Abertay University REF 2021 Code of Practice

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Part 1: Introduction

1.1   Preamble

This Code of Practice sets out the principles underpinning the University's approach to the Research Excellence Framework (REF) 2021 and the processes for identifying the staff and outputs to be submitted. This Code is intended to meet the funding bodies' requirements for REF 2021 and to reflect their guidance (https://www.ref.ac.uk/guidance/key-documents/).

- Part 1 provides background and context, sets out the key principles, and outlines the approach to communication.
- Part 2 sets out the processes and basis for identifying staff with significant responsibility for research, in line with the guidance from the REF 2021 panel. In REF terms, this is the process for identifying Category A submitted staff for any Unit of Assessment (UoA) in which the University is not submitting 100% of Category A eligible staff.
- Part 3 sets out the basis for determining research independence in line with the guidance from the REF 2021 panel.
- Part 4 sets out the process for selecting outputs to be submitted to REF 2021.

If you would like this document in a different format (e.g. large print, braille) or need any assistance to access or understand the policy/procedure please contact your School/Service designated HR Partner.

Enquiries from members of staff should be directed in the first instance to the institutional REF contact (n.white@abertay.ac.uk). Other enquiries should be addressed to info@ref.ac.uk.

1.2   Guiding principles

Our Strategic Plan 2015-20 affirms our commitment to developing and sustaining an inclusive and supportive culture, welcoming and retaining staff from a diverse range of backgrounds and inspiring our staff to achieve their full potential. As a modern University, research excellence continues to develop at pace across the University and research forms a significant responsibility for increasing numbers of our academic staff. However, for many valued academic staff, research is not a significant part of their work, which is focussed on teaching, often combined with professional practice, knowledge transfer, outreach, and/or organisational work. In line with the REF 2021 guidance, this latter group of staff will not be submitted to REF 2021. This does not detract from the vital part they play in Abertay's core purpose: offering transformational opportunities through our approach to education and enabling our students to achieve their potential.

The University's approach to the REF will:
- Take account of our current and historical context and our current strategic aims.
- Recognise that academic roles vary and value different types of academic role and varied career paths.
- Support academic staff development, including development of research independence.
- Be underpinned by equality, inclusivity and fairness, ensuring that all staff are treated with dignity and respect. Specifically, our approach will ensure that there is no unlawful discrimination, harassment or victimisation due to age, disability, gender identity, marriage or civil partnership, race, religion or belief, sex, sexual orientation, pregnancy or maternity; and that part-time and fixed-term employees are treated no less favourably than comparable full-time and permanent employees (and vice versa).

- Take account of staff circumstances that have affected an individual's or unit's ability to work productively throughout the assessment period.
- Ensure transparency, consistency and accountability in all our decision-making processes in relation to REF.
- Be the same for all UoAs. (The funding bodies' guidance allows our processes to recognise differences between disciplines and contexts[1]. However, this Code does not vary the approach between UoAs, as our employment practices do not vary substantially.)

1.3   Definitions and terms

Category A eligible staff[2] are defined as academic staff with a contract of employment of 0.2 full-time equivalent (FTE) or greater, on the payroll of the submitting institution on the census date (31st July 2020), whose primary employment function is to undertake either 'research only' or 'teaching and research'. Staff must have a substantive research connection with the submitting Unit of Assessment (UoA). For staff on 'research only' contracts, the eligible pool should only include those who are independent researchers (see Part 3).

Category A submitted staff describes the staff from among the total pool of 'Category A eligible' staff who have been identified as having significant responsibility for research on the census date. This will only include staff on research-only contracts if they are 'Category A eligible', i.e. independent researchers (see Part 3).

Research is defined as a process of investigation leading to new insights, effectively shared. It **includes** work of direct relevance to the needs of commerce, industry, culture, society, and to the public and voluntary sectors; scholarship[3]; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It **excludes** routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of new analytical techniques. It also **excludes** the development of teaching materials that do not embody original research. It **includes** research that is published, disseminated or made publicly available in the form of assessable research outputs, and confidential reports.

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. Staff engaged exclusively in scholarship would not be considered as having a significant responsibility for research.[4]

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[1] "The submission approach may vary by UoA where employment practices vary at this level. The processes should be context dependent, drawing on standard ways of working at the institution, and it should be possible to test these criteria fairly and evenly against the responsibilities of all academic staff."
[2] Para 117-127 of the Guidance on Submission REF 2019/01 January 2019.
[3] Scholarship for the REF is defined as the creation, development and maintenance of the intellectual infrastructure of subjects and disciplines, in forms such as dictionaries, scholarly editions, catalogues and contributions to major research databases.
[4] Para 138 and Annex C of the Guidance on Submission REF 2019/01 January 2019.

Submitted Unit

A group (or groups) of staff identified by the HEI as working primarily within the remit of a Unit of Assessment (UoA) that is included in a submission, along with evidence of the research produced during the publication period, examples of impact underpinned by research in the unit, and the structures and environment that support research and its impact[5].

Unit of Assessment (UoA),

Submissions in REF 2021 will be made in any of 34 discipline-based 'units of assessment'. There is an expert sub-panel for each UOA[6].

1.4   REF 2021 Code of Practice Working Group

A REF 2021 Code of Practice Working Group (CPW Group) was established in June 2018 whose remit is:

> *To develop Abertay University's REF2021 Code of Practice in accordance with the funding bodies' requirements and guidance, taking into account views from the wider academic community at Abertay.*

The Working Group's remit is attached in Appendix 2i. Membership (7 female; 6 male) is composed of a cross section of academic and research staff and trade union representatives from both UCU and Unite, specifically: two early and two mid-career academics; a senior academic (and UoA Champion); a Head of Division; two UCU representatives; one Unite representative; the Dean of Research and the Graduate School; the Head of the Research and Innovation Service (REIS) and the Director of Human Resources & Organisational Development (Chair). The Group was nominated by, and reports to, the University REF Steering Group (Appendix 2ii).

1.5   Code of Practice consultation, approval and submission

The Code of Practice is subject to approval (figure 1) by the University REF Steering Group (Appendix 2ii), the Research and Knowledge Exchange Committee (Appendix 2iii), Senate (Appendix 2iv) and will be noted by Court (Appendix 2v). The draft Code of Practice has been published internally, discussed at three consultation events open to all academic staff, discussed by the Academic Leadership Group[7], considered by the Lead Voices[8], and open to comment through a dedicated email address, to seek feedback to inform any necessary refinement to the Code, thereby ensuring equality, inclusivity and fairness in our approach to identifying 'Category A submitted' staff, researcher independence and submission of outputs. A University mock REF exercise employing the draft Code of Practice was carried out in April-May 2019 and an Equality Impact Assessment (EIA) will be applied to assess any inappropriate impact requiring remedy. Again, the Code will be refined if appropriate, thereby ensuring equality, inclusivity and fairness in our approach to identifying 'Category A submitted' staff and submission of outputs.

The revised Code of Practice will be submitted to the Scottish Funding Council /REF team by noon 7th June 2019 for final approval by the REF Equality and Diversity Advisory Panel

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[5] Annex M of the Guidance on Submission REF 2019/01 January 2019.

[6] Ibid. Annex M.

[7] The Academic Leadership Group is chaired by the VP Academic and is composed of the Deans of Schools, the Dean of Research, the Director of Teaching and Learning and the Registrar.

[8] Lead Voices are volunteer staff members and students who act as general 'advocates' or 'lead voices' for particular protected characteristics; connecting the management with the wider student and staff community, but - crucially - acting in a peer-to-peer way and thus helping to articulate various staff and student views and share these with management, especially with respect to equality impact assessment of University policies and decisions.

(EDAP). Thereafter, the University may be required to amend the Code of Practice after guidance from EDAP, before external publication in December 2019.

Equality Impact Assessments (EIA) will be carried out by an independent panel of the Director of Student Services and an HR/OD Partner; the results will be used to inform any required revision to the Code of Practice process by the Working Group (Appendix 5). A further EIA will be carried out by the independent panel, prior to the final REF submission of staff and outputs, taking account of the provisional impact on individuals by protected characteristic[9]. As a small institution, we will take particular care during EIA analysis involving small numbers of individuals as these can heavily influence the percentages reported in statistical data.
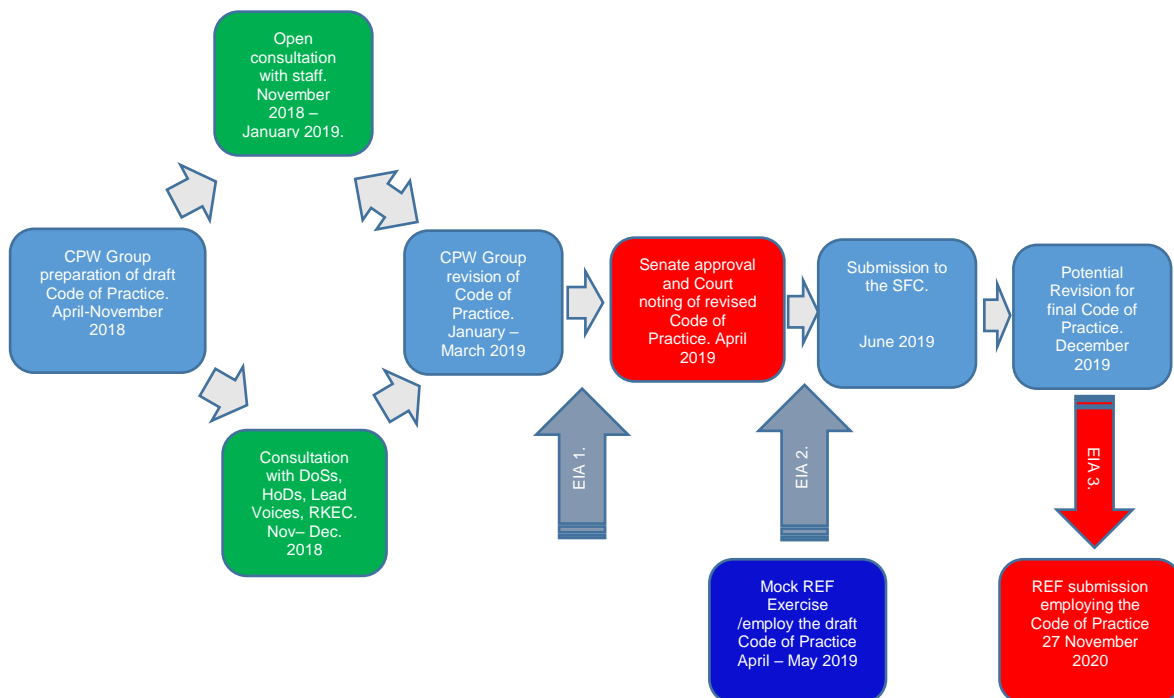
Figure 1: Schematic outlining the process for REF 2021 Code of Practice development, consultation and feedback, equality impact assessment, approval, submission and application

1.6   How the Code of Practice relates to broader institutional policies and strategies that promote and support E&D

The Code of Practice is aligned with the University's Equality and Diversity Policy (see Appendix 1i), which confirms the University's commitment to equality of opportunity in its selection and treatment of employees, to ensuring that all individuals are treated with dignity and respect and to achieving an environment where unlawful discrimination is not tolerated.

All staff involved in REF 2021 processes are also subject to the University Bullying and Harassment Guidelines (see Appendix 1ii), which make it clear that the University will not tolerate any form of bullying and harassment and individuals may challenge this without fear of repercussion.

The University holds both Athena SWAN and Race Equality Charter Bronze awards and is taking forward associated action plans to further promote gender and race equality. The

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[9] According to Para 59-69 of the Guidance on Codes of Practice REF 2019/03 January 2019.

Athena SWAN action plan includes action to improve the representation of female academic staff in REF 2021. No race-related issues were identified in relation to research or REF.

These action plans are integrated into the University's overarching Equality Action Plan, which addresses equality, diversity and inclusion across all protected characteristics.

The University has a standard Equality Impact Assessment process and guidance, which will be used to assess this Code of Practice and as the basis for all EIA under this Code

1.7   How Abertay supports its fixed-term and part-time staff in relation to equality and diversity

As part of our Athena SWAN and Race Equality Charter work, the University has analysed contract types by gender and race. Approximately 13% of academic and research staff are on fixed-term contracts and women are slightly more likely to be on such contracts, which is being monitored. Approximately 16% of academic staff work part-time and part-time staff are equally likely to be female as male. There are no significant differences in fixed-term or part-time working in relation to ethnicity or nationality. Our Athena SWAN work indicates that there are accessible policies and a supportive culture in respect of flexible working and family-friendly policies and practices. The terms and conditions of part-time and fixed-term staff are the same as equivalent full-time staff (pro rata).

1.8   Actions taken since REF 2014

Abertay have introduced and refined a number of policies and procedures aimed at improving equal opportunity and good practice for all researchers as part of our Concordat to Support the Career Development of Researchers action plan. The University has also undertaken systematic and detailed periodic review of the impact Abertay policies and practices have on E&D for staff involved in research as part of the Race Equality Charter Mark (awarded Bronze 2016) and Athena SWAN self-assessment exercises (awarded Institutional Bronze 2015 and 2018; School of Science, Engineering & Technology Bronze 2018). Our Athena SWAN submissions indicated that the proportion of women submitted in RAE 2008 and REF 2014 was slightly lower than the proportion of female academic staff, which was partly explained by a lower representation of women in the grades at which level fully independent research would be expected. Our Race Equality analysis indicated that the proportion of black and minority ethnic (BME) staff submitted to RAE 2008 and REF 2014 was higher than the proportion of BME academic staff, and the same was true of non-UK nationals, so there was no evidence of under-representation issues.

The EIA report for the Abertay REF 2014 submission (see Appendix 1iii) indicated that overall, there was a substantial variation in the submission rates for staff groups with different characteristics. However, there was no evidence that this was due to the Code of Practice or how selection for REF 2014 was carried out in the University. The substantial proportion of staff classified as having individual circumstances indicates that the Code of Practice was used fully. The data suggest that women and younger staff may have particularly benefited from the provisions for individual circumstances. The evaluation and monitoring of REF 2014 has provided data to benchmark for future REF assessments. We will monitor REF 2021 submission rates by protected characteristics and assess the number of individuals applying for reductions due to individual circumstances.

To facilitate the development of fair and equitable processes, the REF 2021 Steering Group and particularly the REF 2021 Code of Practice Working Group represents a diverse membership. Furthermore, in preparation for our REF 2021 submission we have (through an open call) established Champion Groups for Units of Assessment and the resulting proportion of female Champions is 35% (F:12; M:22) which is consistent with senior grade

proportions (Grade 8-10 were 31% female and Grade 10 were 18% female in 2017). A number of briefings have been held to ensure that all academic staff are aware of REF2021 and training sessions have been held with HoDs regarding their critical role in managing academic workload and supporting staff in developing their research.

The University trialled a new Workload Allocation Model and guidance in Spring 2017, which was further refined in Spring 2018 to disaggregate time allocated for research and Academic Scholarship and to explicitly account for time allocated for research (according to the definition in 1.3). A revised Workload Allocation Model and guidance was developed (to be approved) for implementation in 2019-20 (see Appendix 1iv).

1.9   How the Code of Practice is addressing the principles of transparency, consistency, accountability, and inclusivity in demonstrating fairness

The Code of Practice has been developed collaboratively with the academic staff body, subject to institution-wide consultation, approved by Senate, and noted by Court. The criteria therein (Parts 2, 3 and 4) are objective, non-discriminatory and transparent, will be applied consistently, and take due regard of the Public Sector Equality Duty, including the Scottish Specific Duties (see REF 2019/03).

The following staff representative groups have been consulted and a summary of the main points of feedback and how the consultation has been taken into account are summarised in Appendix 4:

- REF Code of Practice Working Group
- Three consultation events open to all academic staff
- Email (REF@abertay.ac.uk)
- Heads of Division
- Abertay Lead Voices[10]
- University REF Steering Group
- University Research and Knowledge Exchange Committee
- Abertay University Senate
- Abertay University Court

Accountability and inclusivity is ensured through having clearly defined roles and responsibilities for individuals and groups involved in decision making: to identify staff with significant responsibility for research; determine research independence; and in selecting outputs for REF submissions. Operating criteria and terms of reference for individuals, committees, advisory groups and other bodies concerned with these processes, have been made readily available to all individuals and groups concerned (Appendix 2).

A fair and inclusive environment is promoted by ensuring that all those involved in decision making undertake appropriate equality and diversity training (see section 2.2.2) and that decision outcomes are assessed via EIAs at key process application stages

(see section 2.4). We will fairly represent the research of all our excellent researchers[11]. Anomaly Checks will also explicitly verify that 'Category A eligible' staff who are not submitted, do not have significant responsibility for research (evidenced through documented audit by the REF Decisions on Staff and Outputs Group).

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[10] Lead Voices are volunteer staff members and students who act as general 'advocates' or 'lead voices' for particular protected characteristics; connecting the management with the wider student and staff community, but - crucially - acting in a peer-to-peer way and thus helping to articulate various staff and student views and share these with management, especially with respect to equality impact assessment of University policies and decisions.
[11] Para 45c of the Guidance on Submission REF 2019/01 January 2019

1.10   How the Code of Practice is communicated to staff

This code, including drafts for consultation, is available to all staff on the REF 2021 MyAbertay intranet page and will also be published on the University's external REF webpage by December 2019. The Code will be publicised by all staff email and by articles in the intranet newsfeed and the Abertay Matters newsletter.

In addition, Heads of Division and/or HR will communicate directly with academic staff on maternity or other long-term leave or sabbatical regarding this Code and key activity in relation to REF 2021.

Additional information on consultation is included in Parts 2, 3 and 4 below.

This Code of Practice does not form part of any employee's contract of employment and is subject to amendment. It is anticipated that the Code of Practice will continue to be updated as preparation for REF 2021 proceeds, including updating information about timescales, consultation, EIA and communication. The University may also vary any parts of this procedure, including any time limits, as appropriate in any case.

Part 2: Identifying staff with significant responsibility for research

2.1   Policies and procedures

2.1.1 Criteria for identifying staff with a significant responsibility for research

Any staff on 'research only' contracts who are 'Category A eligible', including meeting the definition of an independent researcher (see section 3), are deemed to have a significant responsibility for research.

The contractual status of the majority of 'Category A eligible' academic staff at Abertay on 'teaching and research' contracts does not accurately identify staff in submitting units with significant responsibility for research. 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[12].

All academic staff on 'teaching and research' contracts are allocated time for categories of work within a Workload Allocation Plan (see policy and guidance document in Appendix 1). Staff with a responsibility for research are therefore allocated an appropriate portion of research time within the same Workload Allocation Plan. Research activity comprises work falling within the definition of research (see section 1.3). Workload allocations are planned annually by line managers (Heads of Division and Deans of School) and can be revised during the academic cycle to accommodate any changes in circumstances and/or priorities. Heads of Division discuss and agree the time allocated for specific research activity, both externally funded and internally supported, with individual staff annually – normally alongside their Development Discussion meetings. Consideration will be given to time allocated for independent research (Part 3).

Planned workload allocations are reviewed annually by the REF Decisions on Staff and Outputs Group to confirm appropriate allocation of time for research (see section 3 also for

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[12] Ibid Para 138 and Annex C

consideration of researcher independence). The Terms of Reference for this meeting are given in Appendix 2vi.

For the purpose of REF 2021, full-time staff having received a workload allocation for research equal or greater than 0.2 full-time equivalent (FTE) or pro rata for part-time staff, within a minimum of 12 months continuous (from September 2018), and that it is an expectation of their job role, will be considered as having a significant responsibility for research[13].

All staff with a contract of employment with the University of 0.2 FTE or greater on the census date 31st July 2020, with significant responsibility for research as defined above, will be returned to the REF, provided they are determined to be independent researchers (see Part 3).

2.1.2 How decisions are made, approved and communicated to staff (including timescale)

At Abertay, there are no variations in employment practices by UoAs that would vary the UoA approach to identifying staff with a significant responsibility for research.

The procedure by which decisions will be made to identify 'Category A submitted' staff, including the timescales for delivering decisions and the method and timescale in which feedback will be provided in respect of the decisions made, are identified below. This is a multi-stage process (figure 2).

(a) <u>Academic year 2018-19:</u>

Stage 1: All approved (see section 2.1.1.) workload allocation records are updated and Heads of Division discuss these with academic staff by January 2019 (in January Pathways[14] meetings). Notification is to individual staff by their line manager. All staff on 'research only' contracts who are 'Category A eligible', including meeting the definition of an independent researcher (see Part 3), are determined to have a significant responsibility for research.

For the purpose of REF 2021, full-time staff having received a workload allocation for research equal to or greater than 0.2 full-time equivalent (FTE) (pro rata for part-time staff), within a minimum 12 months continuous (from September 2018), and with research as an expectation of their job role, will be considered as having a significant responsibility for research. Research activity comprises work falling within the definition of Research (see section 1.3)[15].

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[13] In accordance with Para 141 of the Guidance on Submission REF 2019/01 January 2019.

[14] Pathways is the University's appraisal process. This will be replaced by Development Discussions from May 2019.

[15] Members of the Senior Management Group, with academic contracts (including teaching & research), who are actively engaged in independent research, have explicit research time (at least 20% FTE) and resources made available to them.
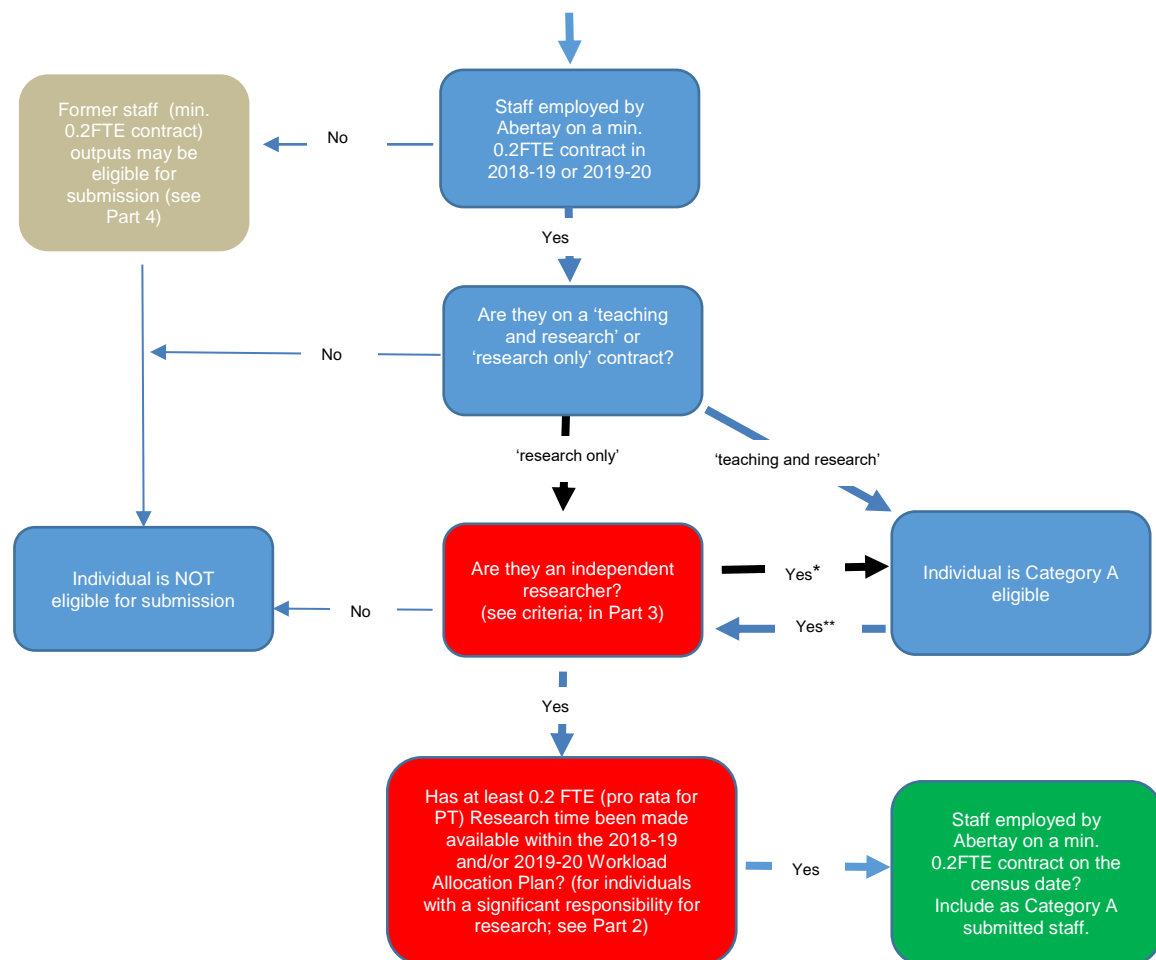
Figure 2: Process for identifying staff eligibility for submission in REF 2021. This is a multi-stage process operated over academic year 2018-19 and repeated in academic year 2019-20 to the census date of 31st July 2020. * indicates a process step for 'research only' staff and ** indicates a process step for all 'Category A eligible' staff. The output of former staff may be eligible for submission (see section 4.1.2).

Stage 2: These records were used as a mock census (January-April 2019) from which the relevant Unit Champions, in liaison with the relevant Heads of Division (if different) provisionally identified staff who should be included in the Mock REF (April-May 2019) return for a specific UoA for which they have a substantive research connection.

In all cases, relevant circumstances were taken into account (see section 2.3.).

An EIA will be carried out on the Mock REF data and the results will be used to inform any required revision to the Code of Practice process (analysis and response summarised in Appendix 5).

Stage 3: An Anomaly Check will validate whether 'Category A eligible' staff who are not provisionally identified for submission to a UoA, do not have significant responsibility for research (evidenced through documented audit by the REF Decisions on Staff and Outputs Group).

Stage 4: Heads of Division will discuss the provisional assessment with individual staff providing an opportunity to gather and consider further information and views. Thereafter those staff who are considered to have significant responsibility for research and who are provisionally identified for submission to REF 2021 (in the absence of any substantive

change to their position), will be confirmed by August 2019. Staff will be informed of the provisional decision in their case, and the reasons, in writing and will be notified of their right to seek a review through the Appeal Process (see section 2.3).

The right to seek a formal review through the Appeal Process (see section 2.3) should take place when staff are notified of the provisional assessment.

All academic staff – whether eligible for submission or not - will also be provided with information and support in relation to their professional development.

   (a) Academic year 2019-20:

Stage 5: Stages 1 to 4 (Stage 2 will be January-July 2020 for the submission to REF 2021) will be repeated, to include any new academic staff and consider any changes to circumstances. The staff considered to have significant responsibility for research, and to have a contract of employment with the University of 0.2 FTE or greater (pro rata for part-time staff) on the census date 31st July 2020, and who are determined to be an independent researcher (Part 3), will be confirmed for submission to REF 2021.

'Category A eligible' staff who do not have significant responsibility for research and are not determined to be independent researchers will not be submitted to REF 2021.

Staff will be informed of the decision in their case, and the reasons, in writing and will be notified of their right to seek a review through the Appeal Process (see section 2.3).

The right to seek a formal review through the Appeal Process (see section 2.3) should take place following discussion of the outcome between the individual and their line manager.

2.1.3 How processes have been consulted on and agreed with staff representative groups

This Code has been developed by the REF 2021 Code of Practice Working Group (see section 1.4), whose membership includes a cross section of academic staff and trade union representatives from both UCU and Unite. The REF 2021 Code of Practice has been developed in consultation with the University's wider academic community (see section 1.5).

The University has established REF 2021 intranet pages, which have been publicised through ARC Yammer[16], MyAbertay intranet newsfeed, the Graduate School, and School Away Day meetings. The draft Code of Practice has been published on the intranet, in addition to holding three consultation events open to all academic staff. These were publicised via all staff email, the MyAbertay intranet newsfeed and the Abertay Matters newsletter. Abertay's staff Lead Voices – representatives of each of the protected characteristic groups and of those with caring responsibilities - have also been consulted. In addition to the consultation sessions, staff have been invited to submit any comments, suggestions or queries to REF@abertay.ac.uk. Further consultation has also involved academic managers and leaders (Heads of Division and Deans of School) and the University RKEC. All comments and suggestions (see Appendix 4), whether via open sessions, email or other routes, were considered by the REF Code of Practice Working Group before proposing the final Code of Practice for approval by Senate and for noting by Court.

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[16] ARC Yammer is a corporate social media tool for communication to and within the Abertay Research Community.

2.2   Staff, committees and training

2.2.1 Procedures for appointing designated staff, panels and committees responsible for identifying staff with significant responsibility for research

Unless otherwise stated, designated staff, panels and committees have been appointed on the basis of the individual's office or role in the University and their professional expertise and experience, taking account of the need to separate decision-making and appeal processes and distribute workload. Given Abertay's small size, all academic managers and relevant professional staff are involved in the REF 2021 processes. For example, the Principal, Vice-Principal Academic and Deans of School have particular responsibilities in relation to research strategy, line management and governance relevant to their particular roles and are included in relevant groups on that basis. Professional services colleagues have been included on the basis of their expertise and responsibilities for relevant policies, processes, information and advice. For example, HR colleagues have expertise in law, policy and practice in relation to both people management and equality and diversity, as well as roles as HR partners and experience of previous REF exercises.

All appointments to jobs/roles in the University are made in accordance with HR and recruitment policy.

The procedures for appointing designated staff, groups, committees and panels responsible for identifying staff with a significant responsibility for research are identified below:

Head of Division: Heads of Division have direct line management responsibility for all academic staff, as those: determining the allocation of workload for specific responsibilities, including research independence and time allocated for research; providing the workload allocation information to Deans of School; communicating provisional REF decisions to staff; providing support and specific advice on development; and ensuring all relevant information is taken into account. This forms part of their contracted management role (the Role Descriptor for Head of Division is given in Appendix 2vii). Decision making is informed by data related to research and researcher independence (see section 3.1.1.), as well as business need, including delivery of the teaching portfolio, as well as development and delivery of other projects. Planned workload allocations are reviewed annually by the REF Decisions on Staff and Outputs Group to confirm appropriate allocation of time for research. Specific briefings have been held for Heads of Division (and Deans of School) regarding their critical role in managing academic workload and in supporting staff to develop their research. This is a front-line decision making role.

Unit of Assessment Champion Leads and Group members: In 2016 the chair of the REF Steering Group (the Vice-Principal Academic), through an open call, invited applications from academics offering to act as Unit of Assessment Champions. All such nominations were accepted, to share the burden of workload and provide opportunities for learning and staff development. The REF Steering Group identified Unit of Assessment Champion Leads (the most experienced academics in terms of REF and/or research leadership) from within each Unit of Assessment Champion Group. The Terms of Reference for Unit of Assessment Champion Leads and Group members are given in Appendix 2viii. Unit of Assessment Champion Leads are able to offer advice to Heads of Division (should it be required) regarding researcher independence, and will offer advisory scores for research outputs from the Unit of Assessment Champion Group (see section 4.1.5.).

REF Decisions on Staff and Outputs Group: The group is chaired by the Vice-Principal (Academic) and is composed of the three Deans of School, the Director of Finance and Research Funding, the REF Manager, and a designated HR and OD Partner. The group is composed of key Academic Leadership Group members (with overall leadership

responsibility for the academic Schools) and relevant Professional Support and Senior Management Group members (involved in research data management and supporting HR management and E&D in the Schools). The Terms of Reference for the group is given in Appendix 2vi. The group conducts an annual review of planned academic staff workloads with a particular focus on ensuring a fair, transparent and appropriate research time allocation for individual staff. This cross-institutional group serves to ensure a parity of approach in terms of individual Head of Division workload allocation decisions. Approved workloads are communicated back to Heads of Division. These data are available to the REF Steering Group and to REF Unit of Assessment Champion Leads. This group has a decision-making role.

Appeals Panel: The Appeals Panel consists of the Dean of Research and the Graduate School, the Director of HR and Organisational Development, a UCU representative and will be chaired by the University Secretary (and chair of the Inclusion, Diversity and Equality at Abertay Management Group). The Panel may also co-opt professors or others who have not been involved in previous decision-making to bring senior academic expertise as required. Hitherto, panel members will not have been involved in making decisions regarding eligibility and submission of individual staff. Panel membership was proposed by the REF Code of Practice Working Group to provide the most senior experience of matters related to the academic, HR & OD and Governance domains. The Appeals Panel Terms of Reference are given in Appendix 2ix. Appeal Panel decisions will be reported to the REF Steering Group. The Panel has a decision making and advisory role.

Special Circumstances Panel: Staff may disclose circumstances to their Head of Division or directly to their School HR/OD Partner in confidence. Staff are also invited to complete a Declaration of Individual Staff Circumstances Form. Staff circumstances are considered in a fair and consistent way by a confidential meeting of the Special Circumstances Panel that will convene as necessary (according to demand) and who will report to the REF Steering Group. The Special Circumstances Panel is composed of an HR/OD Partner and the Director of Student Services; the Terms of Reference are given in Appendix 2x. The panel do not have any line management responsibility for academic staff and collectively have experience of operating the Special Circumstances Panel in REF 2014. The panel will determine whether a valid case is made for a reduction in submitted output according to REF 2021 Guidance. In all cases a note of the special circumstances considered and the finding of the Panel will be recorded and retained confidentially for audit. The Panel's finding will be communicated to the individual and to the REF Steering Group. The Panel has a decision-making and advisory role.

Equality impact assessment (EIA) Panel: EIA will be conducted by an independent panel of the Director of Student Services and an HR & OD Partner. An EIA will be undertaken on the draft Code of Practice, on the provisional decisions regarding staff with significant responsibility for research and on selection of outputs (mock REF), and on the final decision for submission of staff and outputs, with a view to identifying any differences in impact for groups by gender, ethnicity, nationality, religion and belief, age, disability or sexual orientation, or for those who have been pregnant and/or on maternity, adoption or parental leave during the period covered by REF 2021. The EIA will also assess any differences for those on fixed-term and part-time contracts relative to those on permanent and full-time contracts, respectively. Information about the findings of EIA with respect to decisions will be submitted to the SFC after the submission deadline. The panel reports to the REF Steering Group and has an advisory role.

REF Steering Group: The REF Steering Group is chaired by the VP Academic and is composed of the Deans of Schools, the Dean of Research and the Graduate School, a Professorial Group Representative, the Director of HR and OD, the Director of Finance and Research Funding and the Head of the Research and Innovation Service. The Terms of Reference for the Group are given in Appendix 2ii. The REF Steering Group monitors

progress on preparations for REF; ensures appropriate development of a REF 2021 Code of Practice; ensures development of appropriate infrastructure, facilities and support for REF submission in light of HEFCE & SFC guidance; reviews the draft Environment Statements and Impact Case Studies; considers the advice of the EIA panel; considers reports from the Special Circumstances Panel; reviews the mock and full REF submissions; and advises the Principal on UoA submissions. The Group has both an advisory and decision making role.

External Advisors: External Advisors will be nominated by UoA Champion Leads and Group members. The REF Steering Group confirm the selection of External Advisors for specific UoAs from the pool of nominations. The Terms and Conditions for External Advisors is included in Appendix 2xii. External Advisors will be informed of our REF Code of Practice and will be required to have undertaken appropriate E&D training (Section 2.2.2.). External Advisors will offer an independent assessment of the quality of a selected sample of published output, to permit validation of output scores by the REF Decisions on Staff and Outputs Group.

Principal: The Principal of the University will consider and confirm the recommendations made by the REF Steering Group regarding the final UoA submissions made to REF 2021. This is a decision making role.

2.2.2 Details of training provided to individuals and committees involved in identifying staff, timescales for delivery and content

All Abertay University staff are required to undertake on-line training in Diversity at Work and Unconscious Bias and the University will ensure that all those involved in making REF 2021 related decisions have completed these courses before contributing to any decisions regarding staff or outputs. In addition, all Heads of Division have undertaken a substantial Leadership and Management Development programme, including specific elements on equality, diversity, inclusion and unconscious bias.

All REF Champions, Heads of Division and members of the REF Steering Group, the Decisions on Staff and Outputs Group, the Appeals Panel and the Special Circumstances Panel (who between them include all those advising and making decisions about submitting staff and outputs) will undertake further, tailored training on equality, diversity and inclusion in relation to REF.

Tailored Abertay workshops on Equality, Diversity and Inclusion and REF facilitated by the Director of HR and OD and the HR/OD Partner on the Special Circumstances Panel, were held on:

- 28 January 2019
- 6 March 2019
- 13 March 2019
- 9 April 2019
- 23 April 2019

This timing ensures that staff have attended before the mock REF process in April/May 2019. Further training will be provided if additional needs are identified through EIA or advice on best practice from Advance HE.

All of the staff listed above attended one of the workshops. Should any new staff become involved, a further workshop or individual training will be provided within one month of becoming involved in Abertay's REF 2021 processes.

Training criteria: The aim for the combination of the on-line courses and the tailored workshop is to ensure that all those involved in Abertay's REF processes:

- Have an understanding of the legal framework for equality, diversity and inclusion
- Understand the concepts of discrimination and unconscious bias
- Have an awareness of how discrimination and unconscious bias might arise in Abertay's REF processes and how to avoid that
- Are able to ensure that Abertay's REF processes promote an inclusive environment

In addition, the tailored workshop provides an opportunity to identify potential improvements to Abertay's REF processes to promote inclusion and prevent discrimination. Any ideas or recommendations generated through the tailored workshops will be considered and may contribute to the refinement of Abertay's REF Code of Practice (noted in Appendix 4).

Appointed External Advisors are required to confirm that they have undertaken equality and diversity and unconscious bias training or to undertake Abertay's online courses.

2.3   Appeals and special circumstances

2.3.1 The appeals process, mechanism for submission and eligible grounds for appeal

Staff may seek review of the provisional (Stage 4) or confirmed (Stage 5) decision regarding their eligibility and/or inclusion in the University's REF 2021 submission through this appeals procedure. Staff may seek review of a decision to include them or not to include them in the submission.

Staff will be informed of the right to seek review at the same time as a provisional or confirmed decision is communicated to them by their Head of Division and confirmed in writing. The timescales for appeals will be stated and published on the REF intranet pages.

Staff seeking a review of the decision in their case should write to the Director of HR & OD stating the grounds for review. Relevant grounds will be:

- Relevant information has not been taken into account, including any special circumstances.
- The criteria have not been applied correctly.
- Evidence of another defect in the procedure or application of this Code of Practice.

Staff who have sought review at Stage 4 may also appeal at Stage 5, provided new grounds are presented.

The review will be undertaken by a panel consisting of the University Secretary (chair), Dean of Research and the Graduate School, the Director of HR and Organisational Development and a UCU representative who will not have been involved in making decisions regarding eligibility/submission of individual staff. The Panel may also co-opt professors or others who have not been involved in previous decision-making to bring senior academic expertise as required.

The review panel may seek information from the appellant, the relevant REF Champion(s) and the Head of Division if required, in writing or in person.

The appeal review will normally be completed within 1 month of receiving the appeal in writing. The outcome of the review will be communicated to the individual and their Head of Division in writing. The decision will be final.

2.3.2 Consideration of Special Circumstances

The University is committed to supporting and promoting equality and diversity in research careers. As part of this commitment, the procedures set out in this section have been put in place to offer opportunities for staff to confidentially disclose circumstances that may have affected research productivity. At any stage, staff may disclose circumstances to their Head of Division or directly to their School HR/OD Partner in confidence. The Head of Division/HR/OD Partner will then discuss with the individual how the circumstances may be dealt with. Staff are encouraged to discuss circumstances affecting their ability to research productively with their Head of Division at any time in order that appropriate support can be provided. Such circumstances should be raised when they arise, if possible. It would also be appropriate to raise circumstances in Pathways[17] or Development Discussions in the context of discussing performance and/or development. For example, depending on the nature of the circumstances raised, a Head of Division might make direct adjustment to an individual's Workload Allocation Plan.

In addition, staff will have an opportunity to raise any circumstances they would wish to be taken into account at a number of points in the REF 2021 process:

1. At 'Stage 1' as outlined in Part 2, when information is being gathered/updated regarding research time, workload and output.
2. At 'Stage 4' as outlined in Part 2, when the Head of Division discusses the provisional or confirmed decision regarding eligibility/submission with the individual.
3. At 'Stage 12' as outlined in Part 3, when the provisional decisions regarding selection of outputs is notified/discussed with the individual.
4. Staff will be invited to complete a Declaration of Individual Staff Circumstances Form in May-June, September-October 2019, May 2020 and through an updated form to reflect new guidance in August-September 2020. Staff will be provided with clear information about the applicable circumstances and how the declaration process will operate. Forms will be submitted to, and considered by, the Special Circumstances Panel. It will be made clear to staff that they are not required to complete and return this form where they do not wish to do so.

Staff circumstances[18] will be considered in a fair and consistent way by a confidential meeting of the Special Circumstances Panel that will convene as necessary (according to demand) and report to the REF Steering Group. The Special Circumstances Panel will determine whether a valid case is made for a reduction in submitted output according to REF 2021 Guidance (Part 4). In all cases a note of the special circumstances considered and the finding of the Panel will be recorded and retained confidentially for audit. The Panel finding will be communicated to the individual and to the REF Steering Group. Reductions are accumulative and any request for reductions will be made via the REF submission process to REF by March 2020[19].

When the Special Circumstances Panel has determined that a valid case has been made for a reduction in submitted output or for submission with no output, the individual, their line manager, the relevant UoA champion(s) and the REF Steering Group will be notified to enable any expectations regarding the individual's contribution to the UoA's output pool to be

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[17] Pathways was the University's appraisal process up to May 2019, when it is replaced by Development Discussions.
[18] Para 160 & Annex L of the Guidance on Submission REF 2019/01 January 2019.
[19] Para 173 – 177 & Annex L of the Guidance on Submission REF 2019/01 January 2019.

adjusted accordingly. Where more sensitive circumstances are declared, those in a position to provide support are given information only about the impact of circumstances on the individual's productivity and not about the specific nature of the circumstances.

Where there is a valid case for submission with no outputs, the UoA will not be required to include the minimum of one output by the individual in the process of selecting outputs (4.1.5 Stages 14 and 17). Otherwise the process of selecting outputs will be the same.

The valid case for a reduction in output will be taken into account in any discussions with the individual relating to their research performance and development, ensuring that expectations are adjusted to reflect the circumstances.

2.4   Equality impact assessment (EIA)

EIA will be conducted by an independent panel of the Director of Student Services and an HR & OD Partner. The panel reports to the REF Steering Group. EIA will be undertaken on the draft Code of Practice, the provisional decisions regarding staff with significant responsibility for research (and selection of outputs), and the final decisions for submission of staff and outputs, with a view to identifying any differences in impact for groups by gender, ethnicity, nationality, religion and belief, age, disability or sexual orientation, or for those who have been pregnant and/or on maternity, adoption or any other parental/family leave during the period covered by REF2021. The EIA will also assess any differences for those on fixed-term and part-time contracts relative to those on permanent and full-time contracts, respectively. The EIA will also consider data for appeals against identification of staff who do not have significant responsibility for research or who are not independent researchers. This Code will be updated to provide information on the outcome of EIA and any requisite adjustments to the Code or to decision-making processes. Information about the findings of EIA with respect to each part of the code, and how analysis informed the final REF Code of Practice document are summarised in Appendix 5.

An EIA will be undertaken on the final decision for submission of staff and outputs. The final version of the EIA will be submitted to SFC after the submission deadline. This will include the final analysis of data comparing the characteristics of staff with significant responsibility for research, with the characteristics of all eligible staff (where applicable); the final analysis of data comparing the characteristics of those determined to be independent researchers, with an appropriate comparator pool; and an examination of the distribution of outputs across staff in the unit. It will also identify any actions taken to prevent discrimination or advance equality during the submission process and their outcomes, including the justification for and/or actions taken to address any differential impact that staff identification and output selection processes may have had on particular groups, and information about any policies or practices that had a positive impact on equality during the submission processes. The final EIA will be published on the Abertay REF web pages after the submission has been made.

Part 3: Determining research independence.

3.1   Policies and procedures

For staff on 'research only' contracts, only staff who are determined to be independent researchers will be 'Category A eligible'.

For 'Category A eligible' staff on 'teaching and research' contracts, researcher independence, as set out in this section, is considered as part of the process of identifying staff with significant responsibility for research[20] (Part 2).

3.1.1 Criteria used for determining staff who meet the definition of an independent researcher

For the purposes of the REF, at Abertay an independent researcher is defined as an individual who undertakes self-directed research, rather than carrying out another individual's research programme[21]. Indicators include:
*   leading or acting as principal investigator or equivalent on an externally-funded research project
*   holding an independently won, competitively awarded fellowship where research independence is a requirement[22]
*   acting as a co-investigator on a substantial externally-funded research project
*   leading a research group or a substantial work package
*   eligibility to apply for research funding as the lead or co-applicant
*   significant input into the design, conduct and interpretation of research effectively shared by peer-reviewed publication[23]

A member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs[24]. Each indicator may not individually demonstrate independence and where appropriate multiple factors may need to be considered[25]. At Abertay, an independent researcher would normally be expected to demonstrate a minimum of TWO independent researcher indicators (above).

Research assistants are not eligible to be returned to the REF unless, exceptionally, they meet the definition of an independent researcher on the census date and satisfy the definition of Category A eligible staff[26]. They must not be listed as Category A submitted staff purely on the basis that they are named on one or more research outputs.

All 'research only' and 'teaching and research' staff will be assessed against the definition and indicators above to determine whether they are independent researchers as part of the process set out in Part 2 (Figure 2).

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

The procedure by which decisions will be made to identify researcher independence, including the timescales for delivering decisions and the method and timescale in which feedback will be provided in respect of the decisions made, are identified below. This is a multi-stage process:

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20 Ibid Para 119, 138-142.
21 Para 131 – 133 of the Guidance on Submission REF 2019/01 January 2019
22 An illustrative, but not exhaustive, list of independent fellowships can be found at www.ref.ac.uk, under Guidance.
23 As defined by REF and appropriate to different disciplines/Units of Assessment
24 Para 133 of the Guidance on Submission REF 2019/01 January 2019.
25 Ibid Para 132.
26 Ibid Para 117.

(a) : Academic year 2018-19

Stage 6: For all 'Category A eligible' and 'research only' staff, data indicating researcher independence (grant income; PI/CoI/Fellowship; published output) provided from PURE (which can reviewed and updated by the individual staff themselves) will be provided to Heads of Division (by November) to inform preliminary decisions on the research independence of individuals and to inform the allocation of research time within the Workload Allocation Plan (described in Part 2). 'Category A eligible' staff demonstrating a minimum of TWO independent researcher indicators (above) will normally be deemed to be an independent researcher.

Preliminary decisions will be considered for approval by the REF Decisions on Staff and Outputs Group and for the approval of time allocated on the Workload Allocation Plan to individual 'Category A eligible' staff to engage actively in independent research (see section 2.1.1.).

Stage 7: These records will be used within the mock census (January-April 2019) from which the relevant Unit Champions, in liaison with the relevant Heads of Division (if different) will provisionally identify staff who should be included in the Mock REF (April-May 2019) return for a specific UoA for which they have a substantive research connection.

In all cases, any relevant circumstances will be taken into account (see section 2.3.2).

Stage 8: An Anomaly Check will validate whether 'Category A eligible' staff who are not provisionally intended for submission to a Unit of Assessment, are not independent researchers within the REF 2021 period (evidenced through documented audit by the REF Decisions on Staff and Outputs Group).

Stage 9: Heads of Division will discuss the provisional view with individual staff, providing an opportunity to gather and consider further information and views. Thereafter those independent researchers who are considered to have significant responsibility for research and who it is provisionally intended to submit to REF 2021 (in the absence of any substantive change to their position), will be confirmed. Staff will be informed of the provisional decision in their case, and the reasons, in writing and will be notified of their right to seek a review through the appeal process.

All academic staff – whether eligible for submission or not - will also be provided with information and support in relation to their professional development.

(a) Academic year 2019-20:

Stage 10: Stages 6 to 9 (Stage 7 will be January-July 2020 for the submission to REF 2021) will be repeated, to include any new academic staff and consider any changes to circumstances. These records of staff considered to have significant responsibility for research (section 2), and to have a contract of employment with the University of 0.2 FTE or greater (pro rata for part-time staff) on the census date 31st July 2020, and who are determined to be an independent researcher, will be confirmed for submission to REF 2021.

'Category A eligible' staff who do not have significant responsibility for research and are not determined to be independent researchers will not be submitted to REF 2021.

Staff will be informed of the decision in their case, and the reasons, in writing and will be notified of their right to seek a review through the appeal process (see section 2.3.1.).

3.1.3 How processes have been consulted on and agreed with staff representative groups

See section 2.1.3 and Appendix 3 for details.

3.2   Staff, committees and training

See section 2.2 and Appendix 2 for details.

3.3   Appeals

See sections 2.2.1 and 2.3 and Appendix 2 for details.

3.4   Equality impact assessment (EIA)

See sections 2.2.1, 2.4 and Appendix 2 for details.

Part 4: Selection of outputs

4.1   Policies and procedures

4.1.1 Eligibility of output

Each eligible research output must be (figure 3):
   a)   The product of research, briefly defined as a process of investigation leading to new insights, effectively shared (see section 1.3).
   b)   First brought into the public domain during the publication period 1 January 2014 to 31 December 2020 or, if a confidential report[27], lodged with the body to whom it is confidential during this same period.
   c)   Attributable[28] to a current or former member of staff, who made a substantial research contribution to the output, which must be either:
      i.   Produced or authored solely, or co-produced or co-authored, by a 'Category A submitted' staff member, regardless of where the member of staff was employed at the time they produced that output or
      ii.   Produced or authored solely, or co-produced or co-authored, by a former staff member who was employed according the 'Category A eligible' definition when the output was first made publicly available.
   d)   Available in an open-access form, where the output is within scope of the open access policy[29].

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[27] Para 261-263 of the Guidance on Submission REF 2019/01 January 2019.
[28] Ibid Para 209, 221, 216-220 & Annex K.
[29] Ibid Para 223.

4.1.2 Eligibility of outputs produced or authored by former staff

Outputs produced or authored by former staff (including staff who were made redundant) employed as 'Category A eligible' (former staff) are eligible for inclusion[30] where the output was first made publicly available while the staff member was employed by the institution as a 'Category A eligible' member of staff. This includes:

    a. For staff who remain employed at the institution, but are no longer employed as Category A eligible staff on the census date (for example, senior administrative staff), any outputs that were first made publicly available at the point the staff member was employed as Category A eligible.

    b. Any outputs first made publicly available while a former staff member was on an unpaid leave of absence or secondment (whether to another UK HEI, or beyond HE/overseas), where the leave or secondment period was no greater than two years.

A former staff member may not have outputs[31] attributed to them in more than one Unit of Assessment submission by the institution. Outputs that are first made publicly available between August - December 2020, are only eligible for submission[32] if the staff member is 'Category A eligible' on the census date.

4.1.3 Open access requirements

The requirement to comply with the open access policy[33] applies to the following outputs that are listed in REF2:
    a. the output type is a journal article with an International Standard Serial Number (ISSN) or the output is a conference contribution in conference proceedings with an ISSN, and
    b. the output is accepted for publication on or after 1 April 2016.

Any submitted output that fits both aspects of this definition is an 'in-scope' output. Other than the exception at paragraph 221[34], in-scope outputs must fulfil the open access criteria set out below to be eligible for submission[35]. Any output meeting the wider eligibility criteria, but that does not meet both aspects of this definition[36], may be listed in REF2 without meeting the open access policy requirement. For clarity, the open access requirement does not apply to output types such as:
- monographs and other long-form publications
- non-text outputs
- working papers or outputs submitted to pre-print systems that are not the version 'as accepted for publication'
- the data which underpins some research
- confidential reports that are not published because of commercial or other sensitivity.

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[30] Ibid Para 211-216.
[31]Para 213 of the Guidance on Submission REF 2019/01 January 2019.
[32] Ibid Para 216.
[33] Ibid Para 223-226 and https://intranet.abertay.ac.uk/download.php?f=Open_%20Access_Publications_Policy.pdf.
[34] Ibid Para 221.
[35] Ibid Para 223-224, 231.
[36] Ibid Para 225.

4.1.4 Development of the process ensuring the fair and transparent selection of outputs

See sections 1.5, 1.9 and 2.1.3 for details.

4.1.5 The procedure by which decisions will be made to identify the selection of output

The procedure by which decisions will be made to identify the selection of output, including the timescales for delivering decisions and the method and timescale in which feedback will be provided in respect of the decisions made, are identified below. This is a fair and transparent multi-stage process (figure 4):

Academic year 2018-19:

Stage 11: The eligible output (sections 4.1 – 4.3) of all 'Category A submitted' provisionally identified staff who should be included in the REF 2021 return for a specific UoA for which they have a substantive research connection, will form the total eligible output pool for consideration for that UoA.

The eligible output produced or authored by former staff employed as 'Category A eligible' (former staff) where the output was first made publicly available while the staff member was employed by the institution as a 'Category A eligible' member of staff, will also contribute to the total eligible output pool for consideration for that UoA.

Stage 12: The REF Steering Group will inform UoA Champion Leads of any potential reduction in output submitted due to consideration of Special Circumstances (see section 2.3.2) cases (by June 2019, November 2019,May 2020 and October 2020).

Stage 13: 'Category A submitted' staff are invited to score according to REF criteria[37] their own output, which is also scored independently by the UoA Champion Lead and Group (by March-April 2019). At least one External Advisor (section 2.2.1.) will be invited to validate the scores attributed to a sample of each Unit of Assessments total eligible output pool (aim to complete by March-April 2019). The eligible output attributed to former staff employed as 'Category A eligible' (former staff) will be scored by the UoA Champion Lead and Group, and entered into the total eligible output pool (by March-April 2019).

Scores will be considered (March-May 2019) by the REF Decisions on Staff and Outputs Group and will be moderated if appropriate for final approval.

Individual 'Category A submitted' staff will be informed of the final score decision (May-June 2019) in their case, and the reasons, in writing.

Anyone who wishes the scoring of an output to be reconsidered should submit a detailed rationale for alternative scoring by reference to Annex A of the Guidance on Submission[38] to the Dean of Research and the Graduate School.

Stage 14: A minimum of one output will be submitted for each individual 'Category A submitted' staff member, the output being their highest scoring (most excellent) output. Further outputs up to the total required for the submitting unit equal to 2.5 times the combined FTE of 'Category A submitted' staff included in the UoA submission and taking into account any applicable reductions for staff circumstances (section 2.3.2), will be taken from

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[37] Annex A of the Guidance on Submission REF 2019/01 January 2019.
[38] Ibid Annex A.

the remainder of the total eligible output pool for that UoA. If necessary, the total number submitted will be rounded[39] to the nearest whole number. A maximum of five outputs may be attributed to an individual staff member (both 'Category A submitted' staff, as well as any former staff whose outputs are eligible for submission). The attribution of the maximum number of outputs to a staff member will not preclude the submission of further outputs on which that staff member is a co-author, where these are attributed to other eligible staff in the unit.

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[39] Ibid Para 205; values ending in .5 should be rounded up.

Output eligibility for REF 2021

REF2021 Research Excellence Framework

See GOS Annex C

Does the output meet the REF definition of research? —No→ **Output is NOT eligible for submission**

Yes

See GOS part 3 Sect 2 for outputs with significant material in common with pre-2014 outputs

Was it first made publicly available between 1/1/14 and 31/12/2020? —No→

Yes

Authors must have made a substantial research contribution

Is it attributable to a current former member of Cat A staff within the unit? —No→

Yes

Member of Cat A submitted staff on 31/7/2020

GOS Fig. 1 sets out the criteria for Cat A staff

Former member of staff

Yes

Did the staff member leave between 1/1/14 and 31/7/2020? —No→

Yes

Yes

Was the output generated while they were a Cat A staff member at the HEI? —No→

Is the output in scope of the open access requirements? ←Yes—

No

Yes

See GOS part 2: Open access policy.

Is it compliant? —No→ Does it carry an allowed exception? —No→

Units may return a max. of 5% of in-scope outputs that do not meet the policy requirement nor have an exception applied

Yes

Yes

Output is eligible for submission

Figure 3: Process for identifying research output eligible for submission to REF 2021. Taken from the Guidance on Submissions REF 2019/01 January 2019 (published under the fair dealing exception "Criticism, review and quotation").

Stage 15: This will form the provisional submitted output pool for the Unit of Assessment mock REF which will be subject to an EIA and considered for approval by the REF Steering Group (May-June 2019).

Academic year 2019-20:

Stage 16: Stages 11-13 will be repeated for output generated by additional/new academic staff identified in Stage 5 (Part 2) and for additional eligible output brought into the public domain up to 31 December 2020 or, if a confidential report, lodged with the body to whom it is confidential during this same period. This will be ongoing throughout 2019-20 to produce a final total eligible output pool.

Stage 17: A minimum of one output will be submitted for each individual 'Category A submitted' staff member, the output being their highest scoring (most excellent) output. Further outputs up to the total required for the submitting unit equal to 2.5 times the combined FTE of 'Category A submitted' staff included in the UoA submission and taking into account any applicable reductions for staff circumstances (section 2.3.2), will be taken from the remainder of the final total eligible output pool for that UoA. If necessary, the total number submitted will be rounded to the nearest whole number. A maximum of five outputs may be attributed to an individual staff member (both 'Category A submitted' staff, as well as any former staff whose outputs are eligible for submission). The attribution of the maximum number of outputs to a staff member will not preclude the submission of further outputs on which that staff member is a co-author, where these are attributed to other eligible staff in the unit.

Stage 18: This will form the submitted output pool for the Unit of Assessment which will be subject to an EIA and considered for approval by the REF Steering Group (January 2021). The REF Steering Group will make recommendation to the Principal of the University for final submission on the 31st March 2021.

4.2   Staff, committees and training

See section 2.2 and Appendix 2 for details. However, Heads of Division, the Appeals Panel and the Equality Impact Assessment Panel do not make decisions regarding selection of outputs.

4.3   Disclosure of circumstances

The University is committed to supporting and promoting equality and diversity in research careers. As part of this commitment, the procedures set out in section 2.3.2 have been put in place to offer opportunities for staff to confidentially disclose circumstances that may have affected research productivity.

(a) Academic year 2018-19 (all academic/research and former):
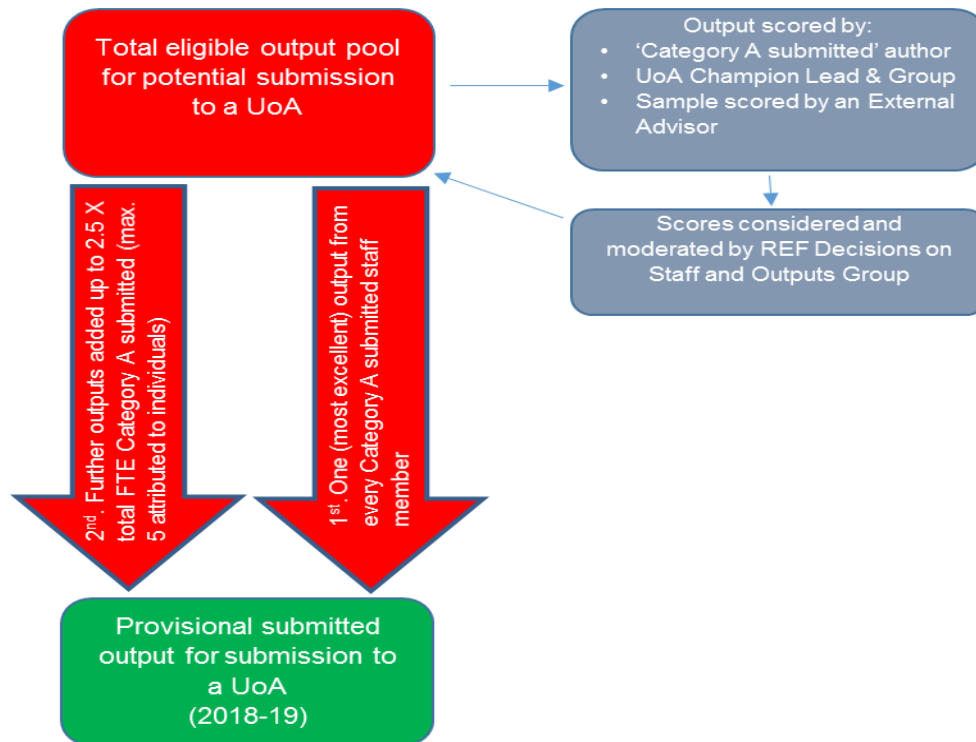
(b) Academic year 2019-20 (new and change in circumstances):
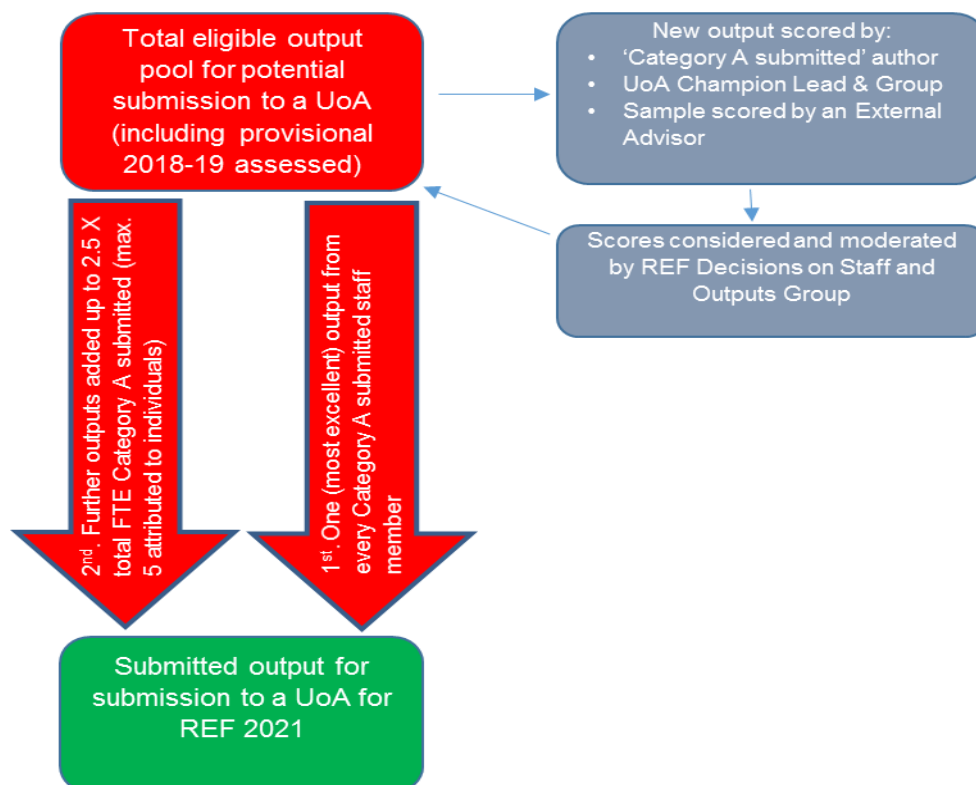
Figure 4: How the output pool will be selected for UoAs submitted to REF2021.

4.3.1. Requesting a reduction in output for an individual member of staff

At any of these stages (above), staff may disclose circumstances to their Head of Division or directly to their School HR/OD Partner in confidence. The Head of Division/HR/OD Partner will then discuss with the individual how the circumstances may be dealt with. Otherwise, staff may disclose circumstances via the Declaration of Individual Circumstances Form.

Staff circumstances will be considered in a fair and consistent way by a confidential meeting of the Special Circumstances Panel that will convene as necessary (according to demand) and who will report to the REF Steering Group. The Special Circumstances Panel will determine whether a valid case is made for a reduction in submitted output if circumstances have prevented an individual's ability to research productively and produce output throughout the REF period, according to REF 2021 Guidance[40] (see Appendix 3). In all cases a note of the special circumstances considered and the finding of the Panel will be recorded and retained confidentially for audit.

When the Special Circumstances Panel has determined that a valid case has been made for a reduction in submitted output, the individual, their line manager, the relevant UoA champion(s) and the REF Steering Group will be notified to enable any expectations regarding the individual's contribution to the UoA's output pool to be adjusted accordingly. Where more sensitive circumstances are declared, those in a position to provide support are given information only about the impact of circumstances on the individual's productivity and not about the specific nature of the circumstances.   The process of selecting outputs to be submitted from the output pool will be the same (4.1.5).

The valid case for a reduction in output will be taken into account in any discussions with the individual relating to their research performance and development, ensuring that expectations are adjusted to reflect the circumstances.

Reductions are accumulative and any request for reductions will be made by the REF Steering Group via the REF submission process by March 2020 (and amended by November 2020)[41] (see 4.3.3).

4.3.2. Requesting to remove the minimum of one output for an individual member of staff

An individual member of staff with a significant responsibility for research can request waiving the requirement for a minimum of one output to be submitted, due to their individual circumstances having an exceptional effect on their ability to work productively so that they have not been able to produce an eligible output, where any of the following circumstances have applied within the REF period:
1. an overall period of 46 months or more absence from research during the assessment period, due to one of more of the circumstances set out in the REF Guidance[42] (see Appendix 3) (such as an Early Career Researcher (ECR) who has only been employed as an eligible staff member for part of the assessment period)
2. circumstances equivalent to 46 months or more absence from research, where circumstances set out in the REF Guidance[43] (see Appendix 3) apply (such as mental health issues, caring responsibility, long-term health conditions) or
3. two or more qualifying periods of family-related leave, as defined in Annex L (see Appendix 3).

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[40] Para 160 & Annex L of the Guidance on Submission REF 2019/01 January 2019.
[41] Ibid Para 186, 184 & Annex L.
[42] Ibid Para 160 & Annex L.
[43] Ibid Para 160 & Annex L

In addition to the existing guidance for REF6a reductions above, the minimum of one output requirement may be removed for a Category A submitted staff member that has not been able to produce an eligible output, where the following circumstances apply:

1. Output(s) in the process of being produced have been affected by COVID-19 during the assessment period (1 January 2014 to 31 July 2020). This includes effects due to applicable circumstances (such as ill health, caring responsibilities); other personal circumstances related to COVID-19 (such as furloughed staff, health-
related or clinical staff diverted to frontline services, staff resource diverted to other priority areas within the HEI in response to COVID-19); and/or external factors related to COVID-19 (for example, restricted access to research facilities); **AND**
2. The overall impact of the COVID-19 effects, combined with other applicable circumstances affecting the staff member's ability to research productively duri ng the assessment period, is deemed similar to the impact of the circumstances cases set out at paragraph 179a. to c. of the 'Guidance on submissions'. For example, where a staff member is an early career researcher, or has held a fractional contract for a significant proportion of the assessment period, and has experienced COVID-
19 related disruption to the production of an eligible output2.

An individual member of staff may make such a request (see points 1-3 above) to their Head of Division or directly to their School HR/OD Partner in confidence. Otherwise, staff may disclose circumstances via the Declaration of Individual Circumstances Form.

Staff circumstances will be considered in a fair and consistent way by a confidential meeting of the Special Circumstances Panel that will convene as necessary (according to demand) and who will report to the REF Steering Group. The Special Circumstances Panel will determine whether a valid case is made for a reduction in submitted output if circumstances have prevented an individual's ability to research productively and thereby produce a minimum of one output throughout the REF period, according to REF 2021 Guidance[44] (see Appendix 3).

In all cases a note of the special circumstances considered and the finding of the Panel will be recorded and retained confidentially for audit, and the individual will be informed of the finding.

When the Special Circumstances Panel has determined that a valid case has been made for submission with no output, the individual, their line manager, the relevant UoA champion(s) and the REF Steering Group will be notified to enable any expectations regarding the individual's contribution to the UoA's output pool to be adjusted accordingly. Where more sensitive circumstances are declared, those in a position to provide support are given information only about the impact of circumstances on the individual's productivity and not about the specific nature of the circumstances.

Where there is a valid case for submission with no outputs, the UoA will not be required to include the minimum of one output by the individual in the process of selecting outputs (4.1.5 Stages 14 and 17).

The valid case for a reduction in output will be taken into account in any discussions with the individual relating to their research performance and development, ensuring that expectations are adjusted to reflect the circumstances.

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[44] Ibid Annex L

Reductions are accumulative and any request for reductions will be made by the REF Steering Group via the REF submission process by March 2020 (and amended by November 2020)[41] (see 4.3.3).

4.3.3. Requesting a reduction in output for a Unit of Assessment

A UoA may optionally request a reduction in the total number of outputs required for submission where the cumulative impact of individual circumstances of 'Category A submitted' staff have constrained the UoA's ability to produce outputs or to work productively throughout the assessment period[45]. Reductions in outputs for a UoA may be requested for ECRs[46][47], secondments and career breaks, family-related leave[48], and 'circumstances equivalent to absence'[49]. The REF Steering Group will monitor and assess the cumulative impact of special circumstances cases submitted for staff with a significant responsibility for research within each UoA (4.3.1. & 4.3.2. above) and determine whether a reduction in output should be sought by March 2020 (REF6b) (and amended by November 2020). UoA Champions can discuss requesting a UoA reduction in output with the REF Steering Group at any time.

The REF Steering Group will consider each UoA case, before determining whether the University will make a request for a reduction in the total number of outputs submitted to a UoA. Where the Special Circumstances Panel has found a valid case for an individual to be submitted with no outputs and it is determined that there will be no output submitted for an individual, the Steering Group will request removal of the requirement of the minimum of one output for that individual. Requests for other reductions will be for the Steering Group to decide depending on the overall submission for the UoA, and it may decide not to make such a request. Evidence of significant and cumulative impact to the output pool due to, for example, a high proportion of accepted special circumstances disclosures, which could not be compensated for by the flexibility offered by decoupling submitted output from staff (for example where an average of 2.5 outputs per FTE cannot be submitted from the total output pool), would be considered as good reason to request a UoA reduction in submitted output.

Where a reduction is sought, the Unit Champions will be informed that there should be a reduction in the number of outputs for that individual that are submitted to the output pool. In all cases a note of the special circumstances considered and the decision made will be recorded and retained confidentially for audit.

4.4 Equality impact assessment (EIA)

See sections 2.2.1, 2.4 and Appendix 2 for details. All UoAs will adopt a similar process of output assessment and selection (section 4.1.5.). Peer assessment involving the use of citation data or other bibliometric measures, will adhere to the principles set out in the Metric Tide report.[50]

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[45] Para160 & Annex L of the Guidance on Submission REF 2019/01 January 2019 .
[46] Ibid As defined in Para 148.
[47] Ibid Para 146, 160, 178-183 & Annex L
[48] Ibid Annex L.
[49] According to Ibid Para 160.
[50] 'The Metric Tide: Report of the Independent Review of the Role of Metrics in Research Assessment and Management' (2016). Available at: https://re.ukri.org/news-events-publications/publications/metric-tide/.

Part 5: Appendices

Appendix 1: Abertay Policies and Procedures

i. Abertay Equality and Diversity Policy

Equality & Diversity Framework
Element 1: Equality & Diversity Policy

1   Introduction

This Policy is part of the Equality & Diversity Framework which is made up of a number of elements which together encompass all formal policy, procedure and statement documents, including associated forms, relating to Equality & Diversity in Abertay University.

If you would like this document in a different format (e.g. large print, braille) or need any assistance to access or understand the policy/procedure please contact your School/Service designated HR Partner.

This procedure does not form part of any employee's contract of employment and it may be amended at any time. The University may also vary any parts of this procedure, including any time limits, as appropriate in any case. This procedure applies to all employees regardless of length of service.

2.   Purpose and Scope

Abertay University benefits from having employees and students from many varied nationalities and cultures. The University confirms its commitment to a policy of equal opportunities in its selection and treatment of students and employees. This policy aims to ensure that all individuals will be treated with dignity and respect and that an environment is achieved where unlawful discrimination is not tolerated.

The University believes that all employees and students have the right to expect, and that it has a responsibility to ensure, that no individual will be disadvantaged as a consequence of their age; disability; gender reassignment, marriage and civil partnership; pregnancy and maternity; race (including colour, nationality and ethnic or national origins); religion or belief; sex; or sexual orientation.

The policy reflects good practice as well as statutory obligations under national legislation. The University will adopt practices required under future legislation.

This policy is intended to assist the University to put this commitment into practice. Compliance with this policy should also ensure that employees and students do not commit unlawful acts of discrimination.

Striving to ensure that the University is free of harassment and bullying and that everyone is treated with dignity and respect is an important aspect of ensuring equal opportunities in

employment. The University has a separate Dignity at Work Policy (employees) and Dealing with Personal Harassment Policy (students) that further addresses these issues.

3.   University Commitment

The University is committed to ensuring that:

This Policy is communicated to all employees and students and that appropriate action is taken in accordance with established procedures against any employee or student who infringes this Policy;

- Fair and open procedures are operated in respect of the recruitment, selection, deployment, training, promotion and dismissal of employees;
- Procedures ensure fair and equitable treatment in relation to the selection, teaching and assessment of students;
- Equality of opportunity is enhanced and good relations fostered between people who share a protected characteristic and those who do not;
- Monitoring of these procedures will be carried out regularly along with monitoring of the
- University's workforce, student population (including course applicants) and job applicants to assess the University's progress in their commitment to promote equality;
- Training and guidance in the implementation of equal opportunities is provided for all relevant employees, particularly those who deal with the recruitment, support and career development of employees or the recruitment, guidance and/or support of students;
- All employees and students have equal access to University facilities wherever possible and steps will be taken to make reasonable adjustments where appropriate to ensure that this can be achieved;
- Language used in University correspondence and literature reflects the spirit of this Policy;
- Breaches of this policy are dealt with through the relevant employee or student University Discipline Procedure. The University takes a strict approach to serious breaches of this policy.
- Equality Impact Assessments will be carried out on all University policies and procedures
- to ensure no detriment to individuals with protected characteristics.

4.   Equality Act

It is unlawful to discriminate directly or indirectly in recruitment or employment because of age; disability; gender reassignment, marriage and civil partnership; pregnancy and maternity; race (including colour, nationality and ethnic or national origins); religion or belief; sex; or sexual orientation. These are known as "protected characteristics". Discrimination after employment may also be unlawful, e.g. refusing to give a reference for a reason related to one of the protected characteristics.

It is the responsibility of employees and students to assist the University to meet its commitment to provide equal opportunities in employment and avoid unlawful discrimination. Individuals can be held personally liable as well as, or instead of, the University for any act of unlawful discrimination. Individuals who commit serious acts of harassment may be guilty of a criminal offence.

Acts of discrimination, harassment, bullying or victimisation against employees, students or customers/visitors are disciplinary offences and will be dealt with under the relevant

University Discipline Procedure. Discrimination, harassment, bullying or victimisation may constitute gross misconduct and could lead to dismissal without notice or expulsion from the University, in the case of students.

The University encourages students and employees to share information if they have a disability or become disabled during their time at the University in order that appropriate actions can be undertaken and/or appropriate support can be provided. If an employee experiences difficulties at work due to a disability, they should contact their line manager and/or the School/Service designated HR Partner to discuss any reasonable adjustments (to the work environment, equipment, resources, etc.) that would help overcome or minimise the difficulty. The line manager and/or Human Resources and the employee may wish to consult with the Occupational Health Adviser for advice and guidance.

If a student experiences difficulties during their studies due to a disability, they are encouraged to contact the Disabilities Advisors.

The University will consider such matters carefully and endeavour to make reasonable adjustments where possible. In situations where a particular adjustment is not deemed as reasonable the University will provide an explanation and try to find other potential alternative solution(s) where possible.

It is unlawful to fail to make reasonable adjustments to overcome barriers to using services caused by disability. The duty to make reasonable adjustments may include the removal, adaptation or alteration of physical features, if the physical features make it impossible or unreasonably difficult for disabled people to make use of services. In addition, service providers have an obligation to think ahead and address any barriers that may impede disabled people from accessing a service. Managers should seek guidance from their School/Service designated HR Partner and/or the Occupational Health Advisor, and the Disabilities Adviser for cases relating to students.

5. Equal opportunities in employment

The University will avoid unlawful discrimination in all aspects of employment including recruitment, promotion, opportunities for training, pay and benefits, discipline and selection for redundancy.

Person Specifications and Job Specifications will be limited to those requirements that are necessary for the effective performance of a job. Candidates for employment or promotion will be assessed objectively against the requirements identified. Consideration will be given to any reasonable adjustments that may be required for candidates with a disability. Disability and personal or home commitments will not form the basis of employment decisions except where it can be objectively justified.

The University will monitor the ethnic, gender and age composition of the existing workforce and of applicants for jobs (including promotion), and the number of people with disabilities within these groups, and will consider and take any appropriate action to address any problems that may be identified as a result of the monitoring process.

6. Monitoring of data

Equality monitoring is the process we use to collect, store and analyse data about diversity. It is useful to highlight possible inequalities, investigate their underlying causes and remove any unfairness or disadvantage. Monitoring provides the data for the review of policies and for identifying areas requiring improvement and understand the impact of policies and procedures on people with protected characteristics.

The University collects equality monitoring information for a number of reasons broadly related to the Public Sector Equality Duty under the Equality Act 2010.

7.   Suppliers, contractors and other people not employed by the organisation

Employees should report any incidents of bullying or harassment by students, customers, suppliers, visitors or others to their line manager, who should notify their Head of School/Service in order to take appropriate action and seek advice from the School/Service designated HR Partner.

Students should refer to the relevant Head of School in the first instance, further guidance can be found in the Dealing with Personal Harassment: Policy and Guidelines – a document for students, and also the Student Complaints Procedure.

The University encourages all employees and students who have other protected characteristics to provide this information so that the University can be aware of the differences within employee and student population so that is can address more fully issues of equality.

8.   Training

The University requires all employees to undertake mandatory diversity awareness training, and further training will be provided for those likely to be involved in recruitment or other decision making where equal opportunities issues are likely to arise. Support will be provided by the School/Service designated HR Partner to enable them to deal more effectively with complaints of bullying and harassment.

The University endeavours to ensure that all employees are given an opportunity to attend training and that accessibility of training provision is considered when offered to employees to ensure that location, time of day of training and types of training are appropriate.

Refresher training for all employees will occur regularly. Attendance at such training will be mandatory.

9.   Concerns/ Grievances

If an employee believes they have been treated unfairly, then they may wish to raise the issue informally with your line manager in the first instance who will endeavour to resolve matters.

If an employee considers that they may have been unlawfully discriminated against, they may use the University's Grievance Procedure to raise the issue formally. If the complaint involves bullying or harassment, the Bullying and Harassment Guidelines should be referred to.

If a student believes they have been treated unfairly, they may wish to discuss the issue with the person involved informally in the first instance. Alternatively they should seek to discuss the complaint with the relevant Head of School/Service. Additional support can be provided from the Student Association. Students should refer to the Dealing with Personal Harassment: Policy and Guidelines – a document for students.

The University will take any complaint seriously and will seek to resolve any grievance that it upholds. Individuals will not be penalised for raising a grievance, even if the grievance is not upheld, unless the complaint is both untrue and made in bad faith.

10.   Reviewing the Policy

This policy will be monitored periodically by the University to judge its effectiveness and will be updated in accordance with changes in the law. In particular, the University will monitor the ethnic and gender composition of the existing workforce and of applicants for jobs

(including promotion), and the number of people with disabilities within these groups, and will review its equal opportunities policy in accordance with the results shown by the monitoring. Information provided by job applicants and employees for monitoring purposes will be used only for these purposes and will be dealt with in accordance with the Data Protection Act.

Document Information

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Equality Impact Assessment	Human Resources
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20120904	New Policy	HR	4/9/2012
V20161005	Logo Update and Format Changes	HR	20161005

University Bullying & Harassment Guidelines

for Staff and Students

1. Purpose

The purpose of the bullying and harassment guidelines is to ensure a culture in which everyone is treated with dignity and respect. The University will not tolerate any form of bullying and harassment and individuals should have the confidence to deal with and challenge this without fear of repercussion.

These guidelines apply to all Abertay University students and staff and covers bullying and harassment across the University campus, including residences, and in any setting outside the campus, e.g. business trips, field trips and University-related social events. While this Policy is common to both staff and students who feel that they have been or are being harassed, the procedures to be adopted are slightly different and further information is provided in this document.

The guidelines do not form part of any employee's contract of employment and it may be amended at any time. The University may also vary any parts of this guideline, including any time limits, as appropriate in any case.

2. Definitions

Bullying is offensive, intimidating, malicious or insulting behaviour, and/or an abuse or misuse of power that is meant to undermine, humiliate or injure the person on the receiving end.

Examples of bullying

Bullying can take various forms, this can range from extreme forms such as violence and intimidation to less obvious actions, like deliberately ignoring someone. Bullying can occur face to face, in writing, online, over the phone as well as in other ways:

- Shouting or swearing at people in public and private.
- Persistent, unfair criticism.
- Ignoring or deliberately excluding people.
- Persecution through threats and instilling fear.
- Spreading malicious rumours.
- Constantly undervaluing effort.
- Spontaneous rages, often over trivial matters.
- Withholding information or supplying incorrect information.

- Deliberately sabotaging or impeding work performance.
- Setting individuals up to fail by imposing impossible deadlines.
- Unjustifiably removing areas of responsibility and imposing menial tasks (staff).

The actions listed must be viewed in terms of the distress they cause to the individual[51].

Harassment is unwanted conduct related to relevant protected characteristics, which are age, disability, gender, marital status, pregnancy and maternity, race, religion or belief, sexual orientation, that:

- has the purpose of violating a person's dignity or creating an intimidating, hostile, degrading, humiliating or offensive environment for that person; or
- is reasonably considered by that person to have the effect of violating their dignity or of creating an intimidating, hostile, degrading, humiliating or offensive environment for them, even if this effect was not intended by the person responsible for the conduct.

Examples of harassment

Individuals must recognise that what is acceptable to one person may not be acceptable to another[52].

Examples of harassment include:

- Verbal – crude language, open hostility, offensive jokes, suggestive remarks, innuendoes, rude or vulgar comments, malicious gossip and offensive songs.
- Non-verbal – wolf-whistles, obscene gestures, pornographic or sexually suggestive posters/calendars and other material (both paper-based and generated on a computer, including offensive screen-savers), graffiti, offensive letters, offensive e-mails, text messages on mobile phones and offensive objects.
- Physical – unnecessary touching, patting, pinching or brushing against another person's body, intimidating behaviour (including encroaching on personal space), assault and physical coercion.
- Coercion – pressure for sexual favours (e.g. to get a job, be promoted or to get a better grade) and pressure to participate in political, religious or trades union groups, etc.
- Isolation or non-cooperation and exclusion from social activities.
- Intrusion – following, pestering, spying, etc.

Bullying or harassment will constitute unlawful discrimination where it relates to one of the protected characteristics, which are age, disability, gender, marital status, pregnancy and maternity, race, religion or belief, sexual orientation. Serious bullying or harassment may amount to other civil or criminal offences, eg a civil offence under the Protection from Harassment Act 1997 and criminal offences of assault.

It is recognised that evidence of bullying and harassment can present themselves through use of social media. Individuals are advised to refer to the appropriate staff and student policies on the acceptable use of social media.

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[51] Provided it is reasonable for the conduct to have that effect in all the circumstances.

[52] It should be taken into account whether it would appear to a reasonable person that the conduct would amount to harassment.

3.0   Responsibilities

We all have a responsibility to help create and maintain a learning environment free from bullying and harassment. You can help to do this by:

- reporting harassment or bullying appropriately and supporting the University in the investigation of complaints
- treating your peers and classmates with dignity and respect;
- being aware of how your own behaviour may affect others and change it, if necessary - you can still cause offence even if you are "only joking";
- taking a stand if you think inappropriate jokes or comments are being made;
- making it clear to others when you find their behaviour unacceptable, unless it should be obvious in advance that this would be the case;
- intervening, if possible, to stop harassment or bullying and giving support to recipients; and
- when a complaint of harassment or bullying is made, not prejudging or victimising either the complainant or alleged harasser.

Managers have a particular responsibility to:

- set a good example by their own behaviour;
- ensure that there is a supportive working environment;
- make sure that individuals know what standards of behaviour are expected of them;
- intervene to stop bullying or harassment; and
- take prompt action through the appropriate procedures in relation to any complaint of bullying or harassment, or any incident of bullying or harassment witnessed by them.

Figure 1: Bullying and harassment flowchart
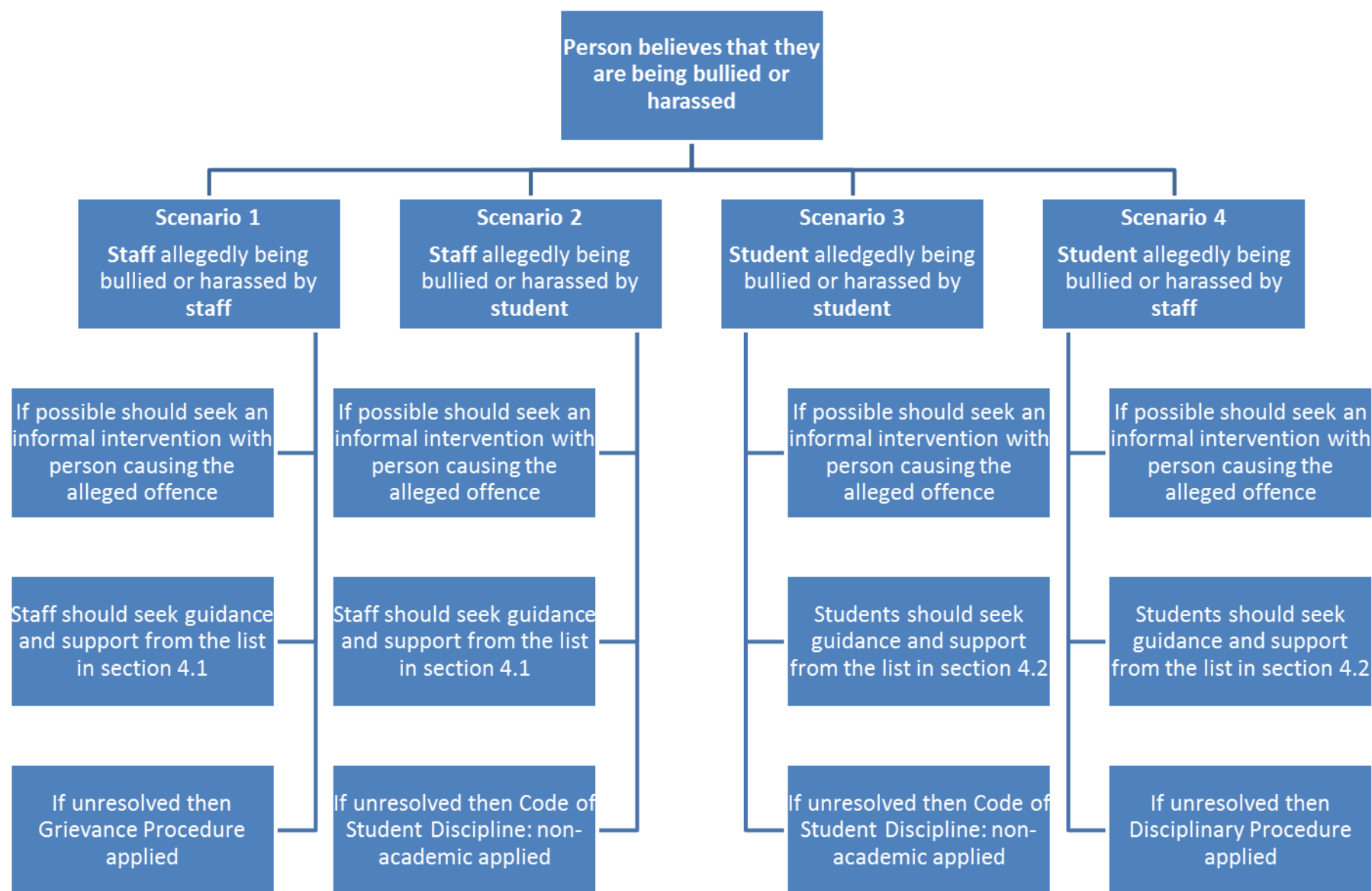
4.0   Procedure

Confidentiality will be maintained as far as possible. If an individual decides not to take any action to deal with the problem and the circumstances described are very serious, e.g. an alleged threat to self or others, the University reserves the right to investigate the situation. It has an overall duty of care to ensure the safety and health of all staff and students.

If you have been assaulted or threatened with assault you should seek help immediately. You should contact your Dean of School/Director of Service who will offer you support and help you decide what to do. In cases of hate crime or physical assault you are advised to report the matter to the police as soon as possible.

4.1   Procedures for staff

Informal procedure

The University's Informal Grievance Procedure should be used when trying to be resolve the issues informally. Through this procedure the University will be able to offer counselling, mediation or any other informal approach to help resolve the issue.

If the employee feels able to, then often the quickest and most effective means of dealing with an issue is to raise the matter informally with the person or persons concerned, explaining that their behaviour is offensive or unacceptable.

The employee will be able to get support by choosing to contact:

- their Line Manager and/or Dean of School/Director of Service
- their Designated People & OD Partner
- the Occupational Health Adviser
- the Staff Counselling Service
- a relevant trades union representative

The Trades Unions have indicated that their representatives are also willing to be contacted by employees who are not union members in relation to bullying or harassment matters.

Formal Procedure

The University's Formal Grievance Procedure should be followed where there is a complaint against another employee where informal procedure has been ineffective.

An employee should keep a written record of any incidents, such as what happened, when and where it occurred, whether there were any witnesses or names of others who have been treated in a similar way.

Where a member of staff is raising a complaint against a student, informal discussion should take place with the individual's line manager and the Code of Student Discipline should be followed.

Grievance Procedure

It is important to note that all clauses of the University's Grievance Procedure apply to the employee raising a concern through the Bullying and Harassment policy, which includes:

- Right to be accompanied
- Right to Appeal
- Confidentiality and Data Protection
- Disciplinary Action for malicious complaints

4.2 Procedures for students

If a student feels able to, then often the quickest and most effective means of dealing with an issue is to raise the matter informally with the person or persons concerned, explaining that their behaviour is offensive or unacceptable.

The student will be able to get information and support from the University by choosing to contact:

- Abertay Student Association
- Support Enquiry Zone (SEZ)
- Student Services (including Student Counselling)

If a student feels unable to raise the matter informally with the person or persons concerned, or is unable to resolve the matter informally, they should raise the matter with their Dean of School who will alert the University's Student Disciplinary Officer (SDO). The SDO will then investigate the issue using the Code of Student Discipline: non-academic. Any investigation into staff conduct which may lead to disciplinary action must meet the requirements of a staff disciplinary investigation.

A student should keep a written record of any incidents, such as what happened, when and where it occurred, whether there were any witnesses or names of others who have been treated in a similar way to assist the SDO in their investigation.

4.3 False Accusation

An individual who brings a complaint in good faith or assists in an investigation will be protected from any form of victimisation regardless of the outcome. Complaints brought with malicious or mischievous intent may provide grounds for disciplinary action against the complainant.

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V1	First joint staff/student guidelines – replace staff Dignity at Work policy and student harassment policy.	HR/Secretariat	
V20161005	Formatting Changes	HR	20161005
	Title change	People Services	March 2020

iii. Abertay Equality and Diversity Impact Assessment for REF 2014

EQUALITY AND DIVERSITY IMPACT ASSESSMENT REF 2014

Code of Practice on Equality and Diversity in the Preparation of Submissions for the Research Excellence Framework.

Section 1 - General

How will you put the policy into practice, and who will be responsible for it?

The REF Steering group and the Equality & Diversity Sub Committee

What outcomes do you want to achieve with the policy?

Ensure that all staff have an equal opportunity to be selected for submission to REF, based on their research output and quality. Allow for a more inclusive process whereby staff, who may not have be selected for the REF submission due to insufficient publications resulting from certain mitigating circumstances, can apply to have the number of submitted publications reduced.

How will you measure progress towards and/or achievement of those outcomes?

We will monitor REF submission rates by protected characteristics and assess the number of individuals applying for reductions due to individual circumstances.

Who are the key stakeholders in relation to the policy?

All members of staff who are undertaking research within the University, and specifically those staff whose ability to carry out and/or publish research has been affected by part-time working, periods of leave or other individual circumstances, such as disability or health.

How will you measure the effectiveness of your impact assessment?

By assessing and monitoring the successful submission from individuals with protected characteristics and comparing this to the previous submission to RAE2008 and to other universities of a similar size, subject mix and staff profile if possible in due course.

Section 2 – Gathering Data

Who needs to be involved in determining what information we need?

The Equality and diversity committee will determine the type of information required.

What information is needed to ensure that all perspectives are taken into account?

The evidence of uptake in this process from the last Research Assessment Exercise will be considered along with views and experiences from protected groups.

What then do we need to know specifically in relation to this policy?

The collective views of the protected groups most likely to be affected.

How it is likely to affect them, positive and negatively.

What existing quantitative data is available in- house and externally?

Data collected from previous exercises is limited and does not reflect a similar case as the assessment criteria are not the same this time.

Is there a need to generate new primary data?

Yes. Once the exercise has been undertaken, data will be needed on the eligible staff population, staff submitted for REF and staff affected by 'individual circumstances'. (This is not possible before the exercise is launched.)

If so, who will be responsible for undertaking and overseeing this work?

Chair of Equality and Diversity Committee and Vice Principal Academic

Who will be partners in information gathering?

Not yet known

Is there a need to consult? If so, how can we ensure it is inclusive?

Consultation will take place with appropriate staff members through the Equality and Diversity Sub Committee Task Groups (Age and Disability Task Group: Race and Religion Task Group; and Gender and Sexual Orientation Task Group)

Who will sign-off the final data and information assessment?

University Court via Equality and Diversity Committee Sub Committee

Step 3 – Rapid Impact Checklist

Which groups of the population do you think will be affected by this proposal?

- Women
- People with disabilities
- Older people, and young people
- People with mental health problems

Positive and negative impacts:

There is a positive impact for female members of staff who have taken periods of time away from work due to maternity leave and on any part-time staff (a high proportion of whom are women).

There is a positive impact for staff with disabilities who feel that their disability has had an impact on their ability to develop their research publications during the assessment timescale. This may also include individuals who have mental health problems.

Early career research staff (who may be more likely to be younger) may be affected by the stage in their career that the assessment is taking place and may not have had the opportunity to develop their research within that time to the acceptable standard. The REF guidelines have specific assessment criteria for this category of staff.

Will the proposal have any impact on the social environment? Things that might be affected include:

- **Social Status**
- **Stress**

Positive and negative impacts

There could be potential impact in social status from the perspective of colleagues having different criteria to work towards and a potential impact of resentment because of this. The Code of Practice has a strict code of confidentiality to limit any impact this may cause.

In addition, there may be a possibility that staff may suffer undue stress due to taking part in this exercise, especially when having to declare personal issues.

Will the proposal have any impact on:

- **Discrimination?**
- **Equality of opportunity?**
- **Relations between groups?**

There will be a positive impact on equality of opportunity as the code allows for staff who may not previously have been able to take part in the REF exercise to apply to be allowed to submit.   Similarly, there will be a prevention of indirect discrimination by adjusting for the impact of part-time, taking maternity leave. Action was taken to ensure that staff who were away from the University e.g. on maternity leave were included in the invitation to nominate themselves for inclusion in the REF. Several reminders were sent to staff with regards to the invitation to nominate themselves. Champions and Heads of School s were also encouraged to remind staff of the opportunity to nominate themselves.

Will the proposal have an impact on the physical environment? For example, will there be impacts on:

- **Living conditions?**
- **Working conditions?**
- **Pollution or climate change?**
- **Accidental injuries or public safety?**
- **Transmission of infectious disease**

It is very unlikely that the policy would have an impact on the physical environment.

Step 4 – Assessing Impact

Is there an adverse impact on any equality group in respect of either the quantitative or qualitative data?

Analysis of the data overall showed the following.

Submission rates by protected characteristic:

Women made up 28% of all those submitted to REF, which is slightly lower than the proportion of those submitted for the RAE. As regards submission rates by eligible staff, a lower proportion of REF-eligible female staff was submitted than of REF-eligible male staff. However, the proportions of both eligible female and male staff submitted were significantly higher than the proportions submitted to the RAE.

Of all those submitted to REF, 84.5% were White and 15.5% were Black, Asian or Minority Ethnic (BAME) staff. The proportion of BAME staff is higher than for the RAE. As regards submission rates by eligible staff, a considerably higher proportion of REF-eligible BAME staff was submitted for REF than of REF-eligible White staff. For both groups the submission rate was higher than for the RAE.

Of all those submitted to REF, 64.8% were UK nationals, 19.7% were other European nationals and 15.5% were of other nationalities. As regards submission rates by eligible staff, a considerably higher proportion of eligible non-UK staff was submitted for REF than of eligible UK nationals.

The staff submitted to REF by age band were: 12.7% aged 21-30, 31.0% aged 31-40, 28.2% aged 41-50, 18.3% aged 51-60 and 9.9% aged 61-70. As regards submission rates by REF-eligible staff, the highest submission rates were by REF-eligible staff in the 21-30 and 61-70 age bands. There were lower submission rates by REF-eligible staff in the 51-60 and 41-50 bands.

Data on disabled staff have been produced. However, the number of staff recorded as disabled is too small to enable reporting, or meaningful conclusions.

Use of the 'individual circumstances'

In all, 33.8% of staff included in the REF submission had 'individual circumstances'. The proportion was higher for women (55.0% of those submitted), than men (25.5%).

A total of 22.5% of staff included in REF were Early Career Researchers (ECR), 7.0% worked part-time or had career breaks, 1.4% had qualifying periods of leave (maternity etc) and 2.8% were in two categories. The proportion of the women submitted who fell into these groups was higher than the proportion of men in all cases.

The proportion of the staff included in REF that had individual circumstances declined with age – with 77.8% of 21-30 year-olds having individual circumstances, and 14.3% of 61-70 year-olds. Altogether, 66.7 % of 21-30 year-olds were ECR and all those taking qualifying periods of leave fell in this group; 31.8% of 31-40 year-olds and 15% of 41-50 year-olds were ECR – and none of those over 50. On the other hand, all those who were part-time fell in the 41-70 age groups.

A higher proportion of UK nationality staff than other nationality groups, and of White than Black, Asian and Minority Ethnic staff, had individual circumstances. However, the numbers are too small to draw conclusions from these data.

Overall, there is a substantial variation in the submission rates for staff groups with different characteristics. However, there is no evidence that this is due to the Code of Practice or how selection for REF was carried out in the University. The substantial proportion of staff classified as having individual circumstances indicates that the Code of Practice was used fully. The data suggest that women and younger staff may have particularly benefited from the provisions for individual circumstances.

The evaluation and monitoring of REF2014 will provide data to benchmark for future REF assessments.

Could the way the policy is carried out have an adverse impact on either:

> **Equality of opportunity for some groups?**
> **Good relations between different groups?**

The Code of Practice will limit any adverse impacts and will encourage staff with protected characteristics to submit for inclusion if they have the research that equals or exceeds the required quality thresholds.

Does the policy promote equality of opportunity and/or good relations?

The code of conduct promotes equality of opportunity.

Is the policy directly or indirectly discriminatory, and, if so, can the latter be justified?

See above

Is the policy intended to increase equality of opportunity by permitting positive action to redress disadvantages? If so, is it lawful?

The code is intended to increase equality of opportunity and it is lawful to do so.

Is further research or consultation necessary?

Further consultation will be required with individuals from protected groups once the process has begun

Would this research be proportionate to the importance of the proposed policy?

Yes

Step 5 - Additional research

Is additional consultation or research desirable to investigate the impacts of the proposal on diverse groups?

Yes, through data collection and analysis

Does this mean the collection of new primary data?

Yes – data on the eligible population, those submitted and those that applied for individual circumstances.

Step 7 – Consultation

Do evaluations show that previous attempts at consultation with particular groups were unsuccessful?

Not applicable

How do we ensure that those affected are consulted effectively?

Consultation with the relevant task groups (Age and Disability: Race and Religion; and Gender and Sexual Orientation) to ensure the Code of Practice provides an effective method for ensuring equality of opportunity to participate in REF.

What methods of consultation will be used and at which stages of the impact assessment?

The policy will be discussed by the relevant task groups, and submitted for consideration with the staff liaison groups.

How will information be made available to those consulted?

It will be provided in electronic and hard copy and alternative formats as requested.

Will the information be made available to those consulted?

Yes

Will the information be accessible to all minority groups and how will we know this?

We will ensure that during consultation that the appropriate groups are provided with the document and information in the correct format.

What resources are available to encourage full participation by marginalised groups?

E&D Committee and task groups, and internal communications.

Step 8 – Introducing the Policy

Is there any adverse impact identified?

None were anticipated and analysis of the data does not identify any adverse impact from the application of the Code of Practice.

What are the main consultation findings and what influence do they have on the proposed policy?

Consultation with the relevant task groups (Age and Disability: Race and Religion; and Gender and Sexual Orientation) has been broadly supportive of the Code of Practice.

Are there any alternative measures or mitigation that could be taken which would achieve the desired aim without the adverse impact identified?

Not applicable

Can the adverse impact or indirect discrimination be justified?

Not applicable

How can you justify proceeding with an indirectly discriminatory policy i.e. can you credibly argue that the policy objectives were essential and justifiable to the organisation and that the means you employed in achieving them were appropriate and necessary?

Not applicable

Step 9 - Ensuring Effective Monitoring

Do you think the policy should be piloted before full implementation?

Yes

Have you planned reviews of the policy? If so, how often and who will be responsible?

There will be an initial call for submission to REF at which point monitoring can take place, prior to the main submission. The REF steering group is responsible for the implementation of the COP and monitoring of the submissions.

Will you carry out a further impact assessment and consultation to check if the policy is not resulting in adverse impact? If so, when is this likely?

A further impact assessment is only necessary if the monitoring of submission identifies any equality issue (s). Subsequent analysis of the data did not identify a need for further impact of this particular policy.

Will you consider how to improve the policy, particularly in respect of promoting equality of opportunity?

Yes. Once submission data is available for the sector the University can measure where it sits in relation to other Universities and develop Performance Indicators to improve or maintain outcomes, where appropriate.

Step 10 – Publishing the results

Results will be published via REF pages on the University portal.

iv. Abertay Academic Workload Model and Guidance

Academic Workload Model and Guidance

Principles/Purpose

We are committed to:

- A reasonable, fair and equitable allocation of workload for academic staff, recognising the diversity of the University's activities.
- A transparent process of workload allocation.
- A workload allocation that supports the strategic objectives and priorities of the University and Schools, whilst also having sensitivity to individual career aspirations and circumstances of staff.

Workload Model

- A full-time allocation is 1000 points; pro rata for part-time staff. This means workload is effectively allocated as a percentage of people's time. As a guide, there are 219 working days in the year (52*5 – 33 days holiday – 8 days over Christmas), which means 4.5 points is approx. one day.
- Workload identifies the approximate proportion of staff time dedicated to different activities. Whilst points can be converted to hours, they are not intended to represent the precise time an individual is expected to devote to a task or role, everyone has different skills, knowledge and experience, and no two people will take the same amount of time to do the same job. Points awarded are intended to be a general reflection of effort. They are not a precise calculation of the hours a member of staff should spend on a task.
- A typical configuration would be dependent on the staff role and outputs and will be divided into these main areas:

Activity	Time allocated to:
• *Teaching and Teaching Related Activities*	Teaching preparation, contact hours, academic support, marking and moderation, module administration, undergraduate and postgraduate supervision
• *Research and other Outputs, Scholarship, Staff Development & External Activities* • *Funded Research and other non-teaching activity*	Research, scholarship and staff development, other outputs and external activities. (Allocation for funded activity should match actual funded hours)
• *Organisational, Administration and Other Activities*	Attending meetings (if not already identified as part of a role), reporting, open days and other recruitment activity, outreach activities, Pathways, theme leadership, REF champions etc.

Core Implementation Principles

- Workload allocation should reflect reality. HoDs should not reduce or raise points in order to deliver 1000 points for each member of staff if this is not a true reflection of their actual load. If members of staff are significantly under or over but the workload feels about right, then the workload model might need further refinement so please provide feedback including suggested updates. If, however, HoDs feel the total load broadly reflects reality and it isn't more than plus or minus 100 points, then HoDs need to work with staff to increase or reduce their load as appropriate and consult their Dean if the workload cannot be reasonably distributed among the current staff resource. However, at all times, the workload allocated must reflect the real work undertaken by the member of staff as close as possible. Final versions should be agreed with the member of staff before publication.
- Research / scholarship outputs should be documented in annual development plans.
- All staff must be given the opportunity to work in all areas (unless they are teaching or research only staff) to ensure that everyone has equal opportunity for development and promotion.
- Staff in different roles may have different percentages of their time allocated to different activities. For example, a teaching fellow would be expected to have a higher proportion of their time allocated to teaching and teaching related activities whereas a Professor would be expected to have a percentage of time allocated to research and other outputs.
- Variations in the proportion of time allocated to each activity may also occur between staff within a specific role depending upon their focus and other duties allocated to them. The percentage of time allocated to each activity should be the outcome of a discussion between the HoD and the staff member through the Pathways / development plans process. All workload should be justified. Large amounts of time should include additional lines in the spreadsheet to explain the activity / output associated with the time allocated e.g.

    Scholarship – 10% of time (100 points for full-time staff):
    - 60 points for completing non-REF'able pedagogic research, writing it up / presenting it at the annual TLE conference
    - 10 points for being a member of a professional body committee considered relevant and useful for Abertay
    - 20 points for supervising a PhD student
    - 10 points for attending a training course

- There is no requirement to allocate each member of staff a minimum number of points for research and / or scholarship. Around 10% would be considered reasonable.
- There may be work which is not a core requirement of a person's job but is considered beneficial to the University as well as the individual. In these cases, the HoD may provide partial support in terms of points allocated. An example could be a member of staff who wishes to undertake a PhD. The university would not be able to support the full number of points required to complete a PhD however, a typical scholarship allowance of 10% could be used on an annual basis to support PhD study, subject to a satisfactory annual progress report by supervisors.
- Workload allocation must prioritise core requirements of the job. It is acknowledged that many staff will wish to take on other activities by choice, typically external to the university, which might be desirable but are not required as part of their job e.g. serving as a member of a professional body committee, editorship of a journal, a role in organising / hosting a conference. These will not normally attract an allocation of points however, if a Head of Division feels that the voluntary work is useful to Abertay, they could allocate up to 5% of a person's time to represent some of the effort, if a person has capacity. Note:
    1. These additional activities will only be allocated if there is space available in a person's workload after the core requirements for a job have been met.
    2. External work paid to an individual will be undertaken in their own time and will not be allocated points i.e. a person will not be paid twice for the same work, this includes external examining.

- A role will include all the work associated with that role for example, teaching points will include preparation, delivery, marking and delivering assessments, entering marks, dealing with academic assessment offences, administration, revising and updated notes for the following year, including reading books, papers etc. Similarly, staff with specific roles e.g. Heads of Division, Programme leaders will all have a certain amount of admin / bureaucracy built in given the expectations of the role, for example chairing / member of a programme approval or a student disciplinary hearing.
- The workload model needs to document activities to a level that provides a clear justification for the points allocated, however we do not want to bean count. There are invariably a number of small / ad hoc jobs that staff might be asked to do during an academic year e.g. chair / member of a disciplinary panel, attend a short life working group, short term sickness cover etc. 25 points (slightly more than one week of time) will be allocated to every full-time member of staff to cover this work, pro-rata for part-time staff. If a member of staff feels their ad hoc work is significantly more than this they the HoD can allocate additional points as appropriate, noting the reason in the spreadsheet.
- The points awarded for a sabbatical (recorded in the appropriate category of research or scholarship depending on the nature of the sabbatical) will be calculated in proportion to the working year and will exclude holidays and bank holidays that might occur during that period. Given there are 219 working days at the University each year, the calculation of points for the workload model of Y sabbatical days is Y/219*1000.
- The workload model will be generated in discussion with each member of staff about their workload for the following year (April/May) and updated within a month of the start of each term if changes have been made to staff timetables.

Teaching and Teaching Related Activity (note this will be reviewed for 2020):
- Staff are normally expected to deliver between 2-4 FTE modules per year.
- Points allocated to a module will vary depending upon module size/contact time. Typically:
    1. Large modules = 230 points
    2. Medium modules = 200 points
    3. Small modules = 170 points
- Not all modules require the same effort and therefore the above points may vary slightly depending upon contact hours associated with a particular module or the time necessary to mark assessments because of the complexity and size of the assessments.
- For the PGCAP, if this is linked to probation / a member of staff is required to do study for this award, then norm would be for 30 credits to be taken each year i.e. 300 learning hours so 200 points should be awarded.
- If a member of staff is required to undertake the Advance HE accredited "Going for GOLD" scheme, 25 points will be awarded (just over a week).

Research and other Outputs, Scholarship, Staff Development and External Activities (including Funded work):
- Separately identify the time allocations for Externally Funded and University Funded activity.
  Funded research may, or may not, cover FEC (Full Economic Cost). For example, RCUK only funds 80% of FEC which means that the University has to cover 20% of the cost. In order for Abertay to have clarity regarding its investment in funded research, the Finance team will provide HoDs with the number of points for each funded academic covered by external funding, based on an FEC calculation. This should be noted in the workload model along with the remaining points invested by the university e.g.
      Project X
              FEC funding – 234 points
              University funding – 46 points
- 50 points per student will be awarded for all MRes / MPhil / PhD supervision, split between the team. The default will be an equal split unless the team inform the HoD

otherwise. Workload models should identify the student it is awarded for using a number which doesn't identify the student. HoD will hold the list e.g. Student A = Fred Bloggs, Student B = Julie Bloggs etc. If a student is participating in another project and some supervision occurs as part of that participation e.g. a KTP points awarded to team for the supervision should be reduced to reflect the supervision that occurs as part of the KTP project.

▪ HoDs may allocate more than the broad minimum of 10% of a person's time to research and / or scholarship if they consider it appropriate to do so. As a norm it would be expected that staff would have funding to support this additional work but this is not an absolute requirement. A HoD may decide to invest strategically in research for example, but there should be a clear rationale as to why they are investing in member of staff A and not member of staff B and it should be for strategic reasons. The reason and outputs should be noted in the workload plan for each member of staff. Staff who are engaging actively in independent research where that is an expectation of their job role, will be allocated a minimum of 20% FTE (or pro rata for part-time staff) of their time for research. Such staff are considered as having a significant responsibility for research.

Definitions:

o **Research** is defined as a process of investigation leading to new insights, effectively shared. It **includes** work of direct relevance to the needs of commerce, industry, culture, society, and to the public and voluntary sectors; scholarship[53]; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It **excludes** routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of new analytical techniques. It also **excludes** the development of teaching materials that do not embody original research. It **includes** research that is published, disseminated or made publicly available in the form of assessable research outputs, and confidential reports.

o **Scholarship and staff development** is activity that develops, updates or maintains the knowledge of an individual; or adds to their skills and experience. Scholarship outputs and activities should be identified in the workload model for an individual, same as for research. Examples of scholarship could include:
   - Preliminary research (not yet effectively shared) and routine analysis of research data
   - Undertaking the PGCAP
   - Undertaking a part time PhD
   - A GOLD application
   - Publishing teaching practice (note that rigorous pedagogic research could be REF'able in which case it would be in the research category)
   - Attending a training course to upskill for a subject
   - Time for self-development in a new subject in order to upskill in a new topic area (note this would not be the normal annual subject updating all staff are expected to do as part of their teaching, it could be for example learning a completely new topic and would be uncommon)
   - Attending a conference

o **Other outputs and external activities** fall outside the definition of research per se, but may be related to research activity. It could include outreach related to research and / or scholarship, public engagement, practitioner oriented guidance and non-

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[53] Scholarship for the REF is defined as the creation, development and maintenance of the intellectual infrastructure of subjects and disciplines, in forms such as dictionaries, scholarly editions, catalogues and contributions to major research databases.

novel advice aimed at industry end users. This may also include funded consultancy or services related to academic expertise.

Organisational, Administration and Other Activities:
▪ Significant activities may be itemised separately
▪ The HoD has flexibility to cover all other workload allocations, including attending meetings (not already captured with an existing role) e.g. open days and other recruitment activities, outreach activities (other than as related to research or scholarship captured above), theme leadership, REF champions, Lead Voice, Union work as agreed annually with HR etc.

Further information and guidance
▪ Management Information:
PURE was introduced in 2017 to improve the quality of management information, pulling multiple sources into one place accessible to academic staff. The Faculty Academic Activity report provides a summary of:
 - Publications: by type (e.g. contribution to book, to journal…), author(s), and date.
 - Externally funded projects: value of grant, collaborators.
 - Applications for new external funding: date, status, collaborators and total applied amount.
 - PGR supervision: start and end date of the student, supervisory team.
 - UG and PGT teaching load (by module): number of students, delivery team (planned).
 - Other activities: including practitioner.
Managers and academic staff are encouraged to use PURE reports to inform workload planning conversations, Pathways / development plan meetings and promotion applications. They are also encouraged to take the opportunity from these discussions to ensure that the PURE record is accurate and up-to-date.
▪ Further guidance on classification of *Research and other Outputs, Scholarship, Staff Development and External Activities* is available from the Dean of the Graduate School, REF Champions or the Director of Finance and Research Funding in relation to funded research and other activity.
▪ Further guidance is also available from your Dean of School and HR Partner.

Workload Allocation Template – add additional rows as needed

Activity	Points		
Name:			
Job title:			
Teaching and Teaching Related Activity			
Module A (Module points* x %FTE)			
Module B (Module points* x %FTE)			
Module C (Module points * x %FTE)			
Module D (Module points * x %FTE)			
Module E (Module points * x %FTE)			
Undergraduate Supervisions 14/student			
Postgraduate Supervision 50 points/student (split between the team)			
Programme Leader 100 points			
Development of courses, CPD			
Teaching and Teaching Related Activity Total: points			
%	xx%	xx%	xx%
Research and other Outputs, Scholarship, Staff Development & External Activities (Externally funded)			
Research			
Scholarship and staff development (e.g. funded conference attendance, work commissioned by a professional body)			
Other outputs and external activity (e.g. consultancy, commercial activity)			
Research etc. (Externally funded) Total: points			
%	xx%	xx%	xx%
Research and other Outputs, Scholarship, Staff Development & External Activities (University funded)			
Research			
Scholarship and staff development (e.g. funded conference attendance, work commissioned by a professional body)			
Other outputs and external activity (e.g. consultancy, commercial activity)			
Research etc. (University funded) Total: points			
%	xx%	xx%	xx%
Organisational, Administration and Other activities			
Itemised activity A			
Itemised activity B			
Other organisational, administration and other activities			
Organisational, Administration and Other Activities Total: hours			
%	xx%	xx%	xx%
Total Allocated: hours			
%	xx%	xx%	xx%

Appendix 2: REF Responsibilities, Committees and Groups

i. REF 2021 Code of Practice Working Group

1. Membership

- Two early and two mid-career academics
- A senior academic (unit champion)
- A Head of Division
- Two UCU representatives (academic staff)
- One Unite representative (member of research staff)
- Dean of Research and the Graduate School
- Head of REIS
- Director of Human Resources & Organisational Development (Chair)

2. How the committee has been formed, including steps taken to consider and reflect on representativeness

The Working Group was formed in June 2018. It's membership was designed to include a cross section of academic and research staff in relation to career stage, discipline and role and includes representatives from both the University's recognised unions, UCU and Unite. The Group comprises 7 female and 6 male staff and includes a mix in relation to age, ethnicity and experience of pregnancy/maternity and childcare.

3. Its responsibilities (including whether advisory or decision-making) with respect to the institution's policy and procedures relating to identifying staff, determining research independence, and/or output selection

The remit of the Working Group is to develop Abertay University's REF2021 Code of Practice in accordance with the funding bodies' requirements and guidance and taking into account views from the wider academic community at Abertay.

The Group reports to the REF Steering Group.

The Group's role is advisory: the Code of Practice is subject to approval by the REF Steering Group, the Research and Knowledge Exchange Committee, Senate (will be noted by Court) and ultimately the Scottish Funding Council.

The Group's Framework stated:

The Code of Practice (CoP) needs to set out the processes and bases for:
A. identifying staff to submit under the REF2021 criteria, i.e. those with significant responsibility for research, from 'Category A eligible' staff
B. ensuring a fair approach to selecting outputs to submit

The CoP should also include a set of principles underpinning the processes and how Abertay approaches its submission for REF2021, informed by Abertay's context and strategic aims and addressing matters of equality, inclusion and fairness.

The funding bodies have indicated that detailed guidance will be provided on developing CoPs, including a template, in 'mid-2018, so all work on developing Abertay's CoP will be subject to review following publication of that guidance.

Stages for the work of the Group included:

a. Agree a draft for wider University consultation.

b. Communicate this draft with the wider University. Specific communication agreed by the working group involved:
   - Publishing the draft on the intranet
   - Invite feedback and questions via email to all academic staff, and consult staff Equality and Diversity Lead Voices[54]
   - Open meetings to discuss the proposals and gather feedback, both on the proposals themselves and on areas to address in the CoP. (This would also serve as an opportunity to improve awareness and understanding of REF.)
   - Specific arrangements to communicate with/consult different stakeholders, e.g. Research Theme Leaders, REF champions, Heads of Division, Academic Leadership Group.

c. Produce revised draft CoP, taking feedback into account, and carry out equality impact assessment

d. Revise draft CoP in light of the funding bodies' detailed guidance and template

e. Propose CoP for approval through the REF Steering Group, the Research and Knowledge Exchange Committee, and Senate (noted by Court) with a view to submission for approval by the Scottish Funding Council as required.

4. The steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equality, including any relevant training

All members of the Working Group have completed mandatory on-line training courses on Equality and Diversity in HE and Unconscious Bias. The Group includes members with extensive experience of equality and inclusion work, including members of the Inclusion, Diversity and Equality at Abertay Management Group, the University's Athena SWAN and Race Equality Self-Assessment Teams; an employment law expert; and individuals with experience of REF 2014 special circumstances processes and of Equality Impact Assessment.

ii. REF Steering Group – Membership and Responsibilities

1. Membership

VP Academic
Dean of Research and the Graduate School
Deans of Schools
Professorial Group representative
Director of HR and OD
Director of Finance and Research Funding
Head of the Research and Innovation Service

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[54] The Equality and Diversity Lead Voices are staff and students who have volunteered to act as advocates/spokespeople for particular protected characteristics. See https://intranet.abertay.ac.uk/professional-services/human-resources/lead-voices/

2. How the committee has been formed, including steps taken to consider and reflect on representativeness

The Steering Group was formed to provide strategic oversight of REF 2021 preparations. The Group membership therefore includes all those staff with lead responsibility for Schools and support services' input into REF 2021. This includes the Director of HR and OD, whose membership also ensures the Group is fully informed of the University's policies on equality, inclusivity and fairness.

3. Its responsibilities (including whether advisory or decision-making) with respect to the institution's policy and procedures relating to identifying staff, determining research independence, and/or output selection

A full list of the responsibilities for this Group are attached as Annex A. These activities include the following which relate to identifying staff, determining research independence, and/or output selection:

- Reviewing progress on the appropriate development of a REF 2021 Code of Practice. This is an advisory responsibility, with advice being provided to the REF Code of Practice Working Group.
- Reviewing draft UoA submissions provided by REF Champion Teams. These draft submissions will include recommendations on outputs to be submitted.   This is an advisory responsibility, with the Steering Group providing advice to the Principal on UoAs to be submitted.

4. The steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equality, including any relevant training

All members of the Steering Group have completed the mandatory training on equality and diversity, which all Abertay staff with responsibilities for REF 2021 undertake.

Annex A: REF Steering Group activities

(On going)

- Monitor progress on preparations for REF; including appointment of UoA Champions.
- Internal review of REF preparations
- Ensure appropriate development of a REF 2021 Code of Practice.
- Ensure development of appropriate infrastructure, facilities and support for REF submission in light of HEFCE & SFC guidance.
- Review UoA Champions' assessment of REF preparations.
- Identify any additional action required in run up to REF.
- Full REF (submission date November 2020)
- Consider draft UoA submissions provided by REF Champion Teams. These draft submissions will include recommendations on outputs to be submitted.
- Review of draft Environment Statements and Impact Case Studies.

iii. Research and Knowledge Exchange Committee

1. Remit

RKEC reports to Senate on regulatory processes and compliance, including the review and operation of regulations, policy and process for Research Degrees, supporting infrastructure development, concordat and data management. RKEC reviews and proposes enhancements to regulatory processes and policies for consideration at Senate. RKEC also monitors and provides summary reporting on research outputs, income and impact (on industry, policy or teaching). The review, development and approval of all Research Degrees Regulations and processes is the responsibility of RKEC and the Registrar considers and confirms that decisions have been made in accordance with the University Regulations and procedures.

The Research Degrees Assessment Panel supports the work of RKEC and the Registrar and is comprised of a pool of experienced research degree supervisors and examiners drawn from a range of subject areas across the University. Members have been nominated by their Dean of School and approved by the Deputy Vice-Chancellor (Academic) and will be called upon to serve on Annual Progression Reviews, for Professional Development portfolio assessment, chairing of *viva voce* examinations and for the consideration of special cases. RDAP members are *de facto* members of RKEC and are invited to attend meetings of RKEC by invitation and in rotation.

2. Membership

Dean of Research and the Graduate School
Chair of the Research Ethics Sub-Committee
Director of Finance and Research Funding
Head of Researcher Development
Early-Career Representative
Mid-Career Representative
Theme Leader - Security
Theme Leader - Environment
Theme Leader - Society
Theme Leader - Creative Industries
Academic Enterprise Lead
RDAP member X 26
Postgraduate Research Student Representative X 5

3. How the committee has been formed, including steps taken to consider and reflect on representativeness

The committee membership reflects the function (see remit above) of the RKEC. Early- and mid- career representatives, RDAP and Postgraduate Research Student Representatives are taken from across the University. Currently the RKEC is composed of 12 women and 30 men.

4. Its responsibilities (including whether advisory or decision-making) with respect to the institution's policy and procedures relating to identifying staff, determining research independence, and/or output selection

RKEC will consider and approve the REF Code of Practice before recommending a decision to Senate.

5. The steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equality, including any relevant training

All Abertay staff are required to undertake on-line training in Diversity at Work and Unconscious Bias.

iv Senate

1. Remit

From the Order of Council, Part V, Management of the University

36. (1) The University Court shall appoint, and maintain by further appointment, a Senate in the manner specified in Part I of Schedule 1.

(2) The proceedings of the Senate shall be regulated in accordance with Part II of Schedule 1.

(3) The University Court shall delegate to the Senate the following of its functions —

(a) the functions of the University Court relating to the overall planning, co–ordination, development and supervision of the academic work of the University; and

(b) such other functions of the University Court as may be assigned to the Senate by the University Court:

Provided that the functions specified in this paragraph shall be discharged by the Senate subject to the general control and direction of the University Court.

(4) In discharging the functions specified in paragraph (3), the Senate shall have all the powers and duties of the University Court in relation to those functions and shall have the power to make any recommendation to the University Court on such matters relating to those functions as the Senate may think fit.

(5) The University Court shall make arrangements to secure that the Senate shall discharge the functions imposed on them by or under paragraph (3).

2. Membership

From the Order of Council, Schedule 1 Senate

Current Ex Officio membership:
Principal - Chair
Vice-Principals - Vice-Chairs
Deans of School
Head of Information Services
Registrar
President of the Students' Association

Current Co-opted membership:

Head of Student Services
Director of Teaching and Learning Enhancement
Director of Strategic Planning
Current approved categories:
All Professors in the employment of the University are members of Senate.

8 elected staff and 1 elected student rep

3. How the committee has been formed, including steps taken to consider and reflect on representativeness

The committee membership is taken from across the University and reflects the function (see remit above) of Senate.

4. Its responsibilities (including whether advisory or decision-making) with respect to the institution's policy and procedures relating to identifying staff, determining research independence, and/or output selection

Senate will consider and approve the REF Code of Practice before recommending a decision to Court.

5. The steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equality, including any relevant training

All Abertay staff are required to undertake on-line training in Diversity at Work and Unconscious Bias.

v. Court

1. Remit

The University Court is the governing body of the University. It approves the strategic vision of the University, appoints to key positions, ensures systems are in place for the academic, corporate, financial, estate and personal management of the University and that plans exist to evaluate performance and effectiveness against key indicators.

Statement of Primary Responsibilities of Court
This Statement of Primary Responsibilities is based on the CUC Guide for Members of Higher Education Governing Bodies in the UK: Governance Code of Practice (2009). It is consistent with The University of Abertay Dundee (Scotland) Order of Council 1994.

The primary responsibilities of Court, as the governing body of the University, are
1. To approve the mission and strategic vision of the University, long-term academic and business plans and key performance indicators (KPIs); to ensure that these meet the interests of stakeholders; and to ensure that there are opportunities for Court to provide strategic input in the development of key strategies and long-term plans such that their approval can be considered by Court without conflict of interest.
2. To appoint a Principal & Vice-Chancellor as chief executive, and to put in place suitable arrangements for monitoring his/her performance.

3. To appoint a secretary to Court and to ensure that, if the person appointed has managerial responsibilities in the University, there is an appropriate separation in the lines of accountability.

4. To delegate authority to the Principal and Vice-Chancellor of the University, as chief executive, for the academic, corporate, financial, estate and personnel management of the University; and to establish and keep under regular review the policies, procedures and limits within such management functions as shall be undertaken by and under the authority of the Principal.

5. To ensure the establishment and monitoring of systems of control and accountability, including financial and operational controls and risk assessment, and procedures for handling internal grievances and 'whistle-blowing' complaints and for managing conflicts of interest.

6. To ensure that processes are in place to monitor and evaluate the performance and effectiveness of the University against the plans and approved key performance indicators, which should be – where possible and appropriate – benchmarked against other comparable institutions.

7. To establish processes to monitor and evaluate the performance and effectiveness of Court itself.

8. To conduct its business in accordance with best practice in higher education corporate governance and with the principles of public life drawn up by the Committee on Standards in Public Life.

9. To safeguard the good name and values of the University.

10. To be the employing authority for all staff in the University and to approve a human resources strategy.

11. To ensure that non-discriminatory systems are in place to provide equality and diversity of opportunity for staff and students.

12. To be the principal financial and business authority of the University, to ensure that proper books of account are kept, to approve the annual budget and financial statements, and to have overall responsibility for the University's assets, property and estate.

13. To be the University's legal authority and, as such, to ensure that systems are in place for meeting all the University's legal obligations, including those arising from contracts and other legal commitments made in the University's name.

14. To make such provision as it thinks fit for the general welfare of students, in consultation with Senate.

15. To act as trustee for any property, legacy, endowment, bequest or gift in support of the work and welfare of the University.

16. To ensure that the University's constitution is followed at all times and that appropriate advice is available to enable this to happen. Court shall approve and keep under review a scheme of delegated authority to the Principal and other senior and committees.

vi. REF Decisions on Staff and Outputs Group

1. Membership

VP Academic
Deans of Schools[55]
Director of Finance and Research Funding
Head of Research & Innovation Service/REF Manager
Designated HR and OD Partner

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[55] Excluding Dean of Research and the Graduate School

2. How the committee has been formed, including steps taken to consider and reflect on representativeness

REF Decisions on Staff and Outputs Group consists of senior academic staff with oversight of research; plus the Head of the Research and Innovation Service to provide advice on REF 2021 procedures and a designated HR and OD Partner. The Group therefore brings together the VP Academic and Deans of School; with the exception of the Dean of Research and the Graduate School. To ensure that the Appeals Panel members are not involved in making decisions regarding eligibility and submission of individual staff; the Dean of Research and the Graduate School, as well as the Director of HR and OD, have not been included in the REF Decisions on Staff and Outputs Group membership.

3. Its responsibilities (including whether advisory or decision-making) with respect to the institution's policy and procedures relating to identifying staff, determining research independence, and/or output selection

The Group will review recommendations by the Deans of School on which staff have significant responsibility for research and on the time allocated to research in staffs' Workload Allocation Plan. In carrying out this review, the Group may request other information from the Deans and/or seek advice from Champion teams. If the Group is not satisfied that the procedure for identifying staff with significant responsibility for research and determining allocation of time has been conducted properly; it will ask Deans to review the latter's recommendations.

4. The steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equality, including any relevant training

All members of the REF Decisions on Staff and Outputs Group have completed the mandatory training on equality and diversity, which all Abertay staff with responsibilities for REF 2021 undertake.

vii. Role Descriptor for Head of Division

Head of Division
The Main purpose of the Role To provide academic leadership and management in the development and delivery of innovative, progressive, coherent academic programmes based on authoritative subject knowledge; and to deliver leading-edge research and knowledge exchange.   Role Specific Duties and Responsibilities • Plan, manage and lead the development of academic activity in research, teaching, subject development and consultancy. • Deliver and review subject knowledge through innovative and effective teaching and learning practices.

- Advance knowledge through supporting staff to engage in sustainable research, knowledge exchange, and scholarship activities that are consistent with the University's research strategy.
- Allocate and manage workload, and review performance of staff to ensure that they deliver high-quality teaching, research, student support and academic administration duties.
- Develop, on a continuous basis a module portfolio in particular subjects, maintaining their currency and pedagogic quality.
- Produce reports on subject area performance, and manage relevant budgets.
- Develop and manage relationships with other Schools, the Graduate School, external partners, and relevant professional bodies.
- Advise the Head of School on teaching and learning, research and knowledge exchange, consultancy and continuing professional development.
- Support staff to enhance and apply their professional capabilities.
- Maintain an appropriate teaching load, and conduct research in appropriate academic areas.

4. Person Specification		
Attributes	Essential Selection Criteria	Desirable Selection Criteria
Education/Qualifications	PhD or substantial professional experience at a senior level PGCertHE or equivalent experience	
Knowledge and Experience	Substantial knowledge of the market and subject challenges faced by subject areas within the Division Experience and knowledge of quality assurance and quality enhancement systems Experience of inclusive curriculum development that demonstrate equality good practice Experience of developing innovative means of subject delivery Published research in an area represented by the University's research strategy	Track record of scholarship in teaching and learning Active involvement in relevant subject networks/professional organisations Experience of effective budget management Experience of authoring detailed analytical evidence-based reports.

	Experience of planning and management of research and/ or scholarly activity	
	Experience of managing people and process either in a line or staff management role	
	Knowledge of relevant subject networks and professional organisations	
	Specialist knowledge and experience of teaching in at least one of the cognate areas covered by one of the Divisions.	
	Subject specialist with a willingness to work across disciplines	
	Experience of fostering external relationships to enhance opportunities for students and staff	
	Experience of managing academic change	
	Ability to actively create and capacity to motivate teams and individuals to engage with enhancement opportunities	
	Ability to effectively deliver success in teaching and learning and research and knowledge exchange	
	Experience of effectively leading and managing a team of academics.	
Competencies	Effective Communication	
	Liaison and Networking	
	Team Development	
	Initiative and Problem Solving	
	Planning and Organising	
	Teamwork and Motivation	

5. Competencies

In order to achieve Abertay University's goals all employees need to demonstrate the following competencies:

Effective Communication

Definition: The use of appropriate communications media and methods, to convey, explain or discuss information in a manner that is clear and accurate for the target audience.

The ability to use a combination of media and styles designed to suit the needs of diverse audiences and aid their understanding while being regarded as an engaging and well informed.

Liaison and Networking

Definition: Active participation in, contribution to or leadership of internal/external networks which build positive relationships and promote collaborative/inter-disciplinary working.

The ability to be involved in relevant networks within and outside the University to develop approaches and ideas to benefit own and others work.

Team Development

Definition: Active engagement and/or leadership in the development of the team's knowledge and skills to enhance team attributes improve quality and support achievement of objectives

The ability to exercise academic leadership through effective line management to ensure staff acquire new knowledge and skills by suggesting ways of improving individual and team performance through training and development to aid the development of other team members and the team as a whole.

Initiative and Problem Solving

Definition: Showing desire for continuous improvement in individual and team performance by actively contributing to problem solving and responding positively to opportunities for development.

The ability to use a variety of processes and the participation of others to develop solutions that maximise opportunities for the benefit of the University.

Planning and Organising

Definition: Proactive planning, prioritisation and organisation of work activities and resources to ensure best value is achieved whilst maintaining service availability and quality standards.

The ability to provide information and involve team members and key stakeholders in planning, including the evaluation of plans and provides feedback to support the achievement of the longer term strategy to gain commitment to implementation.

> ### Teamwork and Motivation
>
> **Definition:** Working with others in a co-operative and collaborative capacity to motivate and, where necessary, lead teams to achieve their objectives.
>
> The ability to develop team members skills and attain greater levels of achievement by while acting as a role model by putting partnership working into practice, including developing opportunities for cross team working.

viii. REF Unit of Assessment Champion Leads and Group

1. Membership

The current membership is included as Annex B.

2. How the committee has been formed, including steps taken to consider and reflect on representativeness

To ensure inclusivity, all academic staff were invited by email to nominate themselves as REF UoA Champions. These self-nominations were reviewed, considered and approved (all applications were accepted) by the REF Steering Group; which includes Director of HR and OD to ensure the Group is fully informed of the University's policies on equality, inclusivity and fairness. A review of the Champion Teams' membership is a standing item at each Steering Group meeting (approximately once every six weeks).

3. Its responsibilities (including whether advisory or decision-making) with respect to the institution's policy and procedures relating to identifying staff, determining research independence, and/or output selection

A full list of the responsibilities for this Group are attached as Annex B. The responsibilities are as follows, which relate to identifying staff, determining research independence, and/or output selection:

- Following the REF Code of Practice, to assist in identifying staff members for possible inclusion within their specific UoA, and guide individual development activities;
- Reviewing and giving feedback on outputs; and
- Submitting draft UoA submission to the Steering Group, including recommendation's on outputs being submitted.

These responsibilities are advisory, with the Champion Teams' making recommendations to the Steering Group on the draft UoA; with the Steering Group in turn making recommendations to the Principal on the UoA Submission.

4. The steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equality and diversity, including any relevant training

All members of the UoA Champion teams have completed the mandatory training on equality and diversity which all Abertay staff with responsibilities for REF 2021 undertake.

Annex B: REF UoA Champion Teams

Names redacted for publication purposes

ix. Appeals Panel

1. Membership

- University Secretary (chair)
- Dean of Research and the Graduate School
- Director of HR and Organisational Development
- A UCU representative
- The Panel may also co-opt professors or others who have not been involved in previous decision-making to bring senior academic expertise as required.

2. How the committee has been formed, including steps taken to consider and reflect on representativeness

Panel membership was proposed by the REF Code of Practice Working Group to provide the most senior experience of matters related to the academic, HR & OD and Governance domains. The key consideration has been to bring that experience and knowledge through that panel members who are not otherwise involved in making decisions regarding eligibility and submission of individual staff. While the three named panel members are female, the panel will endeavour to ensure diversity through the UCU representative and co-opted members.

3. Its responsibilities (including whether advisory or decision-making) with respect to the institution's policy and procedures relating to identifying staff, determining research independence, and/or output selection

The Appeals Panel has a decision-making and advisory role. It's decisions will be reported to the REF Steering Group.

The Appeals Panel is responsible for considering requests from staff for review of provisional or confirmed decisions regarding their eligibility and/or inclusion in the University's REF 2021 submission. The Panel will undertake reviews, decide and communicate the outcomes, and keep a records of its decisions.

The appeals process and grounds for appeal are set out in s2.3.1 of the Code of Practice.

4. The steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equality, including any relevant training

The three named members of the Appeals Panel have completed the mandatory training on equality and diversity, which all Abertay staff with responsibilities for REF 2021 undertake, and one co-presented Abertay's Equality and Diversity and the REF workshop. All are members of the Inclusion, Diversity and Equality at Abertay Management Group. The UCU representative and any coopted members will also be required to complete the mandatory training before participating in the panel.

x. Special Circumstances Panel

Membership

- Director of Student Services
- HR/OD Partner

How the panel committee has been formed, including steps taken to consider and reflect on representativeness

The Panel comprises staff who are not involved in other decision-making groups and do not have line management responsibility for academic staff, and who have substantial knowledge and experience of equality, diversity and inclusion and of consideration of special circumstances in relation to REF 2014. The members are one male, one female.

Its responsibilities (including whether advisory or decision-making) with respect to the institution's policy and procedures relating to identifying staff, determining research independence, and/or output selection

The Panel has a decision-making and advisory role in respect of taking account of individual circumstances. Its responsibilities are to:

e) Convene as necessary, according to demand, to consider all Declarations of Individual Staff Circumstances
f) Apply the criteria set out in the REF2021 Guidance on submissions, paragraph 160, 179-180 and Annex L to determine where there is a valid case for either
   a. an individual to be entered into REF without an output during the assessment period (applying the provisions of paragraphs 179-182), or
   b. a reduction in the required number of outputs
g) Keep appropriate, confidential records of their decisions for audit
h) Report to the REF Steering Group all cases identified under 2. (The decision regarding whether a Unit of Assessment will seek any reductions will be for a matter for the Steering Group.)

The steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equality, including any relevant training

Both Special Circumstances Panel members have completed the mandatory training on equality which all Abertay staff with responsibilities for REF 2021 undertake. One of the panel members co-presented Abertay's Equality and Diversity and the REF and both have roles involving promoting equality, diversity and inclusion, with the associated professional knowledge and experience. Both are members of the University's Athena SWAN and Race Equality Self-Assessment Teams, and one is a member of the Inclusion, Diversity and Equality at Abertay Management Group.

xi. Equality Impact Assessment (EIA) Panel

Membership

- Director of Student Services
- HR/OD Partner

How the panel committee has been formed, including steps taken to consider and reflect on representativeness

The Panel comprises staff (one male, one female) who have substantial knowledge and experience of equality, diversity and inclusion in Higher Education, and in relation to REF 2014. Their only other involvement in REF 2021 is in the Special Circumstances panel.

Its responsibilities (including whether advisory or decision-making) with respect to the institution's policy and procedures relating to identifying staff, determining research independence, and/or output selection

The Panel reports to the REF Steering Group and has an advisory role. Its responsibility is to conduct EIA on:

a) The draft Code of Practice
b) Provisional decisions regarding staff with significant responsibility for research and selection of outputs (mock REF)
c) Final decisions for submission of staff and outputs

EIA will be carried out with a view to identifying any differences in impact for groups by gender, ethnicity, nationality, religion and belief, age, disability or sexual orientation, or for those who have been pregnant and/or on maternity, adoption or parental leave during the period covered by REF 2021. The EIA will also assess any differences for those on fixed-term and part-time contracts relative to those on permanent and full-time contracts, respectively.

The steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equality, including any relevant training

Both Panel members have completed the mandatory training on equality which all Abertay staff with responsibilities for REF 2021 undertake. One of the panel members co-presented Abertay's Equality and Diversity and the REF and both have roles involving promoting equality, diversity and inclusion, with the associated professional knowledge and experience. Both are members of the University's Athena SWAN and Race Equality Self-Assessment Teams, and one is a member of the Inclusion, Diversity and Equality at Abertay Management Group.

xii. External Advisors

The role of the external advisor is to provide an independent assessment of the quality of a sample of published output, to permit validation of output scores by the REF Decisions on Staff and Outputs Group. The advisor would be asked to independently review a sample of outputs which have already been assessed internally by the Abertay's REF Champions Team for the relevant UoA. This sample will include outliers and some outputs which are assessed against the REF 2021 criteria as 2* or 3*.   The objective of this external assessment is to calibrate internal assessment against potential treatment by REF 2021 sub panel members.

External Advisors have been appointed by the REF Steering Group on the basis of recommendations from the relevant UoA Champion Team. In selecting External Advisors, the Steering Group may also seek advice from academic colleagues both within Abertay and externally.

External Advisors will treat the material provided by the University to the External Advisor, and the latter's advice, as confidential.   Any discussions with the External Advisor would be conducted through the Head of the Research and Innovation Service. If staff wish to discuss an External Advisor's review, they should in the first instance discuss with the relevant

Champion Team and/or Head of the Research and Innovation Service. They would not contact the External Advisor directly.

External Advisors are required to confirm that they have received appropriate equality and diversity training (e.g. in relation to unconscious bias) in a Higher Education Institution or elsewhere. That may have been online and/or face to face. If they have not, Abertay would provide the appropriate training.

Appendix 3: Information taken directly from the Guidance on Submission REF 2019/01 January 2019

Annex L[56]: 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 **Error! Reference source not found.**). 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.

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[56] Annex L Guidance on Submission REF 2019/01 January 2019.

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:

a.   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.

b.   Additional paternity or adoption leave[57], or shared parental leave[58] 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:

a.   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.

b.   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.

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.

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[57] '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'.

[58] '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.

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 **Error! Reference source not found.** – the institution can make a c ase 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 **Error! R eference source not found.**e. 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 4: Consultation Feedback and Approval

1. Consultation and approval

- REF Code of Practice Working Group: met on the 18/06/18; 12/07/18; 28/08/18; 20/09/18; 28/11/18; 20/03/2019.
- 3 Open meetings for Abertay staff: publicised via MyAbertay and ARC Yammer. Events held on the 12/12/18; 19/12/18; 08/01/19 (accessible venue).
- Email (REF@abertay.ac.uk)
- Heads of Division: consultation meeting held 16/01/19.
- Abertay Lead Voices: consulted December 2018 – January 2019.
- University REF Steering Group
- University Research and Knowledge Exchange Committee: consideration and feedback 27/03/19.
- Abertay University Senate. Consideration and approval 05/03/19.
- Abertay University Court: Consideration and noting (17/04/19)
- Received (13/09/19 -17/09/19) REF Code of Practice Working Group agreement with the suggested amendments made to the CoP in response to the points of clarification requested by SFC (SFC letter Ref: 253749056).
- Letter (dated 19/09/19) from the Principal and Vice-Chancellor of the University and the Chair of Senate, confirming that the REF Code of Practice Working Group and Senate, have approved the Abertay REF Code of Practice and have agreed with the processes established to identify staff with significant responsibility for research.

Abertay University

NS/AS/091902

Dr Stuart Fancey
Director of Research and Innovation
Scottish Funding Council
Apex 2, 97 Haymarket Terrace
Edinburgh
EH12 5HD

19th September 2019

Stuart

Dear Dr Fancey

Research Excellence Framework 2021: Codes of Practice

The Abertay REF Code of Practice was developed by the REF Code of Practice Working Group in consultation with academic staff and was approved by the University REF Steering Group (see Appendix 2ii of the Abertay REF Code of Practice), the Research and Knowledge Exchange Committee (Appendix 2iii), and finally by Senate (Appendix 2iv). Membership of the REF Code of Practice Working Group is composed of a cross section of academic and research staff and trade union representatives from both UCU and Unite, specifically: two early and two mid-career academics; a senior academic (and UoA Champion); a Head of Division; two UCU representatives; one Unite representative; the Dean of Research and the Graduate School; the Head of the Research and Innovation Service (REIS) and the Director of Human Resources & Organisational Development (Chair). The membership of Senate is given in Appendix 2iv of the Abertay REF Code of Practice.

This letter confirms that the REF Code of Practice Working Group and Senate, have approved the Abertay REF Code of Practice and have agreed with the processes established to identify staff with significant responsibility for research. I can also confirm that the REF Code of Practice Working Group has also agreed the amendments made to the Abertay REF Code of Practice in response to your letter dated 16 August 2019 (SFC letter Ref: 253749056).

If you require any further information please do not hesitate to contact me.

Yours Sincerely,

Nigel

Professor Nigel Seaton
Principal and Vice-Chancellor

2. Consultation feedback and impact on the final process

A number of queries were raised which required discussion, explanation and/or clarification.

Points raised which required further consideration or amendment to the REF Code of Practice are identified below:

Summary of the main points of feedback and how the consultation has been taken into account

- Open meetings: suggested that the Appeals panel include a UCU representative and that the Panel may also co-opt professors or others who have not been involved in previous decision-making to bring senior academic expertise as required. *Code amended to include suggestion.*

Appendix 5: Equality Impact Assessment (EIA)

1. Equality Impact Assessment of the REF 2021 Code of Practice

Rapid Impact Checklist

Document title: Research Excellence Framework, Code of Practice (REF COP)

Author & School/Service: Prof. Nia White, Dean of Research and the Graduate School

Reason for the Equality Impact Assessment:

Proposed new document	x
Proposed change to existing document	
Review of existing document	
Other (please state):	

Could any protected characteristics be affected by this proposal?[59]

	Yes	No
	x	

If yes, which protected characteristic groups could be affected?

Age	x	Disability	x
Gender reassignment	x	Pregnancy and maternity	x
Race/ethnicity	x	Religion or belief (including lack of belief)	x
Sex	x	Sexual orientation	x

Will the proposal have any impact on:

	Yes	No
Discrimination?	x	
Equality of opportunity?	x	
Relations between groups?	x	

Will the proposal have an impact on the physical environment? For example, will there be impacts on:

Living conditions?	
Working conditions?	
Pollution or climate change?	
Accidental injuries or public safety?	

If the answer to any of the above is 'yes', please proceed to complete the Comprehensive Equality Impact Assessment.

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[59] 'Proposal' is used as shorthand for any policy, procedure, strategy or proposal that might be assessed.

Comprehensive Equality Impact Assessment (CEIA)

Details of document

Document title	Research Excellence Framework, Code of Practice (REF COP)
Document owner	Prof. Nia White
School/Service	Dean, Graduate School

Aim of the document

What are the aims and objectives of the document?

This Code of Practice sets out the principles underpinning the University's approach to the Research Excellence Framework (REF) 2021 and the processes for identifying the staff and outputs to be submitted. This Code is intended to meet the funding bodies' requirements for REF 2021 and to reflect their guidance (https://www.ref.ac.uk/guidance/key-documents/). It is comprised of four parts:
 	
   a. Part 1 provides background and context, sets out the key principles, and outlines the approach to communication.
   b. Part 2 sets out the processes and basis for identifying staff with significant responsibility for research, in line with the guidance from the REF 2021 panel. In REF terms, this is the process for identifying Category A submitted staff for any Unit of Assessment (UoA) in which the University is not submitting 100% of Category A eligible staff.
   c. Part 3 sets out the basis for determining research independence in line with the guidance from the REF 2021 panel.
   d. Part 4 sets out the process for selecting outputs to be submitted to REF 2021.

How important is the document in terms of equality in the University? Does it relate to an area with known inequalities or where equality objectives have been set by the University?
The REF Guidance on Submissions (REF 2019-01) document provides information on how the University is to address issues of equity and equality and diversity as it relates to research output for academic staff who may have a protected characteristic that has an impact of their research output. The 'Guidance on submissions' (REF 2019-01, Part 3, Section 1: 'Staff circumstances') sets out the measures that HEIs are required to put in place to support staff with individual circumstances. This includes creating safe and supportive structures for enabling staff to declare voluntarily any relevant circumstances and putting in place processes to adjust expectations of an individual's contribution to the unit's output pool, where the individual is entitled to a reduction. Where the cumulative effect of individual circumstances has disproportionately affected a unit's output pool, a unit may optionally request a reduction without penalty in the total number of outputs required for submission, where the individual circumstances of Category A submitted staff have constrained their ability to produce outputs or to work productively throughout the assessment period. This includes

measures to remove the minimum of one requirement where an individual's circumstances have had an exceptional effect on their ability to work productively, so that the individual has not been able to produce an eligible output.

Within the University's COP section 4.3 outlines the process of how staff can confidentially request individual circumstances for a reduction in research output; and the framework outlining where individual circumstances have had 'an exceptional effect on their ability to work productively so that they have not been able to produce an eligible output' can be considered. This is particularly important for staff who have had extended periods of ill health (that could be defined as a disability under the Equality Act 2010), or two or more periods of maternity leave during the qualifying period.

Who is affected by the document and how have they been involved in the development of it?

All academic staff who have a significant research element within their role at the University are effected by REF2021. Sections 1.4 and 1.5 of the COP outline the groups of staff involved consultation exercise in drawing up the University's COP for REF 2021. In addition, there was also open consultation sessions (including through email) for all academic staff to provide input into the University COP.

Are any persons affected by the document likely to benefit from it and in what way?

The COP outlines how staff can apply for individual circumstances to be applied to their application for inclusion into REF 2021. The COP provides guidance on:

i.   Identifying staff with significant responsibility for research;
ii.   Determining research independence; and
iii.   Selection of outputs (including definitions and process for individual circumstances)

Academic staff who qualify for individual circumstances may benefit from a 'reduction in output without penalty'. Staff who do qualify will be from an appropriate protected characteristic (for example: women who took maternity leave in the qualifying period [pregnancy & maternity], Early Career Researchers [age], etc.).

Is there any evidence or concern that any of the protected characteristic groups have different experiences, issues or needs in relation to this document? (Please provide details in the box below)

Age		Race	
Disability	x	Religion or Belief	
Gender Reassignment		Sex	
Pregnancy & Maternity		Sexual Orientation	
Marriage & Civil Partnership			

Further details: The COP requires alt tags on pictures and graphs and a contents page that provides page numbers to be compliant for disabled page with screen readers.

How does the document fit into the broader strategic aims of the University?

The document fits with the University's Strategic Plan 2015-20 [https://www.abertay.ac.uk/media/2329/strategic_plan_2015_for_web.pdf] in relation to its purpose, approach and principles.

Consideration of available data

(Consider what data is available. Data can include surveys, focus groups, analysis of complaints made, feedback received, consultations, etc.)

What do we know from existing data already held by the University?
The EIA report for the Abertay REF 2014 submission indicated that overall, there was a substantial variation in the submission rates for staff groups with different characteristics. However, there was no evidence that this was due to the Code of Practice or how selection for REF 2014 was carried out in the University. The substantial proportion of staff classified as having individual circumstances (including issues concerning those with protected characteristics) indicates that the Code of Practice was used fully.

What do we know from existing data which is available externally?
A report published on Equality Impact Assessment for the REF 2021 [https://www.ref.ac.uk/media/1035/ref-2021-equality-impact-assessment-27032018.pdf]. It identified that an EIA for REF 2014 a potential negative impact for all active researchers in all groups protected by the Equality Act 2010. It highlighted differences in selection rates for gender, ethnicity, age and disability. Reliable data for LGBT+ and on religious groups is not available. The key issues related to policy development required to address equality and diversity concerns were identified within the report. The Abertay COP addresses these concerns particularly in relation to mitigations (individual circumstances). The University has also committed to address other equality issues through its Race Equality Charter Mark (one of ten Universities in the UK to be awarded this charter mark) and Athena Swan awards.

Are there any apparent gaps in knowledge?
Only in so far as those areas already identified, where data is not reliable.

Impact of document

Could this document lead to any positive, negative, intended or unintended impact on the University or any of its stakeholders?
Until it is known which staff will be submitted to REF 2021, it is difficult to ascertain if the COP has led to any positive, negative, intended or unintended impacts.

Could there be a differential[60] impact on any protected characteristics? Could any differential impact be adverse?
These have been addressed by the COP and other University equality, diversity and inclusion policies, notwithstanding exceptions as outlined by the Equality Act 2010 related to disabled people.

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[60] Differential impact = where the positive or negative impact on one particular protected characteristic is likely to be greater than on another.

Please consider the following:
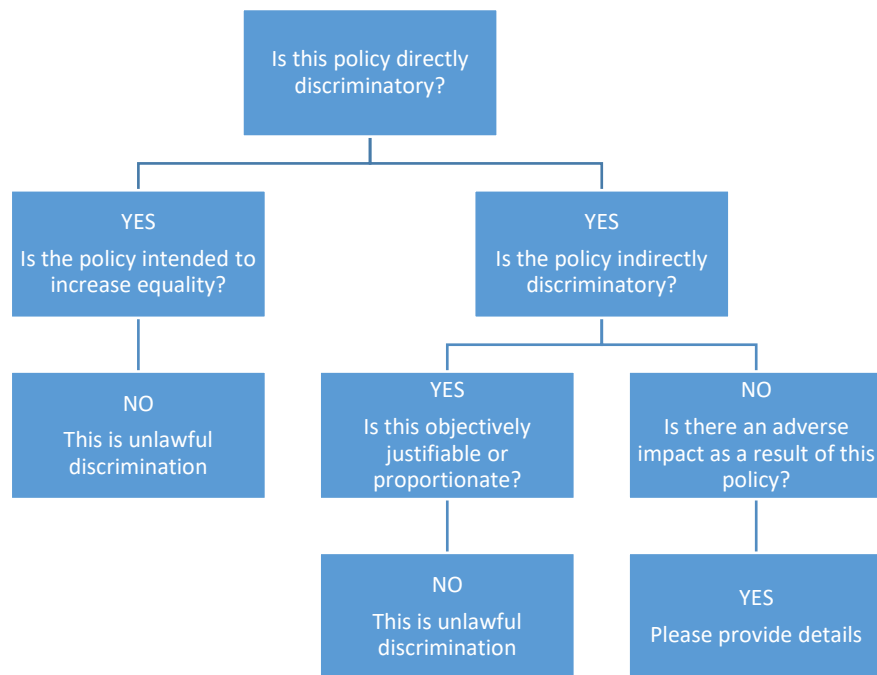
CONSIDER: Is this document unlawfully discriminatory? If you find that it is, you must decide how the University will act lawfully.

Consultation

What did this equality analysis conclude?
The COP addresses concerns related to Equality and Diversity.

Is any action required to be taken in response to the findings from the consultation?
A further EIA will be required when academic staff have been submitted for REF 2021. The data will provide an opportunity for further analysis related to equality and diversity as it relates to the protected characteristics as defined by the Equality Act 2010.

What is the recommendation for this document following consultation?			
Reject the document		Approve and publish the document	x
Amendment required		Other (please provide details below)	

Declaration

I confirm that this equality analysis represents a fair and reasonable view of the implications of the document for all protected characteristic groups, and that appropriate actions have been identified to address the findings.

James Nicholson	CEIA owner
	Line manager (if appropriate)

Committee approval

Which Committee has this document gone before for approval? Senate
Date of Committee meeting: 03/04/19

Following Committee consultation, what is the decision for this document?			
Reject the document		Approve and publish the document	x
Amend the document		Other (please give details below)	

If the Committee requires that the document be amended, please list amendments below.

2. Equality Impact Assessment of the Mock REF

To be completed