



## **CODE OF PRACTICE**

# **Research Excellence Framework (REF) 2021**

**7 June 2019**

**(with additions in response to Research England feedback,  
submitted on 19 September 2019)**



**PART 1: Introduction**

under-represented groups to apply for opportunities in relation to promotion and development. Our commitment to the Concordat to Support the Career Development of Researchers informed our Concordat Action Plans (2018-20) and secured us the HR Excellence in Research Award in 2018.

## Update on Actions Since REF2014

7. This Code of Practice builds on DMU's REF2014 code. DMU's REF 2014 submission was guided by the 2009-12 Research Strategy, which stated the objective of expanding 'the range and volume of research activity across the University, while continuing to drive up quality, so that a mature and sustainable research environment is created'. The 2012-15 strategy articulated the desire to 'attain, at a minimum, internationally recognized research excellence in *all* areas of DMU research activity...' and its commitment to 'not only expanding our research base but also deepening our research interventions'.
8. DMU's current strategic vision builds on that earlier strategy, and includes a commitment to 'nurture, recognise and support researchers and research leaders' (Strategic Framework 2015-20). And DMU's Research Strategy for 2018-23, approved by its Board of Governors, sets out its ambition of ensuring that 60% of all its academic staff are research active by 2023.
9. In order to encourage research activity at all levels, a key initiative from 2014 has been a scheme where staff could bid for an allocation of research time. As stated in the Equality Impact Assessment (EIA) for REF 2014, the Individual Research Plan (IRP) exercise, piloted in 2014, was created to assist research-active staff to plan and develop their research careers. All full-time and pro rata academic staff on the single pay spine

12. There have been a number of other initiatives since the REF 2014 exercise to enhance the research environment and support researcher careers at DMU. These have included:

a. A series of initiatives to showcase research and promote impact and engagement:

- #DMUGlobal PhD Research Fellowship Scheme for postgraduate research students (to support travel to overseas research institutes)
- DMULocal (to support public engagement, potentially leading to Impact)
- DMUEngage (to support activities to generate research impact)
- The expansion of public engagement activities, including creation of the Stephen Lawrence Research Centre, the DMU Heritage Centre and the expansion of the Public Engagement Team
- DMUResearchMatters (linked to our research communications strategy to support public engagement)
- A revamped website prominently promoting DMU research
- The Doctoral College Lecture Series
- The appointment of dedicated Research Impact Officers
- Regular research impact events throughout 2016-2019

b. Initiatives to augment and incentivise researcher career support:

- The Future Research Leaders Scheme (a leadership development opportunity for researchers)
- The Research Leave Scheme, now replaced by the Global Sustainable Develop

allowance in excess of the allocated scholarly activity allowance (0.1 FTE), as well as all professorial staff, are invited to apply for a RIA. DMU's processes in relation to identifying research independence, as well as the selection of outputs, is outlined later in this document.

- b. Consistency: Through all the iterations of the RIA, we have ensured that the process is rolled out consistently, with consistent messaging, providing equal opportunities for all staff, whether on full-time or part-time contracts, and whether in more traditional or practice-based disciplines, to bid for a RIA.

Extensive communications and guidance will accompany each of the steps en route to the final REF 2021 submission to ensure consistency in messaging and processes. This will include communications concerning the 'readiness for REF' exercises, output reviews (internal as well as external reviews), impact case study reviews, three-weekly meetings of the Units of Assessment Coordinators (REF Working Group),,erse f6.6 (e)iu



dedicated email ([refcop@dmu.ac.uk](mailto:refcop@dmu.ac.uk)).



27. Key experts outside these committees/groups are drawn together in a REF Advisory Group. This Group includes the Head of Library Services, Head of Research Services, Director of People and Organisational Development, and the Director of ITMS, with other members drawn in as necessary to provide specialist advice and guidance on specific aspects of the REF submission process.
28. The REF Appeals Panel will comprise members independent of the REF management structure outlined above, and will be chaired by the Chief Operating Officer, with membership consisting of the Associate Pro Vice Chancellor (Academic), HR Policy and Strategy Manager, and the Head of Executive, Legal and Governance Services.
29. The University's researchers have the responsibility of providing full and accurate records o





- holding an independently won, competitively awarded fellowship where research independence is a requirement (as per illustrative though not exhaustive list provided by REF under Guidance);
- leading a research group or a substantial

## Appeals Process

51. All communications about the REF will remind staff of their right to appeal, and the appeals

with major dates centred around RIA allocation rounds, particularly the RIA invitations for 2019-20.

60. Equalities data for RIA 2018 by protected characteristics is provided in Appendix 3. This will form part of the EIA conducted for RIAs in both, 2018 and 2019, to identify staff with significant responsibility for research, to be returned alongside the REF 2021 submission.
61. The institution, via the REF Steering Committee, reserves the right to undertake an EIA at the UoA level if there is any perception of imbalance within a specific UoA.

## **PART 4: Selection of Outputs**

### **Policies and Procedures**

62. In selecting outputs for our REF submission, our key priorities will be to ensure representativeness of the breadth and diversity of our research, whilst ensuring that our

70. Outputs will not be considered from staff who have been made redundant. Outputs from former staff who have left the University will only be included in exceptional cases where there has been a significant and substantial connection to the UoA.
71. Where the cumulative effect of individual circumstances has disproportionately affected a UoA's output pool, we will request a reduction without penalty in the total number of outputs required for submission, where the individual circumstances of Category A submitted staff have constrained their ability to produce outputs or to work productively throughout the assessment period. This includes measures to remove the minimum of one requirement where an individual's circumstances have had an exceptional effect on their ability to work productively, so that the individual has not been able to produce an eligible output.

### **Consideration of Individual Staff Circumstances and Confidentiality**

72. The REF guidelines clearly indicate that individual circumstances that might have had an effect on an individual's contribution should be taken into account. All staff will be made aware of this provision through briefings and direct communication and will be invited to inform the University confidentially of any circumstances that may have had a material impact on their ability to produce the expected volume of research outputs. Staff will be invited to provide information through returning the Individual Staff Circumstances Disclosure Form set out in Annex 12 via a confidential and dedicated email address, [IndCircs@dmu.ac.uk](mailto:IndCircs@dmu.ac.uk). This is accessible only by the Equality and Diversity team. Requests must be based on the circumstances defined by the REF2021 and must be supported, where appropriate, by further information/evicio Tc 09.4 (u)-0.7 (.)-2 (a)-3.2 (c)-5 (.)-2 (u)-0.7 (k)JEMC ET/Span /MCID 15-One -506 Tw 11.01

- e. Circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in outputs (see Appendix 11 for details).
77. 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 will only be made exceptionally.
  78. Similarly, we will follow the Guidance on Submissions requirements (paragraphs 178-183) for members of staff who have not been able to produce an eligible output, where any of the following circumstances apply within the period 1 January 2014 to 31 July 2020:
    - a. An overall period of 46 months or more absence from research during the assessment period, due to one or more of the circumstances set out in the guidance (such as an Early Career Researcher who has only been employed as an eligible staff member for part of the assessment period);
    - b. Circumstances equivalent to 46 months or more absence from research, where circumstances set out in Appendix 11 apply (such as mental health issues, caring responsibilities, long-term health conditions); or
    - c. Two or more qualifying periods of family-related leave, as defined in Appendix 11.
  79. Staff may discuss their circumstances and/or seek support provided with an appropriate person, for example an HR Adviser or line manager.
  80. The internal deadline for submitting requests for staff circumstances to the formal panel for REF2021 is Wednesday, 22 January 2020 to ensure that requests can be processed and approved in good time to meet the Research England deadline of 31 March 2020 for submission of cases requesting unit and individual reductions. We will still consider circumstances after this date on an exceptional basis, e.g. for new members of staff or where there have been serious or unexpected changes to circumstances.
  81. A 'REF Individual Circumstances Review Panel', chaired by the Deputy Vice Chancellor, and including the University Head of Equality and Diversity, the HR Operations Manager, the Head of HR and the academic representative on the Board of Governors, will meet to review the circumstances put forward to ensure that they fall within the criteria indicated in the REF2021 Guidance on Submissions REF2019/01 and to make recommendations to the REF Steering Committee. Sensitive information submitted by individual members of staff will be kept confidential to the Individual Circumstances Review Panel. Any staff making an application or appealing via the individual circumstances process will have their individual outcome confirmed in writing. It is still the decision of the individual whether to use the reduction or not.
  82. All forms will be treated with **full confidentiality**. They will be reviewed by members of the Individual Circumstances Panel, who will ensure compliance with any relevant legislation and advice on the individual's eligibility for reductions using the REF guidance. Non-sensitive data, for example, about ECR status, may be shared with designated staff in the Research Governance team, if and where appropriate.

#### **Adjustment of expectations of individual contribution to output pool where circumstances are declared**

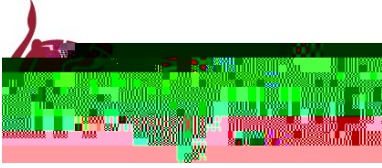
83. The REF Steering Committee will receive regular anonymised updates on the number of circumstances disclosed, broken down by broad category (e.g. parental leave or Early Career Researcher) and by UoA. Data will always be anonymised to protect the identity of individuals and to respect confidentiality.





Deadline for receipt of letters where R-only staff independence status unclear or where they self-initiate a case for independence	Monday, 28 October 2019
Outcomes on research independence claims and notification of appeals process	By Wednesday, 27 November 2019
Letter to all staff holding a RIA inviting them to declare any individual circumstances	By Friday, 30 November 2019
Internal deadline for declaring individual circumstances	W9 (I12.5 (e)2.8 (5-3JETN Qq9

## APPENDIX 1: DMU Equality of Opportunity in Employment Policy



Human Resources

People and Organisational Development

# Equality of Opportunity Policy

May 2016



## INTRODUCTION AND SCOPE

1.1 De Montfort University is committed to promoting equality of opportunity in employment. Employees and job applicants will receive equal treatment regardless of race, colour, ethnic or national origin, sex or sexual orientation (for example gay, lesbian, bisexual or heterosexual), marital or civil partnership status, religion or belief (or no religion or belief), gender identity or status (transgender), age, disability, or any other protected characteristic.

1.2 This policy sets out the university's approach to equality of opportunity and the avoidance of discrimination at work. It applies to all aspects of employment with us, including recruitment, pay and conditions, training, appraisals, promotion, conduct at work, disciplinary and grievance procedures, and termination of employment. It should be applied alongside and with reference to the university's other policies and procedures including those referred to in this policy.

1.3 Where applicable, this policy covers all staff working for or on behalf of De Montfort University e.g. all DMU employees, secondees, consultants, contractors, volunteers, interns, casual workers and agency workers.

1.4 Breaches of this policy may be dealt with in accordance with the disciplinary

## RECRUITMENT AND SELECTION

3.1 The university is committed to open and diverse recruitment with equality and diversity at the heart of all recruitment and selection processes and decisions. Recruitment, promotion, and other selection exercises such as redundancy selection and redeployment will be conducted on the basis of merit, against objective criteria that avoid discrimination.

3.2 The university will strive to source candidates from a wide pool in order to find the best person for the job, to achieve a diverse workforce, to ensure talent is not blocked from entering the university, and to support people from all backgrounds and cultures to realise their full potential.

3.3 All university recruiters need to be aware of the principles of equality and diversity and understand how unfair bias and/or unlawful discrimination can occur both directly and indirectly in the recruitment process.

3.4 Shortlisting, interviewing and selection will always be carried out without regard to age, disability, sex, sexual orientation, gender re-assignment, marital or civil partner status, pregnancy or maternity, race, nationality, ethnic or national origin or religion or belief.

3.5 Recruitment processes and systems will be regularly reviewed to ensure there is no hidden bias.

3.6 "Positive Action" programmes may be explored where there is evidence of underrepresentation in certain jobs or at certain levels.

3.7 Every person who has been offered employment with DMU will need to be checked to ensure they are eligible to work in the UK before they are allowed to start work. These checks should be carried out for all employees who have been given a conditional offer of employment to ensure individuals are not being unlawfully discriminated against because of their nationality at any stage of the recruitment and selection process.

3.8 The university will consider ex-offenders for employment on their individual merits and will not automatically refuse to employ an individual because they have a criminal record.

3.9 The university welcomes applications from disabled people and has been awarded the Jobcentre Plus Disability Two Ticks Symbol. Reasonable adjustments to the recruitment process will be made to ensure that no applicant is disadvantaged because of their disability.

See the following related policies:

**Recruitment and Selection Policy**

**Redeployment Procedure**

**Immigration and preventing illegal working**

**Agency Worker Regulations – Guidance for Managers**

**Religion or Belief Policy Statements and Guidance for Staff and Students**

## TRAINING AND DEVELOPMENT

4.1 DMU is committed to providing a learning environment for all staff which enables them to fully contribute to achieving DMU's vision for success.

4.2 The university will provide employees with appropriate training, developmental and educational opportunities that will enable them to acquire the skills and competencies that are needed by the university and for their own development. The principles of equality of opportunity underpin the university's commitment to life-long learning.

4.3 All DMU employees are required to complete equality and diversity training.

See the following related policies:

- [Staff Development Policy and Guidelines](#)
- [MyAppraisal](#)

## CONDUCT

5.1 The university aims to provide a supportive environment where respect is shown to all, and where all staff and students are encouraged to perform to their potential. The university prohibits unlawful direct and indirect discrimination, harassment, bullying and victimisation of others and provides definitions and clear examples of the type of conduct that will not be tolerated.

5.2 The university will ensure that disciplinary procedures and penalties are applied without discrimination, whether they result in disciplinary warnings, dismissal or other disciplinary action.

See the following related policies: ( r ) •0.2152 -1.2522 d C.9 ( t)o o dso de dteh d(o)-9.6 (n)Dedeu:(gM/TT0 Tdf(c





11.3 The university will monitor the physical features of its premises to consider whether they might place anyone with a disability at a substantial disadvantage. Where necessary, the university will take reasonable steps to improve access.

11.4 Employees who have a disability will be entitled to paid time off for medical appointments related to their disability. Appointments should be approved with line managers and time off does not need to be made up in respect of appointments of this nature.

See the following related policies:

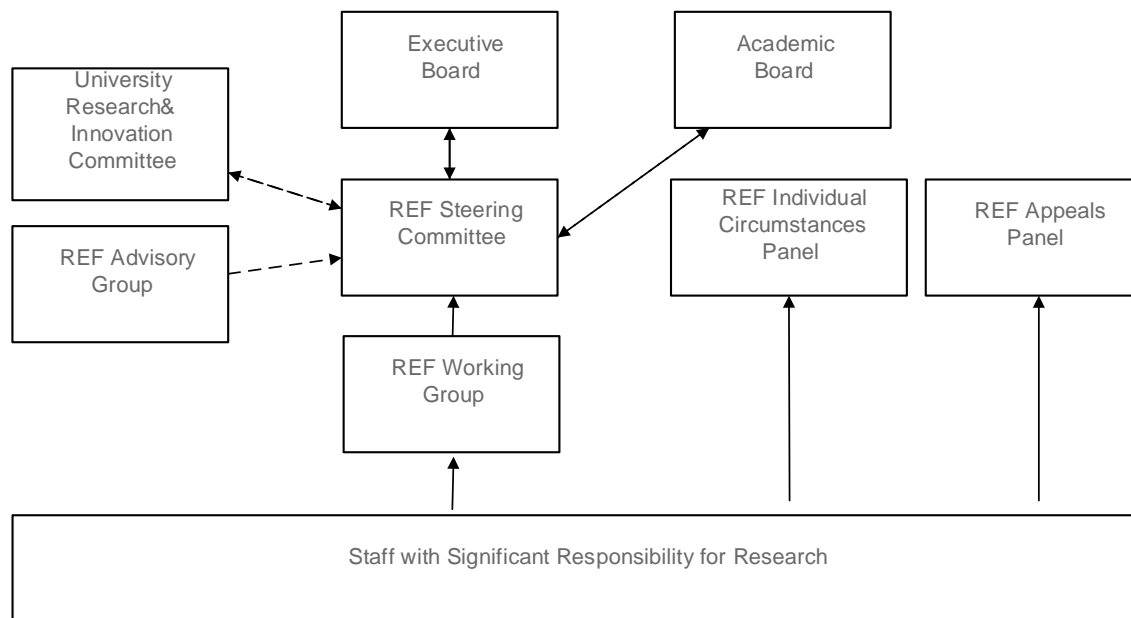
- **Special Leave Policy**
- **Disability-related absence: guidance**

## WORKFORCE MONITORING

Workforce composition will be regularly monitored to ensure equality of opportunity at all levels of the university. Where appropriate, steps will be taken to identify and remove unjustified barriers and to meet the needs of disadvantaged or underrepresented groups.

## APPENDIX 2: REF Accountabilities Structure at DMU

### REF Reporting Structure



## **APPENDIX 3: Equalities Data Review of RIA Allocation 2018**

**Work Area:** The 2018 Research and Innovation Allowance (RIA) Exercise

**Persons with authority to make changes to the work area:**

Pro Vice-Chancellor (Research and Innovation)

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Of the staff who applied 23.2% were aged 55 and over.

**6.4 Ethnicity:**

42.7% of eligible white staff applied.

55.3% of eligible BAME staff applied.

Broken down by Faculty, the data for the **applied group** shows the foli310.20dowe1 (th)l-10.6e

**6.9 Race/Ethnicity<sup>3</sup>:**

ADH: 47.8

(124/295).

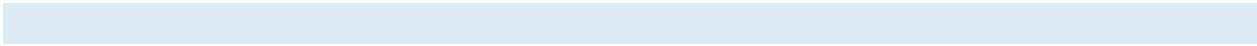
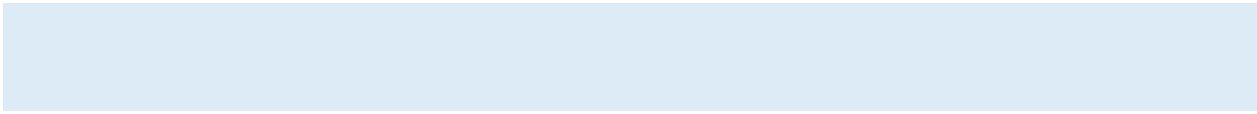
2.9% (4/136) of BAME applicants did not receive any allowance compared with 8.8% (26/295) White applicants.

## **8 Summary**

### **8.1 Applications**

A1. Analysis of All Staff Eligible to Apply for an RIA as at 01.06.18

This data shows the staff eligible to apply (by **headcount**), broken down by four protected characteristics (Gender, Disability, Age and Ethnicity) and by Faculty.





A2. Analysis of Staff who applied for an RIA as at 01.06.18

This data shows the staff who applied for an RIA (by **headcount**), broken down by four protected characteristics (Gender, Disability, Age and Ethnicity) and by Faculty.

**Base = Not Applied and Applied Staff Totals**

		EXEC		HLS		Total							
		Nos	%	Nos	%	Nos	%	Nos	%	Nos	%	Nos	%
<b>No</b>	Female	59	56.2%	65	48.1%	37	40.2%	3	50.0%	127	69.0%	291	55.7%
	Male	46	43.8%	70	51.9%	55	59.8%	3	50.0%	57	31.0%	231	44.3%
		105	59.7%	135	53.2%	92	43.2%	6	85.7%	184	57.5%	522	53.8%
<b>Yes</b>	Female	40	56.3%	49	41.2%	31	25.6%	1	100.0%	76	55.9%	197	44.0%
	Male	31	43.7%	70	58.8%	90	74.4%		0.0%	60	44.1%	251	56.0%
<b>Yes Total</b>		71	40.3%	119	46.8%	121	56.8%	1	14.3%	136	42.5%	448	46.2%
<b>Grand Total</b>		176	100.0%	254	100.0%	213	100.0%	7	100.0%	320	100.0%	970	100.0%

**Base = Not Applied and Applied Staff Totals**

	Nos	%	Nos	%	Nos	%	Nos	%	Nos	%	Nos	%
White	91	86.7%	88	65.2%	71	77.2%	5	83.3%	141	76.6%	396	75.9%
BAME	11	10.5%	45	33.3%	20	21.7%	1	16.7%	33	17.9%	110	21.1%
Information refused	2	1.9%										

### A3. Analysis of Applications for RIAs versus Obtained

This data shows the numbers of staff (by headcount) who obtained an allowance lower than requested, or no allocation, and the numbers of staff (by headcount) who obtained the requested allowance, broken down by four protected characteristics (Gender, Disability, Age and Ethnicity) and by Faculty.

Applied for RIA	Nos of Eligible Staff	% Eligible Staff
No	522	54%
Yes	448	46%
<b>Grand Total</b>	<b>970</b>	<b>100%</b>

Applied for RIA	Allowance outcomes	ADH		BAL		CEM		EXEC		HLS		Total	
		Nos	%	Nos	%	Nos	%	Nos	%	Nos	%	Nos	%
Yes	Got allowance requested	23	32.4%	93	78.1%	70	57.9%	1	100.0%	39	28.7%	226	50.4%
	Got lower allowance	34	47.9%	23	19.3%	41	33.9%	0	0.0%	83	61.0%	181	40.4%
	Requested and got 0	14	19.7%	2	1.7%	6	5.0%	0	0.0%	10	7.4%	32	7.1%
	Unknowns	0	0.0%	1	0.8%	4	3.3%	0	0.0%	4	2.9%	9	2.0%
<b>Yes Total</b>		<b>71</b>	<b>100.0%</b>	<b>119</b>	<b>100.0%</b>	<b>121</b>	<b>100.0%</b>	<b>1</b>	<b>100.0%</b>	<b>136</b>	<b>100.0%</b>	<b>448</b>	<b>100.0%</b>
<b>Grand Total</b>		<b>71</b>	<b>100.0%</b>	<b>119</b>	<b>100.0%</b>	<b>121</b>	<b>100.0%</b>	<b>1</b>	<b>100.0%</b>	<b>136</b>	<b>100.0%</b>	<b>448</b>	<b>100.0%</b>

Allowance outcomes	Disability group	ADH		BAL		CEM		EXEC		HLS		Total	
		Nos	%	Nos	%	Nos	%	Nos	%	Nos	%	Nos	%
<b>Got allowance requested</b>	Disability	2	2.8%	4	3.4%	2	1.7%	0	0.0%	3	2.2%	11	2.5%
	No known disability	21	29.6%	88	73.9%	67	55.4%	1	100.0%	32	23.5%	209	46.7%
	Information refused	0	0.0%	1	0.8%	0	0.0%	0	0.0%	1	0.7%	2	0.4%
	Not Known	0	0.0%	0	0.0%	1	0.8%	0	0.0%	3	2.2%	4	0.9%
<b>Got allowance requested Total</b>		<b>23</b>	<b>32.4%</b>	<b>93</b>	<b>78.1%</b>	<b>70</b>	<b>57.9%</b>	<b>1</b>	<b>100.0%</b>	<b>39</b>	<b>28.7%</b>	<b>226</b>	<b>50.4%</b>
<b>Got lower allowance</b>	Disability	1	1.4%	3	2.5%	2	1.7%	0	0.0%	5	3.7%	11	2.5%
	No known disability	31	43.7%	20	16.8%	38	31.4%	0	0.0%	75	55.1%	164	36.6%
	Information refused	2	2.8%	0	0.0%	1	0.8%	0	0.0%	0	0.0%	3	0.7%
	Not Known	0	0.0%	0	0.0%	0	0.0%	0	0.0%	3	2.2%	3	0.7%
<b>Got lower allowance Total</b>		<b>34</b>	<b>47.9%</b>	<b>23</b>	<b>19.3%</b>	<b>41</b>	<b>33.9%</b>	<b>0</b>	<b>0.0%</b>	<b>83</b>	<b>61.0%</b>	<b>181</b>	<b>40.4%</b>
<b>Requested and got 0</b>	No known disability	14	19.7%	2	1.7%	6	5.0%	0	0.0%	9	6.6%	31	6.9%
	Information refused	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	0.7%	1	0.2%
<b>Requested and got 0 Total</b>		<b>14</b>	<b>19.7%</b>	<b>2</b>	<b>1.7%</b>	<b>6</b>	<b>5.0%</b>	<b>0</b>	<b>0.0%</b>	<b>10</b>	<b>7.4%</b>	<b>32</b>	<b>7.1%</b>
<b>Unknown</b>	No known disability	0	0.0%	1	0.8%	4	3.3%	0	0.0%	4	2.9%	9	2.0%
<b>Unknown Total</b>		<b>0</b>	<b>0.0%</b>	<b>1</b>	<b>0.8%</b>	<b>4</b>	<b>3.3%</b>	<b>0</b>	<b>0.0%</b>	<b>4</b>	<b>2.9%</b>	<b>9</b>	<b>2.0%</b>
<b>Grand Total</b>		<b>71</b>	<b>100%</b>	<b>119</b>	<b>100%</b>	<b>121</b>	<b>100%</b>	<b>1</b>	<b>100%</b>	<b>136</b>	<b>100%</b>	<b>448</b>	<b>100%</b>

Allowance outcomes	Ethnic group	ADH		BAL		CEM		EXEC		HLS		Total	
		Nos	%	Nos	%	Nos	%	Nos	%	Nos	%	Nos	%
Got allowance requested	White	15	21.1%	52	43.7%	44	36.4%	1	100.0%	26	19.1%	138	30.8%
	BAME	8	11.3%	37	31.1%	24	19.8%	0	0.0%	10	7.4%	79	17.6%
	Information refused	0	0.0%	2	1.7%	1	0.8%	0	0.0%	1	0.7%	4	0.9%
	Not known	0	0.0%	2	1.7%	1	0.8%	0	0.0%	2	1.5%	5	1.1%
Got allowance requested Total		23	32.4%	93	78.1%	70	57.9%	1	100.0%	39	28.7%	226	50.4%
Got lower allowance	White	29	40.8%	10	8.4%	23	19.0%	0	0.0%	62	45.6%	124	27.7%
	BAME	4	5.6%	13	10.9%	16	13.2%	0	0.0%	18	13.2%	51	11.4%
	Information refused	1	1.4%	0	0.0%	2	1.7%	0	0.0%	0	0.0%	3	0.7%
	Not known	0	0.0%	0	0.0%	0	0.0%	0	0.0%	3	2.2%	3	0.7%
Got lower allowance Total		34	47.9%	23	19.3%	41	33.9%	0	0.0%	83	61.0%	181	40.4%
Requested and got 0	White	12	16.9%	2	1.7%	6	5.0%	0	0.0%	6	4.4%	26	5.8%
	BAME	0	0.0%	0	0.0%	0	0.0%	0	0.0%	4	2.9%	4	0.9%
	Information refused	2	2.8%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	2	0.4%
Requested and got 0 Total		14	19.7%	2	1.7%	6	5.0%	0	0.0%	10	7.4%	32	7.1%
Unknown	White	0	0.0%	1	0.8%	4	3.3%	0	0.0%	2	1.5%	7	1.6%
	BAME	0	0.0%	0	0.0%	0	0.0%	0	0.0%	2	1.5%	2	0.4%
Unknown Total		0	0.0%	1	0.8%	4	3.3%	0	0.0%	4	2.9%	9	2.0%
Grand Total		71	100%	119	100%	121	100%	1	100%	136	100%	448	100%



## BAL School/Department

- Accounting & Finance
- Law
- 
- People, Politics & Place
- Strategic Marketing & Management
- Economics and Marketing Management
- and Entrepreneurship

## CEM School/Department

- Computer Science and Informatics
- Leicester Media School
- 
- Engineering and Sustainable Development

## HLS School/Department

- Allied Health Sciences Nursing &
- Midwifery Pharmacy
- 
- Applied Social Sciences

## Institute *Optional*

Architecture  
Art & Design  
English  
History  
Drama, Dance and Performance Studies  
Centre for Urban Research on Austerity  
Local Governance Research Centre  
People, Organisations and Work  
Centre for Enterprise and Innovation  
Applied Economics and Social Value  
Evidence-Based Law Reform  
Finance and Banking Research Centre  
Accountability, Governance and Sustainability  
Allied Health Sciences Research  
Pharmaceutical Innovation: From Molecules to Practice  
Health, Health Policy and Social Care  
Psychological Science  
Criminology, Community, Education & Social Justice  
Mary Seacole Research Centre  
Centre for Reproduction Research  
Cinema and Television History Institute  
Creative Technologies  
Media and Communication Research Centre  
Media Discourse Centre  
Music, Technology & Innovation - Institute for Sonic Creativity

## Personal details

Last name *Required*

First name





Were you allocated a RIA in 2018?

- No, I do not currently have a RIA allocation. Yes,
- but it was to be reviewed after one year.
- Yes, I have a 2-year allocation but in light of changed circumstances I want to request a different band.

If you did have a RIA allocation (but subject to review after a year), or you are requesting a change to your RIA allocation, please indicate your current (2018-19) RIA allocation:

Please indicate the annual RIA band (August 2019 -July 2020) you would like to apply for: Required

- Band A (320 hrs per year)
- Band B (480 hrs per year)
- Band C (640 hrs per year)



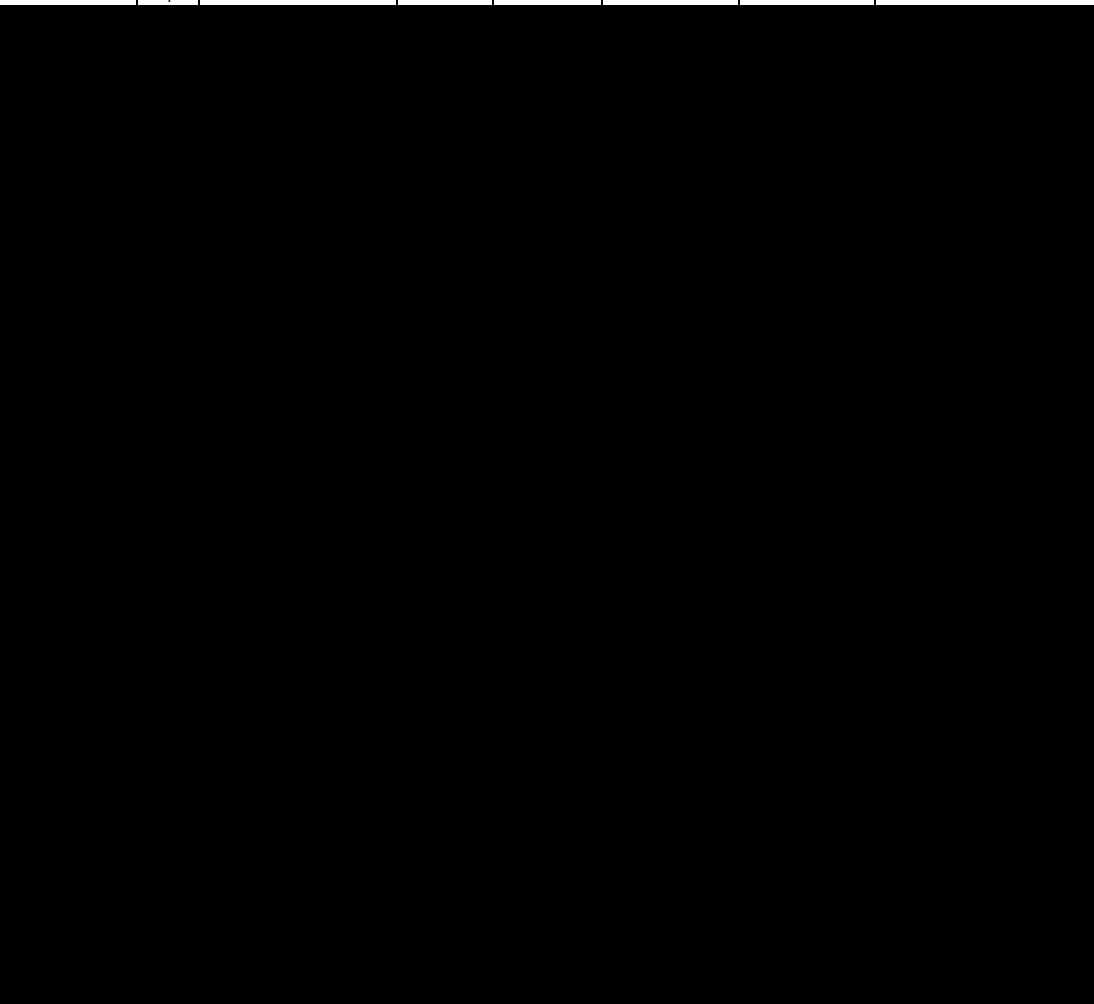


PAGE 5: APPLICATIONS AND NEW AGREEMENTS TO BE SUBMITTED/SET UP BETWEEN AUGUST 2019 AND AUGUST 2020

The next few questions are for you to outline internal and external research and innovation funding applications and agreements

Please provide details of up to top 5 applications and new agreements to be submitted/set up between August 2019 and July 2020

	Funder/Source	Title	Role (PI/CI etc)	Expected start date	Expected end date	Status (e.g. submitted/under review)	Value	Hours of staff time per week	Internal	External	Collaborator details	Research	Innovation
1													



## PAGE 6: INNOVATION ACTIVITY

### Innovation for this purpose, includes

- Knowledge Exchange, broadly covering activities aimed at developing partnerships between businesses and the University. This could be KTPs, Knowledge Catalyst and Knowledge Transfer Fellowships and Knowledge Exchange Projects.
- Consultancy, usually involving the provisions of expert advice and work that is dependent on a

## PAGE 7: FINISH

If you would like support from Research Services in relation to training needs, applying for external research/innovation funding or developing/evidencing impact from your research please contact [ria@dmu.ac.uk](mailto:ria@dmu.ac.uk) with your query, specifying 'RIA development' in the subject line.

If you have any feedback on the RIA application process for 2019/20 please email [ria@dmu.ac.uk](mailto:ria@dmu.ac.uk) specifying 'RIA FEEDBACK' in the subject line.

Thank you for submitting your RIA application. You will be notified of your allocation in due course which will be loaded on to your workload planner. If you have any queries in the meantime, please contact your Head of School or Associate Dean for Research.

To save a copy of your application, please click on 'download responses'.

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## APPENDIX 5: REF Steering Committee Terms of Reference and Constitution (2019/20)

### A. Scope and purpose of the committee

The REF Steering Committee has been set up to make strategic decisions on REF and related issues, and oversee and direct policies and processes for delivering DMU's return to the Research Excellence Framework (REF) 2021. The REF Steering Committee informs the University Research and Innovation Committee, and reports to the VC/ University Executive Board.

#### Terms of reference:

- a. To agree and make recommendations on DMU's 2021 REF submission in line with REF criteria, optimising our return;
- b. To develop, communicate and consult on the REF Code of Practice, ensuring that all REF-related processes are aligned with the Code of Practice
- c. To agree on and recommend structures and resources to enable and enhance the production and selection of outputs, environment statements and impact case studies for REF2021 in a fair and transparent manner
- d. To receive reports on progress from the REF Working Group, and elicit the views of UoA Coordinators as part of the decision-making process
- e. To inform the University Research and Innovation Committee on REF planning activities;
- f. To keep other senior bodies (e.g. Executive Board, Academic Board) informed, as required, on progress towards REF 2021
- g. To set out the principles for the identification of staff with significant responsibility for research and research independence
- h. To ensure ongoing communications with the wider DMU community on REF 2021

### B. Membership

The committee consists of the following members:

PVC Research  
Associate PVC Research (Chair)  
ADH Associate Dean Research & Innovation  
CEM Associate Dean Research & Innovation  
BAL Associate Dean Research & Innovation  
HLS Associate Dean Research & Innovation  
Head of Policy, Governance & Research Student Services  
Head of Equality and Diversity  
Research Governance Manager

Membership will be confirmed by the committee's secretary to the People and Organisational Development directorate on an annual basis so that an anonymous analysis of equality participation may be undertaken, as part of the university's equality obligations.

### C. Quorum

Quoracy is 50% of the membership -1.

### D. Servicing and support

Servicing and support will be provided by Sarah Paternostro: [sarah.paternostro@dmu.ac.uk](mailto:sarah.paternostro@dmu.ac.uk)



**E. Meeting schedule**

Meetings will be held every two weeks during term times and as required over the course of the year.

**Notes on the operation of the Committee:**

1. The Committee will monitor the diversity of its membership and will only meet within core working hours of 9.30 – 4.30.
2. Members are expected to attend regularly and participate fully in the

## APPENDIX 6: REF 2020 Timetable and Schedule of Activities

Preparedness for REF 2017-18	Summer 2018
Survey on staff views on mechanism to identify those with significant responsibility for research	December 2018/January 2019
Preparedness for REF 2018-19	Completed May 2019
REF Roadshow (presentations to faculties and institutes)	w/c 15 April 2019
Draft of CoP to ADRs, UoA leads, Deans/PVCs	w/c 15 April 2019
Presentation to Executive Board	30 April 2019
Presentation to Academic Board	1 May 2019
Open consultations (individuals, committees, unions)	9 May – 30 May 2019
External academic review of impact case studies and environment statements	Documents sent out late May 2019, with reviews back in late June 2019
RIA allocations 2019-20	Late-May/early June
Submission of DMU CoP	1200 hrs, 7 June 2019



## APPENDIX 7: REF Working Group and Unit of Assessment Coordinators' and Deputies' Role Descriptions

### Scope and purpose of the Working Group

The REF Working Group has been set up to organise and implement the timetable and preparations for all elements of the REF submission, including raising any risks related to the submission. It will provide a forum to discuss issues arising within units of assessment, and consider institutional make

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5. Work closely with Research Services staff to provide best practice advice and signposting to





## **APPENDIX 9: Guidance to Support Identification of SRR**

**Does the colleague have significant responsibility for research?**

Meetings with UoA Co-Ordinators/ Deputy Co-



## APPENDIX 10: Establishing Research Independence (R-only Staff)

We will submit all staff on Research-only (R-only) contracts who meet the definition of an independent researcher and hold a contract of employment of 0.2 FTE or greater on the census date of 31 July 2020. The process for determining research independence will be applied consistently across all Units of Assessment.

Our criteria for determining independence are drawn from the indicators stated in paragraphs 131–134 of the REF 2021 Guidance on Submissions. These indicators will be used to help us to determine whether an individual is independent. They are:

- holding an independently won, competitively awarded externally-funded fellowship. An illustrative, but not exhaustive, list of independent fellowships supplied by Research England can be found at [www.ref.ac.uk](http://www.ref.ac.uk);
- leading or acting as principal investigator or equivalent or co-investigator on an externally funded research project;
- leading a research group or a substantial or specialised work package on an externally funded project.

Staff on R-only contracts are not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs.

**Name:**

**Department:**

**Source of funding, including grant code if externally funded:**

**Start and end dates of employment:**

I believe that I meet the following criteria as an independent researcher (please tick all that apply):

## APPENDIX 11: REF Defined Tariff Reductions for Staff Circumstances

(From Guidance on Submissions 2019/01 Appendix L)

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 (ECRs)

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

**Table L1: Early career researchers: Permitted reduction in outputs**

Date at which the individual first met the REF definition of an ECR:	Output pool may be reduced by up to:
On or before 31 July 2016	0
Between 1 August 2016 and 31 July 2017 inclusive Between 1 August 2017 and 31 July 2018 8 (6)3 (a)-3.3 (n)	0.5

- 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<sup>4</sup>, or shared parental leave<sup>5</sup> lasting for four 3dq fo.



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

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

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

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

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### **Pregnancy and maternity**

Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 women are protected from unlawful discrimination, harassment and victimisation related to pregnancy and maternity.

Consequently, where researchers have taken time out of work, or their ability to work productively throughout the assessment period has been affected, because of pregnancy and/or maternity, the submitting unit may return a reduced number of research outputs, as set out in 'Guidance on submissions', paragraphs 169 to 172.

In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process.

For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.

### **Sex (including breastfeeding and additional paternity and adoption leave)**

The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect HEI staff

## **APPENDIX 12: Letter to Staff About Individual Circumstances**

Dear Colleague:

As part of the University's commitment to supporting fairness, equality and inclusion in REF 2021, we have implemented a voluntary and confidential process by which staff who are eligible for inclusion in our REF submission can declare information about circumstances that may have affected







*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.](#)



## APPENDIX 13: VC LETTER ON STAFF AGREEMENT

Nicholson House  
Lime Kiln Close  
Stoke Gifford  
BRISTOL  
BS34 8SR

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