REF2021
 Code of Practice

November 2019

CONTENTS

REF2021 CODE OF PRACTICE

1. This REF2021 Code of Practice (the Code) sets out how the University will manage the process of developing our submission to the Research Excellence Framework 2021 (REF2021) and specifically our processes for identifying staff with significant responsibility for research, for determining research independence and for selecting outputs, fairly and equitably. This Code operates within the requirements of the Equality Act 2010, relevant employment law and the University's own policy on equal opportunities[1].

2. Our research culture at the University of Hertfordshire is defined by a strong spirit of enquiry, innovation and enterprise and feeds directly into teaching and learning. RAE2008 and REF2014 demonstrated that we are an institution in which there are pockets of research excellence. Since REF2014 we have been committed to ensuring that research excellence can continue to flourish in a challenging funding environment and that we can support scholarly work in other areas of the University to enrich our teaching. All our academic staff are on the same contract but given the nature of the University there are different ways in which everyone can contribute to its excellence: teaching; research; and enterprise.

KEY PRINCIPLES

3. Working within the framework of transparency, consistency, accountability and inclusivity and the University policy on equality and diversity[2], it is our intention to make the highest-quality submission possible to REF2021 reflecting the University's research strengths, and to support the University's research ambitions beyond 2021. The

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1   This Code will be effective from the point at which notification of its formal approval is obtained from Research England.

2   University Policy and Regulations (UPR) EQ03 - Equality and Diversity Policy.

REF2021 submission is an institutional submission reflecting the research excellence of the Units of Assessment included.

- **Transparency:** through wide consultation on this Code of Practice, detailed in Annex A, we have been transparent in our approach to establishing the process by which staff have significant responsibility for research and are determined to be independent researchers. It has also been made clear that neither the REF2021 submission, nor the process leading up to it, are part of the University's promotion process for academic staff.

- **Consistency:** we will apply the processes for determination of significant responsibility for research and research independence consistently across each Unit of Assessment and the University as a whole.   For example, the process will include a series of meetings at each stage for every Unit of Assessment which will be chaired by the Pro Vice-Chancellor (Research and Enterprise) and attended by the Head of the Research Office to ensure a consistent approach is adopted. In addition, this process will be overseen by the REF2021 Steering Group which will be required to approve recommendations from these Unit of Assessment meetings. Staff on fixed-term or part-time academic or research-only contracts will not be treated any differently to those on open-ended full-time academic or research-only contracts. During their term of employment academic or research-only staff on fixed-term and part-time contracts are treated in the same way as academic or research-only staff on open-ended full-time contracts[3].

- **Accountability:** this Code sets out the individuals, groups and committees involved in our REF2021 decision-making. All staff responsibilities are shown in Annex B and groups and committees have appropriate terms of reference setting out their membership and objectives provided in Annexes C-G. In addition minutes of meetings have kept a clear record of discussions and decisions.

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3   It should be noted that Visiting Lecturer contracts do not meet REF2021 employment eligibility requirements.

- **Inclusivity:** in developing the REF2021 submission the University has started from a position of inclusivity, both of staff and outputs. We have recognised from the outset that not all academic staff are independent researchers nor do they all have significant responsibility for research in their workload as a consequence of contract. We have also made it clear that academic and research staff who are not yet independent researchers and hence do not yet have significant responsibility for research as defined in this Code, will be supported through the appraisal process and appropriate activities in the Staff Development Programme to develop their research skills and experience. Furthermore, we recognise that there may be many reasons why individuals produce outputs at different rates. We therefore do not expect every staff member with significant responsibility for research to contribute equally to the volume of outputs submitted.

EQUALITY, DIVERSITY AND INCLUSION

4. The Equality Impact Assessment for the REF2014 submission showed that the profile of staff submitted to REF2014 was broadly in line with the profile for academic staff at the University of Hertfordshire in 2014. Since REF2014 the actions taken underpin our strong commitment to equality and diversity and the development of our researchers has continued as evidenced by:

- **ATHENA SWAN AWARD AND ITS RENEWAL.** In 2018 the University's Athena SWAN Bronze institutional status, first achieved in 2015, was renewed in recognition of our continued commitment to advancing gender equality, including representation, progression and success for all. Two of our Schools have been awarded Silver status – Physics, Astronomy and Mathematics and Health and Social Work. Six Schools, Engineering and Computer Science, Life and Medical Sciences, Education, Creative Arts, Business and Humanities, have achieved Bronze status. Working with the Athena SWAN Charter has helped the University engage with staff and students, identify issues affecting women and men across all subjects, develop ways to increase representation and support career development. The University and its

Schools are ensuring that their Athena SWAN action plans are being implemented so that we can continue to reflect on, and improve, current practices.

- **ACHIEVING THE BRONZE AWARD FOR THE PILOT OF THE RACE EQUALITY CHARTER MARK** in 2015 and resubmitting for renewal in July 2019. The Charter Mark aims to inspire a strategic approach to making cultural and systemic changes that will make a real difference to minority ethnic staff and students. The University is one of only 10 institutions to have been successful in achieving this award.

- **JUNO PRACTITIONER STATUS** for the School of Physics, Astronomy and Mathematics since 2015 demonstrating a robust organisational framework to deliver equality of opportunity and reward. A submission for Juno Champion status was made in April 2019 and the result will be known in July 2019.

- **OUR WORK IN RELATION TO LESBIAN, GAY, BISEXUAL AND TRANSGENDER (LGBT) STAFF** on policy and practice such as promoting the visibility of senior LGBT role models, guaranteeing access to benefits for same-sex partners and training employees on discrimination issues.

- **RETAINING THE HR EXCELLENCE IN RESEARCH AWARD IN 2019** following the 8-year review, first obtained in 2010.

- **OUR BIENNIAL RESEARCHER DEVELOPMENT CONFERENCE**, ResDev, and our annual Research Student conference open to all University staff and research students.

- **THE ESTABLISHMENT OF SIX STAFF NETWORKS** providing an informal and safe space where staff can be themselves and discuss issues/challenges of specific interest that influence them at work. The networks are the Black, Asian and Minority Ethnic Groups; Carers; Disability and Wellbeing; Lesbian, Gay, Bisexual and Trans+; Working Parents; and Menopause. These networks also act as a platform for groups to have a voice within the University.

COMMUNICATION

5. Communication about preparations for REF2021 is being overseen by the Pro Vice-Chancellor (Research and Enterprise). Communication channels have been through

appropriate committees and staff meetings, email, the intranet and by letter to staff known to be on long term leave of absence from the University as well as through Associate Deans (Research) and Unit of Assessment Coordinators in their Schools. Consultation on the Code has taken place with staff representative groups as well as with the staff body as a whole. Details of the consultation process are shown in Annex A. When it is formally confirmed by Research England that the University's Code meets the REF2021 published requirements, the Code will be published on the University's website. Staff will be informed by email, the Research Themes and Research Office Newsletter and by post to staff on long term leave of absence when the Code is published. The attention of staff will be drawn to the Staff Circumstances and Appeals sections.

6. Agreement has been sought from University of Hertfordshire branch of the University and College Union which has confirmed in writing on 31 May 2019 that it is perfectly content to sign off the Code of Practice including both the processes established to identify staff with significant responsibility for research and staff who are independent researchers set out in Part 2 and Part 3 respectively.

EQUALITY IMPACT ASSESSMENT

7. As set out in paragraphs 45-50 we will undertake an Equality Impact Assessment (EIA) on the process for determining which staff have significant responsibility for research and are independent researchers; on the distribution of selected outputs across staff by protected characteristic defined by the Equality Act 2010, in the context of the characteristics of the submitted staff pool; on the final submission; as well as on the Code of Practice itself. We will use the data generated to better understand equality, diversity and inclusion in research to identify key issues, barriers and challenges and how we might address them.

PART 2: IDENTIFYING STAFF WITH SIGNIFICANT RESPONSIBILITY FOR RESEARCH

ELIGIBILITY FOR SUBMISSION TO REF2021

8. In order to be eligible for submission to REF2021, staff must:

- be employed by the University on the REF2021 census date of 31 July 2020;

- possess a contract of 0.2 FTE or more;

- be reported to HESA as either "Teaching and Research" or "Research only"; and

- have a substantive connection to the institution.

9. For staff with a contract between 0.2FTE and 0.29 FTE the University must also provide a statement to demonstrate their connection to the institution; for example confirming that they are involved in teaching, research student supervision, mentoring, or co-producing research with others in their submitting Unit of Assessment.

10. All staff entering REF2021 must be independent researchers and further detail on the University's methodology in relation to research independence is provided in Part 3: Determining research independence.

CRITERIA FOR IDENTIFYING STAFF WITH SIGNIFICANT RESPONSIBILITY FOR RESEARCH

11. On the basis of accepted historical norms at the University in relation to the allocation of time to undertake research and based initially on the draft REF2021 Guidance on Submissions published in 2018 and subsequently the final Guidance, in discussion at the REF2021 Steering Group and in consultation with staff representative groups (Joint Negotiating and Consultative Committee of the Representative Trades Unions, Research Committee and the Academic Board), it has been agreed that staff who have significant responsibility for research are those for whom all the following criteria apply:

(a) they receive a research allocation in their workload in which to undertake research of at least 0.2 FTE or 20% pro rata (excluding the research and scholarly self-managed activity within the academic staff contract) and,

(b) they engage actively in independent research as defined in Part 3; and,

(c) research is an expectation of their job.

12. At the University of Hertfordshire there are several timetabling models[4] operating across the different Schools. The 0.2 FTE or 20% pro rata research allocation of workload is implemented in relation to the individual School timetabling approach and is therefore consistently applied across the University.

13. The 0.2 FTE research allocation for staff on 1.0 FTE contracts was determined in relation to historical allocation norms for research across the University and the view that a day a week (or equivalent) dedicated for research (pro rata) is appropriate in order to have significant responsibility for research.

14. Decisions concerning workload allocation for individual staff are made on an annual basis by each academic School as an outcome of the appraisal process. The decision considers an individual's research activity and research plans (for those who undertake research) and the teaching needs for the forthcoming session alongside the expectations about an individual's role. Each School has its own process for notifying staff about their workload allocation for each academic session.

DETERMINING WHETHER RESEARCH IS AN EXPECTATION OF THE ROLE

15. The development of the process for the identification of staff with significant responsibility for research started from the position that at the University of Hertfordshire there is a single academic staff contract which covers learning and teaching, enterprise, and research. Whilst all staff on this contract are expected to undertake scholarly activity to support and enrich their teaching, not all staff on this contract are expected to undertake research as a part of their role.

16. The expectations of academic staff in terms of their respective focus – Learning and Teaching, Enterprise and Entrepreneurship, or Research – are agreed through the annual appraisal process and supported through the workload planning process.

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4   One approach ascribes the academic contract as 38 weeks multiplied by 37 hours per week giving an overall total of 1406 hours for the academic year without research and scholarly self-managed activity. Therefore, a research allocation above 281 hours (i.e. typically 300 hours) meets the 0.2 FTE threshold. Another practice is based on 550 hours of load per year and therefore the 0.2 FTE research allocation is 110 hours.

- **PROFESSOR**: A professorship may be conferred in terms of a proven record of distinction as a scholar, teacher, business person, entrepreneur, consultant or practitioner in one or more of the following: contribution by research, entrepreneurship, business endeavours, consultancy, original works in the creative arts or professional practice to the furtherance of knowledge, advancement of the subject or its application to society. Research is an expectation of the job role of Professor only for those professors who received their title based on their contribution to research and original works (in the case of the creative arts) and where associated research activities are agreed at appraisal.

- **READER**: The title of 'Reader' is awarded by the University to a member of the University's academic staff in recognition of a candidate's distinction in research, entrepreneurship, consultancy and original works in the creative arts or professional practice. A Reader is a leader of national standing in his or her own field and is normally involved in the direct personal supervision of other staff and/or students. Research is an expectation of the job role of Reader only for those readers who received their title based on their contribution to research and original works (in the case of the creative arts) and where associated research activities are agreed at appraisal.

- **ASSOCIATE PROFESSOR (RESEARCH):** The title of Associate Professor (Research) is awarded to individuals who meet a set of published criteria in relation to research and therefore research is an expectation of their job role.

- **LECTURER, SENIOR LECTURER AND PRINCIPAL LECTURER**: For a lecturer, senior lecturer or principal lecturer research must be agreed at appraisal as an expectation of their job role and they must be engaged actively in independent research as evidenced by the criteria set out in paragraph 54.

17. A flow chart showing the process for determining eligibility for the REF2021 submission including research independence and significant responsibility for research is shown in Figure 1.

18. An analysis has been undertaken by the Research Office in association with Associate Deans (Research) and Unit of Assessment Coordinators of all Category A eligible staff against the criteria for significant responsibility for research.

19. Individual Unit of Assessment review meetings were held over the period May and June 2019 between the Pro Vice-Chancellor (Research and Enterprise), the Associate Dean (Research), the Unit of Assessment Coordinator and the Head of the Research Office to consider all staff associated with each Unit of Assessment. These meetings determined for each Unit of Assessment to be submitted, which specific Category A staff fulfilled the criteria identified in paragraph 11 to be designated as having significant responsibility for research in order to be submitted to REF2021, following the process shown in Figure 1.

20. Before the Unit of Assessment review meetings noted in paragraph 19 it was the expectation that the Associate Deans (Research) would discuss and agree the recommendations they were going to make with their Dean of School.

21. Recommendations from the Unit of Assessment review meetings will be made to the REF2021 Steering Group for its consideration and agreement. These decisions will be notified to all staff on an individual basis after formal approval of the University REF2021 Code of Practice by Research England.
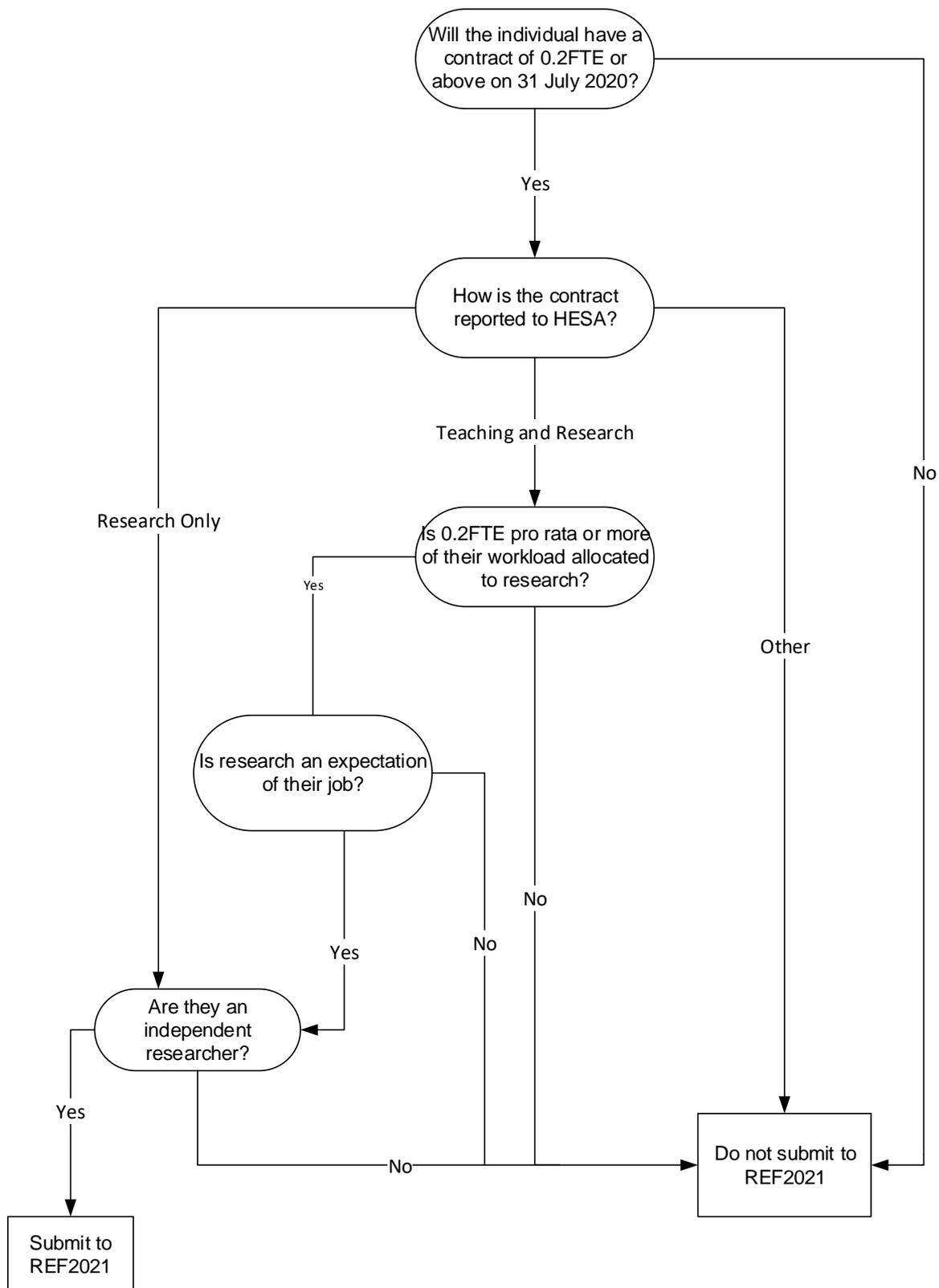
Figure 1: the process for determining eligibility for the REF2021 submission including research independence and significant responsibility for research.

22. Category A staff who are appointed to the University after the completion of the Unit of Assessment review meetings will be considered following the process indicated in paragraphs 18-21 and then will be advised of their position in relation to significant responsibility for research by email in august 2020.

STAFF, COMMITTEES AND TRAINING

STAFF AND COMMITTEES

23. The University has used its existing governance structures for research to appoint designated staff and to establish a REF2021 Steering Group to advise and make decisions on the development of a code of practice on the fair and transparent identification of staff with significant responsibility for research; determining who is an independent researcher; and on the selection of outputs. The terms of reference and membership of the REF2021 Steering Group are provided in Annex C.

24. The Pro Vice-Chancellor (Research and Enterprise) is the senior officer of the University tasked with leading University research, chairing the University Research Committee and having overall responsibility for the delivery of research degrees in the institution. He has led successive research assessment exercises at the University since 2002 and is tasked by the Vice-Chancellor to lead the University's REF2021 submission. Supporting the Pro Vice-Chancellor (Research and Enterprise) is the Head of the Research Office and her REF2021 Team detailed in Annex H, together with the Director of the Doctoral College.

25. Each School of the University has an Associate Dean (Research) whose role is to provide strategic leadership for all research development within a School and assume the overall responsibility for research activities and School facilities used for research in collaboration and in discussion with the senior research leaders within the School. The role description for the Associate Dean (Research) is set out in Annex I.

26. Each Unit of Assessment has a Coordinator appointed through a process of nomination by the Associate Dean (Research) and the approval of the Pro Vice-Chancellor (Research

and Enterprise). Unit of Assessment Coordinators are senior members of research staff. The role description for the Unit of Assessment Coordinator is set out in Annex J.

27. The Research Committee of the Academic Board is the body designated by the University to advise and make recommendations to the Academic Board on all matters relating to research in the University. The Research Committee is a representative body including staff and research student membership. The Chair is appointed by the Vice-Chancellor and is the Pro Vice-Chancellor (Research and Enterprise). The terms of reference and membership of the Research Committee are at Annex D.

28. The Research Committee of the Academic Board appointed the REF2021 Steering Group to oversee the REF2021 submission processes and to make decisions on its behalf concerning the University's submission to REF2021. The REF2021 Steering Group membership and terms of reference are at Annex C. The REF2021 Steering Group represents every School of the University through membership of their Associate Dean (Research) and it meets approximately once a month to oversee the REF2021 preparations.

29. The initial selection of outputs is coordinated by the Associate Dean (Research) of each of the University's nine Schools together with the Unit of Assessment Coordinator for each Unit of Assessment to be submitted.

TRAINING

30. It is a matter of University policy that all staff undertake an Equality and Diversity Essentials workshop and Equality and Diversity online course as a pre-requisite to passing probation and subsequently every three years. REF2021-specific Equality, Diversity and Inclusion training was delivered in May and June 2019 by the Head of the Research Office following attendance at the Advance HE REF workshop in April 2019. The training session was developed from Advance HE material. Training and briefing sessions were as follows:

- a two-hour training session for Associate Deans Research, Unit of Assessment Coordinators and Senior Managers;
- a two-hour training session for the REF administrative team;

- a briefing session for Deans of School.

In addition,

- further training will be provided for staff involved in the Appeals process;
- all external assessors are asked to confirm in writing that they have undertaken Equality and Diversity and Unconscious Bias training. Where such training has not been undertaken the University has required them to access the online Equality and Diversity and Unconscious Bias courses it offers to all its employees and to confirm when they have done so.

APPEALS PROCESS

GROUNDS FOR APPEAL

31. Any member of academic staff or a member of research staff may submit an appeal. Appeals may be submitted where it is believed an error in the data used to assess eligibility, submissibility, or research independence has had a significant, material and genuine impact on the outcome. Appeals may also be submitted where it is believed that the process by which the assessment of eligibility, submissibility or research independence was not properly followed.

THE APPEALS PROCESS

COMMUNICATION TO STAFF

32. Members of academic staff will be notified of the guidelines for the appeals process, including the deadline by which applications must be submitted and the person to whom such submissions should be made. This information will be on the University's intranet, and all members of staff will be informed of the appeals mechanism when they are informed if they are deemed to have significant responsibility for research or deemed to be independent researchers.

INFORMAL STAGE

33. Any person seeking to appeal their inclusion in or exclusion from REF2021 should first raise their concern informally with the relevant Unit of Assessment Coordinator who may be able to address any issues or explain the reasons for the outcome. If the Unit of Assessment Coordinator is unable to resolve the matter the appeal may be escalated to the most relevant Associate Dean (Research), or in cases where the Unit of Assessment Coordinator and the Associate Dean (Research) are the same person, to the Dean of School. The Unit of Assessment Coordinator, Associate Dean (Research) or Dean of School may request assistance from the Head of Research Office.

FORMAL STAGE

34. If the concern cannot be addressed through informal investigation or if the individual is dissatisfied with the outcome of the informal process, a formal appeal may be submitted to the Head of the Research Office. Formal appeals must be submitted in writing to ref2021@herts.ac.uk. A formal appeal must state:

- the name and Unit of Assessment of the individual to whom the concern relates;
- an explanation of the nature of the concern;
- evidence to support the concern, particularly that it has potential to materially and significantly impact their eligibility for and/or submissibility to REF2021;
- confirmation that the informal process has been completed or an acceptable justification if it has not.

35. Confirmation of receipt of the formal appeal will be provided to all appellants.

36. The REF2021 Steering Group will commission an Appeals Panel. The Appeals Panel, which will be composed of members who are independent of the REF decision-making process for the appellant, will be chaired by the Deputy Vice-Chancellor and include an Associate Dean (Research) and the Assistant Director of Human Resources (Business Partnering, Policy and Employee Support). The Associate Dean (Research) of the School of the appellant will not be on the Panel.

37. Appeals will be assessed on the basis of whether there is evidence of any error in the information used to assess the individual's eligibility for REF2021; whether there is evidence of any error in the information used to assess the individual's status as

submissible to REF2021; whether any identified errors were material and significant in their impact on the assessment of the individual's eligibility and/or submissibility.

38. In the course of their investigation the Appeals Panel may interview the appellant and anyone involved in the decision to deem the appellant as having/not having significant responsibility for research or, in the case of research-only staff, being/not being an independent researcher. If interviewed, the appellant will have the right to be accompanied and represented by a Friend[5].

39. Where errors are identified the Appeals Panel will recommend steps to offer redress. These will include, as a minimum, correcting the inaccurate data or information at source, and having the individual's eligibility or submissibility re-assessed for REF2021.

40. The Appeals Panel will provide the REF2021 Steering Group with a brief report detailing each appeal considered and the Panel's findings. The REF2021 Steering Group will act on the Panel's recommendations unless there are exceptional reasons not to do so, in which case the chair of the REF2021 Steering Group will provide a written justification for their response to the Appeals Panel and the appellant.

41. If the appellant is not satisfied with the outcome of the formal investigation, they may submit a request for review by a Pro Vice-Chancellor other than the Pro Vice-Chancellor (Research and Enterprise) supported by an HR Business Partner. Requests for review by a Pro Vice-Chancellor must be submitted in writing to ref2021@herts.ac.uk and must outline the name and Unit of Assessment; an explanation of the nature of the original appeal; confirmation that the formal processes have been fully completed; and the reasons why a review is being requested.

42. Reviews by a Pro Vice-Chancellor will only be undertaken if the appellant can demonstrate that the appeals process was not followed correctly and/or that new evidence has come to light which could potentially change the original Appeal Panel's finding, or that of the REF2021 Steering Group.

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5   'Friend' is a person chosen by the employee to accompany him/her to a hearing and who is either a colleague employed by the University or an employee or official of a Trade Union.   The Friend may present the employee's case and confer with the employee but will not be permitted to answer direct questions for the employee.

43. The designated Pro Vice-Chancellor will then consider the case and take what steps are judged to be appropriate.

44. The appellant will be notified of the outcome of the designated Pro Vice-Chancellor's review. The designated Pro Vice-Chancellor will hold final authority over the decision and the judgement cannot be appealed further through the REF2021 processes.

TIMING OF APPEALS

45. Staff will be given information individually about the appeals process when they are informed as to whether they are considered to have significant responsibility for research or to be an independent researcher. They will have three semester-time weeks to submit a case.

46. A first round of appeals will open following the dispatch of letters confirming significant responsibility for research or research independence in the autumn of 2019.

47. A second round of appeals will open in the summer of 2020 for staff notified of their position after the first notification in autumn 2019.

EQUALITY IMPACT ASSESSMENT (EIA)

48. The policy and procedures set out in this Code, and their implementation, have been developed to ensure lawful and fair treatment and to advance equality.

49. It is recognised that the determination of research independence, of the designation of significant responsibility for research, and of output selection is an outcome of a range of institutional processes and practices and the University will use the EIA process to monitor the development of the REF2021 submission and to identify the issues, barriers and challenges to improve equality, diversity and inclusion in research.

50. An EIA on this Code of Practice is currently in preparation and further EIAs which will initially be reported to the REF2021 Steering Group will be undertaken as follows:

- an EIA on the process for determining which staff have significant responsibility for research and are independent researchers;

- an EIA on the distribution of selected outputs across staff by protected characteristic defined by the Equality Act 2010, in the context of the characteristics of the

submitted staff pool;

- an EIA on the final REF2021 submission.

51. The outcomes of the EIA at each stage will be reported to the REF2021 Steering Group for action, the Research Committee, the Athena SWAN Self-Assessment Team, the Race Equality Charter Mark SAT and the People Board.

52. We will use the outcomes of the assessments to:

- identify where inadvertent discrimination may have occurred by examining any disparities in data and investigating these, in order to either provide a justification for such disparities or amend practice;

- identify where policies and practices have positive impact by examining any disparities in data and investigating these, in order to enable us to understand and promote good practice;

- more broadly, identify key issues, barriers and challenges in relation to equality, diversity and inclusion in research and to develop an action plan on how we will address them.

53. We will publish the outcomes of our EIAs on the University intranet and externally on our website.

54. An independent researcher is 'an individual who undertakes self-directed research, rather than carrying out another individual's research'[6].

55. A member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more outputs[7].

56. For staff on research-only contracts the criteria for independence are listed below. Each indicator, however, may not individually demonstrate independence and multiple factors may need to be considered.

    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 required.

    c. Leading a research group or a substantial or specialised work package.

57. For staff working in subjects under the remit of Main Panels C and D (social sciences, arts and humanities) further applicable criteria are as follows.

    e. Acting as a co-investigator on an externally funded research project.

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

58. For staff on academic contracts the criteria for independence are listed below[8]. Each indicator may not individually demonstrate independence and multiple factors may need to be considered.

    a. Acting as a principal investigator or co-investigator on an externally funded research project.

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6   Paragraph 131, Guidance on Submissions, REF2021/01, January 2019.

7   Paragraph 133, Guidance on Submissions, REF2020/01, January 2019

8   These criteria are used because we have no restrictions on which staff can apply for research funding and there is also no formal process for membership for our research centres which do not encompass all research areas across the University.

b. Undertaking a period of self-managed research leave since January 2014.

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

59. Academic staff who are undertaking a doctorate or a masters by research would only exceptionally be considered to be independent researchers.

DECISIONS CONCERNING RESEARCH INDEPENDENCE

60. An analysis has been undertaken by the Research Office in association with Associate Deans (Research) and Unit of Assessment Coordinators of all Category A eligible staff against the criteria for research independence.

61. Information was pooled for review meetings for each Unit of Assessment held in May and June 2019 to determine who has met the criteria for research independence. The meetings were chaired by the Pro Vice-Chancellor (Research and Enterprise) and attended by the Unit of Assessment Coordinator, the appropriate Associate Dean (Research) and supported by the Head of the Research Office.

62. Before the Unit of Assessment review meetings noted in paragraph 57 above it was the expectation that the Associate Deans (Research) would discuss and agree the recommendations they were going to make with their Dean of School.

63. Recommendations as a consequence of the Unit of Assessment review meetings will be made to the REF2021 Steering Group for consideration and agreement. In the cases of staff on both research-only and academic contracts the process shown in the flow chart in Figure 1 will be followed.

64. Following consideration and agreement by the REF2021 Steering Group the outcome will be notified to all staff on an individual basis by email after formal approval of the University Code of Practice by Research England.

65. Category A staff who are appointed to the University after the completion of the Unit of Assessment review process indicated in paragraphs 56-59 will be subject to a similar process before being advised of their position by email before the REF2021 staff census date of 31 July 2020.

STAFF, COMMITTEES AND TRAINING

66. See paragraphs 23-30 above.

APPEALS PROCESS

67. See paragraphs 31-44 above.

EQUALITY IMPACT ASSESSMENT (EIA)

68. See paragraphs 45-50 above.

PART 4: SELECTION OF OUTPUTS

69. The key principle of output selection is to identify the highest quality eligible outputs that represent each of the Units of Assessments to be submitted.

SELECTION PROCESS

70. The output selection process is shown in Figure 2.

71. The selection of outputs is managed, at Unit of Assessment level, by the relevant Associate Dean (Research) and the Unit of Assessment Coordinator. They liaise with eligible academic and research staff to identify peer-reviewed outputs uploaded to the University's Research Information System since January 2014.

72. Independent external assessors have been appointed for each Unit of Assessment on the advice of the Unit of Assessment Coordinator in consultation with their Associate Dean (Research). The appointments have been made based on previous REF2014 experience where possible, together with appropriate discipline expertise. Some 60 per cent of the external assessors appointed have had REF2014 experience. The purpose of external assessments which have been obtained primarily through two Mock REF2021 exercises by the date of submission for approval of this Code of Practice is to inform choice of outputs and to obtain feedback on the Unit of Assessment Environment Statements. A final third mock REF2021 exercise will be undertaken from autumn 2019 following the determination of staff who have significant responsibility for research and those who are research independent for the same purpose as well as to get feedback on the research impact case studies to be submitted.

73. External assessors are asked to give a grade and a written comment on each output. In most cases outputs are graded by more than one assessor. In addition, they provide comments and an indicative grade on the Environment Statements and within the third Mock REF2021 exercise on the impact case studies. Grades are collated by the Research Office for review by the Pro Vice-Chancellor (Research and Enterprise), the Associate Dean (Research), the Unit of Assessment Coordinator and the Head of the Research Office.
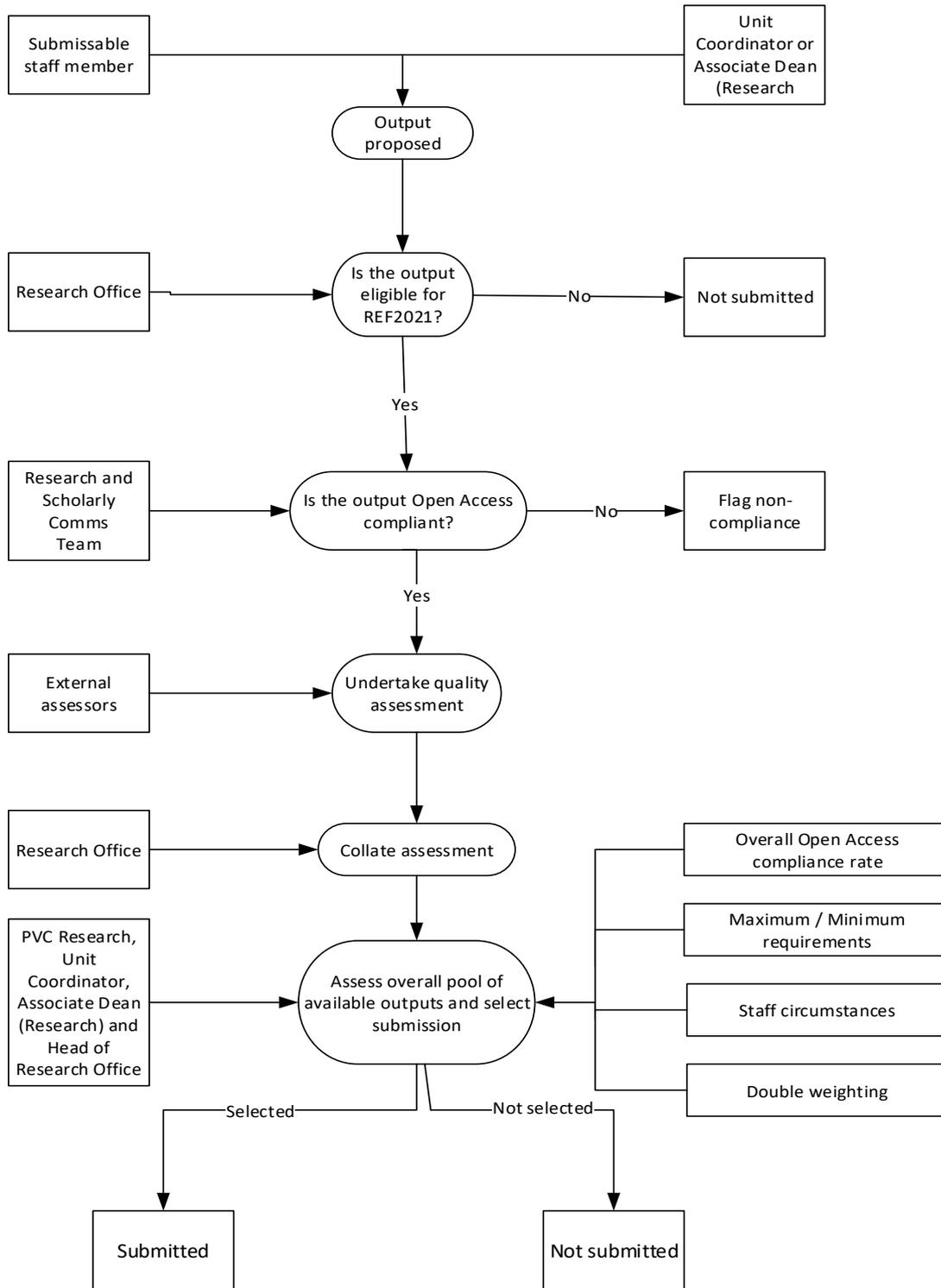
Figure 2: the output selection process.

74. The University's Research and Scholarly Communications Team have collated

bibliographic information (field weighted citation impact; field weighted citation

percentile; CiteScore percentile) on outputs in all Units of Assessment (except for Panel D), that were submitted to the mock REF2021 exercises. To help identify any further high-quality outputs similar data were provided on all remaining outputs. Decisions on which outputs to select will not be made on the basis of bibliometrics alone. This information is shared with the relevant Associate Deans (Research), the Unit of Assessment Coordinators, the Pro Vice-Chancellor (Research and Enterprise) and the Head of the Research Office.

75. The University's use of bibliometrics is in accordance with our Responsible Metrics Statement published on our intranet and website and attached as Annex K.

76. The outcomes of the mock REF2021 exercises are held confidentially by the Research Office and shared on a confidential basis with the Vice-Chancellor, the Deputy Vice-Chancellor, the Pro Vice-Chancellor (Research and Enterprise), the Associate Deans (Research), the Deans and the Unit of Assessment Coordinators. Individual results may be shared with the relevant members of staff by the Unit of Assessment Coordinators or Associate Deans (Research) for their information and personal development.

77. The range of data generated from the mock REF2021 exercises (external assessors' predicted scores, external assessors' comments, bibliometric information) will be used by the Pro Vice-Chancellor (Research and Enterprise), the Unit of Assessment Coordinators and the Associate Deans (Research), supported by the Head of the Research Office, to assist the process of reaching a judgement on the highest quality outputs in order to maximise the overall quality profile for the submission as a whole.

78. Following the process in paragraph 73 the highest quality outputs will be selected for every member of staff who has significant responsibility for research and who is an independent researcher. At least one and no more than five outputs will be ascribed to a single staff member (unless individual staff circumstances apply). We do not expect every staff member with significant responsibility for research to contribute equally to the output pool.

79. Outputs of former staff or staff taking voluntary severance or redundancy may be selected if they enhance the quality profile of the Unit of Assessment and if the outputs were produced in the REF2021 period.

80. In its selection of outputs the University will not make a distinction between full-time staff or those on part-time or fixed-term contracts.

81. The final submission, and selection of outputs, will be considered and approved by the REF2021 Steering Group before approval by the Vice-Chancellor on the advice of the Pro Vice-Chancellor (Research and Enterprise).

DOUBLE-WEIGHTING OF OUTPUTS

82. Some outputs may be granted 'double-weighting' where the scale and scope of the output is considerably greater than would normally be expected of a single output. Requests for double weighting will be submitted with the final submission in March 2021. A 'reserve' output will be included with each request for double-weighting so that in the event the request for double-weighting is not accepted the minimum of one requirement is met for each Category A submitted staff member (unless individual circumstances apply). Decisions on double-weighting will be made by the Pro Vice-Chancellor (Research and Enterprise), the Unit of Assessment Coordinator and the Associate Dean (Research), supported by the Head of the Research Office.

OPEN ACCESS

83. All outputs proposed for the mock REF2021 submission are checked by the University's Research and Scholarly Communications Team for compliance with Research England's requirements for Open Access[9]. Exceptions have been recorded wherever possible throughout the REF021 period. Non-compliant outputs without an appropriate exception will not be included unless they are within the 5 per cent tolerance allowed for the Unit of Assessment.

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9   Open Access requirements apply to journal articles and published conference proceedings accepted for publication after 1 April 2016 (Guidance on Submissions para 223 – 255)

PRINCIPLES

84. Staff are entitled to declare voluntarily their individual circumstances and have the impact of those circumstances reflected in the University's expectations about their contribution to the output pool. The University will not place any obligation on individuals to declare their circumstances. Where circumstances are declared these will be handled in accordance with the process set out in this section.

85. In many cases staff with personal circumstances that have affected their ability to research productively during the REF2021 period will have outputs than can be submitted to REF2021.

86. The REF2021 guidance allows, where there are enough declared circumstances, for the University to request a waiver of the requirement for at least one output or to request a reduction in the number of outputs a Unit must submit. The deadline for such requests is March 2020 or up to the submission date where there are staff changes.

87. The applicable circumstances are those where an individual has one or more of the following circumstances:

- is an Early Career Researcher[10];

- had an absence from work due to secondments or career breaks outside the HE sector of 12 months or more (between 1 January 2014 and 31 July 2020) during which time they did not undertake academic research;

- had a qualifying period of family-related leave taken wholly or substantially within the period 1 January 2014 to 31 July 2020, including statutory maternity or adoption leave of any length, or additional paternity, adoption or shared parental leave lasting four months or more;

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10 Early Career Researchers (ECR) are defined as members of staff who meet the definition of Category A eligible on the census date and who started their careers as independent researchers on or after 1 August 2016. For the purposes of the REF2021 an individual is deemed to have started their career as an independent researcher from the point at which (a) they held a contract of employment of 0.2FTE or greater, which included a primary employment function of undertaking 'research' or 'teaching and research' with any HEI or other organisation, whether in the UK or overseas, and (b) they first met the definition of an independent researcher (see Part 3) (Guidance on Submissions, REF20212018/01, paragraphs 148-149.

- has had an absence from work or circumstances equivalent to absence from research as a result of:
    i. Disability, as defined by the Equality Act 2010;
    ii. Ill health, physical injury or mental health;
    iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare;
    iv. Other caring responsibilities;
    v. Gender reassignment;
    vi. Other circumstances relating to any protected characteristics defined by the Equality Act 2010 and other relevant legislation or relating to activities protected by employment legislation.

88. The University's REF2021 Equality and Diversity Advisory Group will manage all elements of the declaration process. The membership and terms of reference of the Group are set out in Annex G.

89. Staff who declare circumstances which have had an impact on their productivity will be offered the opportunity to discuss further their requirements relating to these circumstances with their Associate Dean (Research), their line manager or Human Resources Business Partner. This opportunity is purely voluntary and confidential and not a requirement for submission to REF2021. Information about an individual's circumstances will only be shared with those above with the individual's explicit permission and, in the case of sensitive circumstances, those in a position to provide support will only be given information about the impact of those circumstances on an individual's productivity and not about the specific nature of the circumstances.

90. As stated in the last bullet point of Part One (Key Principles, page 5), as the University does not expect every staff member with significant responsibility for research or who is an independent researcher to contribute equally to the volume of outputs submitted, and as our process is clearly flagged as voluntary, we expect that there will not be any pressure put on colleagues to declare circumstances should they not wish to do so. Should anyone feel under any pressure to declare their circumstances they should contact the Head of the Research Office or the Head of Equality, Diversity and Inclusion.

91. A form for declaring circumstances will be circulated to academic staff with significant responsibility for research and research-only staff deemed to be independent researchers in autumn 2019 with information on the circumstances which may be declared and how the University will use the information. For academic staff who join the University after this date who are defined as having significant responsibility for research or research-only staff deemed to be independent researchers, arrangements will be made to send them the form. The form will also be available on the University's intranet.

92. Staff can declare circumstances by completing an online version of the form or by sending a completed form to the University's REF2021 Equality and Diversity Advisory Group via email to the confidential email address REF2021@herts.ac.uk, confidential internal post or by confidential hand delivery to the Research Office.

93. The REF2021 Equality and Diversity Advisory Group will assess whether any Unit of Assessment has been significantly impacted by circumstances of individual members to support a request for a Unit-level reduction of outputs and will manage any requests to Research England. Individuals in any requesting Unit of Assessment will be notified at the time of the intention to submit a request to Research England as will the Pro Vice-Chancellor (Research and Enterprise), the Unit of Assessment Coordinator and the Associate Dean (Research). When the outcome is confirmed by Research England further notification will be given.

94. The REF2021 Equality and Diversity Advisory Group will also review declarations of any instances where individuals may be justified in requesting that the requirement to have one output as a minimum be waived. The Head of the Research Office will check the Research Information System for eligible outputs by that individual. If there is no eligible output and unlikely to be one, the Head of the Research Office will contact the individual on behalf of the Equality and Diversity Advisory Group and request their permission to discuss the potential for a waiver request with the individual's Unit of Assessment Coordinator and Associate Dean (Research). The request will only proceed with the individual's explicit consent. Their declared circumstances will not be disclosed at any

point to the Unit of Assessment Coordinator or Associate Dean (Research) unless the individual chooses to disclose. The REF2021 Equality and Diversity Advisory Group will manage requests on the individual's behalf and notify them, the Pro Vice-Chancellor (Research and Enterprise), the Unit of Assessment Coordinator and the Associate Dean (Research), of the outcome.

95. A flow-chart showing the declaration of circumstances process is provided in Figure 3.

EQUALITY IMPACT ASSESSMENT

96. See paragraphs 45-50.
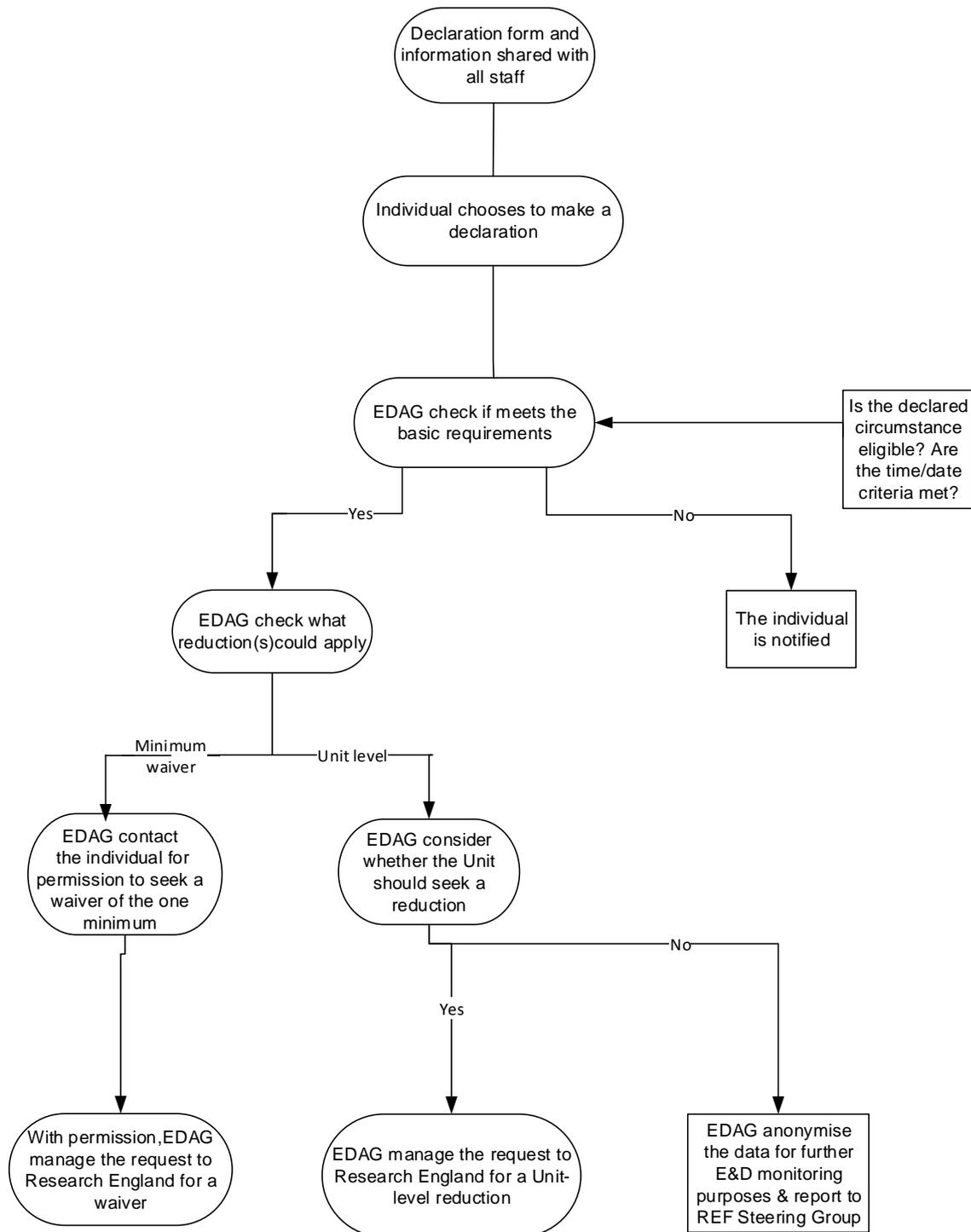
Figure 3: the declaration of staff circumstances process.

PART 5: ANNEXES

Annex A: Consultation on the Code of Practice

Annex B: Summary of roles and responsibilities for REF2021

Annex C: REF2021 Steering Group Membership and Terms of Reference

Annex D: Research Committee Membership and Terms of Reference

Annex E: Academic Board Membership and Terms of Reference

Annex F: Chief Executive's Group Membership and Terms of Reference

Annex G: REF2021 Equality and Diversity Advisory Group

Annex H: REF2021 Team in the Research Office

Annex I: Associate Dean (Research) Job Description

Annex J: Unit of Assessment Coordinator Job Description

Annex K: Responsible metrics statement

Date	Group consulted	Mode of communication	Outcome
18 October 2018	Research Committee of the Academic Board	Committee paper	Agreement with the proposed direction
19 November 2018	Chief Executive's Group	Committee paper	Agreement with the proposed direction
21 November 2018	Academic Board	Committee paper	Agreement with the proposed direction
14 December 2018	Dr Jon Berry, UCU Chair representing the Joint Negotiating and Consultative Committee of the Representative Trades Unions (JNCC)	Informal meeting	Overall satisfaction with approach
23 January 2019	Code revised following consultative meetings considered at the REF2021 Steering Group	Committee paper and presentation	Agreement that the Code be put to (JNCC)
7 February 2019	JNCC	Committee paper	Overall satisfaction with the draft
28 February 2019	Research Committee of the Academic Board	Committee paper and presentation	Overall satisfaction with the draft with some minor amendments and clarifications
11 March 2019	Chief Executive's Group	Committee paper and presentation	Overall satisfaction with one agreed addition

Date	Group consulted	Mode of communication	Outcome
13 March 2019	Academic Board	Committee paper and presentation	Overall satisfaction assuming addition identified on 11 March included
20 March 2019	Joint Negotiating and Consultative Committee of the Representative Trades Unions	Committee paper	Overall satisfaction and in particular very positive about the open consultation with all staff
mid-March to end April 2019	Open consultation with all staff	Code will be on the staff intranet (HertsHub) and staff will be directed to it by email, the Research Themes and Research Office Newsletter, the internal staff newsletter FACES and the Research Office twitter feed. The Chairs of the Athena SWAN and the Race Equality SATs will be asked to draw the Code to the attention of the SATs for comment	Code amended following feedback and specifically in relation to criteria for independence, the process for considering staff circumstances, and the appeals process
13 May 2019	Chief Executive's Group	Committee paper	Overall satisfaction with one minor amendment
16 May 2019	REF2021 Steering Group to consider revised code following incorporation of responses from the consultation	Committee paper	Approval of the Revised Code

Date	Group consulted	Mode of communication	Outcome
23 May 2019	Revised Code considered at Research Committee of the Academic Board	Committee paper	Approval of the Revised Code
23 May 2019	UCU made a formal submission to the all staff consultation phase	Email from the Pro Vice-Chancellor (Research and Enterprise) to the UCU Branch President explaining how in the revised Code the points made in their submission have been addressed	UCU approval of Revised Code of Practice received by email on 31 May 2019
3 June 2019	Chief Executive's Group	Oral report	Approval of the revised Code of Practice following wide consultation with the University community, Chief Executive's Group and the Board of Governors

Post	Definition of role within the REF2021 process	Rationale for why this post is undertaking this role	Where this role fits into the institutional management framework for the REF	Procedure for identification
Vice Chancellor	Chair of the Academic Board and Chair of Chief Executive's Group (CEG)	As Chair of Academic Board and Chair of Chief Executive's Group, takes ultimate responsibility for the process	Has overall responsibility for the REF2021	As determined by the University of Hertfordshire governance structure
Deputy Vice-Chancellor	Chair of the Appeals Panel	Senior member of Vice-Chancellor's management team but otherwise independent of REF2021 process	Not involved in the process to determine significant responsibility for research and research independence and therefore able to handle Appeals	As above. Specifically, this post is otherwise independent of the REF2021 process
Pro Vice-Chancellor (Research and Enterprise)	As Chair of REF Steering Group makes final recommendations to the Research Committee of the Academic Board.	Formal responsibility for Research portfolio at the University, including delegated authority from the VC for management of the REF	Day to day responsibility for the REF for the institution as a whole (delegated by the VC)	As determined by the University of Hertfordshire governance structure
Pro Vice-Chancellor (Learning and Teaching) and Pro Vice-Chancellor (Business and International Development)	Review if required Appeal Panel decisions	Senior member of Vice-Chancellor's management team but otherwise independent of REF2021 process	Not involved in the process to determine significant responsibility for research and research independence and therefore	As determined by the University of Hertfordshire governance structure.

			able to handle Appeal reviews	
Associate Deans (Research)	Work with Unit of Assessment Coordinator (where the posts are held by different people) to manage REF locally	Formal responsibility for strategic leadership for all research development within a School and assume the overall responsibility for research activities and School facilities used for research in collaboration and in discussion with the senior research leaders within the School	Day to day responsibility for REF within a School	Appointed by Heads of School on the basis of their research standing within the School and subject to scrutiny by the Pro Vice-Chancellor (Research and Enterprise) before formal appointment
Unit of Assessment Coordinator	Coordinate review of outputs, development of environment statements and impact case studies	Responsible to their Associate Dean (Research) and then to the Pro Vice-Chancellor (Research and Enterprise) for preparing submissions for mock assessments and the final submission to REF2021	Responsible for the coordination of the UOA submission working closely with the Associate Dean (Research)	Appointed through a process of nomination by the Associate Dean (Research) and the approval of the Pro Vice-Chancellor (Research and Enterprise)
Head of the Research Office	Member of REF Steering Group, Chair of Equality and Diversity Advisory Group	Role based on technical knowledge of the REF	Responsible for the project management of the REF, reporting to the Pro Vice Chancellor (Research and Enterprise)	Undertaking this role as a result of technical knowledge derived from her professional role in the institution
Director of Human Resources	Member of the Equality and Diversity Advisory Group	Role based on technical knowledge in relation to staff	Not involved in the process to determine significant	Undertaking this role as a result of technical knowledge

		matters and public sector duty in relation to the Equality Act 2010	responsibility for research and research independence and therefore able to offer neutral advice	derived from his professional role in the institution
Assistant Director of Human Resources	Member of Appeals Panel	Senior member of the Human Resources Division. Role based on technical knowledge in relation to staff matters and public sector duty in relation to the Equality Act 2010	Not involved in the process to determine significant responsibility for research and research independence and therefore able to handle Appeals	Undertaking this role as a result of technical knowledge derived from his professional role in the institution
Head of Equality, Diversity and Inclusion	Member of the Equality and Diversity Advisory Group	Role based on technical knowledge in relation to staff matters and public sector duty in relation to the Equality Act 2010	Not involved in the process to determine significant responsibility for research and research independence and therefore able to offer neutral advice	Undertaking this role as a result of technical knowledge derived from his professional role in the institution

University of Hertfordshire UH

MEMBERSHIP

Pro Vice-Chancellor Research and Enterprise (Chair)

Associate Deans (Research)

Head of the Research Office

Director of the Doctoral College

Secretary: Research Information and Governance Manager

Other members co-opted as required: Head of Equality, Diversity and Inclusion

FREQUENCY OF MEETINGS

Normally once every month with additional meetings as required in the weeks leading up to the REF2021 submission

TERMS OF REFERENCE

The REF2021 Steering Group will make recommendations to the Chief Executive's Group on strategic issues relating to the University's preparation and submission to REF2021 and will report to the Research Committee of the Academic Board.

The Group's remit includes:

1. To agree and make recommendations to the CEG on strategic issues relating to the University's submission to REF2021.
2. To advise on the development of a code of practice on the fair and transparent identification of staff with significant responsibility for research; determining who is an independent researcher; and on the selection of outputs.
3. To advise on the promotion and dissemination of the University's code, policy and procedures on preparing the REF2021 submission to University staff.
4. To have an overview of the data collection, electronic and hard copy as required, and provide guidance to the Research Office as appropriate.
5. To have an overview, and offer guidance, on the development and selection of impact case studies.
6. To have an overview, and offer guidance on, the environment element of REF2021 submissions.
7. To manage external peer review of REF2021 submissions prior to the submission of the final mock review.
8. To make the necessary decisions to ensure that the University makes its submission by the published deadline date.

It is implicit that in exercising the powers delegated to it, or discharging the responsibilities assigned to it by the Academic Board, that within the limits of its authority, a committee or board of the Academic Board may require action to be taken by another committee or board of the Academic Board.

A   **QUORUM: 8**

B   **TERMS OF REFERENCE**

B. 1   To be responsible to the Academic Board and to advise and make recommendations to the Academic Board on all matters relating to research in the University, taking due cognisance of the responsibilities of the Research Degrees Board and the Academic Development Committee of the Academic Board.

B. 2   To establish, in close liaison with the relevant Officers, procedures for managing any returns that the University is required to make in connection with any national process of research assessment or evaluation.

B. 3   To consider the implications for the University of resource needs for research, including both revenue and capital funds, physical infrastructure, learning resources, computer resources and research staff establishment, and to advise the Vice-Chancellor and the Academic Board on the requirements for research.

B. 4   To advise the Pro Vice-Chancellor (Research and Enterprise) on research, research funding and financial allocations.

B. 5   To have oversight of research activity and to foster research activity within the Research Themes, to promote a culture of research and advanced scholarship throughout the University, and to facilitate the dissemination of research findings within and outside the institution.

B. 6   To have oversight of procedures for research grant and contract applications including electronic submissions, and to monitor research applications and awards.

B. 7   To monitor research income and activity in the Schools and to evaluate achievements.

B. 8   To approve the establishment of Research Centres within the institution.

B. 9   To have oversight of all publicity and marketing relating to research, research degree programmes and the recruitment of research students.

B. 10   To work in close liaison with the Pro Vice-Chancellor (Research and Enterprise) and the Director of the Doctoral College[11] and to receive the non-confidential minutes of the

Research Degrees Board of the Academic Board and the Ethics Committee for Studies Involving the Use of Human Participants of the Academic Board.

B. 11   To be responsible to the Academic Board for ensuring that appropriate mechanisms are in place to ensure optimum synergies between research and commercial activity.

B. 12   To ensure that reports and information concerning research activities within the University are published internally and externally (as appropriate).

B. 13   To support the production of reports on research activity as required by external agencies.

B. 14   To respond appropriately to national initiatives in research policy and research funding.

B. 15   To identify staff development needs for action by HR Development.

B. 16   To make a report to the Academic Board concerning the business discharged by the Committee at each meeting.

B. 17   To prepare and present an Annual Report to the Academic Board

C   **COMPOSITION**

C. 1   The Chairman of the Committee will be appointed by the Vice-Chancellor

Category

1	Chairman appointed by the Vice-Chancellor (Pro Vice-Chancellor (Research and Enterprise))	1
2	Director of the Doctoral College[1]	1
3	Three (**3**) Research Theme Champions, nominated by the Research Theme Champions for terms of office of three (**3**) years (or named alternates who shall also be Research Theme Champions)	3
4	Associate Deans of School (Research)	10
5	Pro Vice-Chancellor (Business and International Development) and Director of Marketing and Communications (or named alternate)	1
6	Chief Information Officer (or named alternate)	1
7	Group Finance Director (or nominee)	1
8	A representative of the research students nominated by the Director of the Doctoral College	
9	Two (**2**) representatives of the contract/early career research staff	2
10	Director of Business Development (or Deputy)	1
11	Head of Research Office	1
12	Head of Research Grants	1
13	a member representing the Athena SWAN initiative	1

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11   The Director of the Doctoral College is also the Director of Research Degrees

14	A co-opted member to ensure adequate coverage of active research areas	1
		25

Officers in attendance

Assistant Registrar (Academic Services)
Research and Scholarly Communications Officer
Research Support Co-ordinator
Assistant Head of Governance Services (Clerk to the Committee)

D   **GOVERNANCE AND OPERATION OF THE COMMITTEE**

D. 1   The Research Committee:

i   is a committee of the Academic Board and will conduct its business in accordance with the Standing Orders of the Academic Board;

ii   will note the Standing Orders of the Academic Board at the first meeting of each academic year and any subsequent changes to these;

iii   will meet not less than three (**3**) times in each academic year (normally once each term) and formal minutes of the Committee's proceedings will be published and circulated by Governance Services;

iv   will note its terms of reference, composition and membership at the first meeting of each academic year and any subsequent changes to these.

D. 2   **Committee records**

The primary record of this Committee's business will be the Minute Book which is the structured manual file required by Standing Orders. The Clerk is responsible for the accuracy and completeness of the Minute Book which will conform with the requirements of Standing Orders and will be held by the Head of Governance Services. The Minute Book is part of the permanent record of University business.

In addition, all the component documents which form the Minute Book will be stored, electronically, on the University's Electronic Document Records Management System in accordance with the protocols determined from time-to-time by the Head of Governance Services.

QUORUM – **10** of whom one shall be the Vice-Chancellor or the Deputy Vice-Chancellor

The following Terms of Reference and Composition of the Academic Board are laid down in the Articles of Government of the University of Hertfordshire. These were approved by the Privy Council on 17 July 1995 and adopted on behalf of the University by the Board of Governors on 7 November 1995. They state:

TERMS OF REFERENCE

Extract from the Articles of Government (GV01-Articles of Government-v02.0.doc)

"3.3   **The Academic Board**

3.3.1   Subject to the provisions of these Articles, to the overall responsibility of the Board of Governors, and to the responsibilities of the Vice-Chancellor, the Academic Board shall be responsible for:

   (a)   general issues relating to the research, scholarship, teaching and courses at the University including criteria for the admission of students; the appointment and removal of internal and external examiners; policies and procedures for assessment and examination of the academic performance of students; the content of the curriculum; academic standards and the validation and review of courses; the procedures for the award of qualifications and honorary academic titles; and the procedure for the expulsion of students for academic reasons. Such responsibilities shall be subject to the requirements of validating bodies if these exist;
   (b)   considering the development of the academic activities of the University and the resources needed to support them and for advising the Vice-Chancellor and the Board of Governors thereon;
   (c)   advising on such other matters as the Board of Governors or the Vice-Chancellor may refer to the Academic Board.

3.3.2   The Academic Board may establish such committees as it considers necessary for purposes enabling it to carry out its responsibilities provided that each establishment is first approved by the Vice-Chancellor and Board of Governors. The number of members of any such committee and the terms on which they are to hold and vacate office shall be determined by the Academic Board."

COMPOSITION

Extract from the Articles of Government (GV01-Articles of Government-v02.0.doc)

"4   **ACADEMIC BOARD**

4.1   There shall be an Academic Board of no more than **34** members, comprising the Vice-Chancellor, who shall be Chairman, and such other numbers of staff and students as may from time to time be approved by the Board of Governors. The Vice-Chancellor may nominate a Deputy Chairman from among the members of the Academic Board to take the

Chair in his/her place. The period of appointment of members and the selection or election arrangements shall be subject to the approval of the Board of Governors.

4.2   In addition to the Vice-Chancellor, at least half of the members of the Academic Board shall be drawn from senior management, Deans and heads of academic and related departments. The remainder of the Academic Board shall be drawn from elected Academic and officer staff, students and co-opted members.

4.3   The Board of Governors shall be responsible for approving the detailed membership profile both between and within the categories identified in Article 4.2 following the recommendation of the Vice-Chancellor who will, previously, have consulted the Academic Board. The Board of Governors will also be responsible for determining the period of office of persons elected to the Academic Board and for approving the methods of election."

Category

1	Vice-Chancellor who shall be Chairman of the Board	1
2	Deputy Vice-Chancellor (Vice-Chairman of the Board)	1
3	Secretary and Registrar who shall be Secretary to the Board	1
4	Pro Vice-Chancellors	3
5	Five (**5**) Deans of School, nominated by the Deans of School for terms of office of three (**3**) years	5
6	Academic Registrar	1
7	Chief Information Officer	1
8	Dean of Students	1
9	The President of the Students' Union or one (**1**) student nominated by the Trustees of the University of Hertfordshire Students' Union	1
10	Two (**2**) students, nominated by the Student Representative Council	2
11	Two (**2**) members of the professional staff elected by the professional staff	2
12	Eight (**8**) members of the academic staff elected by the academic staff	8
13	A teacher nominated by the Academic Board to serve as a member of the Board of Governors following election by the academic staff as a whole	<u>1</u>
		28

Officers in attendance
Group Finance Director (to attend as required)
Director of the Doctoral College[12]
Director of Academic Quality Assurance (or Deputy)
Director of Learning and Teaching
[Pro Vice-Chancellor (Business and International Development)
Governance Services Officer (Clerk)

ELECTION

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12   The Director of the Doctoral College is also the Director of Research Degrees

In all elected categories, members may serve for up to two consecutive three-year terms of office (assuming a successful re-election for a second three-year term), following which a break of at least one three-year term of office must occur before seeking re-election.

Category 12: 'Eight (8) members of the academic staff elected by the academic staff'

The Board of Governors has agreed that the method of election to be employed for the purposes of category 12 should be a Single Transferrable Vote system. Where an election is held to fill a single vacancy this will become an Alternative Vote system.

The Group, which is known by its abbreviated title 'CEG', exercises day-to-day management control of the University acting upon and within powers granted to the Vice-Chancellor under the terms of the Articles of Government.

CEG is concerned principally with the professional support activities of the University and corporate policy and strategy (academic and non-academic).

Notes of its proceedings will be taken by an Executive Assistant who will circulate them to appropriate officers of the University.

The Vice-Chancellor is the Chairman of the CEG.

1   **POWERS OF THE VICE-CHANCELLOR**

The powers granted to the Vice-Chancellor under the terms of the Articles of Government may be summarised as follows:

i   the taking forward of proposals to the Board of Governors concerning the educational character and mission of the University and the implementation of decisions of the Board;

ii   the organisation, direction and management of the University and leadership of the staff;

iii   the appointment, assignment, grading, appraisal, suspension, dismissal and determination, within the framework set by the Board of Governors, of the pay and conditions of service of staff other than the holders of senior posts;

iv   the determination, after consultation with the Academic Board, of the University's academic activities and the determination of its other activities;

v   the preparation of annual estimates of income and expenditure for consideration by the Board of Governors and for the management of budgets and resources within the estimates approved by the Board of Governors;

vi   the maintenance of student discipline and, within the rules and procedures provided for within the Articles of Government, the suspension and/or expulsion of students on disciplinary grounds and for implementing decisions to expel students for academic reasons.

The Vice-Chancellor, on his or her own authority, may establish committees and groups jointly with other institutions and organisations.

2   **TERMS OF REFERENCE OF THE CHIEF EXECUTIVE'S GROUP**

2.1   **Finance**

To consider and advise the Vice-Chancellor on the following matters:

i   the financial performance of the University chiefly through consideration of monthly Management Reports covering, amongst other matters, income and expenditure,

financial targets, capital projects, staffing levels, academic quality, research grants and income, the performance of subsidiary companies, security reports and the services provided by Library and Computing Services;

ii   the annual estimates of income and expenditure to be considered by the Board of Governors;

iii   capital and other building programmes and space management.

2.3   Organisation and management

To consider and advise the Vice-Chancellor on the following matters:

i   the organisational and management structures and arrangements of the University;

ii   the establishment of Strategic Business Units, and the monitoring of their performance;

iii   the setting of performance indicators to assist in the management of the University;

iv   issues relating to organisation development;

v   terms and conditions of employment;

vi   talent development amongst the staff of the University;

vii   monitoring and responding accordingly to developments in Higher Education;

viii ensuring appropriate internal control and risk management;

2.4   Legal requirements and matters

To consider and advise the Vice-Chancellor on legal and statutory matters affecting the University, including, but not limited to:

i   maintaining an overview of Health and Safety and Environmental arrangements in the University;

ii   ensuring the development and monitoring of arrangements concerning Equality and Diversity, disability access and related issues;

iii   considering proposed partnerships and collaborations with other institutions and organisations.

2.5   Constitutional and governance

To consider and advise the Vice-Chancellor on the following matters:

i   draft agendas and items of business for consideration by the Board of Governors, its committees, the Academic Board and the subsidiary companies within the University of Hertfordshire Group;

ii   the structure and effective operation of the University's system of committees.

2.6   External and community

To consider and advise the Vice-Chancellor on the external profile of the University including, but no limited to:

	i	monitoring and responding accordingly to developments in the local community and in the region and maintaining an overview of the University's community engagement strategy, including UH Arts;
	ii	promoting the cultural and community identity of the University.

2.7 Information systems

To consider and advise the Vice-Chancellor on the following matters:

	i	the development and implementation of an information systems strategy for the University;
	ii	the management of risk in the context of the University's information systems.

2.8 Efficiency and effectiveness

To consider and advise the Vice-Chancellor on the any matters relating to the proper management of the University, including, but not limited to:

	i	proposals from managers concerning issues relating to the efficient and effective management of the University;
	ii	the undertaking of research activities and projects, as may be required from time-to-time;
	iii	risk review.

2.9 Students' Union

To consider student-related issues and to establish and maintain the relationship between the University and Students' Union, principally through meetings of the Vice-Chancellor and Students' Union Group and the Athletic Union.

2.10 The Estate

To consider and advise the Vice-Chancellor on the Estate, its maintenance, structure and development.

2.11 General

To consider matters referred to it from time-to-time by other groups and officers of the University.

2.12 Subordinate committees and groups of the Chief Executive's Group

The Vice-Chancellor may establish such committees and groups as he or she thinks fit for the proper management of the University and has established the following committees and groups for this purpose:

	i	Health and Safety Consultative Committee (University of Hertfordshire Group)
	ii	Procurement Committee
	iii	School Executive Groups

    iv   Vice-Chancellor and Students' Union Group

    v   Vice-Chancellor's Development Committee.

3   COMPOSITION

Members are appointed to CEG on an ex officio basis and are not permitted to designate named alternates/alternates to attend meetings when they are unable to do so, nor to identify nominees to attend all CEG meetings in their place.

Category

1	Vice-Chancellor who shall be Chairman	1
2	Deputy Vice-Chancellor who, in the absence of the Vice-Chancellor, will normally be Chairman	1
3	Group Finance Director	1
4	Secretary and Registrar	1
5	Pro Vice-Chancellors	*2*
6	Pro Vice-Chancellor (Business and International Development) and Director of Marketing and Communications	1
7	Chief Information Officer	1
8	Director of Estates, Hospitality and Contract Services	1
9	Deans of School	10
10	Academic Registrar	1
11	Dean of Students	1
12	Head of Human Resources	1
13	President of the Students' Union	*1*

Officers in Attendance

Executive Assistant (Clerk)

MEMBERSHIP

Head of the Research Office (Chair)

Director of Human Resources

Head of Equality and Diversity

Research Governance and Information Manager

Clerk: Research Office Administrator

TERMS OF REFERENCE

1. Have oversight of the staff disclosure processes and consider all information, as part of the individual staff circumstances data, in confidence, reporting only anonymised data;

2. Use guidance provided by Research England to assess individual staff with defined and complex circumstances;

3. Identify all those involved in the REF2021 decision making process and ensure adequate training is undertaken as a mandatory requirement;

4. Conduct Equality Impact Assessments at all key intervention points in the REF2021 preparation process and following REF2021 Submission;

5. Advise on the E&D aspects of the University Environment Template and Unit of Assessment Environment statements.

Catherine Manthorpe	Head of the Research Office	Overall management of the REF2021 submission
Ellie Hubbard	Research Information and Governance Manager	Support for the University's submission to REF2021 particularly in relation to data, outputs and the submission system
Charlotte Holloway	Senior Research Impact Facilitator	Lead on research impact and support for impact case study development and evidence collection. Specific support to Physics, Computer Science and Engineering
Bridget Russell	Research Impact Facilitator	Support for impact case study development and evidence collection. Specific support to Allied Health Professions; Dentistry, Nursing and Pharmacy; Psychology, Psychiatry and Neuroscience; Agriculture, Food and Veterinary Science; Business and Management Studies; and Education
Tara Stebnicky	Research Impact Facilitator	Support for impact case study development and evidence collection. Specific support to English Language and Literature; History; Philosophy; and Art and Design
Stephanie Dixon	Administrator	Supporting mock REF2021 exercises, data management and final submission

University of Hertfordshire UH

MAIN PURPOSE OF THE JOB

The purpose of the role is to support the Dean of School through the leadership of a portfolio of specified responsibilities. The post holder will take delegated responsibility for particular functions and lead significant elements of the School's work.   The Associate Deans will take a lead role in overseeing the work of the School; in formulating and implementing School policy and decision-making; and in working to ensure the School's efficiency and the on-going pursuit of quality and excellence. The Associate Deans working with the Dean of School will form the School Management Group to facilitate effective and prompt decision making within the School.

This job is combined with the substantive academic appointment of the post holder and an allowance is made in the workload allocation for the discharge of duties.

MAIN DUTIES

1. Take a key role in the conduct of business of the School.
2. Deputise for the Dean of School as appropriate in the management of the School during both planned and unplanned absence.
3. Deputise for the Dean of School as required in attending events and meetings both internally and externally in order to represent the interests of the School.
4. Take an active role in sustaining and developing a positive working environment and in contributing to collaborative working practices.
5. Promote understanding and engagement with the School's strategic direction amongst all staff.
6. Assist the Dean of School in financial management and strategic financial forward planning and act as deputy budget holder.
7. Conduct the appraisal of staff as allocated by the Dean of School.
8. Have oversight of other academic staff in leadership roles within the School
9. Liaise with professional staff in order to maintain effective working relationships within the School.
10. Be a member of University panels and committees as required.
11. Lead and develop the named area of work to drive the strategic plan and ensure the School reputation internally and externally is enhanced.
12. Use high level communication skills to project a quality image for the School internally, regionally, nationally and internationally.
13. Manage own work and that of others effectively to ensure quality of outcomes; resolving problems and making decisions with regard to operational aspects within designated responsibility.
14. Discharge of the duties of a line manager for all staff directly managed.
15. Maintenance, through regular practitioner activity, of experience in academic delivery across either teaching, research or enterprise at a minimum equivalent to 0.2FTE.
16. To assist the Dean in driving high health and safety standards throughout their area commensurate with current Health and Safety legislation and the University's Health and Safety policy.

SPECIFIC RESEARCH DUTIES

17. To function as a research leader across all research areas of the School and advise the DoS regarding all research matters within the School.

18. To provide strategic leadership for all research development within a School and assume the overall responsibility for research activities and School facilities utilised for research in collaboration and in discussion with the senior research leaders within the School.

19. To support the DoS in achieving the research targets for the School as determined by the University.

20. Championing the School in appropriate research committees and positively engaging in a collaborative manner with other research areas and ADRs across the University.

21. To provide a coordinating and data acquisition function to assist the University in relation to the necessary external reporting for research and also for both the forthcoming and future Research Excellence Framework assessment processes.

22. To oversee the local induction for new research staff and participate in the School-level induction for new academic and professional staff in order that they are made aware of the research policies and processes within the University.

23. To act as a point of contact and information concerning School research activities/matters from other areas within the University and also for external agencies, organisations, businesses and other clients.

24. To be responsible for publicity and PR for School research activities consulting with Marketing and Communications to deliver appropriate external messages.

25. To take strategic oversight of the research degrees processes and research degrees students associated with the School working closely with the School Research Tutor, where appropriate and the Associate Director of Research Degrees.

26. To be the facilitator and mentor in relation to the University research broadening agenda and also provide advice to the DoS regarding the research enrichment of School activities and programmes.

27. To discharge such responsibilities which may be placed on them by University Regulations or by the Dean of School.

28. To ensure compliance with University Regulations in relation to misconduct, student complaints, appeals and ethics.

SUPERVISION RECEIVED

The Associate Dean will be accountable to and supervised by the Dean of School and will liaise with other managers in undertaking the responsibilities and duties detailed above.

SUPERVISION GIVEN

The Associate Dean oversees the management of staff allocated by the Dean.

Relationships/Contacts:

Internal: Academic and Professional staff throughout the University.

External: Staff with similar responsibilities in other universities, appropriate professional bodies and senior managers in the relevant professional and community environments.

1   Unit of Assessment Coordinators are responsible to their Associate Dean (Research) and then to the Pro Vice-Chancellor (Research and Enterprise) for preparing submissions for mock assessments and the final submission to REF2021. Their duties involve but are not limited to:

   a. Communicating the REF2021 process to staff in their subject area/School/Unit of Assessment;
   b. Assisting to identify potential external assessors for mock assessments;
   c. Collecting and collating information on research outputs in their subject area/department/Unit of Assessment using the Research Information System (RIS);
   d. Making recommendations, in liaison with the Associate Dean (Research), to the Pro Vice-Chancellor (Research and Enterprise) on outputs to be selected for submission and documenting the decision-making process;
   e. Assisting with ensuring all outputs are uploaded to the Research Information System;
   f. Assisting with the collection of hard copies of outputs where no electronic version is available;
   g. Producing drafts and the final submission of the Environment Template incorporating all information collected from the Unit of Assessment;
   h. Involvement in the selection of the most appropriate Impact Case Studies.

2   Unit of Assessment Coordinators must familiarise themselves with all relevant REF2021 publications when they are available.

3   When preparing submissions Unit of Assessment Coordinators will work closely with their Associate Dean (Research) and the Head of the Research Office:

   a. Unit of Assessment Coordinators should seek advice and guidance on REF2021 from the Head of the Research Office who will also provide updates and briefings periodically to the Unit of Assessment Coordinators;
   b. Unit of Assessment Coordinators must encourage all staff in their subject area to ensure their outputs are on the Research Information System so that they may be considered for selection;
   c. As new outputs will come into the public domain after the mock assessments, Unit of Assessment Coordinators in the Units of Assessment approved for subsequent mocks or the final submission must contact colleagues again requesting details of these new outputs so that they can be considered for submission to REF2021.

ANNEX K: STATEMENT ON RESPONSIBLE METRICS

The University of Hertfordshire supports the responsible use of metrics for research assessment and management.

1. Research evaluation can be informed by quantitative indicators and other evidence but should be based mainly on expert qualitative assessment. Indicators may complement decision-making but should never take the place of judgement from an expert in the field.

2. Indicators must be used appropriately. The use of simple numbers without sufficient context is not appropriate. The use of a single metric is rarely appropriate. A basket of metrics should be used.

3. Factors such as the differences in publishing practice between disciplines, types of documents, age of the publication, stage of career, number of collaborators or types of research can all affect citation rates and other indicators. Metrics that normalise and adjust for these factors should be used.

4. Excellence in locally relevant or niche research should be protected. This research cannot always be published in high-impact journals or attract high citation rates. Indicators should take this into account.

5. The methods and data used for research assessment need to be transparent and simple. This allows for the verification of analyses and corroboration of conclusions obtained.

6. The systemic and potential effects of indicators, wherein they can change scholarly behaviour, should be anticipated and acknowledged.

7. The effectiveness of indicators changes with time; therefore the basket of metrics should be kept updated.

In the statement, we have used the words metric and indicator synonymously to emphasise that metrics are indicators rather than absolute measurements.

These recommendations are based on the principles expressed in detail in the following key texts:

- Hicks, D., Wouters, P., Waltman, L., de Rijcke, S., and Rafols, I. (2015). Bibliometrics: The Leiden Manifesto for research metrics. Nature. 520, 429-431. DOI: 10. 1038/520429a
- Wilsdon, J., et al. (2015). The Metric Tide: Report of the Independent Review of the Role of Metrics in Research Assessment and Management HEFCE DOI: 10. 13140/RG. 2. 1. 4929. 1363
- American Society for Cell Biology [online] San Francisco Declaration on Research Assessment (DORA)