Reassignment	Yes			As part of the individual staff circumstances, eligible staff with disabilities have the opportunity to declare, voluntarily, any circumstances which may have disrupted or affected their ability to work productively during the assessment period and are permitted a reduction in outputs.
Marriage and Civil partnership		No		All academic staff are eligible regardless of their marital or civil partnership status.
Pregnancy and Maternity	Yes			Under REF Guidance eligible staff can seek a reduction in outputs due to maternity, paternity, or adoption leave and due to constraints related to pregnancy, maternity, paternity, adoption or childcare.
Race		No		All academic staff are eligible regardless of race.
Religion or Belief, or none		No		All academic staff are eligible regardless of religion or belief or none.
Sex		No		All academic staff are eligible regardless of sex.
Sexual orientation		No		All academic staff are eligible regardless of their sexual orientation.

¹⁵As defined in the Equality Act (2010), includes: age, disability (including carers of disabled people), gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, or none, sex (includes breastfeeding and childcare) and sexual orientation.

¹⁶Good practice to comply with the Public Sector Equality Duty (2011) to: eliminate discrimination, advance equality of opportunity, and foster good relations.

¹⁷Adverse effect on people of different 'protected characteristics' as defined in the Equality Act (2010).



9. Are there any concerns or is there evidence that any of the protected groups have different issues, experiences or needs in relation to the policy? Please give details.

The following areas were highlighted during the development of the Code of Practice and the consultation process:

Concern around confidentiality issues in relation to disclosing individual staff circumstances was raised at open sessions and during development of the Code by the REF Equality, Diversity and Inclusion Group, in particular giving people the confidence to declare circumstances, options for seeking confidential advice and who would have access to the sensitive information. These concerns were considered and addressed in the development of the final Code of Practice. The process of reviewing individual staff circumstances will be managed centrally by the REF Staff Circumstances and Independence Group. As part of the REF process, all staff will be invited to declare, voluntarily, any individual circumstances that may have affected their ability to work productively during the assessment period, and will be informed of the outcome of any declaration. Options for seeking confidential advice have been included in the Code.

In order to ensure that the Code of Practice was accessible and available in alternative formats if required, Disability Services were consulted and confirmed that the document broadly fulfilled accessibility requirements and that requests to meet individual disability-related needs could be made to the University's alternative formats service.

The University's Head of Information Governance & Joint Assistant Director, Culture and Information is being consulted on an ongoing basis to ensure that data protection and privacy issues are in accordance with data protection legislation.

Issues of gender balance and potential under-representation of protected groups in general were raised when considering the representativeness of internal REF Groups. The University considered this issue and actioned changes where under-representation was disproportionate to ensure inclusiveness.

10. Are there any gaps in your information that you need to fill to get a full picture of how well the policy works or will work for different protected groups?

The University for monitoring purposes currently has robust data on age, disability, gender and race and also has information on staff who have taken maternity, long-term absences and adoption leave, and on staff who work part-time and fixed-term. Processes will be monitored throughout the REF submission to ensure potential discrimination issues are identified and addressed. Any significant changes to our Code of Practice will also be communicated to all staff.

11. What conclusions can you draw from analysis of the evidence base?

The University of Dundee's Code of Practice supports the promotion of equality, diversity and inclusion. The University is confident that it is demonstrating with its Code of Practice that it is not disadvantaging or discriminating against any of the protected groups as defined by the Equality Act 2010. The Code of Practice has clearly laid out procedures on how it intends to deliver on the identification of eligible staff, selection of outputs and measures to support staff with individual circumstances by being open, transparent, consistent, accountable and inclusive.

12. In view of this analysis, are there further actions or adjustments required to ensure the policy promotes and reflects equality of opportunity for all?

This Code of Practice will be monitored for its effectiveness throughout the REF process and updated with any changes if it is found to have a negative impact on any of the protected groups. Continued communication of the Code to staff and training for REF Groups will be important.

Persons involved in the EIA: Professor John Rowan, Vice-Principal (Research, Knowledge Exchange and Wider Impact)
Pamela Milne, Director, Human Resources and Organisational Development and Convenor of REF Equality, Diversity and Inclusion Group
Dr Clive Randall, Research Policy Manager
Ajit Trivedi, Head of Equality, Diversity and Inclusion

Signed off by: Professor John Rowan

Position: Vice-Principal (Research, Knowledge Exchange and Wider Impact)

Date of EIA Completion: 31 May 2019



Further Information

Further information on the REF and relevant contacts are available on the University's internal REF website (<https://www.dundee.ac.uk/ref>). Alternatively, you may e-mail REF@dundee.ac.uk (general queries) or discovery@dundee.ac.uk (queries relating to Open Access and Pure).

Any questions regarding the content of this document should be referred to Professor John Rowan (Vice-Principal Research, Knowledge Exchange and Wider Impact), Dr Clive Randall (Research Policy Manager) or Mr Ajit Trivedi (Head of Equality, Diversity and Inclusion).

University of Dundee
Nethergate
Dundee
Scotland, UK
DD1 4HN

t: +44 (0)1382 383000
w: dundee.ac.uk