REF 2021 University of Huddersfield Code of Practice

202019

Contents

Part 1: Introduction

The University of Huddersfield inspires and supports outstanding contributions to research, innovation and engagement within an inclusive and enabling environment that promotes excellence with impact at every level of endeavour.

Accordingly, the University is opposed to all forms of unlawful and unfair discrimination and seeks to meet its statutory obligations under the Equality Act 2010 and other relevant primary and secondary legislation.

This Code of Practice is designed to support the University in making its submission to the Research Excellence Framework 2021 to ensure fair and transparent identification of staff with significant responsibility for research, determining who is an independent researcher and the selection of research outputs.

The Code of Practice also addresses individual circumstances that may have constrained an individual's ability to produce outputs or work productively throughout the assessment period. In so doing the University seeks to address issues of detrimental policy impact and/or indirect discriminatory outcomes.

The Code of Practice embodies the basic principles of transparency, consistency, accountability and inclusivity in line with the guidance given in the REF Guidance on codes of practice REF 2019/03.

The Code of Practice is informed by and conforms with the University's Equal Opportunities and Diversity Policy (Appendix 1) and is consistent in meeting our public sector duties, under the Equality Act 2010, with respect to the REF submission.

The University REF 2014 equality impact assessment (Appendix 2) highlighted that gender balance remained a wider issue of female representation in research active posts and the opportunities for female staff to pursue research excellence. The analysis indicated that overall representation for non-White British groups also remained a key issue.

The University has taken steps to improve the environment for female staff through the attainment of an institutional Athena SWAN Bronze award in 2015. The School of Applied Sciences also achieved Bronze in 2015 and has moved up to Silver in 2018. More recently, the Huddersfield Business School achieved Bronze in 2020. All other Schools are working towards 2020-21~~19~~ submissions.

The University has recently become a Stonewall Global Diversity Champion and is working closely with Stonewall and the LGBTQI+ Staff Network to develop an action plan for a strategic and structured approach to LGBTQI+ equality initiatives. Progress with LGBTQI+ inclusion will be assessed in the near future using Stonewall's definitive benchmarking tool.

Working with the BAME Staff Network, the University is assessing itself against the Race & Ethnicity Maturity Matrix, which is intended to support practical change for the BAME workforce through positive action.

At the University, everyone has a responsibility to create and sustain an inclusive environment. All staff are required to complete the Diversity in the Workplace e-learning programme at the beginning of their employment. Staff involved in recruitment and selection are required to complete the Recruitment & Selection and Unconscious Bias e-learning programmes and to refresh their understanding and knowledge every three years.

Roles and responsibilities with respect to decision making are clearly defined in this code, including terms of reference for committees and panels, and a training programme for staff involved in the processes.

To promote an inclusive environment during the REF 2021 preparations, all staff in advisory or decision making roles will refresh their on-line Diversity in the Workplace training and complete the Unconscious Bias module.

The University will undertake a thorough programme of communications activity to disseminate and explain this Code of Practice throughout the timetable for mock and final exercises as detailed in Appendix 3. The programme includes information about the intended audiences and the channels of communication to be used.

During the first few months of 2019 the detailed Code of Practice document has been developed in parallel with a mock REF exercise aimed primarily at testing draft policies and procedures for transparent identification of staff with significant responsibility for research and determining who is an independent researcher and to consider the equality and diversity perspective ahead of finalising the Code of Practice. The consultation on the draft policies and procedures started in November 2018 and continued throughout the first few months of 2019.

The Pro Vice-Chancellor for Research & Enterprise and the Director of Human Resources invited all staff to read and provide feedback on a Draft Code of Practice which was published on the staff intranet on 7 May 2019.

The Code of Practice will be submitted on 7 June 2019 to Research England and published prominently on the staff intranet and circulated by email to all academic staff and again once the final version has been agreed by Research England ahead of mock and final REF exercises in 2020.

Human Resources (HR) will ensure contact is made with all staff who are absent from work to provide access to the Code of Practice, ensure they are regularly updated and to invite staff who are identified as having significant responsibility for research (SRR) or being an independent researcher (IR) to declare individual staff circumstances (see Section 4.3). All information and forms relating to individual circumstances declaration is published on the HR REF2021 website.

We intend to use the same approach for all units of assessment (Appendix 4), unless the REF Panel criteria and working methods (REF2019/02) indicates otherwise i.e. where REF Panel criteria differ.
The University treats all members of staff on permanent, open-ended (indefinite), fixed-term and part-time contracts equally and is committed to the Fixed Term Employee and Part Time Worker Regulations. Learning and development, promotion and career development opportunities are accessible to all staff.

All constitutional research committees and forums at University and School level will have a standing item to discuss dissemination and implementation of the Code of Practice during the period up to the final submission on 27 November 2020. In particular, the University Equality, Diversity and Inclusivity Enhancement Committee will have REF 2021 as a standing item on its agenda.

The Research & Enterprise Directorate will provide guidance and briefings on the Code of Practice and on processes related to the Research Excellence Framework more broadly at University, School and Departmental level as required.

The Code of Practice will be published by the Research England REF team ~~by the end of~~ in November 2020~~19~~ and the University will publish it on its external website.

This Code of Practice has been further revised in August 2020 to take account of the effects of COVID-19 in accordance with the Guidance on revisions to REF 2021 (REF 2020/02) published on 31 July 2020.

Part 2: Identifying staff with significant responsibility for research

2.1 Policies and procedures – where not submitting 100% of eligible staff

All academic staff at the University of Huddersfield are expected to be research active. This is reflected in their job roles, workload models and the University Strategy Map KPIs associated with research outputs. In particular, a key research related KPI is for academic staff to publish research of at least 2* quality by the end of the current university strategy period in 2025. This builds on the last strategy map period (2013-2018) ambition for all academic staff to be publishing at or better than national level (1*).

All academic staff at the University are returned to HESA categories of Teaching and Research (T&R) or Research Only (RO). Staff on practitioner contracts (5 are employed at present) are returned to HESA category of Teaching Only. No academic members of staff are on teaching only contracts.

A key element of the University's strategy is to support academic staff who do not hold a doctorate to become qualified. Staff are expected to study for a doctorate either at Huddersfield or another institution, before developing into independent active researchers.

The expectations described above do not apply to all academic staff as there is an exception for staff on contracts of ≤0.5FTE and members of staff who are due to leave the University before they could complete a doctorate e.g. those scheduled to retire and staff on fixed term contracts. Although some staff at ≤0.5FTE are in fact PhD qualified and research active, others at ≤0.5FTE who are not PhD qualified are not expected to be research active or returned to REF.

In general, new academic staff are recruited with a doctorate, but in practitioner related disciplines this may not be possible and the requirement is for those staff to register for and complete a doctorate within a reasonable time scale, typically 6 years as a part-time post graduate researcher.

Currently the University is in a transitional period where not all members of staff on Academic (T&R) contracts have significant responsibility for research. This is due to a number of factors, including staff currently studying for a doctoral level degree as described above and those with doctorates who have not yet matured into independent researchers. Academic staff are expected to develop into independent researchers after qualifying with a doctorate, within a time period consistent with the expectations of the discipline and to become eligible to supervise doctoral students. During doctoral studies and career development into independent researcher status, staff are recognised as guided researchers by the University.

By the next REF (2028) the University expects all of its >0.5FTE academic staff to be PhD qualified and carrying out their own research and eligible for REF submission.

The pool of staff in scope for consideration as having significant responsibility for research are those staff returned to HESA in the teaching and research employment function

category (i.e. on Academic contracts) who are on a permanent, fixed-term or part-time contract of employment of ≥0.2FTE.

Although paragraph 18 of the Guidance on revisions to REF 2021 (REF 2020/02) indicates that staff meeting the conditions above who are on furlough under the Coronavirus Job Retention Scheme remain eligible for submission, there is no need for the University to act on this revision as no staff on Teaching and Research (T&R) contracts have been placed on furlough during the REF period.

For the REF 2021 submission ~~such~~ staff on Academic contracts must be on the payroll of the University on the census date (31 July 2020). For mock REF exercises the eligible pool will be those on the payroll at the time of the exercise.

The criteria to be used for the identification of staff with significant responsibility for research are consistent with paragraph~~s~~ 141 of the REF Guidance on Submissions (REF2019/01), tailored to meet the expectations of staff as described above. Staff at the University with significant responsibility for research are those for whom:

a. Explicit time and resources are made available

- Specific workload allocation for research
- Access to facilities to carry out research

and

b. To engage actively in independent research

- Meet the research activity elements of the criteria for main supervisor for doctoral post graduate research students described in the University regulations (Appendix 5); explicitly:
    i. Must hold a doctoral degree
    ii. Will be undertaking high-quality research of an internationally recognised standard
- Member of a Research Centre or Institute within the University

and

c. It is an expectation of their job role

- Job description includes research
- Annual research objectives are specified in appraisal

The Associate Deans Research and Enterprise (ADREs) in each School are responsible for identifying which staff have significant responsibility for research based on the criteria described above. The research activity elements of the supervision criteria in the University doctoral research degree supervision regulations (Appendix 5) are used for the purposes of REF SRR identification and are:

- PhD (or other doctoral research degree) qualified
- Published research of 2* quality or better as a demonstration of the undertaking of high-quality research of an internationally recognised standard

The non-research related criteria in the University regulations which refer to employment contract duration and supervisor training are not used for SRR identification. The exclusion of the criterion relating to contract duration ensures that there is equality in the process for staff on fixed term contracts.

Central HR will issue ADREs with a pro-forma (Appendix 6) to complete for each member of staff. ADREs will base their decisions on the evidence recorded in the forms. Staff will be informed in writing of the decision with an explanation of the reasons for their categorisation.

The process took place in May 2019 for all eligible staff associated with the mock REF exercise which began in January 2019. The outcomes were one of the following:

a. Significant responsibility for research (SRR)
b. Expected to have significant responsibility for research by the REF census data
c. Not having significant responsibility for research (not-SRR)

This ensures that all staff who are expected to be submitted to REF will be identified and included in all REF related activities and communications for the remainder of the REF period.

HR will engage with the ADREs periodically throughout the remainder of the REF preparation period to take decisions on SRR for newly appointed staff and to check the progress of staff identified as expected to be SRR by the census date. The timetable is given in Appendix 3.

Staff have the right to appeal against the decision (see section 2.3).

The names of staff identified as having significant responsibility for research will be passed to the University REF Oversight Committee (REFOC) and Unit of Assessment Coordinators (UOACs).

2.2 Development of process(es)

The process for identification of staff with significant responsibility for research (SRR) has been developed by the REF Oversight Committee (REFOC) in collaboration with the Associate Deans Research and Enterprise (ADREs). Draft criteria were prepared and processes discussed at meetings held on 4 September 2018 and 13 November 2018 which were attended by the Associate Deans and senior staff from the Research and Enterprise team and chaired by the PVC Research and Enterprise. This resulted in support for the criteria and process as described in section 2.1. The process is intended to be objective, transparent and non-discriminatory. It will be used in May 2019 for academic staff employed by the University at the start of the spring mock REF 2019 exercise. Those staff who have joined the University since then and those that will join before the REF census date of 31 July 2020 will be subject to the process from summer 2019 onwards.

The draft criteria and process for identification of staff with significant responsibility for research (SRR) was presented to the trade union representatives for academic staff (UCU) by the Director of HR on 30 November 2018. To support the principle of transparency, UCU were also given the draft criteria and processes for the identification of independent researchers and the selection of research outputs. The unions confirmed that they were in agreement with the content of the documents and were advised that the ADREs would be communicating with academic staff in their Schools to inform them of the criteria and processes.

The Director of HR wrote to the PVC Research and Enterprise on 30 November to confirm the agreement with UCU.

Feedback from staff following the ADRE's dissemination of the draft criteria and procedures in January 2019 was limited but generally supportive.

In April 2019 the PVC Research and Enterprise met with the Associate Deans to confirm the adoption of the criteria for SRR as described in section 2.1.

The draft Code of Practice was placed on the University REF2021 intranet site on 7 May 2019 for staff to read and provide any further feedback to a central email box 'REF2021@hud.ac.uk'.

Following the release of the draft Code of Practice the UCU further confirmed their agreement in a letter to the Director of HR:

University of
HUDDERSFIELD
Inspiring tomorrow's professionals

4 June 2019

Dear Siobhan

I am writing to confirm that the University of Huddersfield has formally consulted with UCU about the draft criteria and process for identification of staff with significant for research, identification of independent researchers and the selection of research outputs.

We are also in agreement with the draft Code of Practice.

Yours sincerely

Steve Lui

Steve Lui
Branch Chair
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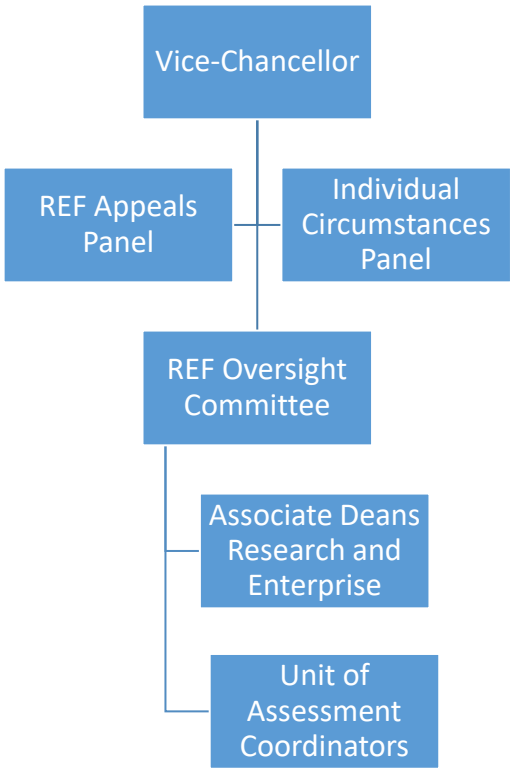
Vice Chancellor: Professor Bob Cryan CBE DL

2.3 Staff, committees and training

The formal structure for REF 2021 decision making was agreed by the University Research Committee on 4 December 2018. The structure is shown below:



Vice-Chancellor

On advice from the REF Oversight Committee the Vice-Chancellor will approve the overall University of Huddersfield REF submission.

REF Oversight Committee

The REF Oversight Committee (REFOC) is chaired by the PVC Research and Enterprise and comprises senior staff in the Research and Enterprise (R&E) Directorate who have shared responsibility for leadership and coordination of the REF submission within the institution. The Director of HR is also a member of the committee together with a representative from

the Vice-Chancellor's Office to provide input independent of R&E. The terms of reference for REFOC are provided in Appendix 7.

REFOC is responsible for the final decisions regarding the selection of research outputs and impact case studies, and the approval of the Institution and Unit of Assessment environment statements. This is to ensure separation of the assessment processes from the selection of outputs and impact case studies to be submitted in each UOA and to remove potential bias.

The Director of Research and Enterprise is responsible for preparing the Institution environment statement.

All members of this Committee have had REF specific equality and diversity training.

Associate Deans Research and Enterprise

Each of the University's 7 academic Schools has a permanent Associate Dean Research and Enterprise (ADRE). The role includes responsibility at School level for supporting the preparation of the REF submissions for the relevant Units of Assessment.

In particular, ADREs will identify those staff on Academic contracts with Significant Responsibility for Research based on the criteria in the Code of Practice and will liaise with line managers and research group leaders regarding staff categorisation.

ADREs will also identify those staff on Research Only contracts who are Independent Researchers based on the criteria in the Code of Practice and they will liaise with line managers and research group leaders regarding staff categorisation.

ADREs will decide, with advice from the Unit of Assessment Coordinators, which research outputs and impact case studies will be nominated for submission to the REF Oversight Committee. They will also approve the Unit of Assessment environment statements.

Where a Unit of Assessment spans more than one School, the relevant Associate Deans will work together to reach decisions e.g. UOA3 Allied Health Professions, Dentistry, Nursing and Pharmacy.

All ADREs have had REF specific equality and diversity training.

Unit of Assessment Coordinators

The Unit of Assessment Coordinator (UOAC) role is carried out by a senior academic in the appropriate discipline as part of a portfolio of activities including teaching and research. UOACs have been selected by the ADRE and Dean of School.

UOACs are responsible for assigning an assessment score to each output nominated by staff who have been identified as having SRR (Academic and Research contract holders) or are independent researchers (Research Only contract holders). They will have taken advice from

at least one other academic within the Unit of Assessment or an external advisor. At least one output for each member of staff submitted in a UOA will have had assessment by an external advisor.

The UOACs are responsible for identifying suitable impact case studies for submission.

They advise the ADRE on the pool of outputs and impact case studies for nomination for submission.

All UOACs have had REF specific equality and diversity training.

Internal and external assessors have been made aware of the University's code of practice, in particular matters relating to equality and diversity, through a briefing document which has been issued by HR.

REF Appeals Panel

The details of this panel are described in section 2.4.

Individual Circumstances Panel

The details of this panel are described in section 4.3.

Summary of Advisor and Decision Maker Roles

Area	Advisors	Decision Makers
SRR	Line Managers, Research Group Leaders	Associate Deans R&E
Independent Researcher	Line Managers, Research Group Leaders	Associate Deans R&E
Research Outputs	Academics, Internal and External assessors, UOA Coordinators, ADREs	REF Oversight Committee
Impact Case Studies	UOA Coordinators, ADREs, External assessors	REF Oversight Committee
Institution Environment Statement	Director R&E	REF Oversight Committee
UOA Environment Statements	UOA Coordinators, ADREs	REF Oversight Committee
Individual Circumstances		IC Panel
Appeals		REF Appeals Panel
Requests to Research England for unit reductions in the number of outputs required		REF Oversight Committee

Training

The University is committed to ensuring equality and diversity has been and will continue to be embedded in all decisions made in relation to the preparation and finalisation of its REF submission, minimising the potential for bias. To support this commitment, all staff involved in advising and making REF related decisions are required to undertake mandatory REF focused equality and diversity training. The full training programme and timeline can be found in Appendix 8.

The overarching learning objectives for the training sessions and workshops are:

- To understand the key changes between REF2014 and REF2021
- To ensure that equality is embedded in all decisions made about REF2021 to minimise the potential for bias
- To understand how unconscious bias can impact on REF2021 decision making

All members of staff involved in advising and making decisions are required to have completed the following e-learning programmes – 'Diversity in the Workplace' and 'Unconscious Bias', which are available via the staff intranet at https://hud.learnupon.com/users/sign_in . This includes ADREs, UOACs (and deputies), members of REFOC, the REF Appeals Panel and the REF Individual Circumstances Panel.

The 'Unconscious Bias' programme is designed to enable colleagues to explore the concept of unconscious bias and the implications of unchecked bias and thereby develop strategies for recognising and negating its impact. The learning goals for participants are:

- Understand the extent of their own bias
- Appreciate the business case and implications of unconscious bias in the workplace
- Develop awareness via case studies examining bias in the context of specific protected characteristics in the workplace
- Develop goals for implementation of learning after the course

The 'Diversity in the Workplace' programme is designed to provide colleagues with the basic necessary knowledge and understanding of Equal Opportunities law, regulations, and policy as it relates to individual roles and responsibilities. The learning goals for participants are:

- Understand their obligations as they relate to existing Equal Opportunities legislation and regulation
- Be able to demonstrate via a test that they have completed the necessary Equal Opportunities training

A core REF equality, diversity and inclusion (EDI) training package, 'REF 2021 Equality and Diversity', was developed to provide context in terms of the lessons learned from RAE2008 and REF2014 which are identified in the HEFCE reports on the selection of staff for inclusion in the REF (2014 - https://dera.ioe.ac.uk/23924/1/HEFCE2015_17.pdf). This package is for those with responsibility for identifying staff as SRR/IR, assessing outputs for mock REF purposes and selection of outputs for REF submission. This training is mandatory for all staff

in the roles of ADREs, UOACs (and deputies), members of REFOC and the REF Appeals Panel and is a classroom based session lasting up to 2 hours delivered jointly by key members of Research & Enterprise and Human Resources. ADREs, UOACs (and deputies), REFOC members and the REF Appeals Panel received this training ahead of mock REF 2019 and will receive refresher sessions ahead of future mock exercises and final submission. The content includes the following:

- Lessons learned from REF 2014
- REF2021 - key changes from REF 2014 and EDI requirements
- The responsibilities of REF decision makers and advisors
- Overview of unconscious bias
- Overview of equalities legislation
- The identification criteria and process for Significant Responsibility for Research (SRR) and Independent Researcher (IR) – EDI aspects
- Overview of equality impact assessment
- Practical REF specific case study examples aimed at the identification of protected characteristic and discrimination types
- The appeals process for SRR/IR

The materials used for the training have formed the basis of a briefing pack, about the code of practice and equality and diversity matters, for internal academic staff and external advisors who are engaged in the assessment of research outputs.

In addition to the 'REF 2021 Equality and Diversity' session described above, the members of the Individual Circumstances Panel (see section 4.3.3) will also attend a specific workshop, 'Individual Circumstances', which has been developed to prepare them for the consideration of equality related staff circumstances declarations. This will be delivered by the Head of Human Resources in summer 2019, following the first wave of SRR/IR identification, and uses a case study approach to applying the REF2021 guidance to various types of eligible circumstances. The content includes the following:

- Clearly defined circumstances and the tariffs operating
- Complex circumstances, how to assess them and ensuring consistency in the assessment process
- Practice assessments

The REF Appeals Panel will receive similar instruction on individual staff circumstances at the same time in readiness for any appeals and refresher training will be provided ahead of future individual circumstances rounds.

2.4 SRR Appeals

The appeals process and form for SRR is available on the HR REF2021 website. Staff will be notified of their right to appeal in the letters sent to them by HR regarding their status as SRR or not-SRR, based on the criteria described in section 2.1.

The REF Appeals Panel will review the information provided by staff submitting appeals related to the following:

- Identification as having (or not) Significant Responsibility for Research (Academic contract)
- Identification as being (or not) an Independent Researcher (Research Only contract)

The REF Appeals Panel will also consider appeals from staff against decisions associated with declaration of individual staff circumstances.

The terms of reference for the REF Appeals Panel are provided in Appendix 9.

The Panel comprises the Deputy Vice Chancellor (Chair), two Associate Deans Research & Enterprise (outside the member of staff's school) and the Director of HR.

The DVC does not have any other responsibilities for REF and is not involved in any other REF committees or panels.

All members of this Panel have had REF specific equality and diversity training and will have specific individual circumstances training in summer 2019 to enable them to deal with related appeals.

The REF Appeals Panel members will not have been involved in any prior decisions relating to SRR identification of the member of staff who lodges an appeal. The panel will investigate the matter in accordance with the principles set out in this Code of Practice. The panel will consult as widely as necessary to reach an informed judgement, which will be communicated in writing to the member of staff, REFOC, the appropriate ADRE and UOAC. The timescales for the SRR appeals process are given in Appendix 3.

It is expected that any issues staff might have with their identification (or not) as SRR can be resolved through informal discussions with the appropriate ADRE. Staff are asked to ensure that they speak with their ADRE in the first instance. If the issues cannot be resolved, a formal appeal must be submitted to the Head of HR using the form provided on the HR REF2021 website.

The grounds for Appeal are as follows:

- Exclusion or inclusion based on personal protected characteristics – relating to gender, ethnicity, disability, sexual orientation, religion, age, marital status, maternity leave and paternity leave.

- Inappropriate application of the criteria for SRR in the University Code of Practice.
- Inappropriate application of the criteria for SRR as set out in the REF Guidance on Submissions (REF2019/01).

The following are **NOT** grounds for appeal:

- Credibility of the University's review process and judgements concerning individual staff's research outputs.
- Allocation of individual's research outputs to a specific UoA.

In all cases the member of staff will have the right to appear in person before the Appeals Panel and to be accompanied by a friend, colleague or trade union representative.

2.5 Equality impact assessment

In January 2019 an equality analysis was carried out for the draft processes for SRR identification, IR identification and output selection by ADREs and UOACs (and deputies) (see Appendix 16A). This highlighted that there was a risk that unconscious bias amongst decision makers and/or advisors could be detrimental to protected groups. The assessment for SRR and IR identification led to the decision to include the University's on-line 'unconscious bias' and 'diversity in the workplace' modules as a key mandatory strand of the training programme for ADREs, UOACs (and deputies), the REF Oversight Committee and the REF Appeals Panel, in addition to mandatory REF tailored training in equality and diversity. The training programme is detailed in Appendix 8.

In May 2019, an anonymised analysis of the staff identified as SRR and IR, compared to the whole academic staff pool, by the protected characteristics of gender, ethnicity, disability, sexual orientation, religion, age, marital status, maternity leave and paternity leave was undertaken. Gender and disability data were also analysed at UOA level. The data, analysis and findings are provided in Appendix 16B and were reviewed by the REF Oversight Committee on 30 May 2019.

Taking account of all protected characteristics, only the analysis of gender shows an overall impact of the SRR/IR identification process. The proportion of males in the SRR/IR group has increased by 7 percentage points to 62% compared to the baseline of 55%. The conversion rate for females to SRR/IR is 20 percentage points less than that for males at an institutional level (61% compared to 81%). In UOAs 3, 5, 11, 13, 18, 23, 24, 26 and 27 the conversion rate variances were less than -5%, disadvantaging females. Three UOAs (4 ,32 and 34) had conversion rate variances of more than 5%, disadvantaging males.

The extent of the negative impact for female staff compared to males is believed to be a consequence of the time it takes for cultural change from the teaching dominated environment of a decade ago to a balanced approach to teaching and research for all academic staff. This has been a particular issue for staff in practitioner based disciplines e.g.

Nursing, Education and Art and Design, where research has been less of a priority than it is now. This Equality Impact Assessment (EIA) will feed in to the self-assessment processes in Schools and at institution level for Athena SWAN-related action plan review and development. Schools across the University are being encouraged to share best practice in research mentoring and to exploit external routes for supporting staff, e.g. the Aurora programme for female staff. All UOAs will continue to provide ongoing support for staff with their personal development as researchers, particularly for the females.

The cultural change is ongoing and will take a few more years, particularly for those staff studying for a doctorate who will take 6 or more years to qualify from registration. This is consistent with a context where the submission for REF2021 includes several new UOAs i.e. Psychology, Architecture and Built Environment, Geography and Environmental Studies, Law, Sport and Exercise Sciences, Modern Languages and Linguistics, Drama, Communication, Culture and Media Studies.

The impact of ethnicity reflects the general predominance of white British in the academic and research workforce. There was a positive impact for BAME groups in SRR/IR identification.

The following table highlights that, at an institutional level, aside from gender, the SRR/IR identification data indicates no evidence of bias related to disability, sexual orientation, religion, age, marital status, maternity leave or paternity leave. The largest variances relating to proportions by protected sub-characteristics at institution level were:

Protected characteristic	**Largest variances at institution level (SRR/IR outcome compared to baseline)**
Ethnicity	-7.02% (White British) 2.97% (Other White Background) 1.70% (Chinese)
Disability	0.1% (Declared Disability)
Sexual Orientation	-1.25% (Heterosexual) 1.01% (prefer not to say) -0.41% (Gay)
Religion	-3.13% (Christian) 1.46% (No religion) 0.65% (Muslim)
Age	-2.20% (Age 45-54)
Marital Status	1.41% (Single)
Maternity Leave	0.19% (Mat Leave taken)
Paternity Leave	1.08% (Pat Leave taken)

The May 2019 EIA provided the University with confidence that the processes for SRR/IR identification are fair from an equality perspective and hence no changes were made to the criteria for SRR/IR.

The EIA process will feature as an ongoing activity during the remainder of the REF preparation period, and the University Equality, Diversity and Inclusivity Enhancement Committee will maintain oversight of EIA outcomes throughout this time.

Part 3: Determining research independence.

3.1 Policies and procedures

The pool of staff in scope for consideration as being independent researchers (IRs) are those staff returned to HESA in the research only employment function category who are on a permanent, fixed-term or part-time staff Research Only contract of ≥0.2FTE.

Although paragraph 18 of the Guidance on revisions to REF 2021 (REF 2020/02) indicates that staff meeting the conditions above who are on furlough under the Coronavirus Job Retention Scheme remain eligible for submission, there is no need for the University to act on this revision as no staff on Research Only (RO) contracts have been placed on furlough during the REF period.

For the REF 2021 submission, ~~such~~ staff on Research Only contracts must be on the payroll of the University on the census date (31 July 2020). For mock REF exercises the pool will be those on the payroll at the time of the exercise.

Research Assistants will be excluded from the REF on the basis that they have been employed explicitly to carry out the research of others.

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.

The criteria to be used for the identification of staff who are independent researchers are based on those specified in paragraphs 128-134 the REF Guidance on Submissions (REF2019/01) and paragraphs 187-189 in the Panel criteria and working methods (REF2019/02).

A core set of three indicative criteria have been accepted by all REF Main Panels (A, B, C & D). In addition to these generic criteria Panels C&D consider two additional criteria as indicative of research independence in their disciplines. The list of REF Main Panels and UOAs for REF 2021 is given in Appendix 4.

For REF Panels A and B (Units of Assessment 1 to 12) **one** of the three criteria below must be satisfied:

- 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. An illustrative, but not exhaustive, list of independent fellowships
- leading a research group or a substantial or specialised work package

For REF Panels C and D (Units of Assessment 13 to 34) **one** of the five criteria below must be satisfied:

- 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. An illustrative, but not exhaustive, list of independent fellowships
- leading a research group or a substantial or specialised work package
- being named as a Co-I on an externally funded research grant/award
- having significant input into the design, conduct and interpretation of the research

The Associate Deans Research and Enterprise (ADREs) in each School are responsible for identifying which staff are independent researchers based on the criteria describe above. ADREs complete a pro-forma (Appendix 10) for each member of staff and base their decision on the evidence contained in the form. Staff are informed in writing of the decision, including the reasons why.

The process took place in May 2019 for all eligible staff associated with the mock REF exercise which began in January 2019. The outcomes were one of the following:

a. Independent researcher (IR)
b. Expected to be an independent researcher by the REF census data
c. Not an independent researcher (not-IR)

This ensures that all staff who are expected to be submitted to REF will be identified and included in all REF related activities and communications for the remainder of the REF period.

HR will engage with the ADREs periodically throughout the remainder of the REF preparation period to take decisions on IR for newly appointed staff and to check the progress of staff identified as expected to be IR by the census date. The timetable is given in Appendix 3.

Staff have the right to appeal against the decision (see section 3.3).

The names of staff identified as independent researchers will be passed to REFOC and UOACs.

3.2 Staff, committees and training

The overall governance structure and associated training are described in section 2.3.

3.3 IR Appeals

The appeals process and form for IR is available on the HR REF2021 website. Staff will be notified of their right to appeal in the letters sent to them by HR regarding their status as IR or not-IR, based on the criteria described in section 3.1.

The REF Appeals Panel will review the information provided by staff submitting appeals related to the following:

- Identification as being (or not) an Independent Researcher (Research Only contract)

The terms of reference for the REF Appeals Panel are provided in Appendix 9.

The Panel comprises the Deputy Vice Chancellor (Chair), two Associate Deans Research & Enterprise (outside the member of staff's school) and the Director of HR.

The DVC does not have any other responsibilities for REF and is not involved in any other REF committees or panels.

All members of this Panel have had REF specific equality and diversity training and will have specific individual circumstances training in summer 2019 to enable them to deal with related appeals.

The REF Appeals Panel members will not have been involved in any prior decisions relating to IR identification of the member of staff who lodges an appeal. The panel will investigate the matter in accordance with the principles set out in this Code of Practice. The panel will consult as widely as necessary to reach an informed judgement, which will be communicated in writing to the member of staff, REFOC, the appropriate ADRE and UOAC. The timescales for the IR appeals process are given in Appendix 3.

It is expected that any issues staff might have with their identification (or not) as IR can be resolved through informal discussions with the appropriate ADRE. Staff are asked to ensure that they speak with their ADRE in the first instance. If the issues cannot be resolved, a formal appeal must be submitted to the Head of HR using the form provided on the HR REF2021 website.

The grounds for Appeal are as follows:

- Exclusion based on personal protected characteristics – relating to gender, ethnicity, disability, sexual orientation, religion, age, marital status, maternity leave and paternity leave.
- Inappropriate application of the criteria for IR in the University Code of Practice.
- Inappropriate application of the criteria for IR as set out in the REF Guidance on Submissions (REF2019/01).

The following are **NOT** grounds for appeal:

- Credibility of the University's review process and judgements concerning individual staff's research outputs.
- Allocation of individual's research outputs to a specific UoA.

In all cases the member of staff will have the right to appear in person before the Appeals Panel and to be accompanied by a friend, colleague or trade union representative.

3.4 Equality impact assessment

The equality analysis for the draft IR identification process carried out in January 2019 is presented in Appendix 16A. The assessment led to the decision to include the University's on-line 'unconscious bias' and 'diversity in the workplace' modules as a key mandatory strand of the training programme for ADREs, UOACs (and deputies), the REF Oversight Committee and the REF Appeals Panel, in addition to mandatory REF tailored training in equality and diversity. The training programme is detailed in Appendix 8.

The equality impact assessment for the identification of SRR and IR staff in May 2019 is presented in section 2.5.

The May 2019 EIA provided the University with confidence that the processes for IR identification are fair from an equality perspective and hence no changes were made to the criteria for IR.

The EIA process will feature as an ongoing activity during the remainder of the REF preparation period, and the University Equality, Diversity and Inclusivity Enhancement Committee will maintain oversight of EIA outcomes throughout this time.

Part 4: Selection of outputs

4.1 Policies and procedures

The process for the selection of research outputs has been developed by the REF Oversight Committee (REFOC) in collaboration with the Associate Deans Research and Enterprise (ADREs). Draft criteria and processes were discussed at meetings held on 4 September 2018 and 13 November 2018 attended by the Associate Deans and senior staff from the Research and Enterprise team and chaired by the PVC Research and Enterprise. Further discussion took place at the University Research Committee on 4 December 2018. This resulted in support for the process described below for the selection of outputs for submission to REF 2021 in each UOA to deliver the best outcome for the University as a whole.

Staff who have been identified as SRR or IR (the submitter pool) submit up to five outputs plus two reserves into the University's research information system (Pure), reducing the number nominated to take account of double weighting where appropriate. For more information on what constitutes a double weighted output please refer to paragraphs 242-247 in the Panel criteria and working methods (REF2019/02).

The pool of outputs submitted by staff will be checked for eligibility, assessed locally on the basis of originality, significance and rigour, and assigned a star rating based on the REF criteria (see Annex A in the REF Guidance on Submissions (REF2019/01)) shown in the table below.

Outputs sub-profile: Criteria and definitions of starred levels

The criteria for assessing the quality of outputs are 'originality, significance and rigour'.	
Four star	Quality that is world-leading in terms of originality, significance and rigour.
Three star	Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence.
Two star	Quality that is recognised internationally in terms of originality, significance and rigour.
One star	Quality that is recognised nationally in terms of originality, significance and rigour.

Unclassified	Quality that falls below the standard of nationally recognised work. Or work which does not meet the published definition of research for the purposes of this assessment.

The process for selection of outputs will utilise peer review with discipline based experts within and outside the University. The UOA Coordinator (UOAC) and the Associate Dean Research and Enterprise (ADRE) will agree the names of two internal members of academic staff, or one internal and one external, to review the self-nominated outputs. UOACs must ensure that at least 1 output from each member of staff in the submitter pool has been externally reviewed.

The UOAC will review the assessments of quality to determine and enter a predicted star rating for each output into Pure. To avoid conflicts of interest, for outputs nominated by the UOA Coordinator themselves, the ADRE or Deputy UOA Coordinator will assign star ratings and agree the name of the external reviewer. Predicted star ratings are available for individuals to see for their own outputs in Pure.

Although the REF Guidance on Submissions (REF2019/01) permits the submission of outputs from former staff who have been made redundant, the University has, in consultation with the UCU trade union, agreed to not include research outputs from any staff who were made compulsorily redundant in the REF 2021 period (Jan 2014 – July 2020). In addition, outputs from staff who were dismissed will not be included.

For eligible former members of staff, the UOAC will identify which outputs should be included in the output pool and arrange for the assessment and rating entry into Pure as described above.

The primary criterion in the selection of outputs will be quality, guided by the rules relating to the output eligibility of the minimum of one and a maximum of five outputs for submission per individual in the submitter pool.

REFOC will consider an initial selection of outputs for each UOA based on quality. Decisions on which outputs to put forward to the final submission will take the following into account:

- Maximising the number of Open Access compliant outputs to ensure that no more than 5% per UOA are non-compliant (or 1 for UOAs where the total number required is 20 or less)
- The fit with the strategy in each UOA and its environment statement
- Where outputs have been assessed as the same quality, but not all are needed to meet the total number required (2.5/FTE unless unit reductions have been sought and approved), to ensure that the diversity of the staff is represented as far as possible

This process will take place at each mock REF and prior to the final submission to REF 2021 which is midday, WednesFridday 31 March 2021~~27 November 2020~~. The timetable is given in Appendix 3.

4.2 Staff, committees and training

The overall governance structure is described in section 2.3. A particularly important aspect of relevance to research output selection is the training for internal and external assessors, who have been sent a briefing pack about the code of practice and equality and diversity matters by HR.

Specific training on equality, diversity and inclusion related aspects for REFOC in the selection of outputs to be submitted in each UOA will be provided in the form of a briefing from the Director of HR ahead of mock REF 2020 and the final submission in March 2021.~~November 2020.~~

4.3 Staff circumstances

The University's rationale and procedures described in this section are based on the guidance laid out in paragraphs 151-183 of the REF Guidance on Submissions (REF2019/01).

The University is committed to supporting and promoting equality and diversity in research careers. As part of this commitment, the measures set out below have been put in place to recognise the effect that individuals' circumstances may have on research productivity.

The total number of outputs returned from each UOA must be equal to 2.5 times the combined FTE of the submitter pool. A minimum of one output will be required for each submitted member of staff. There will be no minimum requirement for submitting the outputs of former staff. No more than five outputs may be attributed to any individual member of staff (including former staff).

There are many reasons why a member of staff may have fewer or more outputs attributable to them in an assessment period. It is therefore not expected that all staff would be returned with the same number of outputs attributed to them in the submission.

In addition, in all UOAs, individuals may be returned without the minimum of 1 output where the nature of the individual's circumstances has had an exceptional effect on their ability to work productively throughout the REF period, such that the individual has been unable to produce the minimum of one required output.

As a key measure to support equality and diversity in research careers, the University has put in place safe and robust procedures to recognise the effect that an individual's circumstances may have had on their productivity over the REF period (2014-2020). The impact of those circumstances will be reflected in the University's expectations of the contributions of individuals to the output pool.

4.3.1 Applicable staff circumstances

The funding bodies, advised by the REF Equality and Diversity Advisory Panel (EDAP), have identified the following equality-related circumstances that, in isolation or together, may significantly constrain the ability of submitted staff to produce outputs or to work productively throughout the assessment period:

a. Qualifying as an Early Career Researcher (ECR, i.e. started career as an independent researcher on or after 1 August 2016)).
b. Absence from work due to secondments or career breaks outside the HE sector.
c. Qualifying periods of family-related leave.
d. Circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in outputs, which are:
    i. Disability: this is defined in the REF Guidance on codes of practice REF 2019/03, Table 1 under 'Disability'.
    ii. Ill health, injury, or mental health conditions.
    iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of (or justify the reduction of further outputs in addition to) the allowances set out in the REF Guidance on Submissions (REF2019/01).
    iv. Other caring responsibilities (such as caring for an elderly or disabled family member).
    v. Gender reassignment.
    vi. Other circumstances relating to the protected characteristics listed in the REF Guidance on codes of practice REF 2019/03, Table 1, or relating to activities protected by employment legislation.

Details of the permitted reductions are set out in Annex L of REF Guidance on Submissions (REF2019/01) which has been included as Appendix 11 in this Code of Practice.

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

Removing the minimum requirement of one output

Applicable circumstances for individual researchers who have not been able to produce an eligible output during the REF assessment period (1 January 2014 to 31 July 2020) are:

- an overall period of 46 months or more absence from research during the assessment period within the period 1 January 2014 to 31 July 2020, due to one or more of the applicable circumstances above
- circumstances equivalent to 46 months or more absence from research, due to one or more applicable circumstances (such as mental health issues, caring responsibility, long-term health conditions) or
- two or more qualifying periods of family-related leave, as defined in Appendix 11.

The rationale for including two or more qualifying periods of family-related leave is based on the funding bodies' and the REF Equality and Diversity Advisory Panel's considered judgement, informed by the REF expert panels, that the impact of two or more periods of such leave may be sufficiently disruptive of an individual's research that they have not been able to produce an eligible output.

In addition, in response to the effects of COVID-19 and in accordance with paragraphs 20 to 21 of the Guidance on revisions to REF 2021 (REF 2020/02) the University may remove the minimum of one requirement where the combination of individual staff circumstances earlier in the assessment period and the effects of COVID-19 has had an exceptional effect so that a staff member has not been able to produce an eligible output under the following circumstances:

a. 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 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

b. The overall impact of the COVID-19 effects, combined with other applicable circumstances affecting the staff member's ability to research productively during the assessment period, is deemed similar to the impact of the circumstances cases set out at paragraph 179a. to c. of the REF Guidance on submissions (REF2019/01). 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 output.

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4.3.2 Procedures

It is the University's view that individual staff members are best placed to consider whether equality-related circumstances (as set out above) have affected their productivity over the REF assessment period and that they should not feel under pressure to declare their circumstances where they do not wish to do so. The processes will be applied equally to all

applicable circumstances, whether previously known to the institution or first identified through the staff circumstances process. Therefore, the University will not take account in the REF submission process of any individual circumstances other than those that staff have consented to declare voluntarily.

To avoid confusion amongst staff who are guided researchers, only staff identified as SRR or IR will be invited to complete and submit an individual circumstances declaration form (Appendix 12). Staff are not required to complete and return the form if they do not wish to do so. To reduce the risk of undue pressure being placed on individuals by academic colleagues to declare circumstances the process will be managed centrally by HR.

The individual circumstances process will start in June 2019 after the identification process for SRR and IR has taken place. The timescales for this process are in Appendix 3 and the declaration form will be made available on the HR REF2021 website. Forms must to be submitted to HR.

Applications will be considered confidentially by the Individual Circumstances Panel (ICP) (see section 4.3.4).

Staff are entitled to appeal against decisions made by the ICP.

4.3.3 Individual Circumstances Panel

The REF Individual Circumstances Panel (ICP) will review declarations of individual staff circumstances to be taken into account and decide whether output reductions are appropriate for that individual. ICP's terms of reference are detailed in Appendix 13.

The Panel comprises of the Pro-Vice-Chancellor Teaching and Learning (Chair), two Associate Deans Research and Enterprise (not connected to the applicant) and the Head of HR. The PVC T&L and Head of HR do not have any other responsibilities for REF and are not involved in the decision making of any other REF committees or panels. The Head of HR is the contact for the submission of appeals for consideration by the REF Appeals Panel but is not a member of that panel.

The REF Individual Circumstances Panel will notify the individual of the decision and ensure that the University's expectations relating to any reductions in the number of outputs are formally and clearly communicated to individuals. HR will pass details to the appropriate contact within the relevant department (usually the line manager) to ensure that expectations can be adjusted and support put in place for staff whose circumstances are judged to be valid. In addition, to enable the REF submission to be assembled, REFOC, the relevant ADRE and UOAC will be informed of the decision but not the details of, or reasons why the individual circumstances have been accepted, and a reduction in individual outputs applied.

All members of this Panel will have mandatory REF specific equality and diversity training and specific instruction from the Director of HR in summer 2019 for the following aspects:

- Clearly defined circumstances and the tariffs operating
- Complex circumstances, how to assess them and ensuring consistency in the assessment process
- Practice assessments

4.3.4 Individual circumstances appeals

The process and form for individual circumstances appeals is available on the HR REF2021 website. Staff will be notified of their right to appeal in the letters sent to them by HR regarding the outcome of consideration of their declaration of individual circumstances. The timescales for appeals is in Appendix 3.

The REF Appeals Panel will review the information provided by staff submitting appeals related to the following:

- Research output reductions of up to 1.5 for defined individual circumstances
- Research output reductions of up to 1.5 for defined and additional individual circumstances requiring a judgement by the ICP
- Research output reductions to zero for exceptional individual circumstances

The terms of reference for the REF Appeals Panel are provided in Appendix 7.

The Panel comprises the Deputy Vice Chancellor (Chair), two Associate Deans Research & Enterprise (outside the member of staff's school) and the Director of HR.

The DVC does not have any other responsibilities for REF and is not involved in any other REF committees or panels.

All members of this Panel have had REF specific equality and diversity training and will have specific individual circumstances training in summer 2019 to enable them to deal with related appeals.

The REF Appeals Panel members will not have been involved in any prior decisions for the member of staff who lodges an appeal relating to output reductions linked to individual staff circumstances. The panel will investigate the matter in accordance with the principles set out in this Code of Practice. The panel will reach an informed judgement, which will be communicated in writing to the member of staff, REFOC, the appropriate ADRE and UOAC.

The grounds for Appeal are as follows:

- Inappropriate application of the tariffs for output reductions associated with defined circumstances as set out in the REF Guidance on Submissions (REF2019/01).
- Inappropriate application of the tariffs for output reductions associated with complex or exceptional circumstances as set out in the REF Guidance on Submissions (REF2019/01).

- Additional evidence for circumstances not available to the ICP at the time of declaration

The following are **NOT** grounds for appeal:

- Circumstances not meeting those described in the REF Guidance on Submissions (REF2019/01).

In all cases the member of staff will have the right to appear in person before the Appeals Panel and to be accompanied by a friend, colleague or trade union representative.

4.3.5 Unit of assessment reductions

Although the decisions of the ICP and any appeals outcomes relating to research output expectations of individuals with staff circumstances will stand, the University is only expected to make requests for reductions to outputs at UOA level where the cumulative effect of circumstances will disproportionately affect the UOA's output pool. This means that UOAs are in general expected to manage the overall submission of outputs within the average of 2.5 outputs per FTE, with some staff submitting more and others less, taking any individual circumstances into account.

The University will only make unit reduction requests to Research England where the cumulative effect of circumstances has disproportionately affected a unit's potential output pool. REFOC will consider the typical numbers of REF eligible publications produced by staff at the University to make a judgement as to whether the output pool for a given UOA is disproportionately affected by successful output reduction requests by members of the submitter pool in that UOA. If it deems that the output pool has been disproportionately affected then REFOC will recommend to the Vice-Chancellor that unit reductions are sought. Otherwise, REFOC will manage the UOA submissions within the flexibility arrangements.

In addition, in all UOAs, an individual may be returned without the required minimum of one output, where the nature of the individual's circumstances has had an exceptional effect on their ability to work productively throughout the period. Where such cases arise, REFOC will submit a request for the reduction of 1 output for each member of staff in that UOA who has been deemed by ICP or the REF Appeals Panel to have been unable to produce a single output in the whole of the REF period due to exceptional individual circumstances.

All UOA reduction requests are subject to approval by Research England.

4.3.6 Data protection

The University will need to send some information about staff to Research England for the purposes of the REF. The information will not be in coded form and names and details such

as date of birth, research groups, and contract dates will be provided along with details of the research. For those staff submitted with individual circumstances that allow a reduction in the number of outputs submitted, without penalty, some details of personal circumstances will be provided. More details can be found in the University's staff data collection statement for REF 2021 which can be found in Appendix 14 along with a link to the University's Staff Privacy Notice.

A similar data collection statement for non-staff e.g. those involved in impact case studies has been prepared. This is available in Appendix 15.

4.4 Equality impact assessment

The equality analysis for the draft outputs selection process carried out in January 2019 is presented in Appendix 16A. In addition to mandatory equality and diversity training for ADREs, UOACs (and deputies) and the REF Oversight Committee, the assessment led to the decision to provide internal and external assessors with an equality and diversity briefing. The training programme is detailed in Appendix 8.

An analysis of the outputs selected by protected characteristic of the linked researcher e.g. gender, ethnicity will be reviewed by the REF Oversight Committee after the mock REF planned in early 2020 and throughout the final exercise. After the submission deadline, an EIA will be submitted to Research England. This will include an examination of the distribution of outputs across staff in all UOAs.

Part 5: Appendices

Appendix 1 – University of Huddersfield Equal Opportunities and Diversity Policy

Equal Opportunities and Diversity Policy Updated Oct 2016

Our overall goal is to create a fair and inclusive environment in the University.

Vice-Chancellor's Introduction
An Equal Opportunities and Diversity Policy is not only about ensuring that we meet our legal obligations but also about making clear our commitment to equality of opportunity and diversity and about reinforcing our ethos in respect of encouraging fairness and equality of treatment for all. A University should be a place where students and staff hold common values about respect for others and about respecting the differences between people. These common values underpin and inform our Policy. The University is committed to fairness in its practices and in meeting the needs of our diverse student and staff bodies. Where appropriate and within our means, the University will take positive action to meet these commitments.

Preamble
This Equal Opportunities and Diversity Policy was drawn up by the University Equal Opportunities Committee and approved by Senate and University Council, after consultation with representatives of students, staff and management. This policy applies to all students and staff of the University and to all activities associated with the University, whether or not on University property. Discrimination can be unlawful and may render both the discriminator and the University liable in law for any unlawful actions. There are several elements in the promotion of equality and diversity; sometimes these may be in conflict; the aim of the Equal Opportunities and Diversity Committee will be to achieve a balanced approach to the competing claims.

Policy
We want to make the University one in which people are given the best possible opportunities to make a success of their lives, whatever their background. Everybody has a valuable contribution to make; our challenge is to unlock the talents and potential of all our staff and students. We celebrate diversity and tolerance so that different cultures can thrive, adding to the richness and experience of our community. This implies that:
1 The University will seek to create an open, trusting environment, in which there is an absence of prejudice, discrimination and harassment.

2 The University will promote a positive climate of respect and co-operation, with open and tolerant discussion of important issues, expecting its members to respect one another as fellow human beings and treat one another with dignity; prejudice will be challenged where it becomes apparent in behaviour.

3 The University deplores all forms of unlawful or unfair discrimination and seeks to provide an environment free from discrimination against students, staff and others on the grounds

of gender, race, sexual orientation, religion/belief, disability or any other protected characteristic.

4 The University will treat harassment as a form of discrimination and will seek to eliminate it.

5 The University will promote cross-cultural contact between different communities at all levels, foster understanding and respect, and seek to break down barriers.

6 The University will seek diversity of knowledge, background and experience in recruiting staff and students, and will value flexibility in working patterns.

7 The University will encourage initiative, creativity and innovation, helping staff and students to be open to new ideas, to learn, to share good practice, and to succeed.

8 The Equal Opportunities and Diversity Policy will be drawn to the attention of staff and students regularly, and everyone will be helped to understand, through induction, training and development, what it means to celebrate diversity and will be held accountable for adherence to its values.

9 Relevant policies and procedures will be reviewed regularly to ensure that they are objective and fair, and all buildings and facilities will be inspected regularly to ensure that they are supportive of students and staff with disabilities.

10 All staff and students have personal responsibility for the practical application of this Equal Opportunities and Diversity Policy. The University requires all students and staff to ensure that their conduct conforms with this policy (and with any practice or procedure developed to implement this policy) whilst on University premises or undertaking University business. This policy applies to all functions associated with recruitment and admission of students, teaching and learning, assessment, research, course development, pastoral care, reachout, employment, provision of facilities/ services, procurement, funding, provision of advice and working in partnership.

Appendix 2 – REF2014 Equality Impact Assessment Report

1. Aim of the Policy

The Research Excellence Framework (REF) is a system of assessing the quality of research in UK HEIs which is used to inform the allocation of research grant funding from 2015/16.

The Code of Practice was designed to meet the equality principles in the REF by facilitating the submission of the maximum number of staff who are conducting excellent research and who may have previously been excluded as they had been unable to produce four outputs during the assessment period.

2. Who is Affected

The REF has potential impact for all academic and research staff employed on a contract of 0.2FTE or above on 31 October 2013 and who engaged to undertake `research only' or `teaching and research'.

The Code of Practice particularly impacts on those qualifying staff who through specified individual circumstances were unable to produce 4 outputs over the assessment period. Factors to be considered as individual circumstances included:

- Early career researcher (started career as an independent researcher on or after 1 August 2009)
- Part time employment
- Career break or secondment outside of the higher education sector in which the individual did not undertake academic research
- Maternity leave, statutory adoption leave, and additional paternity leave (taken by partners of new mothers or co-adopters)
- Disability (including conditions such as cancer and chronic fatigue)
- Ill health or injury
- Mental health conditions
- Constraints relating to pregnancy, maternity, breastfeeding, adoption, paternity or childcare in addition to periods of maternity, statutory adoption or additional paternity leave taken. This could include for example, pregnancy related illness and health and safety restrictions in laboratory and field work.
- Other caring responsibilities (including caring for an elderly or disabled relative)
- Gender reassignment

3. Impact

a) Gender

The total potential pool of staff from which the submission was drawn was 805 where females had 43% representation. 32% of staff were submitted and there was a higher conversion rate for male staff than female staff, 39% and 23%. The overall proportional representation of female staff in the submission was 31%.

This pattern was mirrored within the majority of the UoA submissions. Of the 13 submissions, female proportional representation increased in only four UoAs where female staff had higher conversion rates – Chemistry, Physics, Computing and Informatics and Music.

134 individual circumstances were considered. The largest category in applications was for ECR status which made up 44% of the requests. In terms of the submission ECR status made up 58% of the individual circumstance reductions applied. 74% of ECR requests were made by male staff and 26% were made by female staff. Whilst female staff with ECR status had a higher conversion rate in terms of being included in the REF submission at 82%, compared with male conversion rate of 73%, they remained a smaller proportion of this category at only 28%.

The second largest category was for part-time working at 23%. More male staff than female staff applied for consideration under part-time working – 63% of male staff and 38% of female staff. Male staff also had a higher conversion rate as 73% of those with part time individual circumstances approved were male. The nature of part-time working over the REF census period for male and female staff differed. For male staff a period of part time working often corresponded with later career stages and may have been prompted by flexible working requests accompanying phased retirement or intermittent fixed term part-time working accompanying retirement. Of the 15 professors considered under this category only 2 were female. Female staff were more likely to undertake part-time working throughout their careers or to undertake part-time work in response to childcare often reducing hours on return from maternity leave and whilst children were in school.

Maternity was the third highest category at 9.7% and 8.2% with a conversion rate of 53%. This factor only applied to female staff. Two staff applied for adoption leave, both were female.

Individual circumstances criteria where numbers are 5 or below are not reported.

b) Ethnicity

The majority of staff in the selection pool are White British (75%) and this group remained the majority in the submission (65%). The largest BME groups (although significantly smaller than White-British category) were Other White Background and Chinese. Of the individual circumstances considered the overwhelming majority were from staff describing their ethnicity as White British (72%) and there was a small increase in representation from White British staff with individual circumstance reductions who were submitted (75%). Requests for ECR consideration had the most diverse ethnicity with 46% of approvals coming from BME groups and 52% of ECR submitted coming from BME groups. Individual circumstances criteria where numbers are 5 or below are not reported (table 4).

c) Disability

The overall proportion of staff in the pool who had declared a disability was 3%. This increased to 5% in the group that were submitted. Four units of assessment had higher proportional representation in the submission than in their pool population of staff – Engineering, Business and Management, Education and Art and Design. Nine individuals

submitting requests for individual circumstances declared disabilities and of those 4 were included in the submission. In two cases disability was one of the main reasons put forward for a consideration of complex circumstances. Both of these were approved and individuals were included in the submission. In the majority of cases any declaration was incidental to the request made by the individual which included ECR status, part time working and maternity. Individual circumstances criteria where numbers are 5 or below are not reported.

d) Sexual Orientation

79% of staff in the pool of academic and research staff define their sexuality as heterosexual. Of those submitted to the REF this percentage figure decreased to 75%. However, declaration rates are low and the total number of academic/research staff defining their sexuality as lesbian, gay or bisexual is 25, less than half of those staff who decline to comment. In terms of submitted staff this number falls to 9 staff. The number of staff requesting consideration of individual circumstances was three. Given low numbers no analysis has been provided against UoA or individual circumstance category.

e) Religion and Belief

Of those that have a religion and declare it, the majority describe themselves as Christian. This accounts for 34% of the pool but only 24% of the submission. The second largest declaration rate is No Religion which made up 33% of the pool and 40% of the submission. No declaration rates are high at 24% of the pool and 25% of the submission. The patterns of requests for individual circumstances consideration was similar in that the proportion of staff declared as Christian fell from applications (26%) to submitted staff (23%) and numbers of non-declared was static. The largest group at application and of those submitted was No Religion with 37% of applicants and 43% of the submitted staff with individual circumstances. Given low numbers no analysis has been provided against UoA or individual circumstance category.

f) Age

The age profile of the submitted group varied from the selection pool as follows:

	Pool %	Submission %
Age 25-34	12	11
Age 35-44	28	34
Age 45-54	37	29
Age 55-64	18	19
Age 65+	4	7

Given that individuals have to produce research at a standard of excellence and also need to produce several outputs of such quantity over the census period to be included in the REF it might be expected to find those who had been in academic and research careers longer would be more likely to be submitted. This may introduce a bias towards older age groups

in the submitted population compared with the pool population. Whilst this is reflected to some degree in age groups 55+ there is also greater proportional representation of those aged 35-44 in the submission than in the pool.

The individual circumstances added to submissions in the oldest groupings. Whilst 9% of individual circumstances agreed were raised by the age group 65+ all were based on part-time working reflecting the impact of pre and post retirement periods on employment patterns (as noted above). 34% of part time individual requests for part time working were raised by this age group but 47% of those submitted with part time reductions related to this age group.

The ECR individual circumstance created an impact in favour of younger age groups and a reduction in required outputs may have had a positive impact on those earlier in their careers. The ECR category formed the largest group of individual circumstances (58% of all approvals) and 40% of ECRs submitted were to those aged 35-44 and a further 40% were to those aged 25-34.

Individual circumstances criteria where numbers are 5 or below are not reported.

4. Impact Review

There was a negative impact for female staff based on their initial under-representation in the pool population and a further decrease in representation in the submitted group. There are multi-faceted reasons why female staff may not engage with research to the same extent as their male colleagues, including career breaks, primary carer responsibilities, ability to travel away from home etc. The factor was also enhanced at the University since the areas of research strength in terms of the proportion of staff entered are also areas of low female representation in STEM areas. Whilst the proportional representation of females in UoAs 8, 9 and 11 were high the actual numbers of female staff in these areas are low.

There is some evidence of mitigating the negative gender balance through the use of individual circumstance reductions, in particular maternity leave, but this was limited to small numbers of staff this applied to. Female staff also benefited from reductions approved due to complex circumstances, but again this was small numbers. The main impact from individual circumstances was from ECRs and this had greater impact on males (72%) than female staff. The issue for gender balance remains a wider issue of female representation in research active posts and opportunities for female staff to pursue research excellence.

The impact of race reflects the general predominance of white British in the academic and research workforce. There was a slight positive impact to non-white British groups within the exercise. However, as with gender overall representation remains the key issue.

There was a small positive impact from the REF submission in terms of increasing the representation of those who had declared themselves as disabled. Disability was not a major factor in the requests for consideration of individual circumstances.

The return rates for religion and belief and for sexual orientation remain low and therefore it is difficult to draw conclusions from the data or the process.

The nature of the assessment process is likely to favour older age groups. Whilst the part-time individual circumstances favoured the oldest age group the negative impact towards younger age groups was mitigated to some extent by the ECR individual circumstance reduction.

Appendix 3 – Process - Dates and Communications

Date	Action
2019 Mock REF	
January 2019	The three draft processes for: 1. Significant Responsibility for Research (Academic contracts) 2. Independent Researcher (RO contracts) 3. Selection of Research Outputs communicated to academic staff in Schools by the Associate Deans for Research and Enterprise through face to face meetings and electronic means Staff provided with the opportunity to raise any issues of interest with HR and/or Research and Enterprise
January 2019	Equality analysis for the three draft processes
February 2019	REF Equality & Diversity Training provided for: • Associate Deans Research and Enterprise (ADREs) • Unit of Assessment Coordinators (UOACs) • Deputy Unit of Assessment Coordinators • REF Oversight Committee members HR issue Equality and Diversity briefing to internal and external assessors appointed by UOACs in consultation with the ADREs HR issue emails to staff who have not completed (or have not refreshed within 3 years) the University on-line Diversity in the Workplace and Unconscious Bias training
March 2019	UOACs make final submissions for Mock REF 2019 outputs, impact case studies and environment to REFOC
7 May 2019	Draft Code of Practice communicated to all staff involved in REF and placed on the intranet for feedback Staff to be provided with the opportunity to raise any concerns with HR and/or Research and Enterprise
May 2019	ADREs identify staff (first wave) with Significant Responsibility for Research (SRR, Academic contracts) and Independent Researchers (IR, RO contracts)
May 2019	REF Equality & Diversity Training provided for: • REF Appeals Panel members

	• Individual Circumstances Panel members
17 May 2019	Individual staff (first wave) written to by HR confirming their identification or not as staff with Significant Responsibility for Research (Academic contracts) or Independent Researchers (RO contracts)
24 May 2019	Deadline for feedback from staff on Draft Code of Practice
May 2019	Equality Impact Assessment Monitoring and Review Revise Draft Code of Practice if required
31 May 2019	Appeals deadline for identification as SRR or IR (first wave)
7 June 2019	Submission of Code of Practice to the national REF team along with confirmation from the Vice Chancellor that the submitted code has been developed by and will be applied by the University
7 June 2019	Code of Practice published on staff intranet and disseminated within the University
June 2019	REF Appeals Panel meets to consider (first wave) SRR and IR related appeals
30 June 2019	Appeals outcomes for identification as SRR or IR notified to appellants (first wave) and to REFOC, ADREs and UOA coordinators
June/July 2019	REFOC reviews mock submission assessments for each UOA
June/July 2019	REFOC provides feedback to each Unit of Assessment on the outcome of the Mock REF and agree actions plans including any arising from EIAs
June 2019 – March 2020 (Individual Circumstances and Unit Reduction Requests)	
June 2019	Individual Circumstances Training provided for: • Individual Circumstances Panel members • REF Appeals Panel members
24 June 2019	Staff identified as SRR or IR in May 2019 (first wave) invited to submit individual circumstances declarations on a voluntary basis
Mid-July 2019	Deadline for first wave staff circumstances declarations

August 2019	Individual Circumstances Panel meets to consider first wave declarations
August 2019	For recently employed staff not included in May 2019 exercise (second wave), ADREs identify staff with Significant Responsibility for Research (SRR, Academic contracts) and Independent Researchers (IR, RO contracts) to meet the needs of the HESA return 2018-19
2 September 2019	Individual circumstances outcomes communicated to individuals (first wave) clarifying expectations for outputs and to REFOC, ADREs and UOA coordinators
2 September 2019	Individual staff (second wave) written to by HR confirming their identification or not as staff with Significant Responsibility for Research (Academic contracts) or Independent Researchers (RO contracts)
20 September 2019	Appeals deadline for identification as SRR or IR (second wave - for recently employed staff not included in May 2019 exercise)
20 September 2019	Appeals deadline for staff circumstances (first wave)
October 2019	REF Appeals Panel meets to consider (second wave) SRR and IR related appeals, and those related to first wave staff circumstances
14 October 2019	Appeals outcomes for staff circumstances (first wave) communicated to individuals and to REFOC, ADREs and UOA coordinators
14 October 2019	Appeals outcomes for identification as SRR or IR notified to individuals (second wave - for recently employed staff not included in May 2019 exercise) and to REFOC, ADREs and UOA coordinators
28 October 2019	Staff identified as SRR or IR in May 2019 (first wave) invited to submit updated individual circumstances declarations on a voluntary basis if there have been any changes
28 October 2019	Recently employed staff not included in May 2019 (second wave) identified as SRR or IR invited to submit individual circumstances declarations on a voluntary basis
Mid-November 2019	FINAL Deadline for second wave or updated first wave staff circumstances declarations

November 2019	Individual Circumstances Panel meets and evaluates second wave or updated first wave declarations for individual circumstances
December 2019	Individual circumstances outcomes communicated to individuals clarifying expectations for outputs and to REFOC, ADREs and UOA coordinators
December 2019	Provisional publication date for Code of Practice following examination by the REF EDAP Code of Practice published on external University website and intranet
10 January 2020	Deadline for individual circumstances related appeals
January 2020	REF Appeals Panel meets to consider individual circumstances related appeals
31 January 2020	Appeals outcomes for individual circumstances communicated to individuals and to REFOC, ADREs and UOA coordinators
February 2020	REF Oversight Committee meets to review the outcomes of all individual circumstances declarations and decides which UOAs will proceed with unit request for reductions and requests to remove the requirement of a minimum of one output for individuals. Feedback is provided to the UOA Coordinators and individuals
March 2020	Deadline for the submission of unit of assessment requests for a reduction in the number of outputs to be submitted, and for the submission of requests to remove the requirement of a minimum of one output for individuals
2020 Mock REF	
January 2020	Following acceptance by Research England and its publication, the Code of Practice is re-communicated to all staff involved in REF Staff to be provided with opportunity to raise any concerns with HR and/or Research and Enterprise
January 2020	Refresher REF Equality & Diversity Training provided for: • Associate Deans Research and Enterprise • Unit of Assessment Coordinators • Deputy Unit of Assessment Coordinators

	• REF Oversight Committee members • REF Appeals Panel members • Individual Circumstances Panel members HR to issue Equality and Diversity briefing to internal and external assessors appointed by UOACs in consultation with ADREs HR to issue emails to staff who have not completed (or have not refreshed within 3 years) the University on-line Diversity in the Workplace and Unconscious Bias training
January 2020	For staff employed since August 2019 (third wave), ADREs identify staff with Significant Responsibility for Research (SRR, Academic contracts) and Independent Researchers (IR, RO contracts)
24 January 2020	Individual staff (third wave) written to by HR confirming their identification or not as staff with Significant Responsibility for Research (Academic contracts) or Independent Researchers (RO contracts)
7 February 2020	Appeals deadline for identification as SRR or IR (third wave)
February 2020	REF Appeals Panel meets to consider (third wave) SRR and IR related appeals
21 February 2020	Appeals outcomes for identification as SRR or IR notified to individuals (third wave - for recently employed staff not included in May 2019 or August 2019 exercise) and to REFOC, ADREs and UOA coordinators
24 February 2020	Staff identified as SRR or IR in May 2019 (first wave) invited to submit updated individual circumstances declarations on a voluntary basis if there have been any changes
24 February 2020	Staff identified as SRR or IR in August 2019 (second wave) invited to submit updated individual circumstances declarations on a voluntary basis if there have been any changes
24 February 2020	Recently employed staff not included in May 2019 or August 2019 (third wave) identified as SRR or IR invited to submit individual circumstances declarations on a voluntary basis

Mid-March 2020	Deadline for third wave or updated first and second wave staff circumstances declarations
March 2020	Individual Circumstances Panel meets and evaluates new or updated declarations for individual circumstances
March 2020	UOACs make final submissions for Mock REF 2020 outputs, impact case studies and environment to REFOC
31 March 2020	Individual circumstances outcomes communicated to individuals clarifying expectations for outputs and to REFOC, ADREs and UOA coordinators
17 April 2020	Deadline for individual circumstances related appeals
April 2020	REF Appeals Panel meets to consider individual circumstances related appeals
30 April 2020	Appeals outcomes for individual circumstances communicated to individuals and to REFOC, ADREs and UOA coordinators
May 2020	REFOC reviews mock submission assessments for each UOA
May 2020	Equality Impact Assessment Monitoring and Review
June 2020	REFOC provides feedback to each Unit of Assessment on the outcome of the Mock REF and agree actions plans including any arising from EIAs
2020 REF SUBMISSION	
August~~July~~ 2020	Training Updates
~~July/~~August 2020	ADREs identify/confirm staff for submission Individual staff written to by HR confirming their identification or not as staff with Significant Responsibility for Research (Academic contracts) or Independent Researchers (RO contracts) Appeals and feedback
August 2020	Revised Code of Practice prepared – takes account of the Guidance on revisions to REF 2021 (REF 2020/02) stemming from the effects of COVID-19 And

	Revised Code of Practice published on staff intranet and disseminated within the University
~~August/~~September /October 2020	All identified s~~S~~taff invited to submit/update individual circumstances ~~where appropriate~~ ICP consider individual circumstances declarations and determines any reduction expectations of individuals ICP notifies individuals of decisions. Appeals and feedback ICP informs REFOC of the potential reductions to be applied
By 9 October 2020	Revised Code of Practice submitted to Research England – takes account of the Guidance on revisions to REF 2021 (REF 2020/02) stemming from the effects of COVID-19
November 2020	Final accepted version of UOH REF COP published on external University website and intranet
November 2020	Research England publish final accepted version of UOH REF COP
Nov~~Sept~~ember 2020 – January 2021	UOACs make final submissions to REFOC (outputs, impact case studies and environment statements)
~~September 2020~~	~~REF Appeals Panel considers individual circumstances related appeals~~
February 2021~~October 2020~~	REFOC final decisions on UOA submissions, including any changes to the unit reduction requests made in March 2020
February/March 2021~~November 2020~~	Equality Impact Assessment
~~November 2020~~March 2021	REFOC advises VC on the final submission to the REF
31 March 2021~~27 November 2020~~	REF 2021 Submission complete
June~~February~~ 2021	Equality Impact Assessment published on University website ~~and Final version of COP published~~
April 2022~~December 2021~~	Outcome of REF 2021~~0~~ published

Commented [TT1]: Appeals process is included in the individual circumstances process above in September/October 2020 so no need to duplicate

Commented [TT2]: Final versions of COP, EIA and staff circumstances reports to be published in 2022 by Research England hence words deleted here to avoid confusion

Groupings for SRR/IR process

First Wave	Staff employed at January 2019 and engaged in Mock REF 2019
Second Wave	Staff newly employed since January 2019 and 31st July 2019
Third Wave	Staff newly employed between 1st August 2019 and end December 2019

Appendix 4 – REF 2021 Units of Assessment

Main Panel	Unit of assessment	
A	1	Clinical Medicine
	2	Public Health, Health Services and Primary Care
	3	Allied Health Professions, Dentistry, Nursing and Pharmacy
	4	Psychology, Psychiatry and Neuroscience
	5	Biological Sciences
	6	Agriculture, Veterinary and Food Science
B	7	Earth Systems and Environmental Sciences
	8	Chemistry
	9	Physics
	10	Mathematical Sciences
	11	Computer Science and Informatics
	12	Engineering
C	13	Architecture, Built Environment and Planning
	14	Geography and Environmental Studies
	15	Archaeology
	16	Economics and Econometrics
	17	Business and Management Studies
	18	Law
	19	Politics and International Studies
	20	Social Work and Social Policy
	21	Sociology
	22	Anthropology and Development Studies
	23	Education
	24	Sport and Exercise Sciences, Leisure and Tourism
D	25	Area Studies
	26	Modern Languages and Linguistics
	27	English Language and Literature
	28	History
	29	Classics
	30	Philosophy
	31	Theology and Religious Studies
	32	Art and Design: History, Practice and Theory
	33	Music, Drama, Dance, Performing Arts, Film and Screen Studies
	34	Communication, Cultural and Media Studies, Library and Information Management

Appendix 5 – University of Huddersfield Regulations for PGR Supervision

Criteria for the Appointment of Research Degree Supervisors

The supervisor role is central to the quality of education for research students. All supervisors appointed at the University of Huddersfield are expected to meet the following criteria:

The Team

- The supervisory team comprises up to three members, and will in almost all circumstances have at least two members.
- All supervision should be provided by staff who have research expertise related to the student's proposed research degree.
- In appointing supervisors, schools need to be aware of the overall workload of the individual, including teaching, research, administration and any other professional commitments.
- At least one member of the supervisory team must have a completion at the level of research degree for which the candidate is registered.

The following may **not** act as main supervisor but may be appointed as a member of the supervisory team:

- Non-permanent members of staff.
- Visiting professors, visiting fellows.
- Retired members of University staff.

Main Supervisor

- Must hold a doctoral degree.
- Will be undertaking high-quality research of an internationally recognised standard to ensure that the direction and monitoring of the candidate's progress is informed by up-to-date subject knowledge and research developments.
- Must be a permanent full- or part-time employee of the University, or an employee of the University who is on a fixed term contract of duration in excess of the standard registration period for the research degree in question.
- Will undertake supervisor training before commencing any new supervision duties and will need to refresh this training every 3 years.
- If the main supervisor retires or becomes an honorary member of staff during the period of a student's doctoral degree, s/he can continue to undertake a supervisory role as co-supervisor, but a new main supervisor must be appointed.

Co-supervisors

- Will normally have gained a doctoral degree.
- May be new to supervision.
- Will undertake supervisor training before commencing any new supervision duties and will need to refresh this training every 3 years.

Associate Supervisors

- Are not members of University of Huddersfield staff, nor employed at a Collaborating Establishment.
- May be proposed to contribute some specialised knowledge or to provide a link with an external organisation.

Appendix 6 – Pro-forma for the Identification of Staff with Significant Responsibility for Research (SRR) (Academic contracts)

Name	
Unit of Assessment	
School	
Department	

Studying for a Doctorate	
Registered to study for a Doctorate?	
Please note: If the answer above is YES then **Not having Significant Responsibility for Research** is the appropriate category. If the answer to the Doctorate question above is NO please complete the rest of this form	

1. Resources	
Does the individual have a workload allocation for research?	Yes/No
Access to facilities to carry out research?	Yes/No
2. Active in Independent Research	
Eligible to act a main supervisor for Doctorate students	Yes/No
Research Centre/Institute Membership	Yes/No
3. Expectation of job role	
Job description states responsibility for research	Yes/No
Annual research objectives are specified within PMPDR	Yes/No

- If all 3 elements above have been fully met then **Significant Responsibility for Research** is the appropriate category
- If any of the 3 elements have not been fully met, but the member of staff is expected to fully meet all 3 by 31 July 2020 then **Expected to have SRR by 31 July 2020** is the appropriate category
- If any of the 3 elements are not going to be fully met by 31 July 2020 then **Not having Significant Responsibility for Research** is the appropriate category

Classification:	**Significant Responsibility for Research (SRR)** **Expected to have SRR by 31 July 2020** **Not having Significant Responsibility for Research (Not-SRR)**

Signed: **Date:**
Associate Dean (Research and Enterprise)

Appendix 7 – Terms of Reference for the REF Oversight Committee

Research Excellence Framework Oversight Committee (REFOC)

Membership:

The REF Oversight Committee comprises senior staff with shared responsibility for the leadership and coordination of the University of Huddersfield REF submission. A representative from the Vice Chancellor's Office acts as an independent member of the committee and a senior representative from Human Resources.

REFOC comprises the following staff roles:

- Pro-Vice Chancellor Research & Enterprise (Chair)
- Pro-Vice Chancellor International (VCO independent member)
- Director Research & Enterprise
- Deputy Director Research & Enterprise
- Head of Research Intelligence
- Director of Human Resources

Terms of Reference:

The REF Oversight Committee will provide advice and recommendations to the Vice Chancellor who will approve the final overall REF submission. In carrying out this function, REFOC will:

- Lead the development of the institutional Code of Practice ensuring that criteria and processes for identifying staff with significant responsibility for research and who are independent researchers have been agreed with staff and representative bodies in an open and transparent manner;

- Make final decisions regarding the selection of research outputs. This will be carried out in accordance with the processes defined within the institutional Code of Practice and to ensure optimisation of equality and diversity requirements;

- Following the consideration of requests submitted to the Individual Circumstances Panel, REFOC will decide which UoAs should submit output reduction requests to Research England;

- Approve UoA REF impact case studies and environment statements;

- Approve the institutional REF environment statement;

- Approve the final REF submission including the Units of Assessment to which submissions will be made and any joint or multiple submissions;

- Ensure Equality Impact Assessments have been completed and that equality and diversity standards have been promoted and monitored;

- Oversee the use of PURE as the research information management system used for the REF submission.

Operations:

The REF Oversight Committee will meet monthly until REF submission in November 2020. Following submission REFOC will meet as required. Administrative support for the Committee will be provided by the Research & Enterprise Directorate.

REFOC key decisions and outcomes will be communicated to staff and UoA coordinators via ADREs and will be available to all staff via the Research & Enterprise intranet.

Meetings between REFOC and UoA coordinators will be scheduled following mock-REF exercises and prior to full submission.

All members of the Committee have undertaken REF bespoke equality and diversity training.

Appendix 8 – REF Equality and Diversity Training Programme

Group	Need	Requirement	Timescales
All staff engaged at any stage of assessment, including appeals	Understanding of legislative requirements	Complete E-Learning Programmes: 'Diversity in the Workplace' & 'Unconscious Bias' Both courses are available at: https://hud.learnupon.com/users/sign_in Enter usual university email address and password to gain access	All staff are required to complete these courses on joining the University and to repeat the training every 3 years Email reminders sent to staff from HR in January 2019 Compliance will be checked in February 2020 for staff and individual email reminders sent from HR to those whose training has lapsed
ADREs, UOA Coordinators and Deputy UOA Coordinators	Understanding of legislative requirements and the potential impact of bias on REF decisions	Attend 'REF 2021 Equality and Diversity' training session within UOH REF Panel Meeting	February 2019 ahead of Mock REF February 2020 refresher ahead of 2020 Mock REF
REF Oversight Committee PVC R&E, PVC International, Director R&E, Deputy Director R&E, Head of Research Intelligence, Director of HR	Understanding of legislative requirements and the potential impact of bias on REF decisions	Attend 'REF 2021 Equality and Diversity' training session within UOH REF Panel Meeting	February 2019 ahead of Mock REF February 2020 refresher ahead of 2020 Mock REF
REF Appeals Panel DVC, Director of HR, ADREs	Understanding of legislative requirements and the potential impact of bias on REF decisions	Attend 'REF 2021 Equality and Diversity' training session	May 2019 ahead of SRR/IR Appeals December 2019 refresher ahead of 2020 Mock REF and March 2020 deadline for UOA reduction requests
REF Appeals Panel DVC, Director of HR, ADREs	Understanding of clearly defined circumstances and the tariffs operating and to understand what complex	Attend specific Individual Circumstances training session	July 2019 ahead of ICP Appeals December 2019 refresher ahead of 2020 Mock REF and March 2020 deadline for UOA reduction requests

	circumstances are		
ICP Panel PVC T&L Head of HR ADREs	Understanding of legislative requirements to understand clearly defined circumstances and the tariffs operating and to understand what complex circumstances are	Attend 'REF 2021 Equality and Diversity' training session and specific Individual Circumstances session	July 2019 ahead of ICP processes summer 2019 October 2019 refresher ahead of consideration of ICPs ahead of March 2020 deadline for UOA reduction requests
REF Oversight Committee PVC R&E, PVC International, Director R&E, Deputy Director R&E, Head of Research Intelligence, Director of HR	Understanding the potential impact of bias on selection of outputs for REF	Attend 'EDI and REF Outputs Selection' briefing	February 2020 ahead of mock REF 2020 outputs selection by UOA Refresher session in October 2020 before final submission
Internal assessors	Understanding of legislative requirements	Read briefing on equalities legislation and impact on the REF	Briefing to be sent by email from HR to relevant staff February 2019 onwards
External assessors	Understanding of legislative requirements	Read briefing on equalities legislation and impact on the REF	Briefing to be sent by email from HR to external assessors February 2019 onwards

Appendix 9 – Terms of Reference for the REF Appeals Panel

University of Huddersfield

Research Excellence Framework Appeals Panel

Membership:

The University of Huddersfield REF Appeals Panel will consider requests from members of staff who wish to appeal against the University's decision regarding identify them as having (or not) Significant Responsibility for Research or as being (or not) an Independent Researcher. As a consequence, the member of staff will not have been selected for submission to REF 2021. Appeals against decisions relating to individual staff circumstances will also be considered by this Panel.

The REF Appeals Panel comprises the following staff roles:

- Deputy Vice Chancellor (Chair)
- 2 Associate Deans Research & Enterprise (outside the member of staff's school)
- Director of Human Resources

Terms of Reference:

The REF Appeals Panel will consider appeals:

- From staff on academic contracts who have or have not been identified as having Significant Responsibility for Research according to the process outlined in the University's REF Code of Practice document;

- From staff on Research Only contracts who have or have not been identified as Independent Researchers according to the process outlined in the University's REF Code of Practice document;

- From staff who believe they have been excluded from identification based on personal protected characteristics relating to age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex, sexual orientation, pregnancy or recently given birth;

- From staff who believe inappropriate use of criteria outlined in the REF Code of Practice and REF Guidance documents has been applied;

- From staff who wish to appeal against the decisions of the Individual Circumstances Panel;

Operations:

The REF Appeals Panel will meet as necessary during mock REF and REF submission exercises. The process for submitting appeals will be communicated by Human Resources and the details will be available via the University HR intranet.

The appellant will have the right to appear in person before the Panel and be accompanied by a friend, colleague or trade union representative.

For appeals relating to SRR and IR identification, the decisions of the Panel will be communicated directly to the member of staff, the relevant ADRE and to the REF Oversight Committee.

For appeals relating to individual circumstances, the decisions of the Panel will be communicated directly to the member of staff and the most relevant contact in their School (usually the line manager). Any approved reductions in outputs will be notified to REFOC, ADRE and UOAC.

Administrative support for the Panel will be provided by the Human Resource Directorate.

All members of the Committee have undertaken REF bespoke equality and diversity training.

Appendix 10 – Pro-forma for the Identification of Staff as Independent Researchers (IR) (Research Only contracts)

Name	
Unit of Assessment	
REF Main Panel	
School	
Department	

Independent Researcher Criteria:	
Lead or act as PI or equivalent on an externally funded research project?	Yes/No
Hold an independently won, competitively awarded fellowship where research independence is a requirement?	Yes/No
Lead a research group or a substantial work package?	Yes/No
Act as a co-investigator on an externally funded research project? Main Panel C & D only	Yes/No
Have significant input into the design, conduct and interpretation of the research? Main Panel C & D only	Yes/No
• If at least 1 of the answers above is YES then **Independent Researcher** is the appropriate classification. • If at least 1 of the above is expected to be fully met by 31 July 2020 then **Expected to have IR by 31 July 2020** is the appropriate category • If none, then **Not having Independent Research** is the appropriate category	
Classification:	**Independent Researcher (IR)** **Expected to be IR by 31 July 2020** **Not having Independent Research (Not-IR)**

Signature: **Date:**

Associate Dean (Research and Enterprise)

Appendix 11 – Reductions for staff circumstances (Annex L from the REF Guidance on Submissions REF2019/01)

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 paragraph 148 REF Guidance on Submissions (REF2019/01). Table L1 sets out the permitted reduction in outputs without penalty in the assessment that HEIs may request for ECRs who meet this definition.

Table L1: Early career researchers: Permitted reduction in outputs

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

Absence from work due to secondments or career breaks

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

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

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

46 calendar months or more	1.5

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

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

Qualifying periods of family-related leave

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

   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[1], or shared parental leave[2] 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.

[1] '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'.
[2] 'Shared parental leave' refers to leave of up to 50 weeks which can be shared by parents having a baby or adopting a child. This can be taken in blocks, or all in one go.

b. 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.

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 paragraph 160 of the REF

Guidance on Submissions (REF2019/01) – the institution can make a case for further reductions in the unit reduction request.

Circumstances requiring a judgement about reductions

16. Where staff have had other circumstances during the period (see paragraph 0e. in the REF Guidance on Submissions (REF2019/01)) – 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.

University of Huddersfield

Declaration of Individual Staff Circumstances

This document is being sent to all staff on Academic contracts who have been identified as having significant responsibility for research (SRR) and those on Research Only contracts who have been identified as independent researchers (IR), and whose outputs are eligible for submission to REF 2021.

As part of the University's commitment to supporting equality and diversity in REF, it has put in place safe and supportive structures for staff to declare information about any equality-related circumstances that may have affected their ability to research productively during the assessment period (1 January 2014 – 31 July 2020), and particularly their ability to produce research outputs at the same rate as staff not affected by circumstances. The purpose of collecting this information is threefold:

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

Applicable circumstances

- Qualifying as an ECR (started career as an independent researcher on or after 1 August 2016)
- Absence from work due to secondments or career breaks outside the HE sector
- Qualifying periods of family-related leave
- Disability (including chronic conditions)
- Ill heath, injury or mental health conditions

- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment

And only where requests are being made for the removal of the minimum of one output requirement

- COVID-19 related circumstances - effects due to applicable circumstances (such as ill health, caring responsibilities) including other personal circumstances related to COVID-19 (such as health-related or clinical staff diverted to frontline services, staff resources diverted to other priority areas within the University in response to COVID-19 and/or external factors related to COVID-19 (for example, restricted access to research facilities)

If your ability to research productively during the assessment period has been constrained due to one or more of the above circumstances, you are requested to complete the attached form. Further information can be found in paragraph 160 of the Guidance on Submissions (REF 2019/01). Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. This form is the only means by which the University will be gathering this information; it will not be consulting HR records, contract start dates, etc. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

Ensuring Confidentiality

The information provided on the disclosure forms will be seen by the members of the Individual Circumstances Panel (ICP) and by staff in Human Resources who process the data and papers. It will not be shared with Unit of Assessment Coordinators, Associate Deans Research and Enterprise staff, or the University REF Oversight Committee (REFOC).

If further information is required about any circumstances disclosed, your factual employment history may be referred to and/or you will be contacted by a HR representative.

The ICP will hold a closed meeting to review and consider applications for individual staff circumstances and will communicate its decisions to individuals by confidential e-mail ensuring that any reductions in the number of outputs are clearly communicated and confirming the expectations of them as an individual submitting outputs within their UOA. HR will pass details of this form to the relevant contact (usually your line manager) within your department to ensure that expectations can be adjusted and appropriate support put in place for you.

Although the expectations of individuals with staff circumstances will stand, the University is only expected to make requests for reductions to outputs at UOA level where the cumulative effect of circumstances has disproportionately affected the UOA's output pool. This means that UOAs are in general expected to manage the overall submission of outputs within the average of 2.5 outputs per FTE, with some staff submitting more and others less, taking any individual circumstances into account.

In addition, in all UOAs, an individual may be returned without the required minimum of one output without penalty in the assessment, where the nature of the individual's circumstances has an exceptional effect on their ability to work productively throughout the REF period, so that the staff member has not been able to produce the required minimum of one.

Members of REFOC, Associate Deans Research and Enterprise and UOA Coordinators will be made aware of any approved reductions to outputs that could be made to the UOA submission but will not know the reasons for the reduction.

If the University decides to apply to Research England for either form of reduction of outputs (removal of 'minimum of one' requirement or unit circumstances), it will need to provide UKRI with data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see the REF Guidance on Submissions (REF2019/01) (paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted.

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

At the University, a copy of the information provided by staff will be held on their personal files in Human Resources. All other copies will be destroyed after the REF process is completed in line with REF Data Protection processes.

Changes in circumstances

The University recognises that staff circumstances may change between completion of the declaration form and the census date (31 July 2020). If this is the case, then staff should contact the Head of HR (Ruth.Sivori@hud.ac.uk) to provide the updated information.

To submit this form you should send it to Ruth.Sivori@hud.ac.uk , Head of HR.

Name: Click here to insert text.

Department/School: Click here to insert text.

Do you have a REF-eligible output published between 1 January 2014 and 31 July 2020?

Yes ☐

No ☐

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

Circumstance	Time period affected
Early Career Researcher (started career as an independent researcher, leading your own research as opposed to carrying out research directed by others, on or after 1 August 2016). *Date you became an early career researcher.*	Click here to enter a date.
Career break or secondment outside of the HE sector, during which you did not undertake academic research. *Dates and durations in months.*	Click here to enter dates and durations.
Family-related leave; • statutory maternity leave • statutory adoption leave • Additional paternity or adoption leave or shared parental leave lasting for four months or more.	Click here to enter dates and durations.

For each period of leave, state the nature of the leave taken and the dates and durations in months.	
Disability (including chronic conditions) *To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Mental health condition *To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Ill health or injury *To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Constraints relating to family leave that fall outside of standard allowance *To include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Caring responsibilities *To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Gender reassignment *To include: periods of absence from work, and periods at work when unable to*	Click here to enter text.

research productively. Total duration in months.	
COVID-19 (Applicable only where requests are being made for the removal of the minimum of one requirement) *To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.* *The overall impact of COVID-19 effects should be considered in combination with other applicable circumstances affecting the staff member's ability to research productively throughout the period.*	Click here to enter text.
Any other exceptional reasons e.g. bereavement. *To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below
- I realise that the above information will be used for REF purposes only and will be seen by the Individual Circumstances Panel and staff in HR
- I realise it may be necessary to share the information with Research England, including the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs.

I agree ☐

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

☐ I give my permission for a member of HR to contact me to discuss my circumstances, and my requirements in relation this these.

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

I would like to be contacted by:

Email ☐ Insert email address

Phone ☐ Insert contact telephone number

Appendix 13 – Terms of Reference for the Individual Circumstances Panel

University of Huddersfield

Individual Circumstances Panel (ICP)

Membership:

The Individual Circumstances Panel comprises senior staff within the University who are independent from individual Units of Assessment under consideration. ICP will review applications for individual circumstances as described in the Research England REF Guidance on Submissions (REF2019/01) document which have impacted on the HEIs expectations of a member of staff's contribution to the REF output pool.

The Individual Circumstances Panel will advise the REF Oversight Committee on output reductions linked to specific UoAs.

ICP comprises the following staff roles:

- Pro-Vice Teaching & Learning (Chair)
- 2 Associate Deans Research & Enterprise (not connected to the applicant)
- Head of Human Resources

Terms of Reference:

The Individual Circumstances Panel will review applications from academic staff who believe they have equality-related circumstances which may have affected their ability to research productively during the assessment period (1 January 2014 – 31 July 2020). In carrying out this function, ICP will:

- Consider applications from academic staff qualifying as Early Career Researchers (those who started their careers as independent researchers, leading their own research as opposed to carrying out research directed by others on or after 1 August 2016);

- Consider applications from staff who have identified any of the following equality-related circumstances which may have impacted on their output productivity:

  (i) Absence from work due to secondments or career breaks outside the HE sector.

  (ii) Qualifying periods of family-related leave.

(iii) Circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in outputs, which are:

- Disability: this is defined in the Guidance on codes of practice, Table 1 under 'Disability'.
- Ill health, injury, or mental health conditions.
- Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of (or justify the reduction of further outputs in addition to) the allowances set out in the REF Guidance on Submissions (REF2019/01).
- Other caring responsibilities (such as caring for an elderly or disabled family member).
- Gender reassignment.
- Other circumstances relating to the protected characteristics listed in the Guidance on codes of practice, Table 1, or relating to activities protected by employment legislation.

Operations:

The ICP will meet as and when required and a closed meeting convened. Administrative support for the Panel will be provided by the Human Resources Directorate.

Information provided on disclosure forms will be seen by the members of ICP and by staff in Human Resources who process the data and papers. Information will not be shared with UoA coordinators, Associate Deans Research and Enterprise, or the REF Oversight Committee.

Decisions will be communicated to individuals by confidential email ensuring that any reductions in the number of outputs are clearly communicated to individuals and expectations confirmed. HR will pass details to the relevant contact within the academic department (usually the line manager) to ensure that expectations can be adjusted and appropriate support put in place.

ICP key decisions and outcomes will be communicated to REFOC, Associate Deans Research and Enterprise and Unit of Assessment Coordinators. Members of REFOC, Associate Deans Research and Enterprise and Unit of Assessment Coordinators will be made aware of any reductions to outputs but will not know the reasons for the reduction.

All members of the Panel will be required to undertake REF bespoke equality and diversity training and specific training in the following aspects:

- Clearly defined circumstances and the tariffs operating
- Complex circumstances, how to assess them and consistency
- Practice assessments

Appendix 14 – Staff Data Collection Statement

University of Huddersfield

Staff Data Collection Statement for the REF 2021

The purpose of the Research Excellence Framework 2021 (REF 2021) is to assess the quality of UK research and to inform the selective distribution of public funds for research by the four UK higher education funding bodies. The REF is managed by the REF team, based at Research England (RE), on behalf of the four UK higher education funding bodies. RE is part of UK Research and Innovation (UKRI), and under this arrangement UKRI has the role of 'data controller' for personal data submitted by the University to the REF.

If you are a researcher who has been included as part of our submission to the REF 2021, in 2021~~0~~ the University will send some of the information it holds about you to UKRI for the purpose of the REF 2021. The information will not be in coded form and your name and details such as your date of birth, research groups, and contract dates will be provided along with details of your research. If you are submitted with individual circumstances that allow a reduction in the number of outputs submitted, without penalty, some details of your personal circumstances will be provided.

You can find further information about what data are being collected on the REF website, at www.ref.ac.uk in particular publication 2019/01, 'Guidance on submissions'.

Sharing information about you

Some of your data (Unit of Assessment, HESA staff identifier code and date of birth) will be passed to the Higher Education Statistics Agency (HESA) to enable it to verify coded data returned to it as part of the University's HESA staff return (see www.hesa.ac.uk). Data returned to the REF will be linked to that held on the HESA staff record to allow UKRI and Research England to conduct additional analysis into the REF and fulfil their statutory duties under the Equality Act 2010 (England, Wales and Scotland).

UKRI and Research England will use the information to analyse and monitor the REF 2021. This may result in information being released to other users including academic researchers or consultants (commissioned by the funding bodies), to carry out research or analysis, in accordance with the Data Protection Act 2018 and the General Data Protection Regulation (GDPR) (Regulation (EU) 2016/679). Where information not previously published is released to third parties, this will be anonymised where practicable.

UKRI will require that anyone who has access to your data, held in UKRI's records, paper or electronic, will respect its confidentiality and will only process it in accordance with instructions issued for the purposes specified by UKRI.

Parts of your data will be passed to the REF expert panels and the Equality and Diversity Advisory Panel (whose members are independent of UKRI) for the purpose of conducting a systematic evaluation of submissions, in accordance with predetermined criteria and methods. Panels will make judgments about the material contained in submissions and will

not form quality judgments about individuals. All panel members are bound by confidentiality arrangements.

Publishing information about your part in our submission

The results of the assessment exercise will be published by UKRI, on behalf of the four UK higher education funding bodies, in April 2022~~December 2021~~. The published results will not be based on individual performance nor identify individuals.

Those parts of submissions that contain factual data and textual information about research activity will also be published by UKRI, on behalf of the four UK higher education funding bodies, and will be made available online. Published information is likely to include **textual information including impact case studies in which you may be referenced.** Your name, job title and periods of employment may be included in this textual information. Other personal and contractual details, including your date of birth and all information about individual staff circumstances will be removed.

Impact case studies, environment statements and other textual information will not normally be submitted with personal information (other than names and job titles), and any personal information (other than names and job titles) will removed in the redacted version(s) that are submitted.

Unless redacted, the information to be published by UKRI, on behalf of the four UK higher education funding bodies, will include a single list of all the outputs submitted by us in each Unit of assessment. The list of outputs will include standard bibliographic data for each output, but will not be listed by author name.

Data about personal circumstances

You may voluntarily disclose personal circumstances to your submitting unit of assessment, which could permit the University to submit your information to the REF without the 'minimum of one' requirement (without penalty), or to submit a reduced number of outputs without penalty. If (and only if) the University applies either form of reduction of outputs, the University will need to provide UKRI with individual-level data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see the 'Guidance on submissions' document (paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted. The internal procedures for disclosing circumstances can be found in section 4.3 of the Code of Practice.

Submitted data will be kept confidential to the REF team, the Equalities and Diversity Advisory Panel, and main panel chairs. All these bodies are subject to confidentiality arrangements.

Within the University, apart from the self-declaration (which will be needed for REF audit purposes) and the data entry into the submission system, information held relating to circumstances, e.g. calculations of unit level and minimum-of-one reductions, will be anonymised.

The REF team will destroy the submitted data about individuals' circumstances on completion of the assessment phase.

The University will send to Research England a report that will include a summary of all voluntarily declared personal circumstances, whether or not they were used to reduce the output requirements. This report will only contain data in aggregated form and will not contain information that will identify individual members of staff.

Accessing your personal data

Under the Data Protection Act 2018 and the GDPR, you have the right to see and receive a copy of any personal information that UKRI holds about you. Further information about the Act and GRPR, and guidance on making a subject access request, can be found on the RE web-site at https://re.ukri.org/about-us/policies-standards/foi-data-protection/

If you have any concerns about your information being used for these purposes, please contact:

Data Protection Officer
UK Research and Innovation
Polaris House
Swindon, SN2 1FL

Email: dataprotection@ukri.org

University Privacy Notice (Staff)

The University has a Staff Privacy Notice which applies to current and former staff which can be found at:

https://staff.hud.ac.uk/media/assets/document/informationgovernance/dataprotection/StaffPrivacyNotice.pdf

It explains how the University collects and uses your personal data. Under the Data Protection Act 2018 and the GDPR, you have the right to see and receive a copy of any personal information that the University holds about you, including data collected for REF purposes.

University of Huddersfield

Data Collection Statement for the REF 2021 – Non-Staff

About the REF

The purpose of the Research Excellence Framework 2021 (REF 2021) is to assess the quality of UK research and to inform the selective distribution of public funds for research by the four UK higher education funding bodies. The REF outcomes are used to calculate about £2 billion per year of public funding for universities' research, and affect their international reputations. The results also inform strategic decisions about national research priorities. The next REF will be undertaken in 2021.

The REF was first carried out in 2014, replacing the previous Research Assessment Exercise. It included for the first time an assessment of the broader impact of universities' research beyond academia: on the economy, society, culture, public policy and services, health, the environment and quality of life – within the UK and internationally.

Impact is assessed through the submission of case studies, which describe the changes or benefits brought about by research undertaken by researchers at the institution. Impressive impacts were found across all disciplines, with 44 per cent of submissions judged to be outstanding. A database of case studies submitted in 2014 can be found here: https://impact.ref.ac.uk/.

Data collection

The REF is managed by the REF team, based at Research England (RE), on behalf of the four UK higher education funding bodies. RE is part of UK Research and Innovation (UKRI), and under this arrangement UKRI has the role of 'data controller' for personal data submitted by us to the REF.

You may have provided information for one or more impact case studies or environment statements as part of our submission to the REF 2021. In 2021~~0~~ we will send information about impact case studies and environment statements to UKRI for the purpose of the REF 2021. The information will not be in coded form and your name - and details such as your job title and organisational affiliation - may be provided in these narrative statements. We refer to this information about you as 'your data'.

You can find further information about what data are being collected on the REF website, at www.ref.ac.uk in particular publication 2019/01, 'Guidance on submissions'. Annex G of that document sets out the data that we will be required to share with UKRI.

Sharing information about you

UKRI may pass your data, or parts of it, to Research England to inform the selective distribution of public funds for research and to carry out their statutory functions connected with funding higher education.

UKRI and Research England will use the information to analyse and monitor the REF 2021. This may result in information being released to other users including academic researchers or consultants (commissioned by the funding bodies), to carry out research or analysis, in accordance with the Data Protection Act 2018 and the General Data Protection Regulation (GDPR) (Regulation (EU) 2016/679). Where information not previously published is released to third parties, this will be anonymised where practicable.

UKRI will require that anyone who has access to your data, held in UKRI's records, paper or electronic, will respect its confidentiality and will only process it in accordance with instructions issued for the purposes specified by UKRI.

Parts of your data will be passed to the REF expert panels and the Equality and Diversity Advisory Panel (whose members are independent of UKRI) for the purpose of conducting a systematic evaluation of submissions, in accordance with predetermined criteria and methods. All panel members are bound by confidentiality arrangements.

Publishing information about your part in our submission

The results of the assessment exercise will be published by UKRI in April 2022~~December 2021~~, on behalf of the four UK higher education funding bodies:

- Research England
- Department for the Economy, Northern Ireland (DfE)
- Higher Education Funding Council for Wales (HEFCW)
- Scottish Funding Council (SFC).

Those parts of submissions that contain factual data and textual information about research activity will also be published by UKRI, on behalf of the four UK higher education funding bodies, and will be made available online. Published information is likely to include **textual information including impact case studies in which you may be referenced.** Your name and job title may be included in this textual information. Other personal details will normally be removed.

Impact case studies, environment statements and other textual information will not normally be submitted with personal information (other than names and job titles), and any personal information (other than names and job titles) will removed in the redacted version(s) that are submitted.

Accessing your personal data

Under the Data Protection Act 2018 and the GDPR, you have the right to see and receive a copy of any personal information that UKRI holds about you. Further information about the

Act and GRPR, and guidance on making a subject access request, can be found on the RE web-site at https://re.ukri.org/about-us/policies-standards/foi-data-protection/

If you have any concerns about your information being used for these purposes, please contact:

Data Protection Officer
UK Research and Innovation
Polaris House
Swindon, SN2 1FL

Email: dataprotection@ukri.org

University Privacy Notice (Members of the Public)

The University has a Members of the Public Privacy Notice which can be found at:

https://www.hud.ac.uk/media/assets/document/informationgovernance/dataprotection/Fair_processing_public.pdf

Under the Data Protection Act 2018 and the GDPR, you have the right to see and receive a copy of any personal information that the University holds about you, including data collected for REF purposes.

Equality Analysis for Draft Processes 7 January 2019

A - Identifying Staff with Significant Responsibility for Research

B - Identifying Staff as Independent Researchers

C - Selection of Research Outputs

Name of the Policy/Change	**A - Identifying Staff with Significant Responsibility for Research**
Aims/Description of the Policy/Change	**To enable fair and transparent identification of staff on academic contracts with significant responsibility for research in each Unit of Assessment for REF2021.** The Research Excellence Framework (REF) 2021 requires that all members of academic staff with the following criteria be submitted to REF2021 as Category A staff: • on a contract of employment of 0.2 FTE or greater • on the payroll at the University on the census date • whose primary employment function is to undertake 'teaching and research' and are returned to HESA • have significant responsibility for research (SRfR) At the University of Huddersfield we are in a transitional period where not all members of academic staff that are classified as teaching and research currently have significant responsibility for research due to a number of factors. This includes staff currently studying for a doctoral level degree as preparation for becoming an active researcher. Academic staff are expected

	to have significant responsibility for research within a few years of qualifying with a PhD. This includes being eligible to supervise PhD students. By the next REF in 2028 the University expects all of its academic staff to be PhD qualified and carrying out their own research. The process is: 1. Associate Deans Research and Enterprise in each School identify who is in scope against the SRfR criteria. All staff with SRfR must meet all three aspects of explicit resources, active in independent research and expectation of job role. The following describes these three aspects and explains how they must be met in order to identify staff with significant responsibility for research: **a. Explicit resources:** • Workload model – time is allocated within an individual's workload load model for conducting research • Facilities – access to the relevant facilities/equipment in order to conduct research **b. Active in independent research:** • Eligibility to supervise doctoral PGR (as main) as per regulations • Active member of a research centre or institute **c. Expectation of job role:** • Job description - within the job description there is an expectation of carrying out and publishing research • Research plan embedded in appraisal – research audit of an individual is conducted each year to plan strategies for actively conducting research

	• Objectives setting and monitoring related to research 2. Individual academics are written to so as to explain why they are in or out of the submitter pool in their Unit of Assessment (discipline) 3. Individual academics have the opportunity to appeal the decision 4. Appeals are heard by the UoH REF Appeals Panel 5. Finalised lists are provided to the REF Oversight Committee 6. Equality Impact Assessments for each UoA are prepared and reviewed by the REF Oversight Committee	
School/ Department	Research and Enterprise	
Details of the Person responsible for the EIA	**Name:** **Job Title:** **Contact Details:**	Tracy Turner Deputy Director Research and Enterprise t.s.turner@hud.ac.uk
Who does the policy/change impact on? (Tick any categories that apply)	**Staff √** **Students □** **Visitors □** **Contractors □** **Other □**	

	How could the policy/ change impact on protected characteristics?	What actions will you take to mitigate the negative impact? Can the policy/change help to advance equality of opportunity or foster good relations?	Timescale/Lead
Age	If ADREs Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the identification of staff as having significant responsibility for research	HR will write to each member of staff to explain how their decision has been reached referring to the criteria Staff will have the right to appeal ADREs will receive E&D training ahead of the mock REF	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee
Disability	If ADREs Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the identification of staff as having significant responsibility for research	HR will write to each member of staff to explain how their decision has been reached referring to the criteria Staff will have the right to appeal ADREs will receive E&D training ahead of the mock REF	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee
Race / Ethnicity	If ADREs Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the identification of staff as having significant responsibility for research	HR will write to each member of staff to explain how their decision has been reached referring to the criteria Staff will have the right to appeal ADREs will receive E&D training ahead of the mock REF	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out.

			REF Oversight Committee
Sex/Gender	If ADREs Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the identification of staff as having significant responsibility for research	HR will write to each member of staff to explain how their decision has been reached referring to the criteria Staff will have the right to appeal ADREs will receive E&D training ahead of the mock REF	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee
Gender Reassignment	If ADREs Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the identification of staff as having significant responsibility for research	HR will write to each member of staff to explain how their decision has been reached referring to the criteria Staff will have the right to appeal ADREs will receive E&D training ahead of the mock REF	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee
Marriage & Civil Partnership	If ADREs Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the identification of staff as having significant responsibility for research	HR will write to each member of staff to explain how their decision has been reached referring to the criteria Staff will have the right to appeal ADREs will receive E&D training ahead of the mock REF	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee
Pregnancy & Maternity	If ADREs Coordinators exhibit unconscious or conscious bias with	HR will write to each member of staff to explain how their decision has been reached referring to the criteria	The process will be tested in the mock

	respect to this protected characteristic in the identification of staff as having significant responsibility for research	Staff will have the right to appeal ADREs will receive E&D training ahead of the mock REF	REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee
Religion or Belief	If ADREs Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the identification of staff as having significant responsibility for research	HR will write to each member of staff to explain how their decision has been reached referring to the criteria Staff will have the right to appeal ADREs will receive E&D training ahead of the mock REF	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee
Sexual Orientation	If ADREs Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the identification of staff as having significant responsibility for research	HR will write to each member of staff to explain how their decision has been reached referring to the criteria Staff will have the right to appeal ADREs will receive E&D training ahead of the mock REF	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee

	No major change needed	√
	Activity will be adjusted	

(Please tick appropriate box)	Activity will be continued but monitored	
	Activity will be stopped	

EA Sign-Off	Submission Date:	7 January 2019
	Approved By:	Ruth Sivori, Head of Human Resources
	Date Completed	18 January 2019

Name of the Policy/Change	**B - Identifying Staff as Independent Researchers**
Aims/Description of the Policy/Change	**To enable fair and transparent identification of research only contract staff as independent researchers in each Unit of Assessment for REF2021.** The Research Excellence Framework (REF) 2021 requires that all members of academic staff with the following criteria be submitted to REF2021 as Category A staff: • on a contract of employment of 0.2 FTE or greater • on the payroll at the University on the census date • whose primary employment function is 'research only' and are returned to HESA (excluding Research Assistants) • are independent researchers (IR) The process is: 1. Associate Deans Research and Enterprise in each School identify who is in scope against the IR criteria. All staff with IR must meet at least one of the indicators outlined below in order to demonstrate independence. a. leading or acting as principal investigator or equivalent on an externally funded research project b. holding an independently won, competitively awarded fellowship where research independence is a requirement. An illustrative, but not exhaustive, list of independent fellowships can be found at www.ref.ac.uk, under Guidance c. acting as a co-investigator on an externally funded research project d. leading a research group or a substantial work package, this might normally indicate independence in cases where large research programmes have discrete and substantial work packages led by co-investigators, which would be equivalent to a principal investigator role on a smaller grant. e. significant input into the design, conduct and interpretation of the research 2. Individual academics are written to so as to explain why they are in or out of the submitter pool in their Unit of Assessment (discipline)

	3. Individual academics have the opportunity to appeal the decision 4. Appeals are heard by the UoH REF Appeals Panel 5. Finalised lists are provided to the REF Oversight Committee 6. Equality Impact Assessments for each UoA are prepared and reviewed by the REF Oversight Committee	
School/ Department	Research and Enterprise	
Details of the Person responsible for the EIA	**Name:** **Job Title:** **Contact Details:**	Tracy Turner Deputy Director Research and Enterprise t.s.turner@hud.ac.uk
Who does the policy/change impact on? (Tick any categories that apply)	**Staff √** **Students □** **Visitors □** **Contractors □** **Other □**	

	How could the policy/ change impact on protected characteristics?	**What actions will you take to mitigate the negative impact?**	**Timescale/Lead**

		Can the policy/change help to advance equality of opportunity or foster good relations?	
Age	If ADREs Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the identification of staff as independent researchers	HR will write to each member of staff to explain how their decision has been reached referring to the criteria Staff will have the right to appeal ADREs will receive E&D training ahead of the mock REF	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee
Disability	If ADREs Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the identification of staff as independent researchers	HR will write to each member of staff to explain how their decision has been reached referring to the criteria Staff will have the right to appeal ADREs will receive E&D training ahead of the mock REF	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee
Race / Ethnicity	If ADREs Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the identification of staff as independent researchers	HR will write to each member of staff to explain how their decision has been reached referring to the criteria Staff will have the right to appeal ADREs will receive E&D training ahead of the mock REF	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee

Sex/Gender	If ADREs Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the identification of staff as independent researchers	HR will write to each member of staff to explain how their decision has been reached referring to the criteria Staff will have the right to appeal ADREs will receive E&D training ahead of the mock REF	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee
Gender Reassignment	If ADREs Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the identification of staff as independent researchers	HR will write to each member of staff to explain how their decision has been reached referring to the criteria Staff will have the right to appeal ADREs will receive E&D training ahead of the mock REF	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee
Marriage & Civil Partnership	If ADREs Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the identification of staff as independent researchers	HR will write to each member of staff to explain how their decision has been reached referring to the criteria Staff will have the right to appeal ADREs will receive E&D training ahead of the mock REF	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee
Pregnancy & Maternity	If ADREs Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the identification of staff as independent researchers	HR will write to each member of staff to explain how their decision has been reached referring to the criteria Staff will have the right to appeal ADREs will receive E&D training ahead of the mock REF	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out.

			REF Oversight Committee
Religion or Belief	If ADREs Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the identification of staff as independent researchers	HR will write to each member of staff to explain how their decision has been reached referring to the criteria Staff will have the right to appeal ADREs will receive E&D training ahead of the mock REF	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee
Sexual Orientation	If ADREs Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the identification of staff as independent researchers	HR will write to each member of staff to explain how their decision has been reached referring to the criteria Staff will have the right to appeal ADREs will receive E&D training ahead of the mock REF	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee

(Please tick appropriate box)	No major change needed	√
	Activity will be adjusted	
	Activity will be continued but monitored	
	Activity will be stopped	

EA Sign-Off	Submission Date:	7 January 2019
	Approved By:	Ruth Sivori, Head of Human Resources
	Date Completed	18 January 2019

Name of the Policy/Change	**C - Selection of Research Outputs**
Aims/Description of the Policy/Change	**To enable fair selection of research outputs in each Unit of Assessment for REF2021.** The Research Excellence Framework (REF) 2021 requires that each submitting unit of assessment will return a set number of outputs determined by the FTE of Category A staff, with a minimum of one output attributed to each staff member returned, and no more than five attributed to any staff member. The University can also include outputs of staff previously employed as eligible where the output was first made publicly available during the period of eligible employment, within the set number of outputs required. This decoupling of staff and outputs in REF 2021 is intended to provide increased flexibility for the University in building the portfolio of outputs for submission. Research England acknowledge that there are many reasons why an excellent researcher may have fewer or more outputs attributable to them in an assessment period. It is therefore not expected that all staff members will be returned with the same number of outputs attributed to them in each submission. The process is: 1. Academic staff member proposes up to 5 outputs +2 reserves in rank order of preference, this will be less if the outputs are indicated as double-weighted. This will include a 100 word commentary where applicable as to why the output has been selected. 2. UoA Coordinator considers outputs from former members of staff to be included in the output pool. 3. UoA Coordinators assigns 2 internal academic staff, or 1 internal and 1 external, to review the outputs proposed and indicate a * rating with rationale. UoA Coordinators ensure that at least 1 output from each academic has been externally reviewed. 4. UoA Coordinator finalizes * rating on each output

	5. REF Oversight Committee reviews each UoA output pool and where there are more outputs than required to be submitted will decide which outputs go forward. Where outputs have been judged to be of the same * rating the Committee will ensure that the diversity of the staff in the UoA is represented.	
School/ Department	Research and Enterprise	
Details of the Person responsible for the EIA	**Name:** **Job Title:** **Contact Details:**	Tracy Turner Deputy Director Research and Enterprise t.s.turner@hud.ac.uk
Who does the policy/change impact on? (Tick any categories that apply)	**Staff** √ **Students** □ **Visitors** □ **Contractors** □ **Other** □	

	How could the policy/ change impact on protected characteristics?	What actions will you take to mitigate the negative impact? Can the policy/change help to advance equality of opportunity or foster good relations?	Timescale/Lead
Age	If UOA Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the scoring (* rating) of the research outputs put forward by the member of academic staff.	All staff in the submitter pool will have at least one output assessed by someone external to the School/University. Final selection of outputs for submission will be decided by the REF Oversight Committee and not the UOA Coordinator UOA Coordinators will receive E&D training ahead of the mock REF. Internal and external assessors will be identified and E&D documentation sent to them in lieu of direct training.	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee
Disability	If UOA Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the scoring (* rating) of the research outputs put forward by the member of academic staff.	All staff in the submitter pool will have at least one output assessed by someone external to the School/University. Final selection of outputs for submission will be decided by the REF Oversight Committee and not the UOA Coordinator UOA Coordinators will receive E&D training ahead of the mock REF.	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee

		Internal and external assessors will be identified and E&D documentation sent to them in lieu of direct training.	
Race / Ethnicity	If UOA Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the scoring (* rating) of the research outputs put forward by the member of academic staff.	All staff in the submitter pool will have at least one output assessed by someone external to the School/University. Final selection of outputs for submission will be decided by the REF Oversight Committee and not the UOA Coordinator UOA Coordinators will receive E&D training ahead of the mock REF. Internal and external assessors will be identified and E&D documentation sent to them in lieu of direct training.	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee
Sex/Gender	If UOA Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the scoring (* rating) of the research outputs put forward by the member of academic staff.	All staff in the submitter pool will have at least one output assessed by someone external to the School/University. Final selection of outputs for submission will be decided by the REF Oversight Committee and not the UOA Coordinator UOA Coordinators will receive E&D training ahead of the mock REF. Internal and external assessors will be identified and E&D documentation sent to them in lieu of direct training.	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee
Gender Reassignment	If UOA Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the scoring (* rating) of the research	All staff in the submitter pool will have at least one output assessed by someone external to the School/University.	The process will be tested in the mock REF in spring 2019

	outputs put forward by the member of academic staff.	Final selection of outputs for submission will be decided by the REF Oversight Committee and not the UOA Coordinator UOA Coordinators will receive E&D training ahead of the mock REF. Internal and external l assessors will be identified and E&D documentation sent to them in lieu of direct training.	and a quantitative analysis carried out. REF Oversight Committee
Marriage & Civil Partnership	If UOA Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the scoring (* rating) of the research outputs put forward by the member of academic staff.	All staff in the submitter pool will have at least one output assessed by someone external to the School/University. Final selection of outputs for submission will be decided by the REF Oversight Committee and not the UOA Coordinator UOA Coordinators will receive E&D training ahead of the mock REF. Internal and external assessors will be identified and E&D documentation sent to them in lieu of direct training.	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee
Pregnancy & Maternity	If UOA Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the scoring (* rating) of the research outputs put forward by the member of academic staff.	All staff in the submitter pool will have at least one output assessed by someone external to the School/University. Final selection of outputs for submission will be decided by the REF Oversight Committee and not the UOA Coordinator UOA Coordinators will receive E&D training ahead of the mock REF.	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee

		Internal and external l assessors will be identified and E&D documentation sent to them in lieu of direct training.	
Religion or Belief	If UOA Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the scoring (* rating) of the research outputs put forward by the member of academic staff.	All staff in the submitter pool will have at least one output assessed by someone external to the School/University. Final selection of outputs for submission will be decided by the REF Oversight Committee and not the UOA Coordinator UOA Coordinators will receive E&D training ahead of the mock REF. Internal and external l assessors will be identified and E&D documentation sent to them in lieu of direct training.	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee
Sexual Orientation	If UOA Coordinators exhibit unconscious or conscious bias with respect to this protected characteristic in the scoring (* rating) of the research outputs put forward by the member of academic staff.	All staff in the submitter pool will have at least one output assessed by someone external to the School/University. Final selection of outputs for submission will be decided by the REF Oversight Committee and not the UOA Coordinator UOA Coordinators will receive E&D training ahead of the mock REF. Internal and external assessors will be identified and E&D documentation sent to them in lieu of direct training.	The process will be tested in the mock REF in spring 2019 and a quantitative analysis carried out. REF Oversight Committee

	No major change needed	√

(Please tick appropriate box)	Activity will be adjusted	
	Activity will be continued but monitored	
	Activity will be stopped	

EA Sign-Off	Submission Date:	7 January 2019
	Approved By:	Ruth Sivori, Head of Human Resources
	Date Completed	18 January 2019

University of Huddersfield

Research Excellence Framework 2021 Code of Practice

Equality Impact Assessment **31 May 2019**

This equality impact assessment covers the identification process for 'significant responsibility for research' (SRR) and 'independent researcher' (IR) which took place during the mock REF exercise in May 2019. The baseline staff pool was that employed in January 2019 who met the REF Category A requirements of being employed on an Academic contract or Research only contract of at least 0.2FTE. The assessment has compared the personal characteristic data for the staff identified as SRR, expected to be SRR by the REF census date, IR and expected to be IR by the REF census date with that of the baseline pool.

The number of staff in the baseline was 871. After the identification process 628 staff were deemed to be eligible for REF submission.

This EIA does not include an analysis of research output selection or individual staff circumstances outcomes as the processes for these aspects have not yet taken place. Appeals against SRR and IR decisions will be processed during June.

The detailed data for each of the personal characteristics is provided in tables at the end of this document.

Gender (Tables 1A and 1B in Annex)

The baseline pool, from which staff were identified as being SRR or IR, totalled 871 staff members. Of this pool 484 people were male (55%) and 387 were female (45%). Overall, the SRR/IR process revealed 628 people as being identified for submission, including those expected to be included by the REF census date; this is a 'conversion rate' of 72%.

Of the 628 identified for submission, 392 were male (62%) and 236 were female (38%). The process hence shifts the male:female ratio by 7 percentage points, from the pool baseline of 55:45 to the identified grouping of 62:38. In terms of 'conversion rate' by gender, the percentage of male staff identified as SRR/IR is 81%, and for female staff it is 61%, representing a 20% overall difference.

At unit of assessment (UOA) level the variance in conversion rate for females and males is tabulated below:

	Variance in % identified SRR/IR (Female - Male)
Institution (all UOAs)	-20.01%
UOA3 Allied Health Professions, Nursing and Pharmacy	-22.72%
UOA4 Psychology	15.97%
UOA5 Biological Sciences	-33.33%
UOA8 Chemistry	-4.17%
UOA11 Computer Science and Informatics	-7.58%
UOA12 Engineering	4.26%
UOA13 Architecture and Built Environment	-5.95%
UOA14 Geography and Environmental Studies	0.00%
UOA17 Business and Management Studies	-3.57%
UOA18 Law	-17.78%
UOA20 Social Work and Social Policy	-1.32%
UOA23 Education	-44.32%
UOA24 Sport and Exercise Sciences	-10.00%
UOA26 Modern Languages and Linguistics	-14.29%
UOA27 English Language and Literature	-28.57%
UOA28 History	0.00%
UOA32 Art and Design	6.78%
UOA33A Music	-3.34%
UOA33B Drama	0.00%
UOA34 Communication, Culture and Media Studies	16.67%

Eight UOAs (8, 12, 14, 17, 20, 28, 33A and 33B) have variances of less than 5% (indeed for UOA 33B - Drama and UOA 14 - Geography and Environmental Studies, there has been zero change); as such, it is clear that the SRR/IR process has had little impact upon gender representation in these eight areas.

Nine UOAs have variances of over 5% in favour of males:

UOA3 Allied Health Professions, Nursing and Pharmacy	-22.72%
UOA5 Biological Sciences	-33.33%
UOA11 Computer Science and Informatics	-7.58%
UOA13 Architecture and Built Environment	-5.95%
UOA18 Law	-17.78%
UOA23 Education	-44.32%
UOA24 Sport and Exercise Sciences	-10.00%
UOA26 Modern Languages and Linguistics	-14.29%
UOA27 English Language and Literature	-28.57%

Three UOAs have variances of over 5% in favour of females:

UOA4 Psychology	15.97%
UOA32 Art and Design	6.78%
UOA34 Communication, Culture and Media Studies	16.67%

The main reason why staff have been identified as not-SRR is that they are presently ineligible to act a main supervisor for doctoral students, either because they are not yet qualified with a doctorate themselves or they have a doctorate but are not yet engaged in international quality research.

Of the nine UOAs with more than 5% variance in favour of males, UOAs 3, 13, 18, 23 and 24 are practitioner-based disciplines, and in UOAs 3, 18 and 23, over 50% of the baseline is female.

The number of staff identified as not-IR is low and detailed analysis has not been carried out to avoid potentially misleading outcomes and identification of individuals. UOAs 24, 26, 27 and 34 each have a baseline of less than 20 staff and are too small for detailed analysis.

Analysis of UOAs 3, 4, 5, 11, 13, 18, 23 and 32, which have baseline staff numbers of 109, 34, 39, 39, 29, 24, 70 and 68 respectively, has been performed for staff identified as not-SRR, in terms of the not-SRR numbers and the proportion of staff who are studying for a doctorate or who are qualified but not undertaking international quality research, as follows.

UOA3

Outcomes were less favourable for females. 56 staff were identified as not-SRR – 16 male, 40 female.

	Head-count	Studying	% studying	Exempt from studying	Not registered for doctorate or studying for other qualification	% not-studying for a doctorate	Qualified but not undertaking international quality research	% not undertaking international research
Not-SRR Male	16	9	56.25%	2	2	25.00%	3	18.75%%
Not-SRR Female	40	23	57.5%	0	6	15.00%	11	27.50%

Similar proportions of males and females are studying for a doctorate. A higher percentage of males than females are not studying but the numbers are small. A higher percentage of females are not yet undertaking international research.

UOA4

Only 4 staff were identified as not-SRR – 3 male, 1 female. As the numbers of staff are low, further analysis has not been carried out to avoid identification of staff.

UOA5

Only 4 staff were identified as not-SRR – 0 male, 4 female. As the numbers of staff are low, further analysis has not been carried out to avoid identification of staff.

UOA11

Only 1 member of staff was identified as not-SRR.

UOA13

Only 5 staff were identified as not-SRR – 4 male, 1 female. As the numbers of staff are low, further analysis has not been carried out to avoid identification of staff.

UOA18

8 staff were identified as not-SRR – 2 male, 6 female. As the numbers of staff are low, further analysis has not been carried out to avoid identification of staff.

UOA23

Outcomes were less favourable for females. 33 staff were identified as not-SRR – 4 male, 29 female.

	Head-count	Studying	% studying	Exempt from studying	Not registered for doctorate or studying for other qualification	% not-studying	Qualified but not undertaking international quality research	% not undertaking international research
Not-SRR Male	4	4	100.00%	0	0	0.00%	0	0.00%
Not-SRR Female	29	25	86.21%	4	0	13.79%	0	0.00%

All male staff are studying for a doctorate and a high proportion of the females, the remainder being exempt.

UOA32

Outcomes were more favourable for females. 37 staff were identified as not-SRR – 14 male, 23 female.

	Head-count	Studying	% studying	Exempt from studying	Not registered for doctorate or studying for other qualification	% not-studying	Qualified but not undertaking international quality research	% not undertaking international research
Not-SRR Male	14	12	85.71%	1	1	14.29%	0	0.00%
Not-SRR Female	23	18	78.26%	5	0	21.74%	0	0.00%

High proportions of male and female staff are studying for a doctorate. A higher percentage of females (all exempt) than males are not studying.

Summary of UOA gender analysis

Of those UOAs with a variance of >5%, and of sufficient size to permit detailed analysis, in UOA3 less than 60% of the staff who were identified as not-SRR are studying for a doctorate compared with over 80% in both UOA23 and UOA32. UOA23 and UOA32 are at more mature stages of the development of inclusive research environments compared to UOA3. This is to be expected as Education and Art and Design were submitted to REF 2014 whereas Nursing was not submitted as part of Allied Health Professions.

Action - Continue to support staff, particularly the females, in all UOAs with their personal development as researchers.

Ethnicity (Table 2 in Annex)

The majority of staff in the baseline are White British (63%) and this group remains in the majority after the SRR/IR identification process (56%). The largest groups were Other White Background (base 13%, SRR/IR 16%) and Chinese (base 6%, SRR/IR 7%). In the 19 ethnic categories, the variances were as follows:

Ethnicity	%SRR/IR - %baseline
African	0.14%
Arab	0.31%
Bangladeshi	0.18%
Caribbean	0.04%
Chinese	1.70%
Indian	-0.16%
Irish	0.38%
Not Known	0.20%
Other Asian Background	0.66%
Other Black Background	-0.07%
Other Ethnic Background	0.36%
Other Mixed Background	-0.19%
Other White Background	2.97%
Pakistani	-0.16%
Prefer not to say	0.55%
White and Asian	-0.03%
White and Black African	0.04%
White and Black Caribbean	0.09%
White British	-7.02%

The data indicate no evidence of bias related to ethnicity.

Disability (Table 3 in Annex)

The overall proportion of staff in the baseline who had declared a disability was 4%. This remained unchanged in the pool of staff identified as SRR/IR. Not all UOAs had staff who had declared a disability. The variance between the percentage of staff identified as SRR/IR and those in the baseline who had declared a disability is as follows:

UOA		% Declared Disability
3 Allied Health Professions, Nursing and Pharmacy	Base	6.42%
	SRR/IR	4.26%
	Variance	-2.16%
4 Psychology	Base	5.88%
	SRR/IR	6.90%
	Variance	1.02%
5 Biological Sciences	Base	5.13%
	SRR/IR	6.06%
	Variance	0.93%
12 Engineering	Base	0.93%
	SRR/IR	0.97%
	Variance	0.04%
13 Architecture and Built Environment	Base	3.45%
	SRR/IR	4.35%
	Variance	0.90%
17 Business and Management	Base	4.62%
	SRR/IR	5.00%
	Variance	0.38%
18 Law	Base	4.17%
	SRR/IR	6.25%
	Variance	2.08%
20 Social Work and Social Policy	Base	4.76%
	SRR/IR	6.98%
	Variance	2.22%
23 Education	Base	8.57%
	SRR/IR	11.11%
	Variance	2.54%
32 Art and Design	Base	2.94%
	SRR/IR	3.45%
	Variance	0.51%

There were no disability declarations for staff in the UOAs not listed in this table.

All except UOA3 have positive variances (i.e. higher proportion of staff in the SRR/IR identified group compared to baseline). Despite the slight negative outcome for UOA3, overall there is no evidence of bias relating to disability.

Sexual Orientation (Table 4 in Annex)

81% of staff in the baseline define their sexuality as heterosexual. Of these identified as SRR/IR the percentage reduced by only 1%. However, declaration rates are low and the total number of Category A staff defining their sexuality as bisexual, gay or lesbian is 41, less than half of those who decline to comment. In terms of staff identified as SRR/IR this number falls to 29. In the 7 sexual orientation categories, the variances were as follows:

Sexual Orientation	%SRR/IR - %baseline
Bisexual	0.19%
Gay	-0.41%
Heterosexual	-1.25%
Lesbian	0.13%
Not known	0.15%
Other	0.18%
Prefer not to say	1.01%

The data indicate no evidence of bias related to sexuality.

Religion (Table 5 in Annex)

Of those that have a religion and declare it, the majority describe themselves as No Religion. This accounts for 33% of the baseline and 35% of those identified as SRR/IR. The second largest group is Christian which is 23% of the baseline and 20% of those identified as SRR/IR. This group has the maximum percentage variance for any category at -3.13%. 14% of baseline staff are in the no declaration category (Prefer not to say), the same percentage as those identified as SRR/IR. In the 17 religion categories, the variances were as follows:

Religion	%SRR/IR - %baseline
Agnostic	-0.65%
Atheist	0.61%
Buddhist	0.42%
Buddhist - Mahayana	0.04%
Christian	-3.13%
Christian - Orthodox	0.42%
Christian - Protestant	-0.09%
Christian - Roman Catholic	0.47%
Hindu	-0.01%
Islam - Sunni	0.07%
Jewish	0.09%

Muslim	0.65%
No Religion	1.46%
Sikh	-0.14%
Not known	-0.01%
Other	-0.14%
Prefer not to say	0.08%

The data indicate no evidence of bias related to religion.

Age (Table 6 in Annex)

The age profile of the SRR/IR identified group compared to baseline varied as follows:

Age group	Baseline	SRR/IR
25-34	14%	15%
35-44	31%	32%
45-54	31%	28%
55-64	20%	20%
65+	4%	5%

There is a slight drop of 3% in the 45-54 age group, balanced by 1% increases in the 25-34, 35-44 and 65+ age groups, indicating no evidence of bias against younger members of staff.

Marital Status (Table 7 in Annex)

Of those that have declare marital status, the majority describe themselves as Married. This accounts for 55% of the baseline and 55% of those identified as SRR/IR. The second largest group is Single which is 27% of the baseline and 29% of those identified as SRR/IR. This group has the maximum percentage variance for any category at 1.41%. In the 10 marital status categories, the variances were as follows:

Marital Status	%SRR/IR - %baseline
Civil partnership	0.09%
Divorced	-0.43%
Estranged	-0.05%
Married	0.13%
Not known	-0.17%
Not specified	0.37%
Other	-0.90%
Partner	-0.42%
Single	1.41%
Widowed	-0.03%

The data indicate no evidence of bias related to marital status.

Maternity Leave (Table 8 in Annex)

37 (9.56%) of the 387 baseline female staff have taken maternity leave in the REF period so far. In the SRR/IR identified group, 23 (9.75%) have taken maternity leave.

The data indicate no evidence of bias related to having taken maternity leave.

Paternity Leave (Table 9 in Annex)

38 (7.85%) of the 484 baseline male staff have taken Paternity leave in the REF period so far. In the SRR/IR identified group, 35 (8.93%) have taken paternity leave. This is a positive outcome.

The data indicate no evidence of bias related to having taken paternity leave.

Overall Impact

Taking account of all protected characteristics, only the analysis of gender shows an overall impact of the SRR/IR identification process. The proportion of males in the SRR/IR group has increased by 7 percentage points to 62% compared to the baseline of 55%. The conversion rate for females to SRR/IR is 20 percentage points less than that for males at an institutional level (61% compared to 81%). In UOAs 3, 5, 11, 13, 18, 23, 24, 26 and 27 the conversion rate variances were less than -5%, disadvantaging females. Three UOAs (4 ,32 and 34) had conversion rate variances of more than 5%, disadvantaging males.

The extent of the negative impact for female staff compared to males is believed to be a consequence of the time it takes for cultural change from the teaching dominated environment of a decade ago to a balanced approach to teaching and research for all academic staff. This has been a particular issue for staff in practitioner based disciplines e.g. Nursing, Education and Art and Design, where research has been less of a priority than it is now. This Equality Impact Assessment (EIA) will feed in to the self-assessment processes in Schools and at institution level for the Athena SWAN-related action plan review and development. Schools across the University are being encouraged to share best practice in research mentoring and to exploit external routes for supporting staff, e.g. the Aurora programme for female staff. All UOAs will continue to provide ongoing support for staff with their personal development as researchers, particularly for the females.

The cultural change is ongoing and will take a few more years, particularly for those staff studying for a doctorate who will take 6 or more years to qualify from registration. This is consistent with a context where the submission for REF2021 includes several new UOAs i.e. Psychology, Architecture and Built Environment, Geography and Environmental Studies,

Law, Sport and Exercise Sciences, Modern Languages and Linguistics, Drama, Communication, Culture and Media Studies.

At an institutional level, the impact of ethnicity reflects the general predominance of white British in the academic and research workforce. There was a positive impact for BAME groups in SRR/IR identification. The data indicates no evidence of bias related to disability, sexual orientation, religion, age, marital status, maternity leave or paternity leave.

Annex - Data Tables

Table 1A Gender – proportions SRR/IR compared to baseline by UOA

Note – SRR and IR data includes those expected to be eligible by the REF census date 31/7/2020

		Total headcount	Male	Female	% Male	% Female
All Cat A staff	Base	871	484	387	55.57%	44.43%
SRR/IR staff	SRR/IR	628	392	236	62.42%	37.58%
UOA3	Base	109	40	69	36.70%	63.30%
Allied Health Professions, Nursing and Pharmacy	SRR/IR	47	23	24	48.94%	51.06%
UOA4	Base	34	18	16	52.94%	47.06%
Psychology	SRR/IR	29	14	15	48.28%	51.72%
UOA5	Base	39	21	18	53.85%	46.15%
Biological Sciences	SRR/IR	33	21	12	63.64%	36.36%
UOA8	Base	38	32	6	84.21%	15.79%
Chemistry	SRR/IR	33	28	5	84.85%	15.15%
UOA11	Base	39	33	6	84.62%	15.38%
Computer Science and Informatics	SRR/IR	35	30	5	85.71%	14.29%
UOA12	Base	107	94	13	87.85%	12.15%
Engineering	SRR/IR	103	90	13	87.38%	12.62%
UOA13	Base	29	21	8	72.41%	27.59%
Architecture and Built Environment	SRR/IR	23	17	6	73.91%	26.09%
UOA14	Base	6	4	2	66.67%	33.33%
Geography and Environmental Studies	SRR/IR	6	4	2	66.67%	33.33%
UOA17	Base	130	70	60	53.85%	46.15%
Business and Management Studies	SRR/IR	100	55	45	55.00%	45.00%
UOA18	Base	24	9	15	37.50%	62.50%
Law	SRR/IR	16	7	9	43.75%	56.25%
UOA20	Base	63	29	34	46.03%	53.97%
Social Work and Social Policy	SRR/IR	43	20	23	46.51%	53.49%
UOA23	Base	70	22	48	31.43%	68.57%
Education	SRR/IR	36	18	18	50.00%	50.00%
UOA24	Base	11	6	5	54.55%	45.45%
Sport and Exercise Sciences	SRR/IR	5	3	2	60.00%	40.00%
UOA26	Base	12	5	7	41.67%	58.33%
Modern Languages and Linguistics	SRR/IR	11	5	6	45.45%	54.55%
UOA27	Base	14	7	7	50.00%	50.00%
English Language and Literature	SRR/IR	12	7	5	58.33%	41.67%
UOA28	Base	16	8	8	50.00%	50.00%
History	SRR/IR	14	7	7	50.00%	50.00%
UOA32	Base	68	26	42	38.24%	61.76%
Art and Design	SRR/IR	29	10	19	34.48%	65.52%
UOA33A	Base	36	23	13	63.89%	36.11%
Music	SRR/IR	34	22	12	64.71%	35.29%
UOA33B	Base	10	6	4	60.00%	40.00%
Drama	SRR/IR	10	6	4	60.00%	40.00%
UOA34	Base	16	10	6	62.50%	37.50%
Communication, Culture and Media Studies	SRR/IR	9	5	4	55.56%	44.44%

Table 1B – Gender - conversion rates to SRR/IR from baseline for Male and Female staff by UOA

		Total headcount	Male	Female
All Cat A staff	Base	871	484	387
SRR/IR staff	SRR/IR	628	392	236
	% identified	72.10%	80.99%	60.98%
UOA3	Base	109	40	69
Allied Health Professions, Nursing and Pharmacy	SRR/IR	47	23	24
	% identified	43.12%	57.50%	34.78%
UOA4	Base	34	18	16
Psychology	SRR/IR	29	14	15
	% identified	85.29%	77.78%	93.75%
UOA5	Base	39	21	18
Biological Sciences	SRR/IR	33	21	12
	% identified	84.62%	100.00%	66.67%
UOA8	Base	38	32	6
Chemistry	SRR/IR	33	28	5
	% identified	86.84%	87.50%	83.33%
UOA11	Base	39	33	6
Computer Science and Informatics	SRR/IR	35	30	5
	% identified	89.74%	90.91%	83.33%
UOA12	Base	107	94	13
Engineering	SRR/IR	103	90	13
	% identified	96.26%	95.74%	100.00%
UOA13	Base	29	21	8
Architecture and Built Environment	SRR/IR	23	17	6
	% identified	79.31%	80.95%	75.00%
UOA14	Base	6	4	2
Geography and Environmental Studies	SRR/IR	6	4	2
	% identified	100.00%	100.00%	100.00%
UOA17	Base	130	70	60
Business and Management Studies	SRR/IR	100	55	45
	% identified	76.92%	78.57%	75.00%
UOA18	Base	24	9	15
Law	SRR/IR	16	7	9
	% identified	66.67%	77.78%	60.00%
UOA20	Base	63	29	34
Social Work and Social Policy	SRR/IR	43	20	23
	% identified	68.25%	68.97%	67.65%
UOA23	Base	70	22	48
Education	SRR/IR	36	18	18
	% identified	51.43%	81.82%	37.50%
UOA24	Base	11	6	5
Sport and Exercise Sciences	SRR/IR	5	3	2
	% identified	45.45%	50.00%	50.00%
UOA26	Base	12	5	7
Modern Languages and Linguistics	SRR/IR	11	5	6
	% identified	91.67%	100.00%	85.71%
UOA27	Base	14	7	7
English Language and Literature	SRR/IR	12	7	5
	% identified	85.71%	100.00%	71.43%

UOA28	Base	16	8	8
History	SRR/IR	14	7	7
	% identified	87.50%	87.50%	87.50%
UOA32	Base	68	26	42
Art and Design	SRR/IR	29	10	19
	% identified	42.65%	38.46%	45.24%
UOA33A	Base	36	23	13
Music	SRR/IR	34	22	12
	% identified	94.44%	95.65%	92.31%
UOA33B	Base	10	6	4
Drama	SRR/IR	10	6	4
	% identified	100.00%	100.00%	100.00%
UOA34	Base	16	10	6
Communication, Culture and Media Studies	SRR/IR	9	5	4
	% identified	56.25%	50.00%	66.67%

Table 2 Ethnicity - SRR/IR compared to baseline by UOA

Note – SRR and IR data includes those expected to be eligible by the REF census date 31/7/2020

Key to table:

A	African
B	Arab
C	Bangladeshi
D	Caribbean
E	Chinese
F	Indian
G	Irish
H	Not Known
I	Other Asian Background
J	Other Black Background
K	Other Ethnic Background
L	Other Mixed Background
M	Other White Background
N	Pakistani
O	Prefer not to say
P	White and Asian
Q	White and Black African
R	White and Black Caribbean
S	White British

		Total head-count	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S
All Cat A staff	Base	871	14	7	4	1	49	18	23	8	22	2	8	10	117	18	16	3	1	2	548
SRR/IR staff	SRR/IR	628	11	7	4	1	46	12	19	7	20	1	8	6	103	12	15	2	1	2	351
	% Base	100	1.6	0.8	0.5	0.1	5.6	2.1	2.6	0.9	2.5	0.2	0.9	1.2	13.4	2.1	1.8	0.3	0.1	0.2	62.9
	% SRR/IR	100	1.8	1.1	0.6	0.2	7.3	1.9	3.0	1.1	3.2	0.2	1.3	1.0	16.4	1.9	2.4	0.3	0.2	0.3	55.9
UOA3	Base	109	3	0	0	0	3	1	1	0	1	2	0	1	4	6	0	1	0	0	86
Allied Health Professions, Nursing and Pharmacy	SRR/IR	47	3	0	0	0	2	0	0	0	0	1	0	0	4	5	0	1	0	0	31
	% Base	100	2.8	0	0	0	2.8	0.9	0.9	0	0.9	1.8	0	0.9	3.7	5.5	0	0.9	0	0	78.9
	% SRR/IR	100	6.4	0	0	0	4.3	0	0	0	0	2.1	0	0	8.5	10.6	0	2.1	0	0	66.0
UOA4	Base	34	0	0	0	0	0	1	3	0	1	0	0	0	4	1	0	0	0	0	24
Psychology	SRR/IR	29	0	0	0	0	0	0	3	0	1	0	0	0	4	1	0	0	0	0	20
	% Base	100	0	0	0	0	0	2.9	8.8	0	2.9	0	0	0	11.8	2.9	0	0	0	0	70.6
	% SRR/IR	100	0	0	0	0	0	0	10.3	0	3.5	0	0	0	13.8	3.5	0	0	0	0	69.0
UOA5	Base	39	0	0	0	0	0	0	1	0	0	0	0	0	12	1	0	1	0	0	24
Biological Sciences	SRR/IR	33	0	0	0	0	0	0	0	0	0	0	0	0	11	0	0	1	0	0	21
	% Base	100	0	0	0	0	0	0	2.6	0	0	0	0	0	30.8	2.6	0	2.6	0	0	61.5
	% SRR/IR	100	0	0	0	0	0	0	0	0	0	0	0	0	33.3	0	0	3.0	0	0	63.6
UOA8	Base	38	0	0	0	0	3	4	0	0	0	0	0	0	5	0	0	0	0	0	26
Chemistry	SRR/IR	33	0	0	0	0	3	2	0	0	0	0	0	0	5	0	0	0	0	0	23
	% Base	100	0	0	0	0	7.9	10.5	0	0	0	0	0	0	13.1	0	0	0	0	0	68.4
	% SRR/IR	100	0	0	0	0	9.1	6.1	0	0	0	0	0	0	15.2	0	0	0	0	0	69.7
UOA11	Base	39	0	1	0	0	5	0	1	0	0	0	0	0	9	2	1	0	0	0	20
Computer Science and Informatics	SRR/IR	30	0	1	0	0	5	0	1	0	0	0	0	0	8	1	1	0	0	0	18
	% Base	100	0	2.6	0	0	12.9	0	2.6	0	0	0	0	0	23.1	5.1	2.6	0	0	0	51.3
	% SRR/IR	100	0	2.9	0	0	14.3	0	2.9	0	0	0	0	0	22.9	2.9	2.9	0	0	0	51.4
UOA12	Base	107	2	3	2	0	20	6	0	5	1	0	2	1	13	3	1	0	1	0	47
Engineering	SRR/IR	103	1	3	2	0	20	6	0	5	1	0	2	1	13	2	1	0	1	0	45
	% Base	100	1.9	2.8	1.9	0	18.7	5.6	0	4.7	0.9	0	1.9	0.9	12.1	2.8	0.9	0	0.9	0	43.9
	% SRR/IR	100	1.0	2.9	1.9	0	19.4	5.8	0	4.9	1.0	0	1.9	1.0	12.6	1.9	1.0	0	1.0	0	43.7
UOA13	Base	29	1	0	0	0	2	1	0	0	5	0	0	1	6	0	2	0	0	0	11
Architecture and Built Environment	SRR/IR	23	0	0	0	0	2	0	0	0	5	0	0	1	6	0	2	0	0	0	7
	% Base	100	3.5	0	0	0	6.9	3.5	0	0	17.2	0	0	3.5	20.7	0	6.9	0	0	0	37.9
	% SRR/IR	100	0	0	0	0	8.7	0	0	0	21.7	0	0	4.4	26.1	0	8.7	0	0	0	30.4
UOA14	Base	6	0	0	0	0	0	0	0	0	1	0	0	0	1	0	0	0	0	0	4
Geography and Environmental Studies	SRR/IR	6	0	0	0	0	0	0	0	0	1	0	0	0	1	0	0	0	0	0	4
	% Base	100	0	0	0	0	0	0	0	0	16.7	0	0	0	16.7	0	0	0	0	0	66.7
	% SRR/IR	100	0	0	0	0	0	0	0	0	16.7	0	0	0	16.7	0	0	0	0	0	66.7

UOA17	Base	130	3	3	0	0	12	1	1	1	11	0	5	2	18	3	6	0	0	0	64
Business and Management Studies	SRR/IR	100	3	3	0	0	10	1	1	1	10	0	5	2	15	2	5	0	0	0	42
	% Base	100	2.3	2.3	0	0	9.2	0.8	0.8	0.8	8.5	0	3.9	1.5	13.9	2.3	4.6	0	0	0	49.2
	% SRR/IR	100	3	3	0	0	10	1	1	1	10.0	0	5.0	2.0	15.0	2.0	5.0	0	0	0	42.0
UOA18	Base	24	3	0	0	0	2	0	1	0	0	0	0	0	4	0	0	0	0	0	14
Law	SRR/IR	16	2	0	0	0	2	0	1	0	0	0	0	0	3	0	0	0	0	0	8
	% Base	100	12.5	0	0	0	8.3	0	4.2	0	0	0	0	0	16.7	0	0	0	0	0	58.3
	% SRR/IR	100	12.5	0	0	0	12.5	0	6.3	0	0	0	0	0	18.8	0	0	0	0	0	50.0
UOA20	Base	63	1	0	1	1	0	1	6	0	0	0	1	0	3	0	1	0	0	1	47
Social Work and Social Policy	SRR/IR	43	1	0	1	1	0	1	5	0	0	0	1	0	3	0	1	0	0	1	28
	% Base	100	1.6	0	1.6	1.6	0	1.6	9.5	0	0	0	1.6	0	4.8	0	1.6	0	0	1.6	74.6
	% SRR/IR	100	2.3	0	2.3	2.3	0	2.3	11.6	0	0	0	2.3	0	7.0	0	2.3	0	0	2.3	65.1
UOA23	Base	70	0	0	1	0	0	1	5	1	0	0	0	1	6	1	0	1	0	1	52
Education	SRR/IR	36	0	0	1	0	0	0	4	0	0	0	0	1	3	0	0	0	0	1	26
	% Base	100	0	0	1.4	0	0	1.4	7.1	1.4	0	0	0	1.4	8.6	1.4	0	1.4	0	1.4	74.3
	% SRR/IR	100	0	0	2.8	0	0	0	11.1	0	0	0	0	2.8	8.3	0	0	0	0	2.8	72.2
UOA24	Base	11	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	11
Sport and Exercise Sciences	SRR/IR	5	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	5
	% Base	100	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	100
	% SRR/IR	100	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	100
UOA26	Base	12	0	0	0	0	0	0	1	0	0	0	0	0	4	0	1	0	0	0	6
Modern Languages and Linguistics	SRR/IR	11	0	0	0	0	0	0	1	0	0	0	0	0	3	0	1	0	0	0	6
	% Base	100	0	0	0	0	0	0	8.3	0	0	0	0	0	33.3	0	8.3	0	0	0	50.0
	% SRR/IR	100	0	0	0	0	0	0	9.1	0	0	0	0	0	27.3	0	9.1	0	0	0	54.5
UOA27	Base	14	0	0	0	0	0	0	1	0	0	0	0	0	3	0	0	0	0	0	10
English Language and Literature	SRR/IR	12	0	0	0	0	0	0	1	0	0	0	0	0	3	0	0	0	0	0	8
	% Base	100	0	0	0	0	0	0	7.1	0	0	0	0	0	21.4	0	0	0	0	0	71.4
	% SRR/IR	100	0	0	0	0	0	0	8.3	0	0	0	0	0	25.0	0	0	0	0	0	66.7
UOA28	Base	16	0	0	0	0	0	1	0	0	0	0	0	0	1	0	1	0	0	0	13
History	SRR/IR	14	0	0	0	0	0	1	0	0	0	0	0	0	0	0	1	0	0	0	12
	% Base	100	0	0	0	0	0	6.3	0	0	0	0	0	0	6.3	0	6.3	0	0	0	81.3
	% SRR/IR	100	0	0	0	0	0	7.1	0	0	0	0	0	0	0	0	7.1	0	0	0	85.7
UOA32	Base	68	0	0	0	0	1	1	1	1	1	0	0	4	5	0	0	0	0	0	54
Art and Design	SRR/IR	29	0	0	0	0	1	1	1	1	1	0	0	1	3	0	0	0	0	0	20
	% Base	100	0	0	0	0	1.5	1.5	1.5	1.5	1.5	0	0	5.9	7.4	0	0	0	0	0	79.4
	% SRR/IR	100	0	0	0	0	3.5	3.5	3.5	3,5	3.5	0	0	3.5	10.3	0	0	0	0	0	69.0
UOA33A	Base	36	0	0	0	0	1	0	0	0	1	0	0	0	12	0	3	0	0	0	19
Music	SRR/IR	34	0	0	0	0	1	0	0	0	1	0	0	0	12	0	3	0	0	0	17
	% Base	100	0	0	0	0	2.8	0	0	0	2.8	0	0	0	33.3	0	8.3	0	0	0	52.8

	% SRR/IR	100	0	0	0	0	2.9	0	0	0	2.9	0	0	0	35.3	0	8.8	0	0	0	50.0
UOA33B	Base	10	0	0	0	0	0	0	1	0	0	0	0	0	3	0	0	0	0	0	6
Drama	SRR/IR	10	0	0	0	0	0	0	1	0	0	0	0	0	3	0	0	0	0	0	6
	% Base	100	0	0	0	0	0	0	10.0	0	0	0	0	0	30.0	0	0	0	0	0	60.0
	% SRR/IR	100	0	0	0	0	0	0	10.0	0	0	0	0	0	30.0	0	0	0	0	0	60.0
UOA34	Base	16	1	0	0	0	0	0	0	0	0	0	0	0	4	1	0	0	0	0	10
Communication, Culture and Media Studies	SRR/IR	9	1	0	0	0	0	0	0	0	0	0	0	0	3	1	0	0	0	0	4
	% Base	100	6.3	0	0	0	0	0	0	0	0	0	0	0	25.0	6.3	0	0	0	0	62.5
	% SRR/IR	100	11.1	0	0	0	0	0	0	0	0	0	0	0	33.3	11.1	0	0	0	0	44.4

Table 3 Disability - SRR/IR compared to baseline by UOA

Note – SRR and IR data includes those expected to be eligible by the REF census date 31/7/2020

		Total headcount	Declared Disability Number of Staff	Declared Disability %
All Cat A staff	Base	871	31	3.56%
SRR/IR staff	SRR/IR	628	23	3.66%
UOA3	Base	109	7	6.42%
Allied Health Professions, Nursing and Pharmacy	SRR/IR	47	2	4.26%
UOA4	Base	34	2	5.88%
Psychology	SRR/IR	29	2	6.90%
UOA5	Base	39	2	5.13%
Biological Sciences	SRR/IR	33	2	6.06%
UOA8	Base	38	0	0.00%
Chemistry	SRR/IR	33	0	0.00%
UOA11	Base	39	0	0.00%
Computer Science and Informatics	SRR/IR	30	0	0.00%
UOA12	Base	107	1	0.93%
Engineering	SRR/IR	103	1	0.97%
UOA13	Base	29	1	3.45%
Architecture and Built Environment	SRR/IR	23	1	4.35%
UOA14	Base	6	0	0.00%
Geography and Environmental Studies	SRR/IR	6	0	0.00%
UOA17	Base	130	6	4.62%
Business and Management Studies	SRR/IR	100	5	5.00%
UOA18	Base	24	1	4.17%
Law	SRR/IR	16	1	6.25%
UOA20	Base	63	3	4.76%
Social Work and Social Policy	SRR/IR	43	3	6.98%
UOA23	Base	70	6	8.57%
Education	SRR/IR	36	4	11.11%
UOA24	Base	11	0	0.00%
Sport and Exercise Sciences	SRR/IR	5	0	0.00%
UOA26	Base	12	0	0.00%
Modern Languages and Linguistics	SRR/IR	11	0	0.00%
UOA27	Base	14	0	0.00%
English Language and Literature	SRR/IR	12	0	0.00%
UOA28	Base	16	0	0.00%
History	SRR/IR	14	1	7.14%
UOA32	Base	68	2	2.94%
Art and Design	SRR/IR	29	1	3.45%
UOA33A	Base	36	0	0.00%
Music	SRR/IR	34	0	0.00%
UOA33B	Base	10	0	0.00%
Drama	SRR/IR	10	0	0.00%
UOA34	Base	16	0	0.00%
Communication, Culture and Media Studies	SRR/IR	9	0	0.00%

Table 4 Sexual Orientation - SRR/IR compared to baseline by UOA

Note – SRR and IR data includes those expected to be eligible by the REF census date 31/7/2020

Key to table:

A	Bisexual
B	Gay
C	Heterosexual
D	Lesbian
E	Not known
F	Other
G	Prefer not to say

		Total headcount	A	B	C	D	E	F	G
All Cat A staff	Base	871	15	16	703	10	7	4	116
SRR/IR staff	SRR/IR	628	12	9	499	8	6	4	90
	% Base	100	1.72	1.84	80.71	1.15	0.80	0.46	13.32
	% SRR/IR	100	1.91	1.43	79.46	1.27	0.96	0.64	14.33

Table 5 Religion - SRR/IR compared to baseline by UOA

Note – SRR and IR data includes those expected to be eligible by the REF census date 31/7/2020

Key to table:

A	Agnostic
B	Atheist
C	Buddhist
D	Buddhist - Mahayana
E	Christian
F	Christian - Orthodox
G	Christian - Protestant
H	Christian - Roman Catholic
I	Hindu
J	Islam - Sunni
K	Jewish
L	Muslim
M	No Religion
N	Sikh
O	Not known
P	Other
Q	Prefer not to say

		Total head-count	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q
All Cat A staff	Base	871	32	64	13	1	202	13	16	32	7	16	2	29	291	4	7	22	120
SRR/IR staff	SRR/IR	628	19	50	12	1	126	12	11	26	5	12	2	25	219	2	5	15	86
	% Base	100	3.67	7.35	1.49	0.11	23.19	1.49	1.84	3.67	0.80	1.84	0.23	3.33	33.41	0.46	0.80	2.53	13.78
	% SRR/IR	100	3.03	7.96	1.91	0.16	20.06	1.91	1.75	4.14	0.80	1.91	0.32	3.98	34.87	0.32	0.80	2.39	13.69
UOA3	Base	109	6	5	0	0	40	0	4	5	1	5	0	3	32	0	0	1	7
Allied Health Professions, Nursing and Pharmacy	SRR/IR	47	2	3	0	0	19	0	1	3	0	4	0	3	11	0	0	0	1
	% Base	100	5.50	4.59	0.00	0.00	36.70	0.00	3.67	4.59	0.92	4.59	0.00	2.75	29.36	0.00	0.00	0.92	6.42
	% SRR/IR	100	4.26	6.38	0.00	0.00	40.43	0.00	2.13	6.38	0.00	8.51	0.00	6.38	23.40	0.00	0.00	0.00	2.13

UOA4	Base	34	4	4	1	0	6	0	0	0	0	0	0	0	16	1	0	0	2
Psychology	SRR/IR	29	3	4	1	0	4	0	0	0	0	0	0	0	15	0	0	0	2
	% Base	100	11.76	11.76	2.94	0.00	17.65	0.00	0.00	0.00	0.00	0.00	0.00	0.00	47.06	2.94	0.00	0.00	5.88
	% SRR/IR	100	10.34	13.79	3.45	0.00	13.79	0.00	0.00	0.00	0.00	0.00	0.00	0.00	51.72	0.00	0.00	0.00	6.90
UOA5	Base	39	1	6	0	0	11	1	0	1	0	0	0	1	15	0	0	1	2
Biological Sciences	SRR/IR	33	1	5	0	0	9	1	0	1	0	0	0	0	14	0	0	1	1
	% Base	100	2.56	15.38	0.00	0.00	28.21	2.56	0.00	2.56	0.00	0.00	0.00	2.56	38.46	0.00	0.00	2.56	5.13
	% SRR/IR	100	3.03	15.15	0.00	0.00	27.27	3.03	0.00	3.03	0.00	0.00	0.00	0.00	42.42	0	0	3.03	3.03
UOA8	Base	38	1	1	0	0	11	0	1	0	1	0	0	3	13	1	1	1	4
Chemistry	SRR/IR	33	0	1	0	0	10	0	1	0	1	0	0	2	12	0	1	1	4
	% Base	100	2.63	2.63	0.00	0.00	28.95	0.00	2.63	0.00	2.63	0.00	0.00	7.89	34.21	2.63	2.63	2.63	10.53
	% SRR/IR	100	0.00	3.03	0.00	0.00	30.30	0.00	3.03	0.00	3.03	0.00	0.00	6.06	36.36	0.00	3.03	3.03	12.12
UOA11	Base	39	4	5	1	0	4	2	1	2	0	0	0	3	13	0	0	0	4
Computer Science and Informatics	SRR/IR	30	3	4	1	0	4	2	1	2	0	0	0	2	12	0	0	0	4
	% Base	100	10.26	12.82	2.56	0.00	10.26	5.13	2.56	5.13	0.00	0.00	0.00	7.69	33.33	0.00	0.00	0.00	10.26
	% SRR/IR	100	8.57	11.43	2.86	0.00	11.43	5.71	2.86	5.71	0.00	0.00	0.00	5.71	34.29	0.00	0.00	0.00	11.43
UOA12	Base	107	1	7	2	0	21	4	2	4	2	6	0	7	33	1	1	2	14
Engineering	SRR/IR	103	1	6	2	0	20	4	2	4	2	5	0	7	32	1	1	2	14
	% Base	100	0.93	6.54	1.87	0.00	19.63	3.74	1.87	3.74	1.87	5.61	0.00	6.54	30.84	0.93	0.93	1.87	13.08
	% SRR/IR	100	0.97	5.83	1.94	0.00	19.42	3.88	1.94	3.88	1.94	4.85	0.00	6.80	31.07	0.97	0.97	1.94	13.59
UOA13	Base	29	0	4	2	0	5	1	1	1	1	0	0	0	7	0	0	3	4
Architecture and Built Environment	SRR/IR	23	0	4	2	0	3	1	1	1	0	0	0	0	5	0	0	2	4
	% Base	100	0.00	13.79	6.90	0.00	17.24	3.45	3.45	3.45	3.45	0.00	0.00	0.00	24.14	0.00	0.00	10.34	13.79
	% SRR/IR	100	0.00	17.39	8.70	0.00	13.04	4.35	4.35	4.35	0.00	0.00	0.00	0.00	21.74	0.00	0.00	8.70	17.39
UOA14	Base	6	0	2	0	0	0	0	1	0	0	0	0	0	3	0	0	0	0
Geography and Environmental Studies	SRR/IR	6	0	2	0	0	0	0	1	0	0	0	0	0	3	0	0	0	0
	% Base	100	0.00	33.33	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	50.00	0.00	0.00	0.00	0.00
	% SRR/IR	100	0.00	33.33	0.00	0.00	0.00	0.00	16.67	0.00	0.00	0.00	0.00	0.00	50.00	0.00	0.00	0.00	0.00
UOA17	Base	130	4	3	4	0	39	2	0	9	2	3	0	9	34	0	0	4	17
Business and Management Studies	SRR/IR	100	4	2	4	0	24	2	0	8	2	2	0	9	26	0	0	3	14
	% Base	100	3.08	2.31	3.08	0.00	30.00	1.54	0.00	6.92	1.54	2.31	0.00	6.92	26.15	0.00	0.00	3.08	13.08
	% SRR/IR	100	4.00	2.00	4.00	0.00	24.00	2.00	0.00	8.00	2.00	2.00	0.00	9.00	26.00	0.00	0.00	3.00	14.00
UOA18	Base	24	1	0	1	0	6	2	0	1	0	0	0	0	5	0	0	2	6
Law	SRR/IR	16	0	0	1	0	4	2	0	1	0	0	0	0	3	0	0	2	3
	% Base	100	4.17	0.00	4.17	0.00	25.00	8.33	0.00	4.17	0.00	0.00	0.00	0.00	20.83	0.00	0.00	8.33	25.00
	% SRR/IR	100	0.00	0.00	6.25	0.00	25.00	12.50	0.00	6.25	0.00	0.00	0.00	0.00	18.75	0.00	0.00	12.50	18.75
UOA20	Base	63	0	4	0	0	8	0	1	1	0	0	0	1	31	1	0	2	14
Social Work and Social Policy	SRR/IR	43	0	3	0	0	6	0	0	1	0	0	0	1	23	1	0	0	8
	% Base	100	0.00	6.35	0.00	0.00	12.70	0.00	1.59	1.59	0.00	0.00	0.00	1.59	49.21	1.59	0.00	3.17	22.22

	% SRR/IR	100	0.00	6.98	0.00	0.00	13.95	0.00	0.00	2.33	0.00	0.00	0.00	2.33	53.49	2.33	0.00	0.00	18.60
UOA23	Base	70	1	3	1	0	23	0	3	3	0	1	1	1	17	0	2	3	11
Education	SRR/IR	36	1	1	0	0	9	0	2	1	0	0	1	0	12	0	0	1	8
	% Base	100	1.43	4.29	1.43	0.00	32.86	0.00	4.29	4.29	0.00	1.43	1.43	1.43	24.29	0.00	2.86	4.29	15.71
	% SRR/IR	100	2.78	2.78	0.00	0.00	25.00	0.00	5.56	2.78	0.00	0.00	2.78	0.00	33.33	0.00	0.00	2.78	22.22
UOA24	Base	11	0	2	0	0	2	0	0	0	0	0	0	0	4	0	0	0	3
Sport and Exercise Sciences	SRR/IR	5	0	1	0	0	0	0	0	0	0	0	0	0	2	0	0	0	2
	% Base	100	0.00	18.18	0.00	0.00	18.18	0.00	0.00	0.00	0.00	0.00	0.00	0.00	36.36	0.00	0.00	0.00	27.27
	% SRR/IR	100	0.00	20.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	40.00	0.00	0.00	0.00	40.00
UOA26	Base	12	1	0	0	0	2	0	0	1	0	0	0	0	4	0	1	0	3
Modern Languages and Linguistics	SRR/IR	11	1	0	0	0	1	0	0	1	0	0	0	0	4	0	1	0	2
	% Base	100	8.33	0.00	0.00	0.00	16.67	0.00	0.00	8.33	0.00	0.00	0.00	0.00	33.30	0.00	8.33	0.00	25.00
	% SRR/IR	100	9.09	0.00	0.00	0.00	9.09	0.00	0.00	9.09	0.00	0.00	0.00	0.00	36.36	0.00	9.09	0.00	27.27
UOA27	Base	14	1	1	0	0	1	0	0	1	0	0	0	0	8	0	1	0	1
English Language and Literature	SRR/IR	12	1	1	0	0	1	0	0	1	0	0	0	0	6	0	1	0	1
	% Base	100	7.14	7.14	0.00	0.00	7.14	0.00	0.00	7.14	0.00	0.00	0.00	0.00	57.14	0.00	7.14	0.00	7.14
	% SRR/IR	100	8.33	8.33	0.00	0.00	8.33	0.00	0.00	8.33	0.00	0.00	0.00	0.00	50.00	0.00	8.33	0.00	8.33
UOA28	Base	16	2	1	0	0	4	0	1	0	0	0	0	0	4	0	0	0	4
History	SRR/IR	14	0	1	0	0	4	0	1	0	0	0	0	0	4	0	0	0	4
	% Base	100	12.50	6.25	0.00	0.00	25.00	0.00	6.25	0.00	0.00	0.00	0.00	0.00	25.00	0.00	0.00	0.00	25.00
	% SRR/IR	100	0.00	7.14	0.00	0.00	28.57	0.00	7.14	0.00	0.00	0.00	0.00	0.00	28.57	0.00	0.00	0.00	28.57
UOA32	Base	68	3	3	1	0	14	1	0	1	0	0	0	1	29	0	1	1	13
Art and Design	SRR/IR	29	0	0	1	0	4	0	0	0	0	0	0	1	17	0	1	1	4
	% Base	100	4.41	4.41	1.47	0.00	20.59	1.47	0.00	1.47	0.00	0.00	0.00	1.47	42.65	0.00	1.47	1.47	19.12
	% SRR/IR	100	0.00	0.00	3.45	0.00	13.79	0.00	0.00	0.00	0.00	0.00	0.00	3.45	58.62	0.00	3.45	3.45	13.79
UOA33A	Base	36	1	8	0	1	3	0	1	2	0	0	0	0	10	0	0	2	8
Music	SRR/IR	34	1	8	0	1	3	0	1	2	0	0	0	0	9	0	0	2	7
	% Base	100	2.78	22.22	0.00	2.78	8.33	0.00	2.78	5.56	0.00	0.00	0.00	0.00	27.78	0.00	0.00	5.56	22.22
	% SRR/IR	100	2.94	23.53	0.00	2.94	8.82	0.00	2.94	5.88	0.00	0.00	0.00	0.00	26.47	0.00	0.00	5.88	20.59
UOA33B	Base	10	1	1	0	0	0	0	0	0	0	0	1	0	5	0	0	0	2
Drama	SRR/IR	10	1	1	0	0	0	0	0	0	0	0	1	0	5	0	0	0	2
	% Base	100	10.00	10.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	10.00	0.00	50.00	0.00	0.00	0.00	20.00
	% SRR/IR	100	10.00	10.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	10.00	0.00	50.00	0.00	0.00	0.00	20.00
UOA34	Base	16	0	4	0	0	2	0	0	0	0	1	0	0	8	0	0	0	1
Communication, Culture and Media Studies	SRR/IR	9	0	3	0	0	1	0	0	0	0	1	0	0	4	0	0	0	0
	% Base	100	0.00	25.00	0.00	0.00	12.50	0.00	0.00	0.00	0.00	6.25	0.00	0.00	50.00	0.00	0.00	0.00	6.25
	% SRR/IR	100	0.00	33.33	0.00	0.00	11.11	0.00	0.00	0.00	0.00	11.11	0.00	0.00	44.44	0.00	0.00	0.00	0.00

Table 6 Age - SRR/IR compared to baseline by UOA

Note – SRR and IR data includes those expected to be eligible by the REF census date 31/7/2020

		Total headcount	Age 25-34	Age 35-44	Age 45-54	Age 55-64	Age 65+
All Cat A staff	Base	871	125	271	266	173	36
SRR/IR staff	SRR/IR	628	96	201	178	124	29
	% Base	100%	14.35%	31.11%	30.54%	19.86%	4.13%
	% SRR/IR	100%	15.29%	32.01%	28.34%	19.75%	4.62%
UOA3	Base	109	9	33	46	20	1
Allied Health Professions, Nursing and Pharmacy	SRR/IR	47	3	11	19	13	1
	% Base	100%	8.26%	30.28%	42.20%	18.35%	0.92%
	% SRR/IR	100%	6.38%	23.40%	40.43%	27.66%	2.13%
UOA4	Base	34	10	10	9	5	0
Psychology	SRR/IR	29	8	8	8	5	0
	% Base	100%	29.41%	29.41%	26.47%	14.71%	0.00%
	% SRR/IR	100%	27.59%	27.59%	27.59%	17.24%	0.00%
UOA5	Base	39	6	16	13	4	0
Biological Sciences	SRR/IR	33	4	15	10	4	0
	% Base	100%	15.38%	41.03%	33.33%	10.26%	0.00%
	% SRR/IR	100%	12.12%	45.45%	30.30%	12.12%	0.00%
UOA8	Base	38	1	21	9	6	1
Chemistry	SRR/IR	33	1	18	9	5	0
	% Base	100%	2.63%	55.26%	23.68%	15.79%	2.63%
	% SRR/IR	100%	3.03%	54.55%	27.27%	15.15%	0.00%
UOA11	Base	39	7	14	9	9	0
Computer Science and Informatics	SRR/IR	30	5	12	8	10	0
	% Base	100%	17.95%	35.90%	23.08%	23.08%	0.00%
	% SRR/IR	100%	14.29%	34.29%	22.86%	28.57%	0.00%
UOA12	Base	107	27	31	23	20	6

Engineering	SRR/IR	103	22	33	22	20	6
	% Base	100%	25.23%	28.97%	21.50%	18.69%	5.61%
	% SRR/IR	100%	21.36%	32.04%	21.36%	19.42%	5.83%
UOA13	Base	29	2	7	10	7	3
Architecture and Built Environment	SRR/IR	23	2	7	8	4	2
	% Base	100%	6.90%	24.14%	34.48%	24.14%	10.34%
	% SRR/IR	100%	8.70%	30.43%	34.78%	17.39%	8.70%
UOA14	Base	6	4	1	1	0	0
Geography and Environmental Studies	SRR/IR	6	4	1	1	0	0
	% Base	100%	66.67%	16.67%	16.67%	0.00%	0.00%
	% SRR/IR	100%	66.67%	16.67%	16.67%	0.00%	0.00%
UOA17	Base	130	19	44	37	25	5
Business and Management Studies	SRR/IR	100	17	36	24	19	4
	% Base	100%	14.62%	33.85%	28.46%	19.23%	3.85%
	% SRR/IR	100%	17.00%	36.00%	24.00%	19.00%	4.00%
UOA18	Base	24	3	9	4	8	0
Law	SRR/IR	16	3	6	3	4	0
	% Base	100%	12.50%	37.50%	16.67%	33.33%	0.00%
	% SRR/IR	100%	18.75%	37.50%	18.75%	25.00%	0.00%
UOA20	Base	63	7	17	16	15	8
Social Work and Social Policy	SRR/IR	43	4	15	8	10	6
	% Base	100%	11.11%	26.98%	25.40%	23.81%	12.70%
	% SRR/IR	100%	9.30%	34.88%	18.60%	23.26%	13.95%
UOA23	Base	70	3	11	27	24	5
Education	SRR/IR	36	2	2	15	13	4
	% Base	100%	4.29%	15.71%	38.57%	34.29%	7.14%
	% SRR/IR	100%	5.56%	5.56%	41.67%	36.11%	11.11%
UOA24	Base	11	4	4	3	0	0
Sport and Exercise Sciences	SRR/IR	5	3	1	1	0	0
	% Base	100%	36.36%	36.36%	27.27%	0.00%	0.00%
	% SRR/IR	100%	60.00%	20.00%	20.00%	0.00%	0.00%
UOA26	Base	12	6	1	2	2	1
Modern Languages and Linguistics	SRR/IR	11	6	1	1	1	2
	% Base	100%	50.00%	8.33%	16.67%	16.67%	8.33%
	% SRR/IR	100%	54.55%	9.09%	9.09%	9.09%	18.18%

UOA27	Base	14	1	6	4	2	1
English Language and Literature	SRR/IR	12	1	4	5	2	0
	% Base	100%	7.14%	42.86%	28.57%	14.29%	7.14%
	% SRR/IR	100%	8.33%	33.33%	41.67%	16.67%	0.00%
UOA28	Base	16	2	3	5	3	3
History	SRR/IR	14	1	3	4	3	3
	% Base	100%	12.50%	18.75%	31.25%	18.75%	18.75%
	% SRR/IR	100%	7.14%	21.43%	28.57%	21.43%	21.43%
UOA32	Base	68	7	22	27	12	0
Art and Design	SRR/IR	29	4	10	12	3	0
	% Base	100%	10.29%	32.35%	39.71%	17.65%	0.00%
	% SRR/IR	100%	13.79%	34.48%	41.38%	10.34%	0.00%
UOA33A	Base	36	4	16	10	4	2
Music	SRR/IR	34	3	15	11	4	1
	% Base	100%	11.11%	44.44%	27.78%	11.11%	5.56%
	% SRR/IR	100%	8.82%	44.12%	32.35%	11.76%	2.94%
UOA33B	Base	10	1	1	5	3	0
	SRR/IR	10	1	1	5	3	0
	% Base	100%	10.00%	10.00%	50.00%	30.00%	0.00%
	% SRR/IR	100%	10.00%	10.00%	50.00%	30.00%	0.00%
UOA34	Base	16	2	4	6	4	0
Communication, Culture and Media Studies	SRR/IR	9	2	2	4	1	0
	% Base	100%	12.50%	25.00%	37.50%	25.00%	0.00%
	% SRR/IR	100%	22.22%	22.22%	44.44%	11.11%	0.00%

Table 7 Marital Status - SRR/IR compared to baseline by UOA

Note – SRR and IR data includes those expected to be eligible by the REF census date 31/7/2020

Key to table:

A	Civil Partnership
B	Divorced
C	Estranged
D	Married
E	Not known
F	Not specified
G	Other
H	Partner
I	Single
J	Widowed

		Total headcount	A	B	C	D	E	F	G	H	I	J
All Cat A staff	Base	871	2	19	6	476	7	19	30	73	236	3
SRR/IR staff	SRR/IR	628	2	11	4	344	4	16	16	50	179	2
	% Base	100%	0.23	2.18	0.69	54.65	0.8	2.18	3.44	8.38	27.10	0.34
	% SRR/IR	100%	0.32	1.75	0.64	54.78	0.64	2.55	2.55	7.96	28.50	0.32
UOA3	Base	109	0	6	2	73	0	1	4	6	17	0
Allied Health Professions, Nursing and Pharmacy	SRR/IR	47	0	2	1	33	0	0	1	1	9	0
	% Base	100%	0.00	5.50	1.83	66.97	0.00	0.92	3.67	5.50	15.60	0.00
	% SRR/IR	100%	0.00	4.26	2.13	70.21	0.00	0.00	2.13	2.13	19.15	0.00
UOA4	Base	34	0	1	0	15	1	0	0	5	12	0
Psychology	SRR/IR	29	0	1	0	12	0	0	0	4	12	0
	% Base	100%	0.00	2.94	0.00	44.12	2.94	0.00	0.00	14.71	35.29	0.00
	% SRR/IR	100%	0.00	3.45	0.00	41.38	0.00	0.00	0.00	13.79	41.38	0.00
UOA5	Base	39	0	0	0	26	0	0	0	4	9	0
Biological Sciences	SRR/IR	33	0	0	0	22	0	0	0	3	8	0
	% Base	100%	0.00	0.00	0.00	66.67	0.00	0.00	0.00	10.26	23.08	0.00
	% SRR/IR	100%	0.00	0.00	0.00	66.67	0.00	0.00	0.00	9.09	24.24	0.00
UOA8	Base	38	0	0	0	22	0	0	1	1	14	0

Chemistry	SRR/IR	33	0	0	0	19	0	0	0	1	13	0
	% Base	100%	0.00	0.00	0.00	57.89	0.00	0.00	2.63	2.63	36.84	0.00
	% SRR/IR	100%	0.00	0.00	0.00	57.58	0.00	0.00	0.00	3.03	39.39	0.00
UOA11	Base	39	0	0	0	21	0	0	1	3	14	0
Computer Science and Informatics	SRR/IR	30	0	0	0	20	0	0	1	2	12	0
	% Base	100%	0.00	0.00	0.00	53.85	0.00	0.00	2.56	7.69	35.90	0.00
	% SRR/IR	100%	0.00	0.00	0.00	57.14	0.00	0.00	2.86	5.71	34.29	0.00
UOA12	Base	107	0	3	0	60	3	4	2	5	29	1
Engineering	SRR/IR	103	0	3	0	58	3	4	2	5	27	1
	% Base	100%	0.00	2.80	0.00	56.07	2.80	3.74	1.87	4.67	27.10	0.93
	% SRR/IR	100%	0.00	2.91	0.00	56.31	2.91	3.88	1.94	4.85	26.21	0.97
UOA13	Base	29	0	0	0	18	0	1	1	1	8	0
Architecture and Built Environment	SRR/IR	23	0	0	0	14	0	1	0	1	7	0
	% Base	100%	0.00	0.00	0.00	62.07	0.00	3.45	3.45	3.45	27.59	0.00
	% SRR/IR	100%	0.00	0.00	0.00	60.87	0.00	4.35	0.00	4.35	30.43	0.00
UOA14	Base	6	0	1	0	3	0	0	0	1	1	0
Geography and Environmental Studies	SRR/IR	6	0	1	0	3	0	0	0	1	1	0
	% Base	100%	0.00	16.67	0.00	50.00	0.00	0.00	0.00	16.67	16.67	0.00
	% SRR/IR	100%	0.00	16.67	0.00	50.00	0.00	0.00	0.00	16.67	16.67	0.00
UOA17	Base	130	0	2	1	84	0	1	3	10	29	0
Business and Management Studies	SRR/IR	100	0	1	1	62	0	1	1	8	26	0
	% Base	100%	0.00	1.54	0.77	64.62	0.00	0.77	2.31	7.69	22.31	0.00
	% SRR/IR	100%	0.00	1.00	1.00	62.00	0.00	1.00	1.00	8.00	26.00	0.00
UOA18	Base	24	0	1	0	10	0	1	2	3	7	0
Law	SRR/IR	16	0	1	0	6	0	1	1	2	5	0
	% Base	100%	0.00	4.17	0.00	41.67	0.00	4.17	8.33	12.50	29.17	0.00
	% SRR/IR	100%	0.00	6.25	0.00	37.50	0.00	6.25	6.25	12.50	31.25	0.00
UOA20	Base	63	1	0	1	23	0	0	5	7	26	0
Social Work and Social Policy	SRR/IR	43	1	0	1	13	0	0	3	7	18	0
	% Base	100%	1.59	0.00	1.59	36.51	0.00	0.00	7.94	11.11	41.27	0.00
	% SRR/IR	100%	2.33	0.00	2.33	30.23	0.00	0.00	6.98	16.28	41.86	0.00
UOA23	Base	70	0	2	1	43	1	2	2	8	9	2
Education	SRR/IR	36	0	0	0	25	0	0	1	4	5	1
	% Base	100%	0.00	2.86	1.43	61.43	1.43	2.86	2.86	11.43	12.86	2.86
	% SRR/IR	100%	0.00	0.00	0.00	69.44	0.00	0.00	2.78	11.11	13.89	2.78
UOA24	Base	11	0	0	0	6	0	0	0	0	5	0
Sport and Exercise Sciences	SRR/IR	5	0	0	0	2	0	0	0	0	3	0
	% Base	100%	0.00	0.00	0.00	54.55	0.00	0.00	0.00	0.00	45.45	0.00
	% SRR/IR	100%	0.00	0.00	0.00	40.00	0.00	0.00	0.00	0.00	60.00	0.00

UOA26	Base	12	0	0	0	5	0	2	0	2	3	0
Modern Languages and Linguistics	SRR/IR	11	0	0	0	4	0	2	0	2	3	0
	% Base	100%	0.00	0.00	0.00	41.67	0.00	16.67	0.00	16.67	25.00	0.00
	% SRR/IR	100%	0.00	0.00	0.00	36.36	0.00	18.18	0.00	18.18	27.27	0.00
UOA27	Base	14	0	0	0	9	0	1	2	0	2	0
English Language and Literature	SRR/IR	12	0	0	0	8	0	1	1	0	2	0
	% Base	100%	0.00	0.00	0.00	64.29	0.00	7.14	14.29	0.00	14.29	0.00
	% SRR/IR	100%	0.00	0.00	0.00	66.67	0.00	8.33	8.33	0.00	16.67	0.00
UOA28	Base	16	0	0	0	8	0	2	1	1	4	0
History	SRR/IR	14	0	0	0	8	0	2	1	0	3	0
	% Base	100%	0.00	0.00	0.00	50.00	0.00	12.50	6.25	6.25	25.00	0.00
	% SRR/IR	100%	0.00	0.00	0.00	57.14	0.00	14.29	7.14	0.00	21.43	0.00
UOA32	Base	68	0	1	0	22	1	3	3	7	31	0
Art and Design	SRR/IR	29	0	1	0	11	1	3	1	0	12	0
	% Base	100%	0.00	1.47	0.00	32.35	1.47	4.41	4.41	10.29	45.59	0.00
	% SRR/IR	100%	0.00	3.45	0.00	37.93	3.45	10.34	3.45	0.00	41.38	0.00
UOA33A	Base	36	1	1	0	17	0	1	2	4	10	0
Music	SRR/IR	34	1	0	0	17	0	1	2	4	9	0
	% Base	100%	2.78	2.78	0.00	47.22	0.00	2.78	5.56	11.11	27.78	0.00
	% SRR/IR	100%	2.94	0.00	0.00	50.00	0.00	2.94	5.88	11.76	26.47	0.00
UOA33B	Base	10	0	1	1	4	0	0	1	0	3	0
	SRR/IR	10	0	1	1	4	0	0	1	0	3	0
	% Base	100%	0.00	10.00	10.00	40.00	0.00	0.00	10.00	0.00	30.00	0.00
	% SRR/IR	100%	0.00	10.00	10.00	40.00	0.00	0.00	10.00	0.00	30.00	0.00
UOA34	Base	16	0	0	0	7	1	0	0	5	3	0
Communication, Culture and Media Studies	SRR/IR	9	0	0	0	3	0	0	0	5	1	0
	% Base	100%	0.00	0.00	0.00	43.75	6.25	0.00	0.00	31.25	18.75	0.00
	% SRR/IR	100%	0.00	0.00	0.00	33.33	0.00	0.00	0.00	55.56	11.11	0.00

Table 8 Maternity Leave Taken - SRR/IR compared to baseline by UOA

Note – SRR and IR data includes those expected to be eligible by the REF census date 31/7/2020

		Total headcount	Maternity Leave Number of Staff	Maternity Leave Taken %
All Cat A female staff	Base	387	37	9.56%
SRR/IR female staff	SRR/IR	236	23	9.75%
UOA3	Base	69	6	8.70%
Allied Health Professions, Nursing and Pharmacy	SRR/IR	24	1	4.17%
UOA4	Base	16	1	6.25%
Psychology	SRR/IR	15	1	6.67%
UOA5	Base	18	2	11.11%
Biological Sciences	SRR/IR	12	0	0.00%
UOA8	Base	6	1	16.67%
Chemistry	SRR/IR	5	1	20.00%
UOA11	Base	6	0	0.00%
Computer Science and Informatics	SRR/IR	5	1	20.00%
UOA12	Base	13	2	15.38%
Engineering	SRR/IR	13	2	15.38%
UOA13	Base	8	1	12.50%
Architecture and Built Environment	SRR/IR	6	1	16.67%
UOA14	Base	2	0	0.00%
Geography and Environmental Studies	SRR/IR	2	0	0.00%
UOA17	Base	60	4	6.67%
Business and Management Studies	SRR/IR	45	2	4.44%
UOA18	Base	15	2	13.33%
Law	SRR/IR	9	0	0.00%
UOA20	Base	34	4	11.76%
Social Work and Social Policy	SRR/IR	23	4	17.39%
UOA23	Base	48	2	4.17%
Education	SRR/IR	18	1	5.56%
UOA24	Base	5	0	0.00%
Sport and Exercise Sciences	SRR/IR	2	0	0.00%
UOA26	Base	7	2	28.57%
Modern Languages and Linguistics	SRR/IR	6	2	33.33%
UOA27	Base	7	2	28.57%
English Language and Literature	SRR/IR	5	2	40.00%
UOA28	Base	8	1	12.50%
History	SRR/IR	7	1	14.29%
UOA32	Base	42	5	11.90%
Art and Design	SRR/IR	19	2	10.53%
UOA33A	Base	13	2	15.38%
Music	SRR/IR	12	2	16.67%
UOA33B	Base	4	0	0.00%
Drama	SRR/IR	4	0	0.00%
UOA34	Base	6	0	0.00%
Communication, Culture and Media Studies	SRR/IR	4	0	0.00%

Table 9 Paternity Leave Taken - SRR/IR compared to baseline by UOA

Note – SRR and IR data includes those expected to be eligible by the REF census date 31/7/2020

		Total headcount	Paternity Leave Number of Staff	Paternity Leave Taken %
All Cat A male staff	Base	484	38	7.85%
SRR/IR male staff	SRR/IR	392	35	8.93%
UOA3	Base	40	3	7.50%
Allied Health Professions, Nursing and Pharmacy	SRR/IR	23	2	8.70%
UOA4	Base	18	4	22.22%
Psychology	SRR/IR	14	4	28.57%
UOA5	Base	21	2	9.52%
Biological Sciences	SRR/IR	21	2	9.52%
UOA8	Base	32	3	9.38%
Chemistry	SRR/IR	28	3	10.71%
UOA11	Base	33	1	3.03%
Computer Science and Informatics	SRR/IR	30	1	3.33%
UOA12	Base	94	13	13.83%
Engineering	SRR/IR	90	12	13.33%
UOA13	Base	21	1	4.76%
Architecture and Built Environment	SRR/IR	17	1	5.88%
UOA14	Base	4	0	0.00%
Geography and Environmental Studies	SRR/IR	4	0	0.00%
UOA17	Base	70	7	10.00%
Business and Management Studies	SRR/IR	55	7	12.73%
UOA18	Base	9	0	0.00%
Law	SRR/IR	7	0	0.00%
UOA20	Base	29	2	6.90%
Social Work and Social Policy	SRR/IR	20	2	10.00%
UOA23	Base	22	0	0.00%
Education	SRR/IR	18	0	0.00%
UOA24	Base	6	0	0.00%
Sport and Exercise Sciences	SRR/IR	3	0	0.00%
UOA26	Base	5	0	0.00%
Modern Languages and Linguistics	SRR/IR	5	0	0.00%
UOA27	Base	7	0	0.00%
English Language and Literature	SRR/IR	7	0	0.00%
UOA28	Base	8	0	0.00%
History	SRR/IR	7	0	0.00%
UOA32	Base	26	1	3.85%
Art and Design	SRR/IR	10	0	0.00%
UOA33A	Base	23	0	0.00%
Music	SRR/IR	22	0	0.00%
UOA33B	Base	6	0	0.00%
Drama	SRR/IR	6	0	0.00%
UOA34	Base	10	1	10.00%
Communication, Culture and Media Studies	SRR/IR	5	1	20.00%