

**EDINBURGH NAPIER UNIVERSITY**  
**Research Excellence Framework 2021 – Code of Practice**

Contents

Part 1. Introduction .....	2
Part 2. Identifying staff with significant responsibility for research.....	8
Part 3. Determining research independence .....	23
Part 4. Selection of Outputs .....	26

# EDINBURGH NAPIER UNIVERSITY

## Research Excellence Framework 2021 – Code of Practice

### Part 1. Introduction

#### 1.1 Background and Purpose

Each institution making a submission to REF2021 is required to develop, document and apply a **Code of Practice** (CoP) on the fair and transparent:

- i. identification of staff with significant responsibility for research, as agreed with staff (where a University is not submitting 100% of Category A eligible staff<sup>1</sup>)
- ii. determining research independence
- iii. selection of Outputs for submission

The University is required to ensure that REF procedures do not discriminate unlawfully against, or otherwise have the effect of harassing or victimising individuals from protected characteristics (because of age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex or sexual orientation or because they are pregnant or have recently given birth).

This Code of Practice has been developed based on the [REF 2021 Guidance on Submissions](#) and the guidance given by the [Joint UK Funding Councils on the Code of Practice](#).

The joint UK funding councils require the Institutions' Code of Practice to be submitted in June 2019.

#### 1.2 Policies in support of Equality & Diversity

The [University's Inclusion Statement 2017](#) (Appendix A) clearly sets out the institution's commitment to eradicating discrimination and promoting equality of opportunity for all staff. This Code of Practice has been developed with reference to the University's guiding principles relating to Equality and Diversity, as outlined in the Inclusion Statement and through the Institutional values (Professional; Ambitious; Innovative; Inclusive)

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<sup>1</sup> 'Category A eligible' describes staff meeting core eligibility criteria, who will form the total pool of eligible staff. Building on the definition of Category A staff in REF 2014, 'Category A eligible' staff will be defined as academic staff with a contract of employment of 0.2 full-time equivalent (FTE) or greater, on the payroll of the submitting institution on the census date, whose primary employment function is to undertake either 'research only' or 'teaching and research'. Staff should have a substantive connection with the submitting institution. For staff on 'research only' contracts, the eligible pool should only include those who are independent researchers, and not research assistants.

In developing this Code of Practice, the institution has considered the content of the Edinburgh Napier REF2014 CoP, alongside the outcomes of the final Equality Impact Assessment, conducted post submission, which found the practices of selection in REF2014 to be fair and transparent. This was further evidenced through a zero appeals rate and a representative REF submission profile, which closely reflected that of the overall academic staff profile.

Further, the University has considered the report by the Equality and Diversity Advisory Panel (EDAP) relating to good practice in REF2014, to inform the content of this document.

This Code of Practice builds on and replaces the code used for the 2014 submission, taking account of relevant changes in the guidance, as outlined in the REF 2021 Guidance on Submissions, page 13. The Code is designed to complement the University's existing recruitment and staff development policies, all of which have been subject to equality impact assessment and which comply with the Equality Act 2010.

Edinburgh Napier is committed to creating a culture of inclusion and achieved Stonewall Scotland Diversity Champion accreditation in 2016. Since REF2014, the University reviewed its approach to equality and diversity and an Inclusion statement has been launched with an improved focus on staff equality and diversity. This includes the establishment of a range of networks for staff identifying with or supporting a number of protected characteristics, including Woman's Network, LGBT+ Staff Network and Carer's Network. Each School has an Inclusion Monitoring Group responsible for equality and diversity issues.

A flexible working policy (Appendix Ai) directly contributes to family-friendly flexible working.

Unconscious bias training is routinely delivered and the University's inclusive values and behaviors are embedded into the PDR (Personal Development Review – 'MyContribution') process.

Edinburgh Napier University holds an Athena SWAN bronze award, which was awarded in April 2015. The University also has two bronze departmental awards in two of the six Schools, and is actively working towards achieving this standard in the four remaining Schools.

Consistent with the University's overall approach to equality and diversity, all policies are equality and diversity impact assessed on an ongoing basis. The conduct of Equality Impact Assessments is normal practice across all areas of University activity, reflecting the guidance for public authorities of the Equality and Human Rights Commission in Scotland.

### **1.3 Guiding Principles underpinning the CoP**

In order to meet the ultimate goal of ensuring fairness in the REF2021 submission, the University's Code of Practice is based on the following four principles:

**Transparency:** this Code is accessible to all relevant staff and its existence and content has been communicated widely by utilising methods of dissemination familiar to staff. This includes the University's web pages and staff intranet, staff email addresses; the research blog page as well as relevant staff or Committee meetings. Staff campus conversations have been held throughout the development process of the Code for consultation and feedback. All efforts have been made to publicise this Code to staff on leave (including sick leave and maternity/paternity leave).

A copy of the Code of Practice is available via the University's external website, accessible to any individual or group of individuals with an internet connection.

The findings of all REF-related Equality Impact Assessments are included as an appendix to this Code of Practice, with the content and recommendations accessible for all staff to view.

**Consistency:**

The Institution promotes consistency in the application of the Code of Practice criteria by ensuring that all staff involved in the management and coordination of the REF2021 submission and in the application of the criteria have been fully trained under a bespoke programme of REF2021 Equality and Diversity training, facilitated by the external provider, in-Equilibrium.

The application of the criteria for identifying staff with significant responsibility; determining research independence and selection of Outputs is consistent across all intended Units of Assessment, as detailed in the processes described in the Code of Practice.

The Institution is utilising HR and Research Information Management Systems to consistently apply the criteria for identifying the Category A eligible staff pool in order to reduce the occurrence of human error associated with manual record maintenance.

Staff circumstances are being considered centrally according to REF guidance and within the HR process for voluntary declaration of circumstances outlined in Part 4, to ensure consistency.

**Accountability:**

This Code identifies those staff with responsibility for REF processes. Details are provided of groups and individuals with REF responsibilities. The criteria employed for determining staff with significant responsibility for research and research independence are outlined, as are arrangements for providing feedback and for lodging an appeal.

Relevant Committee/ group remits are included as an appendix (Appendix F) to the Code of Practice, as are details of relevant training undertaken by accountable individuals and groups.

### **Inclusivity:**

This Code complements the University's wider commitment to inclusion as stated in the University inclusion statement 2017 (Appendix A).

All Category A eligible staff have equal opportunity, without discrimination, to be considered significantly responsible for research, through discussion with line managers, with agreement of research associated objectives recorded in the University's 'MyContribution' appraisal process and reflected in the allocation of research allowance in the University's Workload Allocation System.

All line managers have completed unconscious bias training to promote the avoidance of direct and indirect discrimination against any of the protected characteristics and to ensure that reasonable adjustments are made, where possible.

School Inclusion Monitoring (SIM) groups are in operation in each of the Schools, to conduct Equality Impact Assessments in relation to workload allocation.

The criteria has been developed with reference to the following principles:

***Objectivity; Non-discrimination and Transparency.***

## **1.4 Communicating the Code of Practice**

In developing the criteria within this CoP, the University has been committed to open, two-way, meaningful communication with all staff to ensure that the processes for identifying staff with significant responsibility for research; research independence and the selection of Outputs, has been clear, well considered and developed collaboratively academic staff.

This included a programme of institution-wide consultation with staff through the following engagement forums (Figure1):

- Open campus meetings on each of the three University campuses, hosted by the Dean of Research and Innovation and Research Policy Officer, conducted at appropriate intervals throughout the development phase of the CoP and prior to submission to the funding bodies in June 2019. (June 2018 to March 2019).
- A dedicated REF2021 CoP email address, managed by the Research Policy Officer, inviting views from all staff on the developing CoP criteria.
- Engagement with staff representative groups (Academic Union representatives, EIS – June 2018, March 2019).
- Consideration and discussion by the University Leadership Team (Nov. 2018).
- Consideration and discussion from the REF Steering Group, responsible for overseeing the University's REF submission, as well as featuring at UoA

Leaders group meetings and as a recurring agenda item amongst the School Directors of Research (Nov'18 through May'19).

- Consideration and endorsement of the CoP, minuted through the University's Academic Board, the primary academic body of Edinburgh Napier University with delegated authority from the University Court to oversee the overall planning, co-ordination, development and supervision of the academic work of the University. (Jun'18; Mar'19).
- Consideration and final approval, formally minuted at the University's Research and Innovation Committee, a sub-Committee of Academic Board with delegated responsibility to report REF related activity.
- Presentation to University Court members, for information.

The University's Research and Innovation Committee was granted delegated authority to formally approve the Code of Practice, on behalf of the University's Academic Board, prior to submission to the Joint UK Funding Council in June 2019.

Developing/Approving Code of Practice

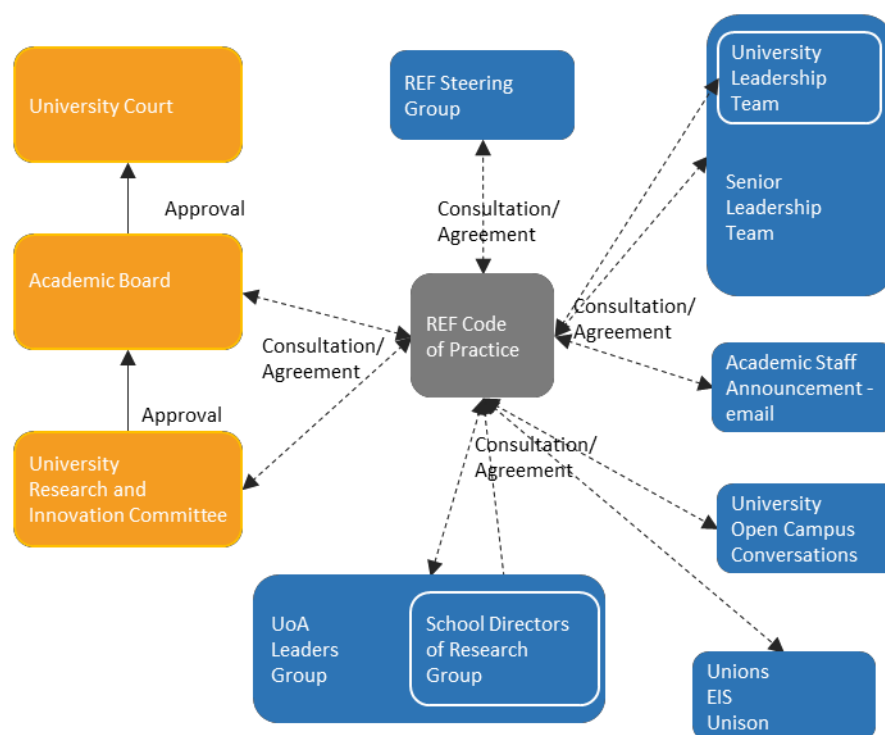


Figure1: Communicating the Code of Practice

Consultation Group	Consultation dates	Number engaged
University Academic Board	Jun '18; Mar '19	39
University Research and Innovation Committee	Feb'18; Nov'18; Feb'19; May'19	20
REF Steering Group	Nov'18; Jan'18; Jan'19; Feb '19; Mar'19; May'19; May'19	10
University Leadership Team	Nov'18	7
Senior Leadership Team	Jan'18; Jan'19; Jun '19	20
Academic Staff Announcement	May'18; Mar'19	All academic and research staff
University Open Campus meeting	Jun'18; Mar'19	Varies
Unions meeting	Jun'18; Mar'19	4 reps
School Directors of Research	Oct'17 through May'19 bi monthly	6 <u>DoRs</u>
<u>UoA</u> Leaders Group	Dec'17; Feb'18; Apr'18; Dec'18; Mar '19	All <u>UoA</u> leaders and <u>DoRs</u>

Table 1: Timeline of CoP development consultation

## **Part 2. Identifying staff with significant responsibility for research**

### **2.1 Definition**

According to the REF2021 guidance on submissions, staff with significant responsibility for research are those for whom:

**Explicit time and resources are made available, to actively engage in independent research, and that it is an expectation of their job role.**

#### **2.1.1 Proposed criteria and Grounds for Decisions**

As a Scottish Post-92 institution, all academic staff are employed on a HE2000 standard contract, which includes an element of both teaching and research.

However, not all academic staff members are given explicit time and resources to engage actively in independent research, nor is it an expectation of their job role, although they are likely to be partaking in scholarly activities as part of their academic activity.

It is therefore inappropriate for the institution to submit 100% of Category A eligible staff employed on this contract type, and the University must apply a set of criteria to determine those staff with significant responsibility for research.

In developing the criteria for the University's REF2021 Code of Practice, the University has been mindful that we adopt and implement the right menu of criteria to accurately identify those staff with 'significant responsibility for research' (SRR), whilst also ensuring that those staff members who are not currently considered SRR, (but who have ambitions to be in the future), have appropriate opportunities to develop.

Taking into account the above definition, the institution has considered the mechanisms available to determine significant responsibility for research and believes that an appropriate indicator of the above definition, is as follows:

Allocation of research allowance recorded in the University's Academic Workload Framework (AWF) system aligned to research objectives.



The University's criteria for determining significant responsibility for research is:

All Category A eligible<sup>2</sup> staff members on a teaching and research contract, who have normally received a research allowance of at least 0.2FTE per FTE per year with associated research objectives (pro rata for part-time staff or minimum of 0.1FTE, whichever is greatest).

We believe it is important to ensure part-time staff can be deemed significantly responsible for research and are treated no less favourably than full time employees. We have therefore applied a relative interpretation of significant responsibility for research rather than an absolute workload measure of significance. In developing this criteria, the University has consulted with its staff and has referred to existing policies, relating to career development of researchers, which have been informed by the principles of the UK Vitae Concordat and which have been Equality Impact Assessed.

Research workload may be allocated to staff who are: Principal or co-investigator on externally funded grants; delivering on Edinburgh Napier supported research objectives; and supervising post graduate research students.

In agreeing the criteria for the Code of Practice, the University has considered the range of potential mechanisms available to determine significant responsibility for research and has concluded that the use of workload allocation in conjunction with agreed research objectives, is the most transparent, reliable, fair and auditable method of application, which can be consistently applied across all UoAs and research disciplines.

As per paragraph 123 of the Guidance on Submission, Staff identified as Significantly Responsible for Research, should have a substantive connection with the submitting unit. This has been determined by inviting Staff to align their research to the Unit of best fit based on the sub-panel criteria and verified by the Unit of Assessment Leader/s. This will not necessarily be reflective of organisational structures.

Exceptionally, institutions can request an exception from submission for very small units where the combined FTE of staff employed with significant responsibility for research in the unit is lower than five FTE, and where the research focus of these staff:

- falls within the scope of one UOA *and*
- is clearly academically distinct from other submitting units in the institution *and*

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<sup>2</sup> Category A eligible' describes staff meeting core eligibility criteria, who will form the total pool of eligible staff. Building on the definition of Category A staff in REF 2014, 'Category A eligible' staff will be defined as academic staff with a contract of employment of 0.2 full-time equivalent (FTE) or greater, on the payroll of the submitting institution on the census date, whose primary employment function is to undertake either 'research only' or 'teaching and research'. Staff should have a substantive connection with the submitting institution. For staff on 'research only' contracts, the eligible pool should only include those who are independent researchers, and not research assistants.

- the environment for supporting research and enabling impact of each proposed submitted unit is clearly separate and distinct from other submitting units in the institution.

REF guidance states that this would normally occur under one of the following circumstances:

*a. The research is in the scope of a UOA in which the institution has not previously submitted, and has not been an area of investment and growth for the institution.*

*b. Where a previous REF submission has been made to this UOA, there has since been a change in the staff profile in the research area in the institution.*

In the event that the University chooses to request an exceptional exemption according to the above criteria and it is approved by the REF director, the affected Staff members will be advised accordingly and will receive a letter to reflect this decision.

### **2.1.2 Process for applying the criteria**

The University uses a workload model approach to allocating the range of academic workload to staff. The allocation of workload is managed in line with the University annual appraisal process 'MyContribution' (Appendix B) and the workload data stored in the University Workload Allocation system. Figure 2 outlines the process, whereby line managers discuss work objectives with staff and provisionally agree their workload.

Research allowance is allocated to staff members in line with the principles outlined in the 'Allocating research time' policy (Appendix C) which was agreed by the Research and Innovation Committee in the academic cycle 2016/2017. This policy was developed with reference to the University's Academic Appointment and Promotion criteria (Appendix D), which provides research expectations commensurate to grade and pathway.

In developing both of these policies, the University drew upon the principles outlined in the Concordat to Support Researcher Development, notably, principle six, relating to Equality and Diversity. Further, the University's policies are Equality Impact Assessed regularly to highlight any issues, which merit further investigation.

Staff are given the opportunity to discuss their allowance of research time and their associated research objectives with their line manager as part of their annual 'MyContribution' objective setting meetings (conducted in June / July annually) and as part of regular review meetings with their line manager.

As part of the 'MyContribution' process, research staff are required to develop and maintain a detailed, long-term (5-year) research plan, outlining their research objectives and goals.

The School Directors of Research reviews all research workload and objectives before final agreement of the research workload.

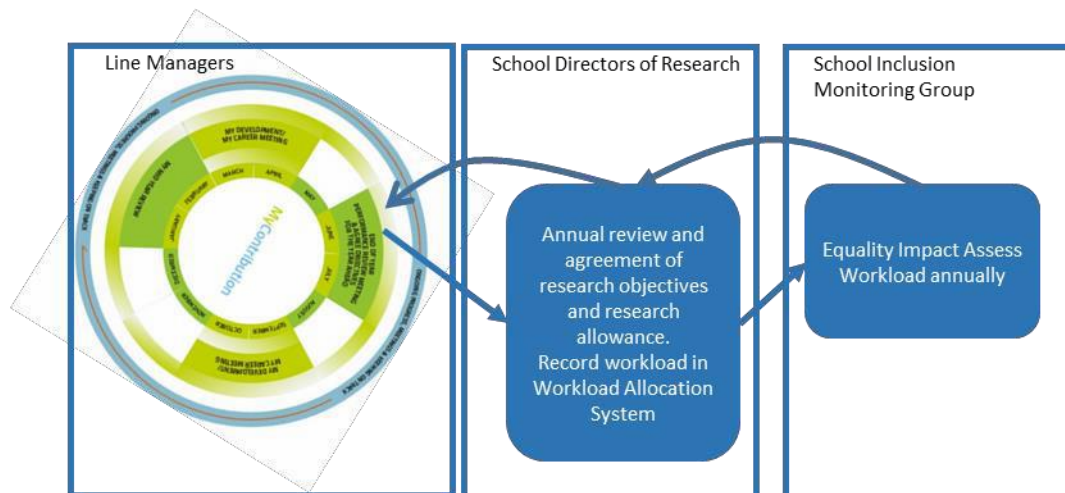


Figure 2: Agreeing objectives and related workload

Line managers, School Director of Research and ultimately the Deans in each of the six Schools are responsible for ensuring that the Workload Allocation is allocated in a transparent, consistent and inclusive manner reflecting the activity of all members of staff in their School and that the information is recorded accurately. The Schools have a School Inclusion Monitoring (SIM) Group, which reviews the workload across the School from an equality and diversity perspective, to ensure equal and appropriate opportunities for staff in the School.

Category A eligible staff meeting the criteria for significant responsibility for research, based on the consistent application of criteria, are recorded as such and thus submitted to REF2021.

Deans or their delegate (e.g. School Directors of Research) in each of the six Schools are responsible for collating the annual AWF data and the 'MyContribution' objective records to validate and sign off on the list of all staff in their School.

Staff objectives are formally recorded in the University 'MyContribution' online tool and their status as 'significantly responsible for research' is formally recorded within the University research management system (Worktribe), used for managing the REF2021 submission. Their allowance of research time is recorded in the Academic Workload Allocation System for the corresponding academic year.

The University has developed a document to outline the expectations of staff deemed to be significantly responsible for research (Appendix J) in order to enable staff and line managers to agree appropriate objectives as part of the 'MyContribution' cycle.

### 2.1.3 Determining Significant Responsibility for Research

To determine significant responsibility for research, the University utilises its Academic Workload Framework (AWF) data to identify all staff in receipt of a research allowance of  $\geq 0.2$ FTE per year (pro rata for part-time staff with minimum of 0.1, whichever is greatest) in the period 2018 to 2020 (Figure 3). The process is applied consistently across all Units of Assessment.

Whilst University research allocations precede this period, the University has not consistently recorded the data with the accuracy and reliability required for REF purposes as specified in the Code of Practice and considers it inappropriate to use historic records prior to 2018. However, as shown in Figure 2, discussion with staff regarding their previous allocation of research time and associated research

objectives is also considered and is used to inform future allocation of time and objectives.

As of 2018/19, AWF data processes are rigorously applied in each of the Schools, to ensure consistency, accuracy and reliability, with a School Inclusion Monitoring group in operation in each of the Schools to oversee these processes.

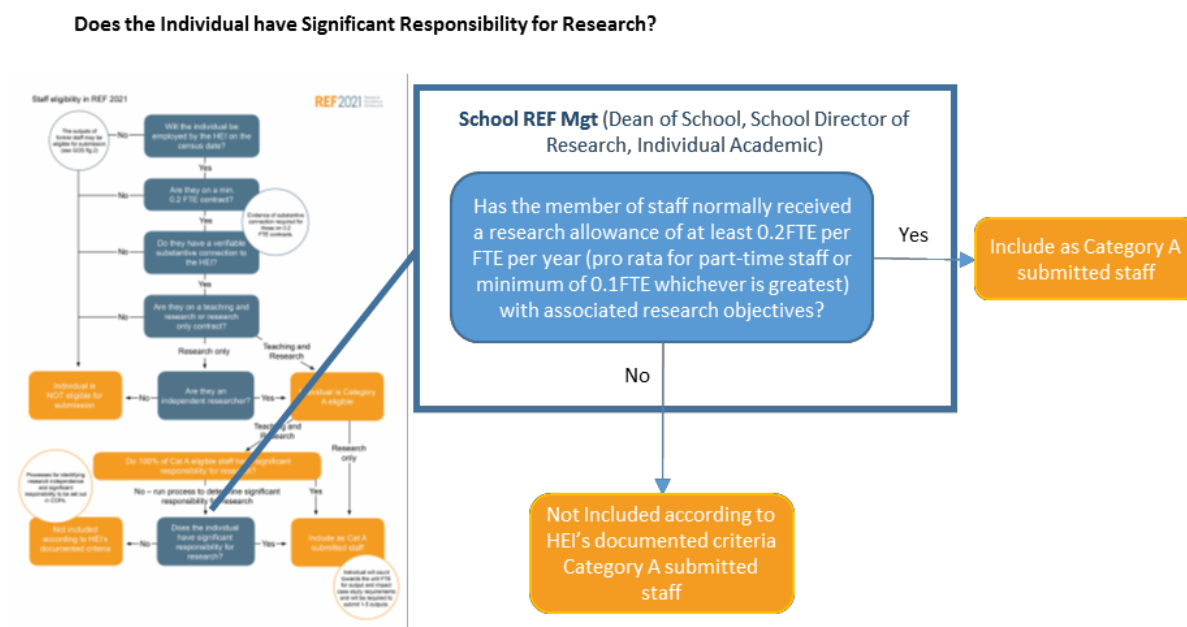


Figure 3: Determining significant responsibility for Research

New starts and staff changing position within the University will also be subject to the application of the criteria for identifying significant responsibility for research.

All academic staff are informed formally, in writing, of their anticipated status of significant responsibility for research or not. Further information relating to communication of staff status in regard to significant responsibility for research is included in section 2.1.4.

Staff members who feel they have been unfairly treated in respect of determination of significant responsibility for research can raise a formal appeal to the University REF Appeal panel according to the guidance in Section 2.4.

### 2.1.4 Development of processes

Following the announcement of the decisions on REF2021 from the joint UK funding councils in November 2017, the Research and Innovation Office began to consider mechanisms for identifying staff with significant responsibility for research.

Early proposals relating to the development of criteria for the Code of Practice were proposed to the University's Research and Innovation Committee and REF Unit of Assessment Leaders group in early 2018 for initial feedback, as well as presented to a meeting of the Professoriate in March 2018.

A Q&A communication was disseminated to all academic staff in May 2018, by the

Dean of Research and Innovation, outlining the initial thinking relating to four potential criteria for identifying staff with significant responsibility for research.

The proposals were refined following feedback and presented to staff via three open campus meetings, hosted by the Dean of Research and Innovation in late June 2018. The presentation and a list of Q&A from the consultation sessions were provided to Schools, to allow the Directors of Research to hold local sessions for any member of staff unable to attend the University sessions.

Deans of School and Directors of Research (with assistance from Unit of Assessment Leaders) in each of the Schools are responsible for ensuring that all line managers are familiar with the Code of Practice and that it is widely disseminated to staff in their School. All reasonable attempts to ensure that staff who are absent are aware of and have access to the policy, have been assisted by colleagues in Human Resources, through means of communication which are familiar to these staff members.

A mini-REF exercise occurred in September 2018, utilising the proposed AWF criteria to identify all staff with significant responsibility for research according to existing, moderated AWF records.

All Category A eligible staff were informed by their School of their inclusion in the mini-REF and thereby their initial assessment against the criteria, with regards significant responsibility for research. An analysis of the mini-REF was undertaken and a review of staff deemed significantly responsible for research was undertaken by the Schools involving discussions with members of staff where it was not clear that they were SRR.

Following the release of final guidance on submissions and the Code of Practice from REF at end January 2019, a further review of the draft CoP was undertaken. In March 2019 the revised CoP was presented to Academic Board (requesting delegated authority for formal approval to the University Research and Innovation Committee). This was followed by further open campus meetings hosted by the Dean of Research and Innovation and a meeting with the EIS union to discuss the details of the CoP.

Staff were notified of the location of the CoP by email via the all staff email directory. A dedicated REF CoP email address was created and managed by the Research Policy Officer, inviting staff to comment on and raise queries relating to the CoP.

In April 2019, all Category A eligible staff were issued with a formal letter from their Dean of School, outlining their anticipated status as 'significantly responsible for research' or not. (Appendix E– example SRR letter).

In May 2019, the CoP was approved by the Research and Innovation Committee on behalf of University Academic Board and minuted accordingly, prior to submission to the joint UK funding councils REF Equality and Diversity panel.

Figure 1 provides an overview of the communication of the CoP during the development process.

## 2.2 Staff, Committees and training

### 2.2.1 Governance and Management of the University's REF2021 Submission

At Edinburgh Napier, there is a governance Committee structure to manage the University's activities (Figure 4). Academic Board has delegated authority from the University Court and is responsible for the overall planning, development and co-ordination of the academic work of the University.

The Research and Innovation Committee, a sub-committee of Academic Board, has oversight of all the research and knowledge exchange activity including advising Academic Board on the preparation of submission for the REF2021.

Figure 4 outlines the reporting structure of the governance Committee structure.

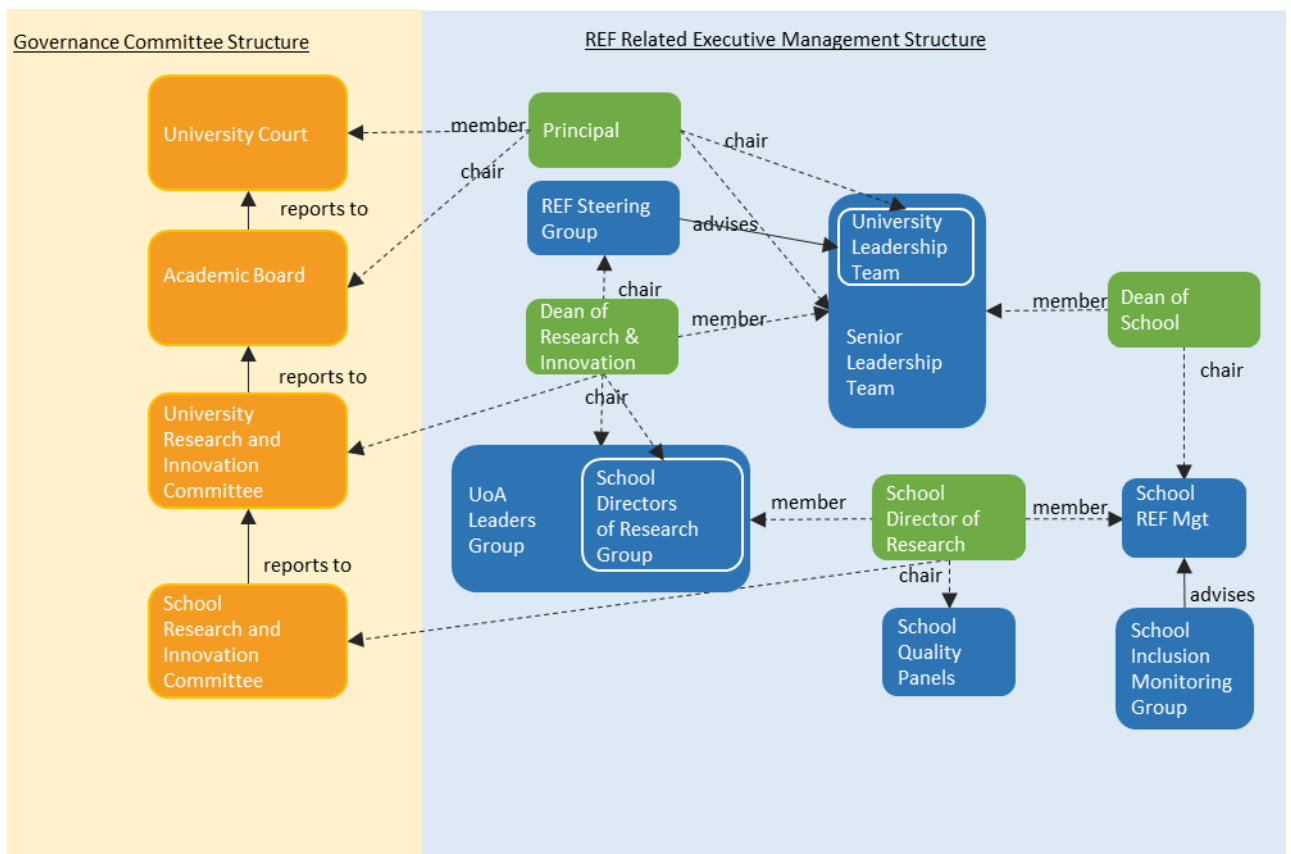


Figure 4: University REF related governance and management structures

Other groups have been created for REF related activities under an executive management structure. Figure 4 shows how the groups relate to senior staff within the University and how the advisory groups feed into the Committee structure.

In appointing members to these groups, the University has been mindful of achieving a representative balance of diversity on each group, whilst ensuring the appropriate skill set of appointed members.

Full terms of reference and membership are available in Appendix F.

### **2.2.2 REF Steering Group**

In preparation for the REF and to ensure due process and actions are addressed, the University reinstated a REF Steering Group in November 2018, consistent with REF2014.

The group is responsible for formalising processes and overseeing and approving the Code of Practice and the preparations for final submission.

Members of the REF Steering Group have been appointed by the Senior Vice-Principal, to ensure a wide breadth of input, spanning a range of areas relating to the preparation of a final REF submission. The group is constituted of senior members of staff with collective experience of overseeing large-scale, University-wide or sector-wide projects.

### **2.2.3 REF UoA Leaders Group**

A REF Unit of Assessment Leaders Group, has been in existence since 2015, to coordinate the REF2021 submission and lead each intended Unit of Assessment in accordance to the guidance on submissions and panel criteria.

The REF UoA Leaders Group is chaired by the University's Vice-Principal Research and Innovation and comprises a designated lead for each of the University's proposed Unit of Assessment areas. The group also includes, School Directors of Research and two Professorial leads with responsibility for specific elements of the REF2021 submission (Impact and Environment).

The University's REF UoA Leaders Group plays a key part in coordinating the University's submission process. Its remit is to support the Vice-Principal of Research and Innovation in providing REF-related activity management, coordination and leadership across the University. It also acts as the main forum for REF operational discussions as well as consultation on the Code of Practice.

The UoA Leaders group remit does not include decision-making authority on any individual's research allocation allowance or on their status as significantly responsible for research based on the applied criteria.

UoA leads were recruited from experienced staff who self-nominated for selection for the role. The role of the UoA lead is to oversee and coordinate the submission of UoAs to REF2021. The UoA leads work closely with and report to the relevant School Director of Research for the relevant Schools and take responsibility for their assigned UoA.

All individuals involved in REF have been recruited on the basis of their research assessment experience, local knowledge of research Outputs and interest in being involved in the project.



Membership is extended if necessary by representatives from other support services across the University in the run up to REF2021 based on agenda topics. (e.g. research degree award data / research income data)

#### **2.2.4 REF School Administrative / Operational Teams**

Each of the six Schools is supported by a School Research and Innovation Officer, responsible for providing administrative support to the UoA Leaders and School Directors of Research.

School Quality panels are also in operation in each of the Schools and responsible for maintaining REF Output quality enhancement and the coordination of Output quality assessment, used for REF Output selection purposes.

In addition, each UoA has appointed an Output moderation panel, consisting of the UoA Leader; School Director of Research; an internal representative; a minimum of 1 x external; and the Vice-Principal of Research and Innovation.

The purpose of this group is to agree the final considered score assigned to each Output, which is used for the selection of Outputs for submission (see section 4.1). The Vice-Principal of Research and Innovation attends each moderation panel to ensure consistency in approach. The decisions of the moderation panel are formally minuted.

School Inclusion Monitoring Groups are also in operation in each School to oversee processes relating to workload allocation, from an Equality and Diversity perspective.

#### **2.2.5 University Senior Management Context – Academic Board**

Academic Board (or its delegated sub-Committee, Research and Innovation Committee) is responsible for approving the Code of Practice.

The University's Principal & Vice-Chancellor is Chair of Academic Board (AB). AB is an established element of the overall governance and deliberative structure of Edinburgh Napier University.

Acting in this capacity, the Principal & Vice-Chancellor will take responsibility for the final REF2021 submission, taking advice from the Vice-Principal Research and Innovation who is a University Leadership Team representative on the REF Steering Group chaired by the Vice-Principal of Research and Innovation.

#### **2.2.6 Research and Innovation Committee**

The Research and Innovation Committee, a sub-Committee of Academic Board, has delegated authority for overseeing the REF preparations, and considers REF submission as a standing item of business.

In March 2019, the University's Academic Board formally delegated approval of the Code of Practice to the Research and Innovation Committee, due to inappropriate meeting date scheduling, relative to the UK joint funding councils CoP submission date deadline.

## 2.2.7 Staff Training

Both as an employer and public body, the University needs to ensure that its REF procedures do not discriminate unlawfully against, or otherwise have the effect of harassing or victimising individuals because of age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex or sexual orientation or because they are pregnant or have recently given birth.

All line managers responsible for conducting 'MyContributon' appraisal meetings are required to undertake mandatory training delivered by the Human Resources team. Learning outcomes for this training include, understanding the importance of unconscious bias and includes specific information on conducting 'MyContribution' meetings, setting research objectives and allocating research time in a transparent and consistent manner and in adherence to the criteria for identifying staff with significant responsibility for research.

All new staff are required to complete an induction programme which includes Equality and Diversity training and additional workshops on unconscious bias are run on a regular basis.

In addition to this mandatory training, a bespoke programme of training has been devised and delivered by the external provider, in-Equilibrium, to ensure that all staff involved in the identification of staff with responsibility for research are adhering to the principles of the Equality Act 2010 and relevant employment legislation.

The training has been delivered to the following staff involved in the application of the REF2021 CoP criteria:

- Senior Vice-Principal
- Vice-Principal (Research and Innovation)
- Dean of Research and Innovation
- School Deans and School Directors of Research
- Unit of Assessment Leaders
- REF Steering Group members
- School Inclusion Monitoring groups
- Appeal Panel members (including external member)

It focuses on the following key areas:

- The context within which the training operates
- The importance of equality within the REF
- The main provisions of the Equality Act 2010 and its interface with employment legislation
- Distinguish different types of discrimination bullying and harassment and its impact on REF2021
  
- Distinguish types of unconscious bias and how to mitigate its impact on REF2021, in the context of the University's Code of Practice
- Prepare for, and conduct, difficult conversations.

A list of all staff who have attended training workshops (and any new staff arrivals requiring training) has been kept by HR and retained for future reference. Each participant's personal training log has been updated on completion of the training.

It is the University's policy that only those staff who have attended a training session are allowed to undertake decisions relating to identification of staff with significant responsibility for research and allocation of research time.

Critical Friends (including any other External Assessors who may be employed) are being asked to comment upon the quality of research Outputs and not upon an individual. No formal equality & diversity training is required for Critical Friends and external assessors; however, they are being made suitably aware of the University's Code of Practice.

## 2.3 Appeals

### 2.3.1 Grounds for Appeal

Edinburgh Napier University has established a REF-specific appeals process. Grounds for appeal are expected to fall within one of the following categories, as follows:

1. Exclusion on personal protected characteristics based on the REF 2021 Guidance on Submissions and the guidance given by the [Joint UK Funding Councils on the Code of Practice](#), relating to age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex, sexual orientation, pregnancy or recently given birth.
2. Failure to take into account fully the impact of work pattern or absence according to the [guidance given by the Joint UK Funding Councils on the Code of Practice](#).
3. Inappropriate application of the criteria of the Code of Practice.
4. Inappropriate application of the criteria as set out in the [REF 2021 Guidance on Submissions](#) and [Panel Criteria and Working Methods](#).

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

1. Disagreement with the approved criteria in the CoP for identification of staff with significant responsibility for research or research independence
2. Validity or standing of the University's final judgements concerning Output quality
3. Allocation of individual's research Outputs to a specific UoA
4. Allocation of research Outputs to an individual, on the basis of the minimum one and maximum five Output quota.

### 2.3.2 The Appeals Process

We would hope to resolve any issues that staff might have relating to the identification of staff with significant responsibility for research and the allocation of

research time, through informal discussion. Staff are encouraged to speak with their line manager, School Director of Research and Dean, before submitting a formal appeal.

If still dissatisfied, staff have the right to appeal directly to the University Appeals Panel through the agreed appeals process (Appendix G – remit and process). Staff wishing to appeal can complete the REF2021 Appeals Form and submit to the Research Policy Officer. It is recommended that the Appellant contact their associated School Director of Research to discuss the appeal process prior to entering the form.

The REF Appeals Panel consists of:

- Secretary of the University (Chair)
- Vice-Principal L&T
- Senior HR person
- One external representative
- Research Policy Officer (Clerk)

Members of the Appeals panel have been appointed by the Senior Vice-Principal, on the basis of their independence from any part of the REF2021 process and their detachment from any prior decisions relating to significant responsibility for research or research independence. Furthermore, members have been selected on the basis of their collective experience in convening or participating in other mediatory or appeal related situations within a University context.

The REF Appeals Panel will convene and consider the evidence in support of the appeal.

The individual will be offered the opportunity of a meeting with the Panel at which the staff member may be accompanied by someone of their choice. After hearing all the evidence, the Panel will invite the appellant and those in attendance to leave the meeting. The Panel will then make its decision in closed session. This will be communicated to the appellant by a member of the panel and in writing no later than two weeks after the panel meeting has occurred.

A generic appeals template is available for all staff to access and the process, including timeframes, is available to view on the staff intranet REF pages.

Appeal panel members have taken part in the tailored REF2021 E&D training.

The panel will conduct an Equality Analysis relating to the work of the panel.

## **2.4 Equality Impact Assessment on Identifying Staff as Significant Responsible for Research**

### **2.4.1 Equality Analyses and Monitoring**

It is good practice to Equality Impact Assess (EIA) all relevant University policies and procedures and an established equality impact assessment process and template have been in use at the University for several years. The University is obliged to analyse its policies and practice for their impact on the General Duty (to promote equality) in accordance with the Equality Act 2010 (Specific Duties) (Scotland).

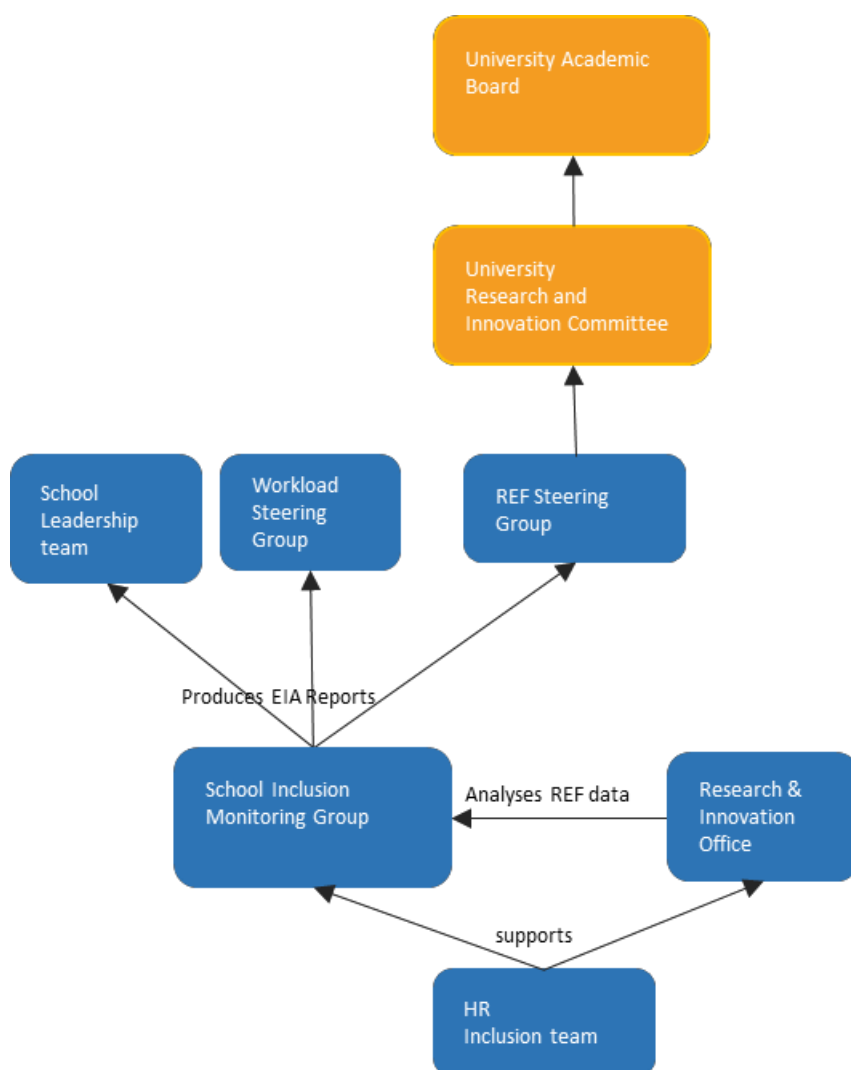
The General Duty has a threefold objective, namely to:

- eliminate unlawful discrimination, harassment and victimisation;
- advance equality of opportunity between different groups;
- foster good relations between different groups.

In order to meet this obligation, REF2021 processes are equality-proofed from the outset by the HR Inclusion Team in Human Resources, to ensure both fair and equitable processes and that individuals whose circumstances may need special attention are given the necessary consideration in the light of all relevant evidence.

As is established practice within Edinburgh Napier, the EIAs are published as an appendix to this Code of Practice.

Equality and Diversity is embedded into the University structures as shown in Figure 5.



*Figure 5: REF E&D Oversight*

As the determination of Significant Responsibility for Research is based on the amount of research workload allocation an individual is given, it is important that the process of workload allocation is open, transparent and consistently applied within the Schools.

The Schools have an Inclusion Monitoring Group (SIM), part of whose remit is to equality impact assess the School workload on an annual basis to ensure there is no discrimination on protected characteristics. The group also considers successive annual data to ensure that no particular individual is being unfairly treated. The SIM reports into the Workload Steering Group Committee, the REF Steering Group and the School Executive where appropriate action is taken.

In addition it is important that the Code of Practice does not introduce discriminatory practices within the University. EIAs are being conducted jointly by the HR Inclusion team within HR and the Research & Innovation Office, at key points in the run up to REF.

EIAs are being used to consider the impact (positive or negative) of the code on the

identification of staff as significantly responsible for research, across all staff, including those from groups demonstrating any of the protected characteristics. The process includes high-level analysis and evaluation of the data held on Category A eligible staff by each protected group at University level and at UoA level (including intersectionality analysis, where data sets are substantive enough to result in meaningful, anonymised analysis).

The ultimate aim of this monitoring exercise is to identify anomalies that may merit further investigation and, where confirmed, drawn them to the attention of the appropriate authorities, for example, the Vice-Principal of Research and Innovation, the REF Steering Group and the relevant School Director of Research.

Following the most recent mini-REF exercise conducted in September 2018, the Research and Innovation Office requested that an Equality Impact Assessment be conducted by the Human Resources team, using the data put forward for the mock REF exercise. This includes the use of moderated AWF data records to inform those staff identified as significantly responsible for research.

EIAs are being conducted on an ongoing basis at pivotal points in the lead up to REF2021 Submission. The schedule for EIAs is as follows:

- **February 2019** – post mini-REF changes
- **May 2019** – any changes following final CoP definition
- **June 2020** – general monitoring on run up to Submission
- **December 2020** – Final post submission

The REF Steering group, chaired by the Vice-Principal of Research and Innovation, is responsible for responding accordingly to actions identified through the EIA and the findings are published as an appendix to the CoP.

## Part 3. Determining research independence

### 3.1 Definition

For the purposes of the REF, an independent researcher is defined as:

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

#### 3.1.1 Proposed Criteria

Role descriptors for research staff appointed at grade 6 – Senior research fellow and grade 7 – Principal Research fellow at Edinburgh Napier University (Appendix H – Promotions Framework for Research Staff) have an expectation that individuals may be conducting self-directed research. Research staff appointed below this level are **not** expected to conduct independent research and thus would not be considered independent and are therefore ineligible for submission to REF2021.

All research staff appointed at grade 6 and 7 have been assessed against Edinburgh Napier's research independence criteria, extracted from the suggested, possible indicators of research independence as set out at paragraph 132 of the REF guidance on submissions.

The University's Research and Innovation Committee considered the list of possible criteria suggested by the joint UK funding councils (as set out at paragraph 132 of the REF guidance on submissions):

1. leading or acting as principal investigator or equivalent on an externally funded research project
2. holding an independently won, competitively awarded fellowship where research independence is a requirement
3. leading a research group or substantial or specialised work package

At Edinburgh Napier we believe that being a principal investigator on a small research grant might not determine independence in research. Therefore, we have amended criterion 1 to apply only to substantial externally funded research projects.

We also believe that criterion 3 might be misunderstood and that the work package must be research (and not for example management or administration) and have specified research work package. We therefore consider **any one of the following criteria** to be an appropriate reflection of research independence at the University:

1. **leading or acting as principal investigator or equivalent on a substantial externally funded research project**
2. **holding an independently won, competitively awarded fellowship where research independence is a requirement**
3. **leading a research group or substantial or specialised research work package**



It is the responsibility of the School Director of Research to determine and communicate what constitutes a substantive externally funded research project or research work package, based on their professional and discipline-specific judgement and on the Schools' disciplinary norms.

### 3.1.2 Process for applying the Criteria

The above criteria were applied consistently to all Category A staff on a research contract at grade 6 and 7. Figure 6 provides an overview of the process of determining independent researchers.

Conversations between Research staff and associated Deans and School Director of Research took place to confirm the decision was agreed. In April 2019, Research staff were issued with a formal letter from their Dean of School (Appendix E – Example Independent letter), informing them of their status as an independent researcher on the basis of meeting one or more of the above indicators, and therefore included in submission to REF2021.

Any new or promoted research staff at grade 6 or 7 will also be subject to application of the above criteria to determine their status as an independent researcher for the purpose of REF submission.

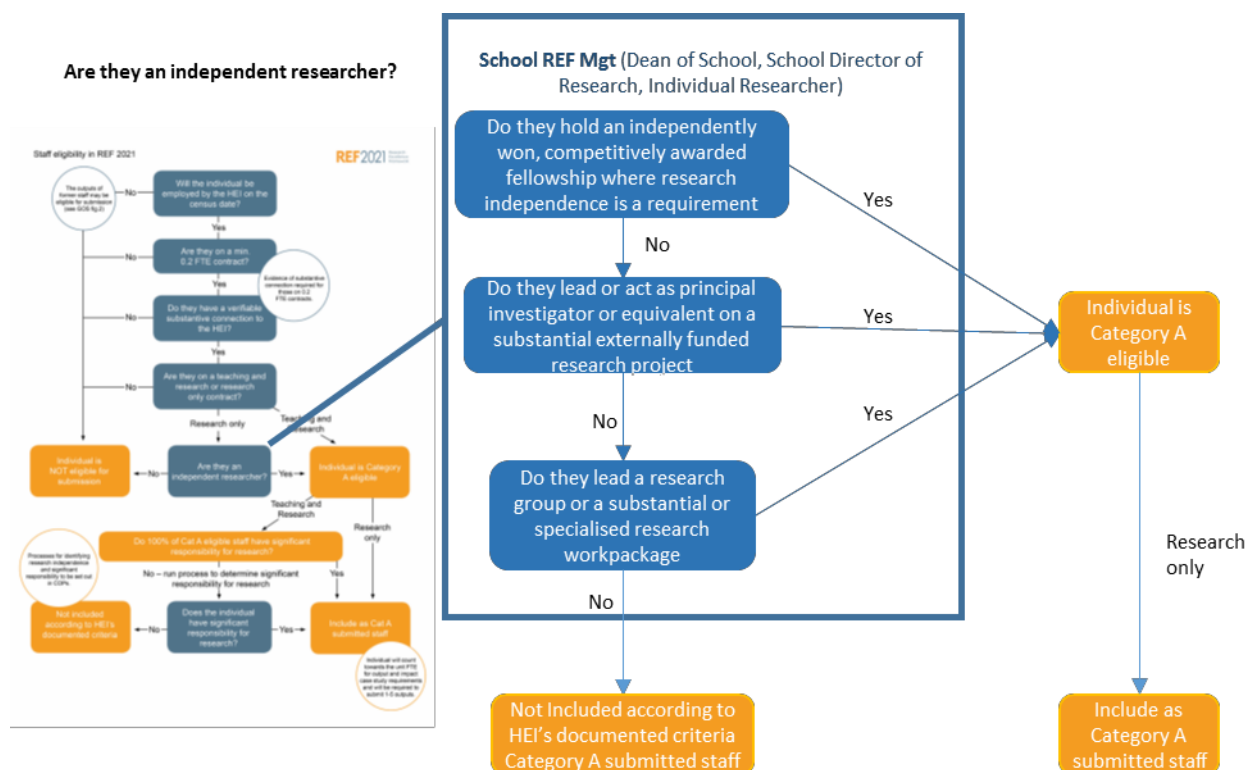


Figure 6: Determining independent researchers

Relevant objectives relating to REF Output contribution, commensurate to grade, are agreed and incorporated into the annual 'MyContribution' objective records and reviewed at the annual review meeting.

As part of the 'MyContribution' process, research staff are required to develop and maintain a detailed, long-term (5-year) research plan, outlining their research objectives and goals.

Their status as an independent researcher is formally recorded on the university research information management system.

### **3.2 Staff, Committees and Training**

Staff involved in identifying and notifying research staff as to their status of independent researcher by the above criteria have taken part in the bespoke REF training as referenced in part 2.2.

### **3.3 Appeals**

Staff wishing to appeal their status for inclusion or exclusion to REF2021 on the basis of independence are required to follow the appeals process defined in part 2.3.

### **3.4 Equality Assessment for Independent Researchers**

EIAs are conducted on the process of identifying Independent Researchers applied to Research only staff, as per Part 2.4.

## Part 4. Selection of Outputs

The REF2021 guidance on submissions advises that Category A eligible staff members can be submitted with as few as one and as many as five Outputs.

REF 2021 recognises that there are multiple reasons why an excellent researcher may have fewer or more Outputs attributable to them in the assessment period and, therefore, Edinburgh Napier University does not expect that all submitted staff will be returned with the same number of Outputs.

Attributing more or less papers to an individual will not be seen as a reflection of the value placed on that individual's contribution to the research environment at Edinburgh Napier University.

### 4.1 Procedures for fair and transparent selection of Outputs

In line with the University's 2017/18 corporate plan actions, the Research and Innovation Office has been working with Schools to implement Research Quality Panels responsible for the assessment of School research Outputs on the basis of rounded academic judgement.

This process, developed in conjunction with the UoA Leaders group and outlined in Figure 7, involves a robust, four-stage approach to Output assessment, against the REF quality profile (originality, significance and rigour):

Four star	Quality that is world-leading in terms of originality, significance and rigour.
Three star	Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence.
Two star	Quality that is recognised internationally in terms of originality, significance and rigour.
One star	Quality that is recognised nationally in terms of originality, significance and rigour.
Unclassified	Quality that falls below the standard of nationally recognised work. Or work which does not meet the published definition of research for the purposes of this assessment.

#### Four-stage approach:

1. **Author scoring:** self-assessment of all research Outputs, stored in the University's research repository (Worktribe) and published within the REF period.
2. **Institutional scoring:** independent peer-assessment of all research Outputs scoring 2\* high or above in step 1. by two colleagues in the respective School;
3. **External scoring:** independent assessment of all research Outputs scoring 3\* and above in step 2. by an external reviewer. NB where the resulting scores are diverse a second external reviewer may be appointed.
4. **Moderation Panel scoring:** A considered score assigned to the Outputs by

the Unit of Assessment Leader following a UoA moderation panel meeting to review the scores obtained in steps 1. to 3. and come to a final considered score.

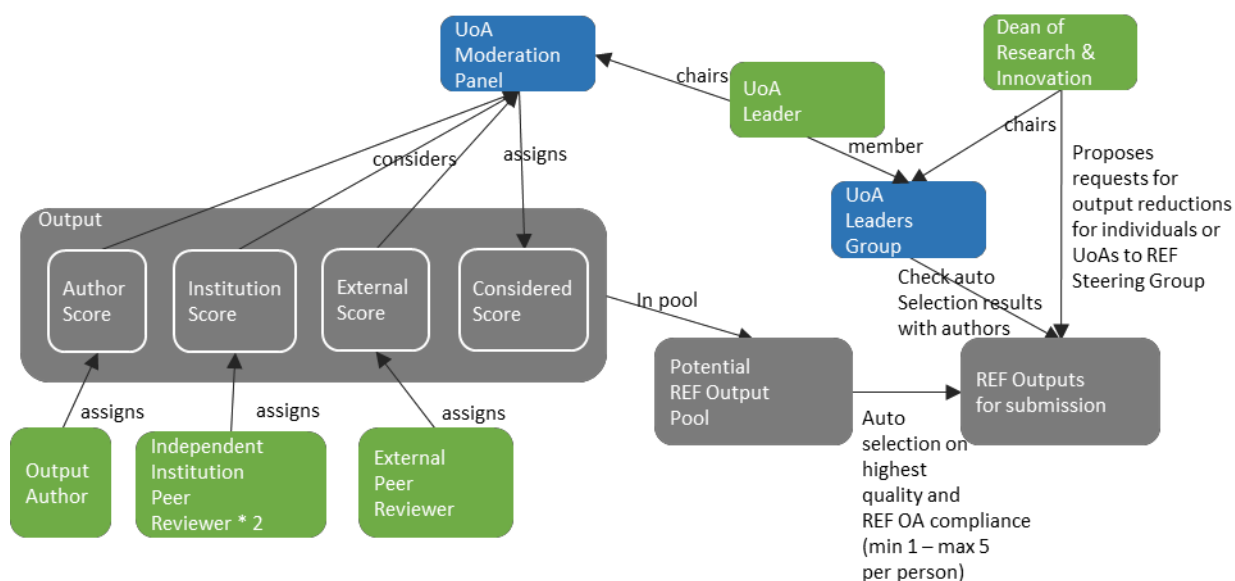


Figure 7: Output scoring/selection process

This means that all Outputs submitted to REF2021 have been through an open and transparent process of quality review including external validation. All Outputs will be treated the same and selected on merit, including Outputs of former staff. Outputs from former staff may not have an author's score if they had left the institution prior to the system being developed.

Scores are recorded in the University's Research Information Management System and there are mechanisms in place to check the scores.

Scores allocated to Outputs at stages 1 to 3 will have one of three qualifiers attached to the score to indicate the confidence of the score: low, solid or high.

The discussions and decisions of the UoA moderation panels (stage 4) to determine the final considered scores, will be overseen by the Vice-Principal of Research and Innovation to promote fairness and consistency in the approach across all UoAs. The decisions of the meeting will be recorded in the approved meeting minutes.

Outputs will be deemed eligible for submission to a UoA if an Edinburgh Napier University author of the Output is being submitted to that UoA on the basis of their substantive connection to that Unit.

Outputs will be selected on the basis of ensuring the best quality rating across the portfolio of excellent research Outputs in the UoA, based on the considered scores, while maintaining the minimum and maximum allowances per member of staff submitted to the UoA as per the REF guidance.

Based on transitional rules around portability of Outputs, this pool of Outputs may include publications from staff no longer with the University, where the Output was demonstrably generated whilst the member of staff was employed by the University and was produced within the REF period.

In the spirit of the intended decoupling of staff and Outputs, the University will utilise an in-built algorithm within the REF module of their Research Information Management System to automate the Output selection process using the final considered scores. This will ensure that the Output selection is fair and is based only on Output merit, resulting in the optimal submission for the University as a whole.

Staff members will be invited to verify their automated allocation of Outputs to confirm that the highest-quality Outputs have been assigned to them, from their eligible pool.

In considering the use of former staff members' Outputs, the University has sought the views of staff and representative bodies to inform their decision. This involved open discussions, conducted in a sensitive manner, with relatives of deceased colleagues. As a result of these discussions, the University has concluded that the Outputs of former staff members who have left voluntarily, retired or died will be considered in the pool of eligible Outputs for submission. The University **will not** submit Outputs of staff who have been dismissed or made redundant compulsorily. The University considers it unethical to submit Outputs of staff members who have been dismissed or been made redundant.

In developing the process for selection of Outputs, the University consulted with staff and UoA Leaders to develop the robust, four-stage assessment process. The stage two independent peer reviewers in each of the Schools have been selected by the School Director of Research, from a pool of volunteers who noted interest, on the basis of their knowledge of the discipline and prior experience in Output assessment according to REF Output criteria (Significance, Rigor, Originality).

In the interest of decoupling staff and Outputs, the University will anonymise the final REF Output submission profile, to remove the association of staff to Outputs.

The University has promoted an Open Access 'Act on Acceptance' message since 2016 and is committed to achieving Open Access compliance when selecting the Outputs for submission to REF2021 (within the 5% tolerance band). We will utilise the data stored in the University's Worktribe repository system to facilitate this.

#### **4.1.2 University's approach to Output Assessment and use of Metrics**

The University is a signatory of the The San Francisco Declaration on Research Assessment (DORA) and is committed implementing of policies and procedures which support good practice in the use of quantitative indicators.

The funding bodies do not sanction or recommend that HEIs rely on citation

information to inform the selection of Outputs for inclusion in their submissions.

The University will select and submit Outputs which reflect its highest-quality research in relation to the full range of assessment criteria ('originality, significance and rigour').

As part of the University's applied process for Output Assessment (Stage 1 to 4 above) citation data ***should not*** be utilised to inform the quality rating assigned to each Output. The scoring exercise **should rely on expert review as the primary means of assessment to reach rounded judgements about the full range of assessment criteria against the REF criteria.**

Exceptionally, and in line with panel criteria, three of the University's intended UoA submission sub-panels will consider the number of times that an Output has been cited as additional information about the academic significance of submitted Outputs. Those panels that do so (**UoA 3, UoA7 and UoA 11**) will continue to rely on expert review as the primary means of assessing Outputs, in order to reach rounded judgements about the full range of assessment criteria ('originality, significance and rigour'). They will also recognise the significance of Outputs beyond academia wherever appropriate, and will assess all Outputs on an equal basis, regardless of whether or not citation data is available for them.

As such, peer assessment in these three Units of Assessment, may include the use of citation data but should recognise the limited value of citation data for recently published Outputs, the variable citation patterns for different fields of research, the possibility of 'negative citations', and the limitations of such data for Outputs in languages other than English.

Peer Assessors (including external assessors and moderation panel members), **in Unit of Assessments 3, 7 and 11** should have due regard to the potential equality implications of using citation data as additional information, and should refer to the ['Equality briefing for REF panels' \(REF 2018/05\)](#).

Peer Assessors across all Units of Assessment (including external assessors and moderation panel members at stages 3 and 4) ***should not refer*** to any additional sources of bibliometric analysis, including in particular journal impact factors and other journal rankings to inform their quality rating.

## **4.2. Staff, Committees and Training – Output Assessment**

Staff involved in assessing Output quality (internal and external) have been selected to do so, based on their professional, academic knowledge of the discipline, as well as previous, demonstrated, experience in Output assessment against REF criteria.

In the 2018 mini-REF exercise, external panel members conducted a sample audit of Output scoring. Following the Mini-REF, the Research and Innovation Office and UoA Leaders have been training staff on the assessment of research Outputs according to REF criteria (originality, significance and rigour - with reference to

international research quality standards), in order to improve the accuracy in self and peer assessment for REF purposes.

This included specialist advice from the external panel members, involved in the mini-REF assessment, as well as drawing on feedback from panel members appointed in the REF2014 exercise.

### **4.3 Staff Circumstances**

In addition to allowing a minimum and maximum number of Outputs per submitted staff member up to the required quota of Outputs for that unit, the REF guidance also proposes allowable reductions for a range of circumstances. (REF guidance on submissions, page 160)

The disclosure of circumstances can apply in two ways:

- In relation to the units total Output requirement
- In relation to an individuals' requirement for a minimum of one Output

To support and promote equality and diversity in research, measures have been put in place to recognise individual circumstances that may affect research productivity.

The following equality-related circumstances are permitted for reductions:

- Qualifying as an ECR
- Absence from work due to secondments or career breaks outside the HE sector.
- Qualifying periods of family-related leave.
- Circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in Outputs, including i. Disability, ii. Ill health, injury, or mental health conditions. iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further Outputs in addition to – the allowances set out in Annex L in Guidance on Submissions. iv. Other caring responsibilities (such as caring for an elderly or disabled family member). v. Gender reassignment. vi. Other circumstances relating to the protected characteristics

#### **4.3.1 Process for supporting staff declaration**

Staff have the autonomy to declare equality-related circumstances that have affected their productivity over the REF assessment period. It is the individual's decision of whether these circumstances are declared or not. As an institution, individual circumstances will not be submitted unless staff have consented to declare voluntarily and any case for reductions will only be based on such voluntary declarations.

Staff who have been deemed to have significant responsibility for research or independent research are invited (via their notification of significant responsibility

for research letter, issued by the Dean of School – Appendix E) to complete a declaration form regarding their individual circumstances. Details regarding the applicable circumstances and how the declaration process operates is on the University intranet. It is made clear that this is a purely voluntary process and staff do not have to complete and return the form if they do not wish to do so.

HR is responsible for compiling the returned declaration forms to retain the information on individual's circumstances that have affected the staff's ability to produce an eligible Output in the assessment period. They are responsible for checking that the circumstances are valid and for compiling a set of data to the REF Steering Group to determine if any reductions should be requested for any individual or UoA. Personal sensitive data is subject to the Data Protection Act 2018 and will be treated as such.

The process is managed centrally between HR and the Research and Innovation Office, to ensure consistency across the six Schools and all UoAs.

An individual may be returned without the required minimum of one Output without penalty, where the individual's circumstances has had an exceptional effect on their ability to work productively throughout the REF period and has not been able to produce the required minimum of one Output.

The REF Steering Group will determine compliance for removal of the minimum of one Output for any individual, based on the data received from HR. Where appropriate a case will be made to REF and the result will be communicated to the UoA Leader and individual concerned.

Similarly, based on the special circumstances returned and the guidance provided by REF, the REF Steering Group will determine whether or not it is appropriate to request a unit reduction in the number of Outputs for any of the UoAs being submitted.

#### **4.3.2 Adjustment of expectations on an individual's contribution to the total Output pool**

The University does not have any formal expectations on an individual's contribution to the total REF output pool (recognising that staff can be submitted with as few as one or as many as five research outputs). However, as outlined in the 'allocating research time policy', annual research deliverables are allocated to staff commensurate to grade and recorded as such in the 'MyContribution' objective setting cycle.

For any staff member who voluntarily declares a circumstance according to the self-declaration process (regardless of whether or not the institution chooses to request a reduction to the unit output pool), the institution will consider the implications of the declared circumstance on that individual's ability to work productively and agree reasonable and proportionate adjustments to the individuals research objectives/deliverables. *e.g. a reduction in expected workload or expected production of deliverables.*



A consistent and fair process for considering the implications of the declared circumstance/s has been agreed as follows:

- All self-declarations of equality related circumstances are managed through the central process coordinated by HR (and as documented above).
- Where an individual indicates an equality-related circumstances through the self-declaration process, and where they give permission to do so, the relevant line manager will be notified and provided with case-specific guidance from their respective HR client partner pertaining to appropriate and reasonable adjustments in workload, work pattern or objectives according to the details of the circumstance declared.
- Adjustments to expectations will be considered on a case-by-case basis with input from the HR client partner and agreed with the individual as part of their 'MyContribution' objective setting process.
- Line managers who receive notification of a self-declaration (via the central HR process) will be required to document the nature of the adjustments agreed, commensurate to grade and circumstance and report this back to HR.

The REF guidance provides information on the permitted reduction tariffs according to the circumstance and duration of absence, as well as providing the criteria for the removal of the minimum of one output. As such, the University may refer to these tariffs when agreeing the reasonable adjusted expectations according to the declared circumstance and duration of absence.

In addition, the University has developed generic guidance to supporting staff with reasonable adjustments (Appendix I), which will be utilised across the University to support staff and line managers in agreeing adjustments, not only in the context of REF self-declaration, but for any staff member who requires additional support. It is envisaged that this guidance will empower staff to self-declare circumstances in order that they can be appropriately supported in the workplace.

The University has also developed a document to outline the expectations of staff deemed to be significantly responsible for research (Appendix J) in order to enable staff and line managers to agree appropriate objectives as part of the 'MyContribution' cycle.

#### **4.4 Equality impact assessment for the selection of Outputs**

EIAs are being undertaken to ensure there is no evidence of discrimination in the approach taken in the selection of Outputs so as to disadvantage any one or more of the protected groups.

The EIA considers data relating to the spread of all available Outputs as well as the spread of selected Outputs for submission, to determine if there are any impacts in relation to protected characteristics, which warrant further investigation or a review in any other related, existing policies and procedures.

The University is committed to the principles of the Concordat to support career development for researchers and to ensuring that protected groups are not directly or indirectly discriminated against.

As previously stated, attributing more or less papers to an individual for the purpose of REF2021 submission will not be seen as a reflection of the value placed on that individual's contribution to the research environment at Edinburgh Napier University.

**END**

## INCLUSION STATEMENT 2017

We are an inspiring and innovative University that is deeply connected to our communities and in tune with our time. We value the diversity of our student and staff community and are committed to the creation of a truly inclusive culture for all.

The principles of this statement apply to all our staff and students. Inclusion is one of our four [values](#) (professional, innovative, ambitious and inclusive), and our expected behaviours seek to create a culture where everyone feels proud, confident, challenged and supported.

We are committed to promoting and implementing equality of opportunity in all that we do. We will always provide a place to work or study without bias and do not discriminate on the grounds of those characteristics protected under the Equality Act 2010. As an inclusive institution there are additional grounds on which we will not discriminate, and Edinburgh Napier University is particularly committed to widening access to higher education.

The protected characteristics:

- gender (sex)
- age
- disability (including seen and unseen disability)
- sexual orientation
- religion or belief
- pregnancy or maternity
- gender reassignment
- marriage or civil partnership
- race

Additional characteristics:

- socio-economic background
- care experience
- caring responsibilities
- family circumstances
- trade union membership
- previous or reservist service in HM Forces

We have a comprehensive suite of policies and procedures to implement and maintain equality of opportunity and fair treatment for all. These will be subject to regular review and amendment and can be found at <http://staff.napier.ac.uk/services/hr/HRDocuments>

The University also fully complies with the statutory requirements of the Public Sector Equality Duty and has published specific Equality Outcomes in pursuit of its strategic agenda for inclusion. Progress against each of these outcomes will be reported to Court annually by the Inclusion Committee. These, and the Gender Action Plan required by the Scottish Funding Council can be found at:

<http://www.napier.ac.uk/about-us/university-governance/equality-and-diversity-information>

There is a shared responsibility for all in our University community to apply the principles in this statement, and we will treat any failure to comply with our expected behaviours seriously.

We expect all our staff to demonstrate behaviours that underpin our [values](#) and our students to act in accordance with our Student Charter.

As an institution Edinburgh Napier University will:

- provide training and learning opportunities that will enable our staff and students to consider their own prejudices and adopt good practice
- publicise and raise awareness of this statement and its supporting policies
- operate a fair, open and transparent procedure for the recruitment of staff and students
- provide fair and accessible opportunities for training and promotion to staff
- operate fair and transparent procedures for student assessment, progression, attainment of awards and involvement in other University activities
- promote the use of inclusive language and avoid the use of words or phrases which are discriminatory or exclusive in all University publications and correspondence
- introduce new and update existing policies and procedures which support our inclusion agenda
- ensure that all other University policies, procedures, functions, activities, strategy and decisions reflect our commitment to the creation of a truly inclusive culture
- challenge discriminatory behaviour, attitudes or practices whenever they occur
- ensure fair, open and transparent work allocation for staff and research students
- provide fair, open and transparent recognition for staff and research student contributions
- operate a fair, open and transparent procedure for staff and research student development
- treat all with respect

Complaints

Anyone who believes they have suffered from any form of discrimination, harassment or victimisation is entitled to raise the matter through the University's agreed procedures.

- For students, further information is available at <http://my.napier.ac.uk/Student-Administration/Complaints/Pages/Complaints.aspx>
- Staff should consult the Human Resources and Development section of the intranet at <http://staff.napier.ac.uk/Services/HR>

If you have any questions or comments about equality and diversity at Edinburgh Napier University or our Inclusion Strategy you can contact the [HR Capability Team](#) or [Student Wellbeing and Inclusion Team](#).

**EDINBURGH NAPIER UNIVERSITY****FLEXIBLE WORKING POLICY****1. INTRODUCTION**

- 1.1. The University is committed to ensuring that we have a flexible and motivated workforce in order to deliver the University's strategic plan. We aim to ensure that employees recognise the importance and have the opportunity to achieve a healthy work / life balance.
- 1.2. This policy and the procedures contained within it should be used to make an application to work flexibly under the right provided in law which helps eligible employees care for their children or for an adult.
- 1.3. This policy therefore extends the right to apply to work flexibly to employees who meet the eligibility criteria.

**2. GENERAL PRINCIPLES**

- 2.1 All eligible employees can apply for changes to their work pattern or location of work.
- 2.2 The University has a duty to consider applications seriously. This policy does not provide an *automatic* right to work flexibly as there will always be circumstances when the University is unable to accommodate the desired work pattern (the justifiable grounds for refusing a flexible working request are outlined in section 9).
- 2.3 The right is designed to meet both the needs of the employee and the needs of the University, and to facilitate discussion regarding ways of finding a solution that suits both the employee and the University.
- 2.4 Employees need to be realistic in considering whether it would be possible to complete their work in a different manner – for example it would be difficult to see how delivering a face-to-face student service from home would work effectively.
- 2.5 Applications need to be made in writing using the [Flexible Working Application Form](#).
- 2.6 Changes to working arrangements will be permanent, unless otherwise agreed.
- 2.7 Flexible working arrangements can be offered on a trial basis and reviewed after an agreed time (e.g. three or four months) to assess whether they work in practice.

2.8 The date an application is received by the Line Manager, not the date the form is completed, is taken as the date the application is made by the employee.

2.9 All requests will be considered carefully and will only be declined if there is a “justifiable reason” for doing so (the justifiable grounds for refusing a flexible working request are outlined in section 9).

### **3. ELIGIBILITY**

3.1 In order to make a request, the employee must:

- Be an employee of the University
- Have worked with the University continuously for 26 weeks at the date the application is made
- Not be an agency worker
- Not have made another application to work flexibly under the right during the past 12 months

### **4. SCOPE OF REQUEST**

4.1 Eligible employees will be able to request:

- A change to the hours of work
- A change to the times when the employee is required to work
- A change to their place of work

4.2 This covers working patterns such as annualised hours, compressed hours (four day weeks or nine day fortnights), change of campus, home working, job sharing etc. Applications for a change in working pattern will not always require a significant alteration. Details regarding available flexible working patterns can be found in [Appendix A](#).

### **5. FORMAL PROCEDURE FOR MAKING A REQUEST**

5.1 The initial onus will be on the employee to make a considered application in writing using the [Flexible Working Application Form](#), to their Line Manager (cc in Human Resources and Development), who in turn will confirm receipt of the application and consult with Human Resources and Development. Only one application per year can be made under the right, and an

accepted application will normally mean a **permanent** change to the employee's terms and conditions of employment.

5.2. The employee should submit their application in good time and ideally at least 2 months before they would like the proposed changes to take effect.

5.3 It is therefore important that, before making an application, the employee gives careful consideration to:

- which working pattern will be most appropriate
- any financial implications that may result where the desired working pattern will involve a drop in salary
- the effects it will have on the University and how these might be accommodated

## **6. ACCEPTANCE OF REQUEST**

6.1 If the Line Manager can fully accept the changes proposed, they should make a recommendation to the Dean of School/ Director of Service, who can confirm their acceptance in writing (the request might be due to a short term issue or the request is straightforward and can be accommodated immediately). The Line Manager should then complete an [Employment Details Change Form](#), signed by the Dean of School/ Director of Service and submit this to HR&D, who will confirm the permanent change of terms and conditions in writing.

If however, further information or consideration is required a formal meeting should be arranged.

## **7. FORMAL MEETING**

7.1 If the request needs to be explored further, within 28 days of the application, the Line Manager and Dean of School/ Director of Service will arrange a meeting with the employee to explore the desired work pattern in depth, and to discuss any options or alternatives available. The employee will be able to bring a colleague or trade union representative to the meeting.

7.2 Within 14 days of the meeting, the Dean of School/ Director of Service will write to the employee:

- either agreeing to the new work pattern with confirmation of a start date, or;

- providing clear business ground(s) as to why the application cannot be accepted and the justifiable reasons for refusing the request (see section 9).

## **8. APPEAL PROCEDURE**

8.1 The employee has the right of appeal against the Dean of School/ Director of Service decision not to accept their request for flexible working within 14 days of the decision being notified to them. The appeal would go to the Dean of School/ Director of Service's line manager. The appeal process will encourage both the employee and the University to reach a satisfactory outcome. The University will carefully consider the grounds for the appeal and will notify the employee in writing of the decision. Appeals will be heard, in line with the University's [Grievance Procedure](#).

## **9. JUSTIFIABLE REASONS FOR REFUSING A REQUEST**

9.1 The University may refuse a request for flexible working arrangements, however it must ensure that one or more of the below eight justifiable grounds applies.

- The burden of additional cost
- Detrimental effect on ability to meet customer demand
- Inability to reorganize work amongst existing staff
- Detrimental impact on quality
- Inability to recruit additional staff
- Detrimental impact on performance
- Insufficiency of work during the periods the employee proposes to work
- Planned structural changes



## An Overview of Flexible Working Patterns

OPTION	DESCRIPTION	EXAMPLES
Annualised hours	Contract which sets out the number of hours to be worked per annum, enabling hours to be varied week by week throughout the year.	Examples where there are peaks and troughs of activity throughout the year
Part time	Working hours that are less than the full-time contractual hours	Useful if you want to work a few hours per day or a few days per week to fit in with outside commitments/ priorities
Compressed working hours	Weekly contracted hours that are worked over fewer working days.	For example a four day week or a nine day fortnight whilst still working full time hours
Voluntary reduction in working hours	Voluntary reduced working hours for an agreed period of time, normally in excess of three months but no longer than twelve months, at pro rated salary.	Useful if you require a one-off block of time or regular time off for a set period of time e.g. to pursue a course of non-work related study, care of dependents
Change of work pattern	Where you wish to change your start and finish times on a permanent basis.  Occasional varying of start and finish times can be achieved through the University's <a href="#">Flexitime Scheme</a> .	For example permanently changing your hours of work to start at 10am and finish at 6pm. You do not want to reduce your hours just vary your start and finish times.
Home working: Regular / Permanent	Where the main place of work is home	The University has a <a href="#">Home-working Policy</a> . Where the work is deemed suitable to be done from home on a <b>regular</b> or <b>permanent basis</b> a flexible working request is required.
Home working: Occasional	Working from home on an occasional basis	Where home-working is <b>occasional only</b> , there is no requirement for a flexible working request to be made, however the process detailed in the <a href="#">Home-working Policy</a> must be followed.

# MvContribution

MyReview MyDevelopment MyCareer



**MyReview:**  
Setting  
**Expectations**  
& Measuring  
**Performance**

# MyContribution

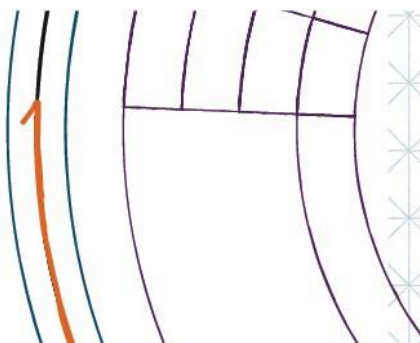
## Our performance and development cycle

By working together towards the same, shared goal we can achieve great things, both for the University and our own personal development and career progression. Clearly defined goals help us to perform at our best, focusing on the right areas, tracking our progress effectively and enabling recognition for 'a job well done'.

My Contribution, our performance and development cycle, is designed to help us all understand the part we play in achieving the University's vision: to create **an enterprising and innovative community renowned internationally with an unrivalled student learning experience.**


It is supported by an easy-to-use, online system where we can record and track our performance, development and career goals. It provides a consistent approach to performance and development across the University by focusing on individual needs and quality conversations for everyone.

**This booklet explains the My Review element of the My Contribution cycle.**





# Contents

- 2 MyContribution - our performance and development cycle
  - 4 About My Review
  - 6 Objective Setting
  - 13 End of year review meeting
  - 14 Ratings
  - 20 Getting the most from my end of year review
- 

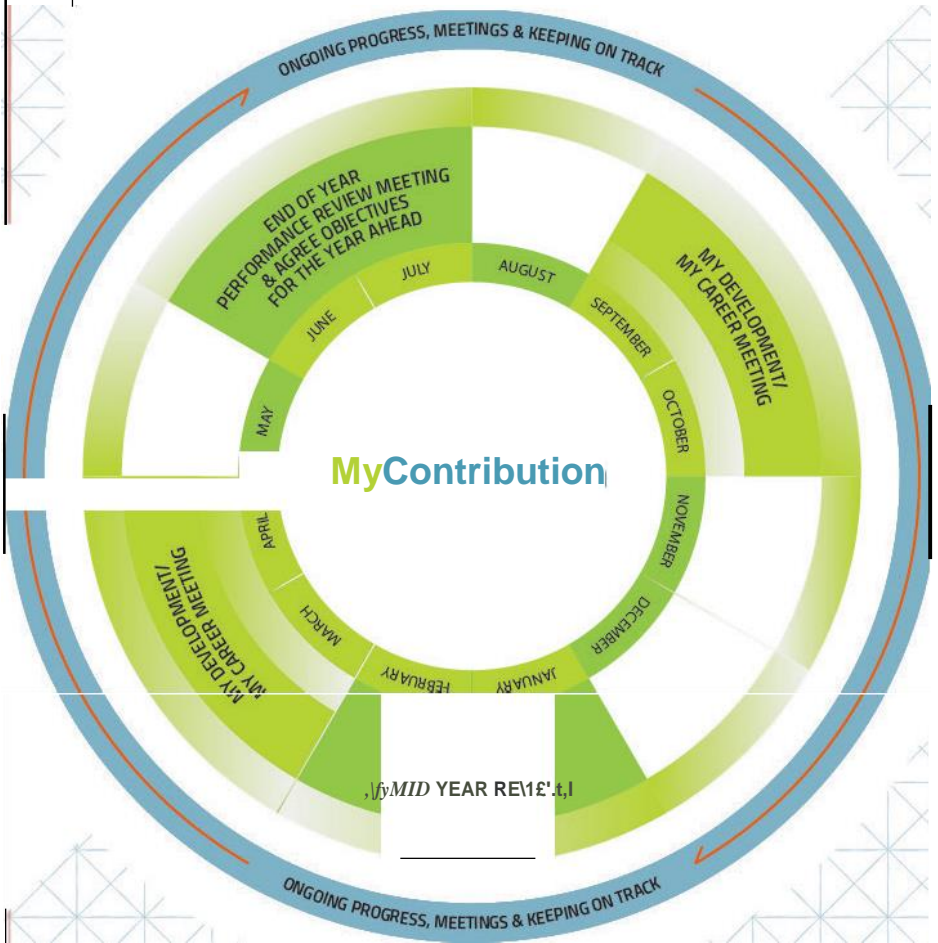
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**'Setting goals is the first step in turning the invisible into the visible'**

**Tony Robbins**

# About MyReview

During your My Review discussions, you will set performance objectives to help you understand what part you play in supporting the University to achieve its goals and ambitions. You will have dedicated meetings with your line manager, built regularly around the My Contribution performance and development cycle. The aim of these meetings is to review your progress against your agreed objectives in terms of what and how you have delivered throughout the performance year, and discuss the support you need to help you succeed.



- The performance and development year starts on 1 August and ends on 31 July each year.
- Have your first My Review meeting by the end of July every year to ensure you're fully prepared and clear on your objectives in time for the start of the year.
- We recommend that you agree between three and eight SMART performance objectives with your line manager each year. Objectives must be linked to the University's goals. Once agreed, record your objectives on the online form, available via HR Connect, by the 31 July annually.
- If you are new to the University, agree your performance objectives with your line manager and add them to the online form within 12 weeks of starting in your new role.
- Ensure you have frequent conversations around how you are progressing with your objectives to help you stay on track.
- Have your mid-year review by the end of February. This is a checkpoint to make sure you are on track to achieve your objectives by the end of the year, and that you are receiving any support you need. We recommend that you update any progress against your objectives on the online form.
- Update your objectives regularly throughout the year to reflect your progress made and record any changes, making sure you agree any changes with your line manager before updating the online form.

Your end of year review meeting will take place by the end of July each year. In this meeting your performance against your SMART objectives will be discussed and you will be asked to review, discuss and agree a rating based on WHAT you have achieved and HOW you have achieved, using our University Values.

## Objective Setting:

# Set your SMART Performance Objectives

### 1. Review the University strategic objectives and your school/ department plan that supports their achievement

- It is important that your objectives are right for you but also align to the University's strategic objectives, direction and vision
- There is a handy dropdown list on the My Review online form which will help you do this

### 2. Discuss your aims and suggestions for performance objectives with your line manager

- Meet with your line manager to discuss and agree your objectives
- We recommend between three and eight objectives for employees as focusing on lots of different things can make progress more difficult - it's important to prioritise.
- Your objectives can all align to one strategic objective area or range across many

- Remember, you may have some challenging objectives that stretch and develop you as well as some that focus on your strengths

### 3. Complete our online form

Once you have identified and agreed your objectives, add them to the online My Review form which will help you to make them SMART:

- Performance goals/objectives - what do you want to achieve? Why?
- Measures of success - how will you measure your success or achievement? What does success, look, feel and sound like?
- Supporting my goals - what support do you need to achieve your goal/objective? E.g. training, line manager support etc.
- My proposed timescales - by when will you achieve your performance goals/objectives?
- Progress against your performance goals/objectives - how did you achieve your goals? Here you can record your progress throughout the year.

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Specific

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Measurable

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Agreed  
& Achieved

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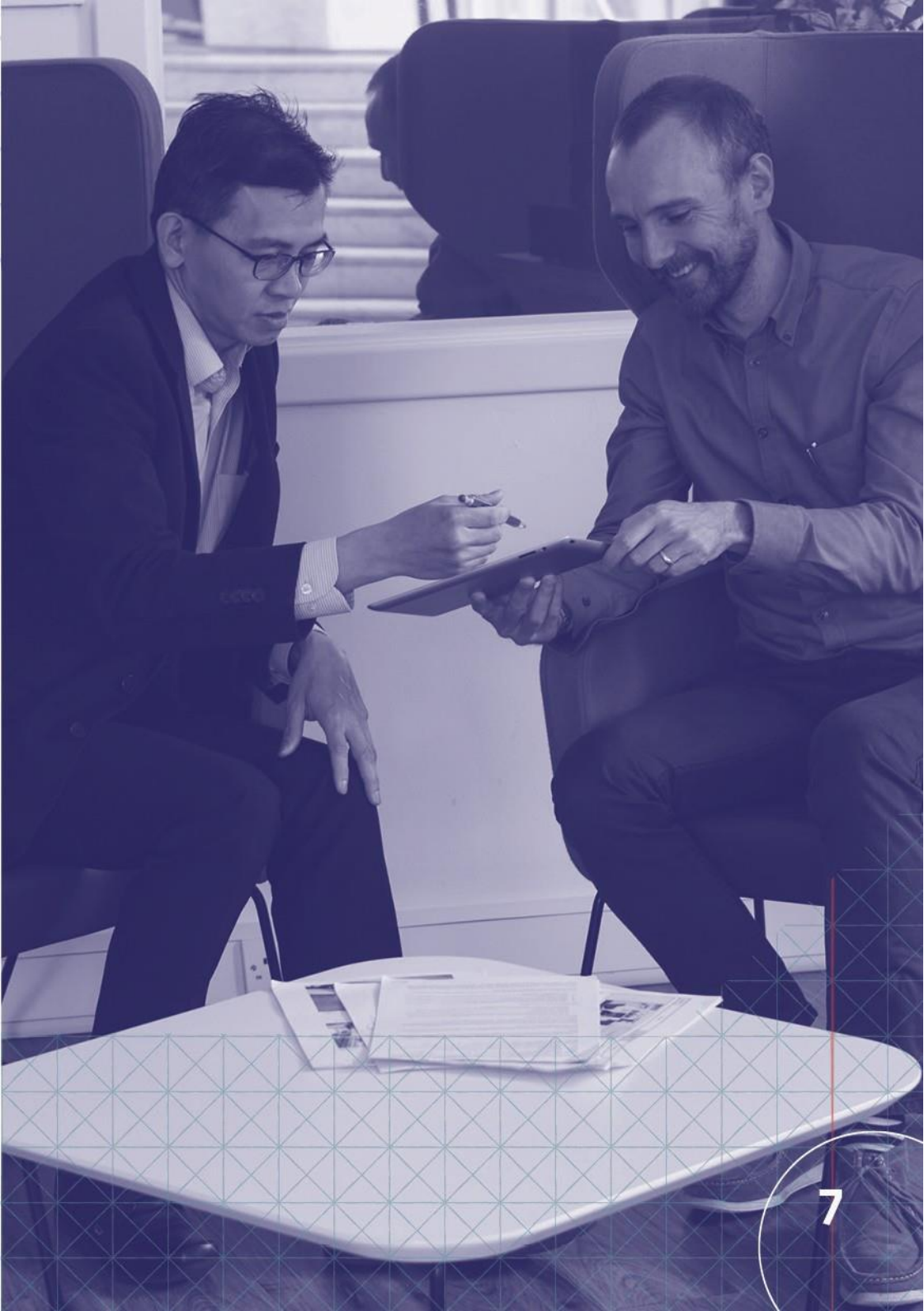
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Realistic  
& Relevant

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Time Bound





## Objective Setting: What is SMART?

Using SMART to form your objectives will help you to complete them successfully and on time.

**Specific** - providing clarity and being unambiguous about the result you are aiming for (which is often different to what is happening currently) and understanding why this goal is important. Specific is about describing every detail of the change you want to see by mapping out an inspiring vision of the future.

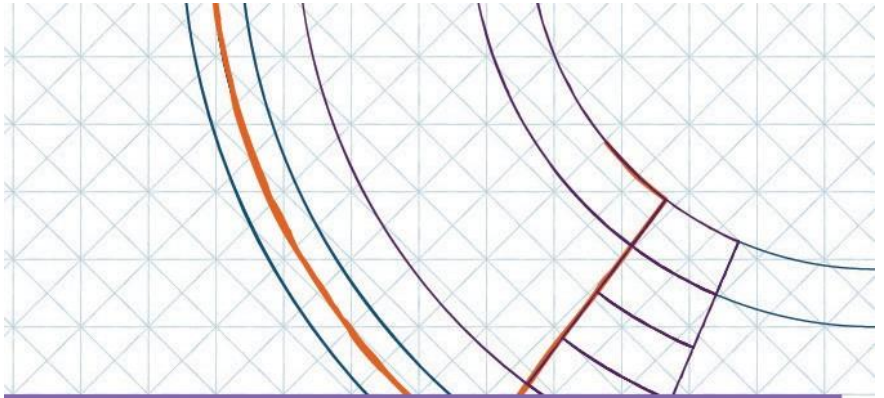
**Measures of success** - knowing when you have achieved your goal by specifically articulating your measures of success.

**Achievable and Agreed** - objectives should be achievable by being stretching enough to motivate you, but not too difficult to achieve.



**Relevant and Realistic** - the objective should align to the University and school/department plans to make it relevant. Realistic is making sure that you discuss any reasons with your line manager which might make the objective difficult or unrealistic for you to achieve.

**Timed** - objectives should have a deadline as without one, goals have a habit of slipping or being re-prioritised. Set review dates before the final deadline to make sure you're on track and get any support you need. If objectives span over more than a performance and development year, make sure you capture what elements of the overall objective will be delivered in the current year.



## Some helpful reminders when setting objectives:

Several actions or activities can combine to achieve an overall objective

One objective may have one or more measure of success

Once agreed, you are responsible for submitting objectives into the online My Review form. When doing your objectives, you can input directly into the form or use the objective setting template first available on the Intranet, then cut and paste objectives into the online system when they have been agreed

Your objectives can be amended and updated throughout the year, for example, objectives can change when projects change. You must ensure that any changes to objectives are agreed with your line manager before committing them to the My Review form

# Example performance objectives

The following examples are for guidance only. Your own performance objectives will be very specific to you and your role, and may contain more detailed descriptions under each heading.

## Example 1

### My Strategic Goal

*Research*

### What are you going to achieve and why?

*I will submit 2 grant applications - application 1 to x fundingbodyV, application 2 to yfundingbody*

### How will I measure my success?

- *Favourable internal (pre-submission)peer review feedback*
- *Feedback fromfunding bodies*

### What support will I need to achieve this?

- *GetadvicefromRIOI attendoneofRIO'sgrant application workshops*

### How long should this take?

- *Application 1 to be submitted by00/MMIYYYYY*
- *Application 2 to be submitted by00/MMIYYYYY*

## **Example 2**

### **My Strategic Goal**

*To build innovation, enterprise and citizenship*

### **What are you going to achieve and why?**

*To effectively and efficiently take the lead on organising the logistics for x event to provide a great delegate experience*

### **How will I measure my success?**

- *Deliver the event within agreed budget*
- *Favourable feedback from delegates*
- *Feedback from colleagues on how collaborative I have been throughout the planning and design process- I will ask for this after the event*

### **What support will I need to achieve this?**

- *Budget- to be agreed after initial scoping*
- *Support from project team formed to organise the event - this will be agreed at the start of the process*

### **How long should this take?**

*Conference to be held on 00/MM/YYYY*



## Objective Setting:

# Focusing on University Values & Behaviour: The HOW

How you deliver your objectives is as important as what you deliver. The University Values provide the principles which drive all that we do with whoever we are working.

We recognise that it is important to deliver great outcomes, but if our values are not demonstrated throughout that delivery, it can have a significant and detrimental impact (e.g. ruthlessly and at all costs) on students and colleagues and/or reputational damage to the University




**Professional:** Being passionate about working at the University and taking pride in how well we are perceived

**Ambitious:** Aspiring to continuously improve ourselves, the University and our students

**Innovative:** Proactively seeking out new, different or more effective ways of working to make a positive difference to the University

**Inclusive:** Contributing to a sense of support, belonging and respect that includes everyone associated with the University equally without restriction or discrimination.



# Your end of year review meeting

- You and your line manager may agree to review your year's performance and agree your objectives for the coming year in the same meeting or you may agree to hold two separate meetings
- Your line manager will schedule an end of year review meeting at least two weeks in advance
- Review your performance against each objective and assign a rating to each based on the rating descriptors (available on page 14)
- Complete your end of year summary form and give yourself an overall rating for WHAT and HOW you have performed
- Meet with your line manager to discuss your performance and agree, where possible, an overall end of year indicative rating - guidance on how to prepare and have a great My Review end of year review is available on page 20
- Your line manager will then complete **My Year End ratings - indicative** section of the online form
- Your line manager will then confirm your final rating with you after the calibration process is complete and arrange a meeting to discuss if it is different from the indicative rating
- Your line manager will complete the **My Year End ratings - final** section of the online form

# Ratings: Understanding our Ratings Descriptors



- There are five ratings and descriptors for 'What' and 'How'.
- 'What' ratings are applicable to each objective.
- The overall end of year "What" rating will be based on an overall combination of the individual 'What' ratings.
- 'How' ratings are not allocated for each objective.
- An overall 'How' rating reflects how your behaviour throughout the year has reflected the University values: Professional, Ambitious, Innovative and Inclusive.

## Outstanding


**What:** Considerably and consistently surpasses performance expectations and goals in all areas. Makes a significant contribution to the department/school/University success through unique and exceptional accomplishments. Demonstrates performance that excels beyond their peer group. This rating is reserved for an extraordinary year and is seldom earned year after year. We expect this category to apply to a very small percentage of staff, and those who achieve this rating should be recognised as an exceptional contributor in their approach to their role.

**How:** Consistently demonstrates outstanding examples of the University values. Demonstrates an outstanding behavioural approach that informs relationships with key stakeholders in a positive, proactive way. Provides an outstanding response and resolution to unanticipated issues. Leads, collaborates and shares learning.



## Exceeding Expectations

**What:** Surpasses performance expectations and goals. Through completion of their objectives they show a unique understanding of work well beyond job requirements. Work is consistently completed independently and efficiently and on schedule with accuracy.




**How:** Significant examples of positive behaviours that exceed expectations in demonstrating the University values. Contribution demonstrates positive behaviours that considerably exceed expectations in ways that will support the achievement of the team, the department and the University. This person can identify and respond to the need to change collaboratively with others.

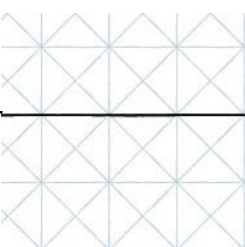
## Achieving Expectations

**What :** Objectives are being achieved well through demonstrating a capable, reliable and efficient approach. Anyone performing at this level should be congratulated as a highly valued team member, making a good contribution to the University. Good, knowledgeable contribution which fully meets expectations.

**How:** Good, consistent behaviour confidently illustrating the University values. Works effectively as part of a team providing support and assistance when required. May require some assistance when responding to unexpected issues. Can articulate strengths and development areas. They will seek feedback and continuous development and align themselves to the University values. Reliable and transparent style.







## Developing

**What:** Developing to meet objectives towards a satisfactory level but have not successfully achieved this yet. Performance does not meet expectations consistently and reliably although progress is being made and can be identified. Results are inconsistent. This category can also be applied for staff who are new or developing into their role and need time to learn the role fully. For example, if an individual has been in a role for less than 6 months it may be appropriate to rate them as "Developing".

**How:** Efforts to demonstrate the University values can be developed further through continued collaboration. Working to progress performance to meet objectives through tasks and behaviours. May have an inconsistent style that impacts performance and does not display University values. Requires to demonstrate better consistency and reliability.

## Below Expectation

**What:** Performance does not meet expected standards or objectives set for the position. There is a need for immediate and significant improvement. This level of contribution is not acceptable so it is likely that a Performance Improvement Plan will be in place or required to support employees who are performing at this level.

**How:** Development is needed to see how value driven behaviour can be demonstrated and built into performance in the long term. Struggles to respond to change. Does not seek feedback. Does not support and collaborate and requires significant support with unanticipated issues from others.





## Ratings:

# Overall Rating Matrix

This matrix is to support the allocation of an overall rating, using a combination of What ratings together with a How rating, to provide a single overall rating.

You will discuss your indicative rating at your end of year review meeting which will reflect a combination of What and How.

### My Values (How) rating

	Below Expectations	Developing	Achieving Expectations	Exceeding Expectations	Outstanding
Outstanding					
Exceeding Expectations					
Achieving Expectations					
Developing					
Below Expectations					

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Developing



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## Ratings: Disagreement

My Review should be a supportive, transparent process, and at the same time honest and challenging.

Objectives should be mutually agreed so that everyone is comfortable they are aligned to the University strategy and are achievable within role. You are encouraged to raise concerns with your line manager through one to one conversations throughout the year to ensure there are no surprises.

However, should there be disagreement over the setting of objectives or the ratings between you and your line manager that cannot be resolved, the issue can be escalated to your line manager's line manager. The concerns should be set out in writing outlining the specific issues and concerns. The line manager's line manager will meet with both parties to agree a way forward. Your line manager's line manager will make a decision and will outline their response to the concerns in writing. This is the only level of appeal within the University and this decision is final.

Please contact your HR Partner if you require further advice.



## Getting the most from My Contribution meeting:

# Preparing for your MyReview meetings

## You

- Complete a review of each objective recorded on your My Review form - this can be done at any point when an objective has been completed and must be done at least two weeks before the end of year review meeting
- One week before the end of year review meeting, complete your self-assessment/end of year summary
- Reflect generally on how the past year has been for you. You might find it helpful to reflect on the following questions
  - What has given you the most job satisfaction?
  - What do you consider to have been your most important achievements?
  - What has given you the least job satisfaction?
  - What elements of your job have you found most difficult?
  - What has interested you the most?
  - What do you consider your strengths to be and how have you been able to use these in your role?

## Your line manager

- Book the meeting and send out an invitation as early as possible but at least 2 weeks ahead of the meeting
- Ensure you have had ongoing one to one meetings throughout the year to avoid any surprises
- With the employee's permission, seek feedback from other key stakeholders e.g. in relation to any projects they have been involved in
- If the employee has had more than one line manager, please request input from other line managers in advance of the review meeting.
- Observe, listen and take notes as required throughout the performance year to provide evidence for evaluating performance
- Review the employee's end of year summary form

- What contribution have you made to your team, School or Professional Service?
- How have you helped deliver the Corporate/local School/Professional Service plans?
- What feedback do you want to give to your line manager on their performance and management style?
- How do you rate your performance against the objectives?
- How has your behaviour in your role demonstrated the University values?
- Base your assessment of your performance on actual evidence e.g.
  - Customer/Service user satisfaction data
  - Team performance data
  - Financial results
  - Efficiencies for your team
  - Feedback from school/service users, customers and/or University stakeholders
  - Performance and behaviours against the University values
  - Research outputs
  - Record any other key achievements and successes which fall outside of the previous year's agreed objectives

- Write your assessment of achievement against each of the employee's objectives. Take into account any circumstances which may have prevented full achievement such as changes to local priorities, limited resources (physical/ financial) or changes to policy. Keep your feedback focused on the delivery of the objective and not the personal characteristics of the reviewee.
- NB - It is strongly recommended that you do not complete ratings until after the annual review meeting. Ratings should be discussed and agreed during the review meeting taking into account the evidence and input.

## Getting the most from My Contribution meeting:

# During your My Review meeting

## You

- Attend the end of year review meeting – this will last around an hour  
NB – you will discuss end of year ratings but they will not be recorded before the meeting

## Your line manager

- Throughout the meeting listen carefully to what the employee is saying and take notes as required
- At the meeting, discuss:
  - What the employee has done well
  - What they could have done better and what may have hindered their success?
  - What contribution they have made to their teams and overall achievement of the University School/Service plan?
  - What is notable about the behaviours, attitudes and skills they have demonstrated?
  - Highlight what they have done exceptionally well and how they have surpassed expectations.
  - Performance ratings for each objective, overall What rating, overall How rating and an overall rating for the year.

Getting the most from My Contribution meeting:

# After your My Review meeting

## You

Review feedback from end of year review meeting to decide how this could form part of your Personal Development Plan for the coming year

## Your line manager

- Following the end of year review meeting, review all of the evidence, including your own notes and feedback from other line managers, and begin to classify achievement against objectives.
- Complete the indicative ratings page on MyReview within a week of the meeting.
- Complete the reviewers comments by writing your overall summary of the employee's performance during the last year. This must be evidence-based. You might also want to comment on what you consider to have been their most important achievements.
- Final ratings will be recorded after calibration. Calibration is an internal audit, undertaken by HR and members of the Senior Leadership Group in August every year, to check consistency and fairness across the University.
- Confirm with the employee when final ratings have been recorded - arrange to meet with them to discuss reasons for any changes from indicative ratings



For more information please refer to the  
My Contribution pages on the Intranet.

Or contact HR Services on  
**humanresources@napier.ac.uk**

Published: May 2018



## Guidelines for Academic Staff Research & Innovation Time

### Introduction

[Strategy 2020: Building Success](#) and the associated [Academic Strategy: 2020](#), set out clear ambitions around the University's objective to grow research and innovation activity. A number of associated trajectory Key Performance Indicators (KPIs) have been identified and published in the [University Corporate Plan](#). Schools are responsible for implementing targeted action plans, in order to meet the University's annual research and innovation (R&I) KPI targets. The Dean of School and the School Director of Research are responsible for ensuring that the School achieves its Research and Innovation KPIs.

In order to achieve the challenging R&I targets, we need to change the culture within Schools so that R&I is placed firmly at the core of academic activity. Schools should have a long-term R&I plan, which matches the overall goals of the University and shows how the School will contribute to meeting the KPIs associated with those goals. This plan must be cascaded to individual academics to provide a line of sight for every individual from their own personal objectives through to the School (and thereby University) objectives.

Central to any plan will be the resource the School allocates to R&I activity. Each School is expected to allocate a proportion of their staff time resource to undertaking R&I as per the Academic Workload Framework 2016 (AWF), which is recorded for [TRAC](#) purposes as Edinburgh Napier University funded research and other activity. In order that academic staff can deliver on R&I objectives it is essential that staff with R&I deliverables are given effective time to undertake this work. There is no assumption that all staff will receive an allocation of research time. Any member of staff receiving an allowance will be expected to commit to the delivery of an agreed set of KPIs in exchange for an allocation of research time. This will require careful management during MyContribution reviews.

This document sets out a process for the allocation of R&I time within Schools in order to promote transparency and equality for the academic community whilst proactively utilising the MyContribution meeting cycle in pursuit of the School's R&I KPIs.

This document has been developed in association with a number of other policies aimed at ensuring quality R&I time is available to all staff and improving research outputs, quality and activity. This document should be read in conjunction with the Staff Charter and [Academic Workload Framework 2016 \(AWF\)](#).

## Research & Innovation Time

To produce quality research outputs requires concentrated time. Single hours dedicated to R&I which are spread throughout the week are unlikely to result in quality research outputs and therefore should be considered as ineffective use of time. When allocating R&I time to an individual it is important that the time be allocated in usable blocks. The norm would be whole-days, however in some instances half-days may be effective. To achieve effective use of time, staff will need to work collegiately around sharing teaching, timetabling and managing student access.

The AWF allows a maximum of 0.25 FTE in Edinburgh Napier-funded research-time allocated to staff in any one year and similar for Other time (for example for commercial related activity). This is sufficient to address the majority of Napier-funded research-time allocations, however if more than 0.25FTE across the year is requested then this must be dealt with through the School sabbatical scheme. All staff are required to do a minimum of 0.2FTE teaching related activity in any one year.

In some situations One day per week across the academic year is equivalent to 0.2FTE allocated to research, which if grouped together would account for 9 weeks full-time research (assuming a 44 working week year). Therefore managers and academics should consider what would be more effective to achieve agreed objectives, block time or longer thinner time.

Within the 0.25FTE restriction allocations of 1 day per week throughout the year through to one trimester completely free would be achievable. It is the responsibility of the member of academic staff to determine which format of Napier-funded research-time will be most effective and to work with their colleagues (Head of Subject, line manager and teaching teams) to ensure that this can be achieved. Freeing up a complete trimester will require re-allocating workload into other trimesters. Trimesters one and two may be more difficult to free up due to normal teaching, whereas trimester three for many staff should be achievable and of course the research block can straddle trimesters, for example taking into account exam/marking periods if team teaching allows. Annual leave impinges on all trimesters.

## *Sabbaticals*

Sabbaticals are defined as period of Napier-funded research time (or Other time) greater than 0.25 FTE in a year and are open to staff on all of the Academic Pathways. Longer periods of R&I time provides an opportunity for staff to create, maintain and develop links to the benefit of their research and teaching and to enhance the national and international profile of their teaching and research. The School Sabbatical Scheme should be used in conjunction with externally funded leave schemes where possible.

Sabbatical leave should not be regarded as a right in itself and is at the discretion of the DoS and DoR, based on school objectives, priorities and resources. Sabbatical applications must contribute to School objectives.

Research and Innovation should be widely defined to embrace laboratory research, whether of an individual or collective nature, fieldwork, involving the gathering of data and liaising

with outside professional bodies, library-based research, the writing up of research projects in a form suitable for publication and knowledge exchange or enterprise and professional activity. This definition includes research leading to the preparation of applications to outside grant-awarding bodies for substantial research grants.

Staff on sabbatical will be relieved of all administrative duties at School and University level, with the exception of those tasks related to the supervision of research postgraduate students, and the conduct of externally funded research and innovation projects. Research Sabbatical Leave should not impose undue burdens on students, colleagues, or on the University generally.

The School is responsible for ensuring that satisfactory cover is available during the research sabbatical period, however we expect that individuals applying for a School sabbatical will do so having fully considered how their teaching and administrative work will be covered and having discussed cover options with their Head of Subject Group in advance of the application. We envisage that applicants will adopt a collegiate and reciprocal approach to Research Sabbatical cover, drawing on the benefits of team teaching arrangements. For example 2 or 3 colleagues thinking of applying might agree to cover for each other's teaching when one is on research sabbatical leave. In making decisions on which semester to apply for Research Sabbatical Leave, priority should be given to semesters when applicants have lighter teaching loads/workloads to help reduce 'cover' requirements.

Where teaching assistance is bought in to cover the research leave period of an academic member of staff this cost will be met by the School unless external funding has been secured to cover this cost.

If a member of staff falls sick during a period of Research sabbatical leave agreed under the University Scheme, the period of research sabbatical leave will not normally be extended. The absence will, however, be taken into account when considering the subsequent Research Sabbatical Leave Report, particularly where expected outputs have been adversely affected by the absence.

## School R&I Plans – Setting & Monitoring Research KPIs

Effective use of academic staff resource is central to changing the culture and achieving the objectives, therefore it is imperative that the Director of Research communicates the School R&I plan with the Heads of Subject and line managers, and agrees the apportionment of R&I KPIs across the subject groups in the School.

The allocation of time and the resultant KPIs expected from each subject group is then the responsibility of the Heads of Subject in discussion with the academic line managers through individuals' PDR and MyContribution meetings.

It is the responsibility of the DoR (working with HoS and line managers) to ensure that sufficient objectives are set through the MyContribution objective setting cycle to meet the School's objectives and that these objectives are effectively monitored to ensure that the overall School KPIs are delivered. It is anticipated that staff with a research focus, e.g. Professors will be given a research allocation, however there will be clear expectations of deliverables as discussed in the Principles for Research Allocation below.

DoRs in discussion with the HoS might decide to select certain individuals to allocate specific targets (with associated resource) based on the individuals' role and research profile if they determine this will be the most effective way of meeting the School KPIs. For example individuals with a successful track record of obtaining funding may be selected to win additional funds over and above others to ensure targets are met. This must be balanced holistically across the School to ensure the development ECRs.

To assist DoRs in the development of their respective research plans and with the annual objective setting process, the Research and Innovation Office will provide Schools with meaningful research data and targets, broken down at School-level and progress to date against these targets. Ongoing progress against these targets will be reported through the University Research and Innovation Committee.

### *REF related Targets (to the next REF exercise in 2021 and beyond)*

- All academic staff should develop a long term research plan which should be updated annually and should take into account their planned position for the next REF. The plan should cover:
  - The general research area and direction of their research
  - Research funding plans to support that research (which is likely to evolve over time) but should include applications planned for the following year.
  - The number and quality of research outputs planned/expected and timescales with clear line to REF.
  - The number of impact case studies to be developed
  - Esteem measures to be targeted
  - PhD student completions
- At the MyContribution meetings, these objectives should be discussed in the round, including where staff are to date in relation to their targets; which targets the academic

can deliver in the following year (or contribute to for major deliverables); and how much time should be allocated to support the delivery of the targets.

- For research outputs with co-authors (grants/publications etc) in the University, academics will only receive a shared allowance for the output which should be agreed in advance between the authors based on their contribution.

#### *Research Income Targets (for the following two academic years):*

- Due to the duration of time from developing a research application, through submission, award and project start to recognising this as research income (spend against the project), research income targets must be managed on a minimum of a two year rolling process.
- At Q3, RIO will provide Directors of Research with information to assist with their planning, including targets for the following two years, current position against those targets based on awarded projects and submitted projects and the gap to be met for each year. They will also provide targets for amount of funding which should be applied for to achieve the gap based on previous track record of success, along with individual's success record and an per person target for applications based on the individual's role (Prof, AP, Lecturer). This is provided for guidance and it is the responsibility of the DoRs to use the information in allocating targets to academics.
- The research income target for any forthcoming year will be challenging to improve substantially, by the time of PDR for that year. These targets should have been addressed the previous year, however there may still be a shortfall. Therefore the DoR will need to develop a plan for short turnaround research funding to meet any gap for the forthcoming year and appropriate targets agreed with relevant academics.
- The target for the following year will therefore be the primary focus of planning at PDR.
- To ensure Schools meet their research income targets, responsibility for the targets must be owned by the individual academics in the schools and therefore must be included as part of their objectives agreed through the MyContribution process.
- The personal development reviews take place around June, therefore Directors of Research must have a plan in place for sharing with their school, which Subject Heads and line managers manage during the process. It is assumed that the PDR will cover the academic year September to August, therefore objectives set in June one year will not be fully reported on until end August the following year – this must be clear in the objective setting and measuring of those objectives. With the summer being the quietest teaching time it is important that this period is used effectively in line with workload and staff charter guidelines.
- As the objectives set in a PDR will commence September of that year, any grant funding objectives will be unlikely to impact on the research income for that year, unless they have been identified as short turnaround funding by the DoR and would require appropriate monitoring.
- All grant funding objectives set through the PDR should be entered into Worktribe by the individual academic by the 1<sup>st</sup> September to allow for forecasting and monitoring of the planned grant applications.

### *Commercial Targets (for the forthcoming year and beyond)*

- At Q3 RIO BE team will provide the DoRs the targets for commercial activity in the School for the following year.
- Any known projects contributing to the targets of the following year will be provided, and any shortfall to meet the School target.
- The DoR should have a clear plan for how the CPD and consultancy targets will be met, including any repeat business through for example CPD.
- In consultation with the Heads of Subject, staff should be identified that will deliver the commercial targets and appropriate objectives and resources allocated.

## Key principles for resource time allocation & associated deliverables

The School research plan should be widely communicated in advance of the MyContribution meeting cycle.

Allocation of research time should be transparently and fairly apportioned based on a set of agreed research activity criteria (key deliverables). Resources should not be allocated simply according to job title, role or seniority but must be linked directly to outputs. However, staff with a role that suggests a research focus such as a Professor on the Research Pathway would be expected to have a research allocation and deliver accordingly against that allocation.

Allocation of research time should be prioritised against an agreed scale.

- DoRs must ensure that staff with externally funded projects (with or without DA costs) are adequately resourced to ensure the project can be delivered. This time is paid for externally (is additional to Napier-funded research-time) and must be honoured in the staff workload.
- Any externally funded projects without DA costs for the PI or Co-Is must be top-sliced from any School Napier-funded research-time prior to allocation of the Schools Napier-funded research-time for other activity across the school
  - For research projects with PI and Co-Is within the University – the academics will receive an allocation of contribution as described in the project and approved in Worktribe, therefore DoRs must check the allocation requested when approving projects as this is in effect agreeing Napier-funded research time allocation.
- Any sabbaticals approved by the DoR and DoS must next be deducted from the School's Napier-funded research time.
- Remaining School Napier-funded research time can then be used to ensure School KPIs are met through individuals' MyContribution objective and resource allocation.

In order to receive an allocation of Napier-funded research time, staff must deliver against an agreed set of core research KPIs, managed through the MyContribution meeting cycle and recorded through the Worktribe research management system.

The allocation process of research time should have full buy-in from the Dean of School, Subject Heads and Directors of Research in line with the Staff Charter, and be clearly communicated to all academics and managers in advance of the MyContribution objective setting cycle.

The allocation model should take account of the need for succession planning by investing resource into researchers at all stages of their career, including Early Career Researchers or new starts.



### *Research Deliverables (research KPIs)*

Napier-funded research-time should be allocated to staff members based on their anticipated contribution to the Schools' research activity over the forthcoming 12-month period. This should be clearly articulated through their personal long-term research plan and MyContribution objectives.

There is a range of potential deliverables associated with research and innovation and the priority associated with each of these will vary between schools depending on the school strategy. However Research and Commercial income and high quality outputs (generally publications) should be top priority for all schools. The key deliverables are therefore:

- Conference / journal paper at level 3\* or above
- A research monograph (authored, co-authored)
- Grant applications
  - The size of funding will vary between schools and the amount of funding expected should vary across roles (Prof, AP, L). For example we might expect a Prof to average £75k/yr awarded on an ongoing basis.
  - All grant applications to be eligible as a deliverable must first be approved by the School Quality panel peer review mechanism to ensure the quality of applications submitted. We must not reward ticking boxes, quality is essential.

Other related outputs which enhance research reputation (for example, conference presentations, seminars, unpaid secondments or fellowships, policy briefings, the membership of research funding consortia) will strengthen requests, but are not in themselves sufficient outputs to support a request for research allocation.

These measures should be agreed at the discretion of the Dean of School; Head of Subject and Director of Research, recognising that the KPIs may vary across Schools or subjects disciplines, but must be managed to ensure school targets are achieved. The deliverables should conform to the School research plan.

The Director of Research in consultation with the Heads of Subject (in agreement with the Dean of School) should determine the proportion of time associated with the expected key deliverables for the School, this should be made transparent across the school. Contribution to R&I activity should be commensurate to the individuals' career stage. (A level 3 Prof might be expected to deliver more than an ECR, in exchange for the same allocation of time on certain activities).

A suggested model is as follows:

- 1/2 day per week of protected research time should result in one of the above listed key deliverables within the 12 month period.
  - Therefore, one full day per week of protected research time would result in a minimum of two of the above deliverables within the 12 month period.
- When monitoring objectives and to ensure fairness and transparency, it is important that there be no double counting between time allocated for different R&I related activities

such as PhD student and Napier-funded research-time or externally funded research time. For example, getting a publication on the back of a PhD student's research takes more time than normal supervising allocation but someone with a PhD student will find it easier to get a publication in 1 day per week than someone without a PhD student, therefore this must be considered in the allocation and objective setting. Similarly having an externally funded project will make it easier to get a publication in a 1 day a week allocation than without.

The Worktribe Research Management System should be used to effectively manage staff members' projected deliverables through bid development and via the output repository. Once an individual's objectives have been formally agreed, grant applications (bids in development) must be entered to Worktribe by the beginning of September.

## Proposed Process for allocation of Napier-funded research-time:

### *Sabbatical Applications (Mar-April)*

Any staff who would like to request more than 0.25FTE in any one year to undertake R&I activity must complete a sabbatical application form detailing the case for support by the end of March. Sabbatical applications will be considered by the DoS and DoR during April and will determine how many sabbaticals can be supported in the coming year. The time allocated to sabbaticals will be deducted from the School's overall Napier-funded research-time.

### *Pre MyContribution objective setting Meetings (May – June)*

- Dean of School (with input from Head of Subject and DoR) confirms the overall ball-park allocation of protected research time available for the School (including that for sabbaticals and that for allocation during MyContribution meetings).
- Dean of School, Head of Subject and DoR agree the appropriate KPIs / R&I deliverables for their respective Schools (or subject area), aligned to their R&I plan.
- Dean of School, Head of Subject and DoR agree the deliverables expected for the research time allocations in the school. (Commensurate to careerstage).
- DoRs communicate the above decisions to managers responsible for conducting MyContribution meetings.
- Staff in the School are invited to request an allocation of protected research time (normally 1 day per week) in advance of their MyContribution meeting. The communication should include information on the expected research deliverables in exchange for requested, protected time.
- The DoR with the Dean of School is responsible for calculating the total value of requested research time across the School and for ensuring sufficient research allocation is available to meet targets. Where request for allocation exceeds the available Napier-funded research-time available, the DoR should work with line managers to identify the best solution, which allows targets to be met in a fair and transparent manner. This may mean some people do not get a requested allocation of Napier-funded research-time and will not be expected to deliver the associated KPIs. Staff in this position who do go on to deliver towards the School targets should be rewarded with time in the following year.

### *MyContribution objective setting meetings (July – Aug)*

- During the MyContribution objective setting meetings the line manager and staff member should discuss the request for protected research time in the context of the key deliverables and other workload commitments. Line managers should have a clear view of what Napier-funded research-time can be allocated to whom.
- The staff member is responsible for populating their research activity within Worktribe as a means of monitoring performance against deliverables.

### *MyContribution Interim Reviews*

- The interim review meetings, along with other regular meetings with the line manager should be used to assess progress against the agreed deliverables.

## Appendix 1: Sabbatical Application Guidelines

Applications to the School Sabbatical Scheme will only be considered if they demonstrate that the leave will be used to undertake a clearly defined piece of distinctive and excellent R&I activity with identifiable and substantial R&I output(s) consistent with the School and University's Academic Strategy.

Applicants for sabbatical should address each of these criteria in their applications. In deciding whether to recommend the approval of an application for research leave, the Dean of School, with advice from School Director of Research, should consider the extent to which the application addresses the following questions, in the light of the career stage of the applicant, and in addition to any supplementary School criteria:

1. Can the applicant demonstrate evidence of an excellent record of research achievement commensurate with their career stage, including the effective conduct of independent research, publication, success in developing research proposals which attract external funding, and initiative in developing knowledge exchange activities over the period since the last research leave ended?
2. Can the applicant demonstrate a track record of recruitment and successful supervision of PhD students, commensurate with their career stage?
3. Were the planned objectives of any previous period of research leave met?
4. Will the research leave lead to substantial research outputs; for example,
  - Will the proposed research activity lead to the completion of internationally excellent substantial research publications (e.g. monographs, journal articles); is there a clear plan to publication in the proposal?
  - Have any requests for external funding been made in conjunction with this proposed research activity? Will a component of the planned research leave include the preparation of proposals for funding for future projects, to be undertaken at the end of the applicant's research leave period?
  - Are there other substantive and valuable research outputs that will be achieved?
  - Has the research proposal effectively presented clear pathways to impact?
5. Is the plan for the research given in sufficient detail in the application? Is the planned research commensurate with the period of leave requested?
6. Can the work of the applicant be satisfactorily covered during the period of leave?

Outputs which are considered eligible for the School Sabbatical Scheme should be inline with deliverables expected for allocation of Napier-funded research-time (or equivalent for Other activity)

Research resources are distinct from the resource implications of being granted a sabbatical. They are defined here as the resources necessary for the actual conduct of research, for example, travel and subsistence expenses, conference fees, library fees, research support, and so on. The applicant must show that he or she has identified appropriate means of covering these research resources. Applications to the School Sabbatical Scheme should state whether the conduct of the research in question is dependent on the success of supporting applications for research resources.

## 1.3.2 Research

1.3.2.1	<p><b>Research (R)</b> is a core activity.</p> <p>It comprises:</p> <ul style="list-style-type: none"><li>• research – refer to the definitions in the Frascati Manual<sup>11</sup>;</li><li>• fieldwork, laboratory, studio, desk/library work;</li><li>• management of projects, informal discussions, progress reports etc.;</li><li>• recruitment and supervision of research staff;</li><li>• attendance at conferences, seminars and society meetings that are directly connected with specific research projects;</li><li>• production of research reports, papers, books;</li><li>• training and supervision of PGR students including training in research methodology, review of drafts and preparation of thesis, and external examining;</li><li>• collaboration with other academic departments or institutions in any of the above;</li><li>• outreach where research is the underlying activity (i.e. research carried out through a Teaching Company Scheme or Knowledge Transfer Partnership);</li></ul> <p>TRAC follows the definition used by the Higher Education Statistics Agency (HESA) in the Finance Statistics Return guidance:</p> <ul style="list-style-type: none"><li>• Research is to include research and experimental development. The definition of research, below, is taken from the 2002 Frascati Manual.</li></ul> <p>‘Research and Experimental Development (R&amp;D) comprise creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society and the use of this stock of knowledge to devise new applications. R&amp;D is a term covering three activities: basic research, applied research and experimental development.’</p> <p>Research can be a specific project, or blue skies / speculative in nature, but for TRAC, research has an external sponsor or is expected to lead to some research output (or PGR training / supervision). For TRAC, research:</p> <ol style="list-style-type: none"><li>a) Can include clinical trials. Where clinical trials are considered by the NHS to be research then the time spent on them is allocated to research, otherwise they are Other;</li><li>b) Does not include routine testing (this should be reported as Other);</li><li>c) Includes institutions’ own-funded research. Research work or projects that are solely funded by the institution (including through the Funding Council block grants), and that are not directed by an external sponsor, are still Research</li></ol>
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<sup>11</sup> Frascati Manual 2002: ISBN 978-92-64-19903-9

	<p>activity. They come under the research sponsor category of ‘institution own-funded’ research. However, in the time allocation data, time spent on research (or teaching) that is not considered by the institutions to be necessary for its mission or research strategy should not be recorded;</p> <p>d) Does not include scholarship activity; this can form part of the Support activity for Research, but could equally be Support for Teaching.</p>
1.3.2.2	<p>Research is categorised into eight research sponsor types, summarised below (sub-sections 1.3.2.3 to 1.3.2.6). A research sponsor type is a group of sponsors that are similar in nature. It is not an individual research sponsor organisation.</p> <p>The word ‘sponsor’ is used in TRAC to denote the funder – external or internal.</p> <p>Where a Research project is funded by a consortium of organisations (public and non-public) the costs will need to be attributed proportionally between research sponsor types. Proxies could be used, e.g. attribution pro rata to the direct costs funded by each sponsor.</p> <p>However, where a research project is only partially funded by a sponsor and the remainder is institution own-funded, all of the academic time is attributed to the research sponsor type represented by the external sponsor through the time allocation process. However, the costs are allocated pro-rata to the external sponsor and institution own-funded categories. Academic time is only attributed to institution own-funded if there is no external sponsor of that project.</p>
1.3.2.3	<p><b>Institution own-funded</b> – This covers work that is not carried out to the direction of an external sponsor (the work may or may not be on specific research projects).</p> <p>The work could be funded through Funding Council block grant or other initiatives, or from an institution’s general income (e.g. interest, endowments, or surpluses from other activities).</p> <p>It could include speculative ‘blue skies’ research undertaken to investigate the potential of ideas before preparing grant or contract bids; or for publication. It must be expected to lead to an external research output (publication, conference presentation, etc.). If this research is done primarily in support of teaching, it is classified as CPD/Scholarship and is allocated to support for teaching.</p>
1.3.2.4	<p><b>Postgraduate research (PGR)</b> – This covers the training and supervision of PGR students including training in research methodology, review of drafts and preparation of theses, and external examining. The costs include:</p> <ul style="list-style-type: none"> <li>• scholarships and bursaries (a direct cost of Research);</li> <li>• any other direct costs incurred by the institution on behalf of PGR students (e.g. travel and subsistence, consumables, stipends);</li> <li>• the indirect costs and estates costs associated with the PGRs themselves;</li> <li>• the time of the supervisor in PGR training and development</li> <li>• the indirect costs and estates costs associated with this supervision time.</li> </ul>

1.3.2.5	<p><b>External research grants and contracts:</b></p> <ul style="list-style-type: none"> <li>• Research Councils, as defined in the HESA Finance Statistics Return guidance.</li> <li>• OGDs: UK central government bodies / local authorities, health and hospital authorities, as defined in the HESA Finance Statistics Return guidance.</li> <li>• European Union (EU) government bodies: research grant and contract income from all government bodies operating in the EU, including the European Commission, as defined under Column 8 in Table 5 of the HESA Finance Statistics Return guidance.</li> <li>• Charities: UK-based charities. (This is irrespective of their classification or recognition in any Research funding method operated by a Funding Council.)</li> <li>• Industry: all other organisations, including (as defined by the HESA in the Finance Statistics Return guidance): <ul style="list-style-type: none"> <li>– EU-based charities, EU industry and EU other;</li> </ul> </li> </ul>
	<ul style="list-style-type: none"> <li>– UK industry, commerce and public corporations;</li> <li>– other overseas – non-EU-charities, non-EU-industry and non-EU-other (other than those specifically mentioned above);</li> <li>– other sources.</li> </ul>
1.3.2.6	<p><b>Recurrent research income from the Funding Councils – the eighth category.</b> No costs are recorded against this category.</p>



### 1.3.3 Other

1.3.3.1	<p><b>Other (income-generating activity) (O)</b> is a core activity. It relates to activities that generate income or could potentially generate income.</p> <p>It comprises:</p> <ul style="list-style-type: none"><li>• consultancy that is contracted to the institution and carried out during institution time, including advisory work, journal editing and feasibility studies;</li><li>• other services rendered, including routine testing and non-research clinical trials (i.e. activities not covered under the definition of Research in the Frascati Manual);</li><li>• work carried out through trading/commercial companies that is not teaching or research;</li><li>• technology transfer work if remunerated through the institution (e.g. directorships of start-up companies and/or consultancy contracts for the companies) – if it is not remunerated then it should be categorised as Support to Other;</li><li>• outreach (where the outreach activity is not teaching or research);</li></ul> <p>As well as the costs of academic time, costs attributable to Other activities include:</p> <ul style="list-style-type: none"><li>• residences, catering and conferences;</li><li>• goods or services sold to students, staff or external customers. These might include printing or reprographics;</li><li>• trading activities including non-Teaching and non-Research activities in commercial companies, spin-outs (subsidiaries), retail services such as shops.</li></ul>
1.3.3.2	<p><b>Other (Clinical Services) (O(CS))</b>– a sub-category of Other used by institutions with medical or dental schools.</p> <p>It includes services provided to the NHS under knock-for-knock arrangements by academic departments of clinical medicine and dentistry (to be reattributed to T, R, O and S).</p>

## 1.3.4 Support

1.3.4.1	<p><b>Support (S)</b> is not a core activity. It is carried out in support of the three core activities of T, R and O.</p> <p>Support time is often categorised into several areas to assist both in the recording of the academic staff time and its subsequent allocation (as part of indirect costs) to T, R and O.</p> <p>Five areas of Support are described below: Support for Teaching, Support for Research, Support for Other, general management or institutional Support, and scholarship/professional development.</p>
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1.3.4.3	<p><b>Support for Research</b> includes:</p> <ul style="list-style-type: none"><li>• drafting and redrafting proposals for new work and supporting bids to external bodies (where bids involve a significant amount of speculative research, that element can be attributed to institution own-funded Research);</li><li>• quality assurance;</li></ul>
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	<ul style="list-style-type: none"><li>• peer review;</li><li>• refereeing papers;</li><li>• publicity for research facilities and opportunities.</li></ul> <p>Again this might also include scholarship/professional development and other Support to Research (which are covered below) such as:</p> <ul style="list-style-type: none"><li>• advancement of knowledge and related skills which directly contribute to the academic's research work;</li><li>• unpaid work advising government departments or committees;</li><li>• unpaid work for professional bodies or agencies in relation to research matters;</li><li>• institute and academic department committee work supporting Research;</li><li>• blocks of time in other institutions on research exchange schemes.</li></ul>
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1.3.4.4	<p><b>Support for Other</b> includes:</p> <ul style="list-style-type: none"><li>• drafting and re-drafting proposals for new work and supporting bids to external bodies for consultancy and other services rendered (where bids involve a significant amount of speculative research, that element can be attributed to institution own-funded R);</li><li>• negotiating contract terms and conditions with external bodies;</li><li>• technology transfer work that is not private, nor undertaken commercially by the institution (e.g. supporting patent applications, licence negotiations, formation of start-up companies).</li></ul>
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## Supporting Research Activity: A **Staff Charter** for Edinburgh Napier

### Purpose of the Charter

Research is central to building our academic reputation. Our vision as a University is to double our research income against 2014 levels. We recognise that it is our staff who will achieve this ambition and that it's important we create an environment in which our academics can be successful (including those who are in the early stages of their career or who have recently joined the University) by ensuring that they have good quality research time available to achieve their research goals. The purpose of this Charter is to set out what an Edinburgh Napier academic should expect from the University, and what is expected of them in return.

### What you can expect

#### Clear expectations

Your line manager will agree objectives at the beginning of the academic year, including your research goals, and will review these on a regular basis.<sup>1</sup>

#### Outputs based allocations

Research time will be allocated on the basis of research goals and outputs so those who are contributing most to research output commensurate with their career stage will be given priority when research time is being allocated.

#### Uninterrupted research time

We recognise the value of having sizeable chunks of uninterrupted time available for research so that academics can maintain focus and momentum. As far as possible, Schools will provide blocks of time available for research as part of the normal timetable. Applications for Research Sabbatical Leave will be considered in an equitable and transparent manner in line with the University Research Sabbatical Leave Policy. Priority consideration will be given to ECRs and new staff along with those academics who have a track record of successfully delivering against their research goals.

#### Support for personal development

All academic staff will have an individual learning and development plan to support their career development. This may include the opportunity to participate in events and conferences which are relevant to their research interests. Support to present papers at conferences will be forthcoming when agreed in advance and where the cost justifies the quality of the research output.

The Research & Innovation Office (RIO) can also provide support and guidance on appropriate funding streams, in completing funding applications and development sessions on how to write research grants. A formal mentoring scheme is also being developed<sup>2</sup> providing every member of academic staff the opportunity to have a mentor. In addition staff will be aligned with a research group within their school to support sharing of knowledge and practice.

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<sup>1</sup> This should be part of a long term (e.g. 5 year) research plan

<sup>2</sup> Expected to be in place for academic year 2017/18

## **New Starts and Early Career Researchers**

In their first year of employment at Edinburgh Napier, new members of staff will be allocated time to settle into their role and focus on building their research profile. Leadership responsibilities (e.g. programme leader) will not normally be allocated to Early Career Researchers (ECRs) in their first year of employment. Teaching workloads for ECRs will be limited in their first year of employment and are expected to increase incrementally up to the norm for the School as teaching capability and confidence increases. Schools should also provide continuity in teaching responsibilities, for example assigning the same modules during the first years of an ECR's career and limiting the number of different modules in any one year.

All new staff should have a structured induction programme provided by their line manager. ECRs will be allocated a buddy in their first year and will also have the opportunity to join a formal mentoring programme.

## **What we expect of you**

### **Research goals**

As part of the University's *My Contribution* process<sup>3</sup> all academic staff are expected to prepare and maintain a long term research plan and set interim milestones and research outputs. Setting out your expected research outputs and milestones aids self-motivation and helps others see where they might be able to offer help.

### **Research Culture**

Our research culture depends on the contribution of individuals to the University. Academics are expected to contribute in a variety of ways including giving research seminars, hosting visiting researchers, mentoring less experienced colleagues, undertaking public engagement, contributing to peer review, building external networks, supervising research degree students and contributing to research leadership through University committees.

### **Collaborative working**

Working collaboratively with colleagues on sharing workloads is a key part of creating quality research time. Taking on additional responsibilities in one semester can free you up later in the year to focus on your own research. Academic staff are encouraged to be outward looking and to actively seek collaborations with national and international partners.

### **Funding opportunities**

Be proactive in developing research proposals for external funding in a timely manner to allow time for peer review feedback to be incorporated.

### **Conference papers**

Giving presentations and submitting papers at conferences is an important part of building your academic profile. You should ensure that there is funding available for you to attend the conference prior to committing to deliver a paper or presentation.

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<sup>3</sup> My Contribution is the formal process in which individual objectives are agreed and reviewed on an annual basis and personal development and career plans are also documented and reviewed at regular intervals.

## **Career development**

It's important to take responsibility for your own career development and proactively seek opportunities which will develop your learning and build up your skills as an academic. This includes engaging with the development support available such as that provided by RIO (see above).



# Academic Appointment & Promotions Framework

## Table of Contents

<u>Introduction from Senior Vice-Principal</u>	<u>3</u>
<u>Academic Career Development</u>	<u>4</u>
<u>Levels of achievement</u>	<u>5</u>
<u>Criteria for each Appointment and Promotion pathway</u>	<u>6</u>

For more information, visit <http://staff.napier.ac.uk/academiccareer>  
or email [humanresources@napier.ac.uk](mailto:humanresources@napier.ac.uk)

**Version 07:** March 2018

**Strategy 2020: Building Success** is ambitious for our staff and students, placing the academic growth of the University at its heart. It articulates our vision of becoming *“an enterprising and innovative community, renowned internationally, with an unrivalled student learning experience”* and sets out four key objectives:

- **To grow our academic reputation**
- **To deliver an excellent, personalised student experience**
- **To build innovation, enterprise and citizenship**
- **To internationalise our work**

Success in delivering this strategy will come from our staff, working in a context in which expectations are clear, with innovation and leadership actively encouraged.

The Academic Appointments and Promotions Framework described in this booklet was adopted in January 2015 following a period of widespread consultation and is a key element in creating that context for academic success. The framework is aligned to the priorities and objectives of Strategy 2020, providing well-defined progression pathways for academic staff that recognise and value individual achievement and contribution. The framework should encourage, attract and reward academic staff who share the goals and ambition expressed in Strategy 2020.

The promotions framework is benchmarked against other leading Universities and describes four distinct, but inter-related, pathways for academic career progression from Lecturer (Grade 6) to Professor (Grades 8-10), including an Associate Professor profile (Grade 7). These four pathways (Research, Learning & Teaching, Professional Practice and Enterprise) share the underpinning principle that promoted staff should be at the leading edge of their academic disciplines and influencing relevant communities. All of the promotion pathways also have an expectation of active leadership and capacity building within the University. This will link individual success to a wider responsibility for community building and academic growth within the University, sharing achievement with colleagues and students.

Professor Alistair Sambell

Senior Vice-Principal & Deputy Vice-Chancellor



Four promotion pathways based on academic achievement have been defined for progression to Associate Professor (Grade 7) and Professor levels 1 – 3 (Grades 8 – 10):

- **Research**
- **Learning and Teaching**
- **Enterprise**
- **Professional Practice**

Criteria for each of the promotion and award of title pathways are defined in terms of:

- **Esteem**  
Academic Profile – recognition of national and international reputation.  
Public Engagement – press and media, events and exhibitions and public liaison.
- **Innovation and Impact**  
Contribution to Knowledge – publication, presentation and performance or exhibitions.  
Impact – demonstrable influence on practice, performance, knowledge, products or public policy.
- **Contribution**  
Income Generation – sustained grants, external funding and business growth.  
Institutional Citizenship – collaboration with colleagues, active contribution to the successful operation of the University, committee and working group engagement.
- **Academic Leadership**  
Leadership – building formal and informal teams and communities of practice within the University.  
Successful Management – managing teams, projects and resources.  
Capacity Building – mentoring staff, postgraduate research supervision, diversification of University activity.

You will be expected to demonstrate some evidence against each of the specific criteria relevant to your chosen pathway. The panel will exercise balanced academic judgement as to the overall profile and level of achievement.

	Esteem	Innovation & Impact	Contribution	Academic Leadership
<p><b>Lecturer (grade 6)</b> Evidenced achievement against the criteria for Esteem, Innovation, Contribution and Academic Leadership.</p>	Profile that demonstrates at least national standing.	Record of outputs in terms of originality, significance and rigour.	Contribution to generation of external income.  Engagement with relevant communities internally and potentially externally.	Providing leadership and support to colleagues within the University, for example as Module Leader or Programme Leader of a small/medium programme.
<p><b>Associate Professor (grade 7)</b> Evidenced achievement against the criteria for national reputation.</p>	Profile that demonstrates at least national standing and some international engagement.	Sustained record of outputs of international quality in terms of originality, significance and rigour.	Generation of external income.  Engagement with relevant communities internally and externally.	Providing leadership and support to colleagues within the University, for example as Programme Leader of a major programme.
<p><b>Professor Level 1 (grade 8)</b> Emerging international reputation and sustained excellent performance.</p>	<p>Developing international reputation as a leader in the field.</p> <p>Leadership positions or awards at national and increasingly international levels, for example, research or professional forums, national/international bodies.</p> <p>Raising profile of the University at the highest national or international levels (for example awards and invitations).</p>	<p>Sustained track record of outputs of quality which are internationally excellent.</p> <p>Demonstrable impact of scholarship on users, for example: high citations and references to contribution, honours by external institutions, development and exploitation of intellectual property.</p>	<p>A track record of securing external funding and support for research activity (as Principal Investigator or key contributor).</p> <p>Track record of networking and collaboration within the university.</p> <p>Leadership in relation to management, support and development of postgraduate research students.</p>	<p>Reputation for supporting, mentoring and bringing on other members of staff in area of scholarship, including Early Career Researchers.</p> <p>School or faculty level leadership and engagement with University wide groups, committees and projects.</p> <p>Responsibility for organising and deploying resources within area of responsibility.</p>
<p><b>Professor Level 2 (grade 9)</b> Considerable academic distinction and ongoing excellent performance with an established international reputation for academic leadership.</p>	<p>International distinction with high level awards and invitations.</p> <p>Evidence of international reputation as a leader in the field.</p>	Work and outputs demonstrating high levels of impact in user groups and academic community.	<p>An established track record of securing external funding and support for research activity (as Principal Investigator or key contributor).*</p> <p>An established track record of networking and collaboration groups within the university.</p>	<p>Influencing and shaping institutional policies and strategy and/or leadership of University wide projects, committees and initiatives.</p> <p>Substantial initiative in leading, developing and supporting colleagues and building of crossinstitutional teams at national and possibly international levels.</p> <p>Responsibility for organising and deploying resources within large projects or area of work.</p>
<p><b>Professor Level 3 (grade 10)</b> Excellent academic distinction internationally with a leading reputation for shaping the relevant field of study.</p>	<p>Significant and sustained international reputation e.g. awards (prizes of international high order).</p> <p>Influencing national and/or international policy makers.</p>	Evidence of reputation as academically excellent in the field with outputs that are recognised as outstanding at an international level in terms of originality, significance and rigour and work that has significant impact outside the University.	<p>Sustained and substantial income generation track record.*</p> <p>Identifying new opportunities, initiating new and original solutions and approaches within the University.</p>	<p>Advising University Leadership on relevant policy matters and influencing institutional decisions.</p> <p>Creating sustainable teams of communities of practice in relevant area, including developing less experienced staff in leadership roles.</p>

\*Funding level should be referenced to UK median for subject area (HESA data).

## Research

## Esteem

## Innovation & Impact

## Contribution

## Academic Leadership

Evidence would be expected to show:

**E1** Indicators of standing in academic community such as: member/ fellow of professional and subject specific bodies and societies; awards and prizes; conference organising committees; editorial boards and editorships; prestigious visiting appointments; research degree examining; grant awarding committees; peer review of promotion applications.

**E2** Dissemination of research findings at national and international level; invited key-note speaker at other UK universities and international conferences.

**E3** Peer review of journal publications in a subject area and associated fields; book proposals and grant applications for major national or international funding bodies; chairing at national and international conferences.

**I1** Track record of scholarly output which includes a significant contribution to at least 4 papers in the most recent 6 year period which are likely to achieve an average rating of 3\* (REF equivalent, judged against current criteria), and with none of these below 2\*. (A substantial monograph may substitute for two publications.)

**I2** Demonstrable growing impact of research on users, for example: high citations, honours by external institutions, references to work by others, recognised contribution to society and the economy; development and exploitation of intellectual property.

**I3** Leading the development of new programmes and activity built upon research, for example: Knowledge Exchange, Consultancy, CPD or postgraduate provision.

**C1** A sustained track record of securing external funding and support for research activity as Principal Investigator, institutional lead or key contributor.

**C2** Successful delivery of externally funded projects.

**C3** Substantial record of networking and collaboration within the university.

**C4** Integrating research into teaching to enhance the student experience.

**C5** Excellent standard of personal teaching performance at various levels, as evidenced by student feedback, module satisfaction scores, programme and module evaluations, HEA accreditation.

**C6** Leadership in the management, support and development of research students.

**C7** Serving on relevant school or University committees and groups.

**AL1** Supporting, mentoring and bringing on other members of staff in research area, including Early Career Researchers, to build capacity and capability.

**AL2** Successful supervision of postgraduate and doctoral students to completion.

**AL3** Management of specific research projects with evidence of achieving deliverables.

**AL4** Leading capacity building initiatives and staff development activity and a track record in mentoring or management of staff.

**AL5** Major contribution to Subject / School / strategic planning or policy development.

**AL6** Contribution to the University international profile through the leadership and development of successful research or teaching partnerships.

## Learning & Teaching

## Esteem

## Innovation & Impact

## Contribution

## Academic Leadership

Evidence would be expected to show:

**E1** Nationally recognised expertise on relevant aspect of learning and teaching in Higher Education with excellent reputation for contribution to improving student learning as evidenced through, for example, awards and prizes; membership of editorial boards and conference organising committees; visiting scholar and keynote invitations; external examining; national HE policy making forums.

**E2** National or international external invitations in relation to learning, teaching and assessment developments, such as: QAA reviewer, professional body accreditation; external review events.

**E3** Significant contribution to national networks to support disciplinary and/or generic improvements in the quality of learning and teaching.

**E4** Dissemination of pedagogical initiatives at a national and international level.

**I1** Sustained record of high-quality outputs relating to pedagogic innovation and /or disciplinary research that has informed teaching at national or international level (including conference peer reviewed and journal publications or textbooks/ textbook chapters, guidance on learning and teaching such as QAA, HEA reports/ guidance).

**I2** Sustained track-record of contribution to the enhancement of student learning via pedagogic innovation (e.g. in assessment, student engagement, work-related learning, online learning, student retention, graduate employability), evidenced by external examiner's report, improved student recruitment and satisfaction, and improved employability rates.

**I3** Evidence of influence and impact in the subject group, school and externally.

**I4** Engagement in, and leadership of, national initiatives to support disciplinary and/or generic improvements in the quality of learning and teaching (for example through professional bodies, QAA or HEA enhancement networks).

**I5** Integration of research with teaching and learning evidenced through e.g. peer review, external examiner comments.

**C1** Evidence of obtaining external funding for teaching related research or the development of teaching, learning or assessment (e.g. JISC, HEA, QAA, SFC/ HEFCE).

**C2** Design and developing new programmes and curricula contributing to the sustained growth of the student population, new income streams and/ or outstanding student feedback and improved employability.

**C3** Excellent standard of personal teaching performance at various levels, as evidenced by student feedback, module satisfaction scores, programme and module evaluations, external examiner comments, HEA accreditation.

**C4** Sustained and strategic engagement with student body (e.g. Students' Association) to enhance the student learning experience.

**C5** Demonstrable influence on University learning and teaching practice with improvement in the student experience.

**C6** Serving on relevant school or University committees and groups.

**AL1** Mentoring and supporting academic and teaching-related staff.

**AL2** Leading capacity building initiatives to enhance learning and teaching practice, including (for example) staff development.

**AL3** Track record of successful supervision of postgraduate research students and/or students for professional qualifications.

**AL4** Successful track record of leading a team within the University e.g. programme leadership evidenced, for example, by good programme NSS scores.

**AL5** Supporting others in the development of research into learning and teaching.

**AL6** Major contribution to Subject/School strategic planning or policy development.

**AL7** Contribution to the University international profile through the leadership and development of educational partnerships.



Evidence would be expected to show:	Enterprise	Esteem	Innovation & Impact	Contribution	Academic Leadership
	<p><b>E1</b> Record of success in knowledge transfer to demonstrably improve the performance of business, commerce or industry.</p> <p><b>E2</b> High standing in relevant national professional organisations.</p> <p><b>E3</b> Active relationships with external bodies or organisations, for example as invited advisory roles and membership of appropriate boards.</p> <p><b>E4</b> Contribution to the development of policies and practice in the relevant sector.</p> <p><b>E5</b> Major strategic contribution to enhancing the status of the University in enterprise and innovation.</p> <p><b>E6</b> Raising the profile of the University through significant public events or communication of research results to external audiences and bodies.</p>	<p><b>I1</b> Track record of outputs either academic or enterprise related at national and international level (journal papers, conferences publications, books).</p> <p><b>I2</b> Development of new working relationships with business or other external partners for mutual benefit of the University and external organisation.</p> <p><b>I3</b> Introduction of new partners to the University in line with strategic ambitions.</p> <p><b>I4</b> Discoveries, inventions, patents, exploitation of Intellectual Property Rights and other outputs from entrepreneurial and commercial activities that lead (or are likely to lead) to benefit for the University or society.</p> <p><b>I5</b> Leading contribution to the advancement of knowledge transfer at national or international level.</p> <p><b>I6</b> Establishing relevant networks or interest groups.</p> <p><b>I7</b> Communication of research results to corporate, professional, community and public bodies, leading to changes in practice and policy.</p>	<p><b>C1</b> Track record of securing external funding leading to business growth and significant new (profitable) income streams for the University.</p> <p><b>C2</b> Application of knowledge to improve corporate and /or public sector performance and quality of life by informing practice, public policy and government and/ or through partnership with the voluntary sector, or the cultural and heritage sector.</p> <p><b>C3</b> Linking enterprise to the curricula, enhancing engagement of employers with students and the curricula and development of work related opportunities for students.</p> <p><b>C4</b> Excellent standard of personal teaching performance at various levels, as evidenced by student feedback, module satisfaction scores, programme and module evaluations, HEA accreditation.</p> <p><b>C5</b> Influencing and shaping University policy and process to ensure effective mechanisms are developed for enterprise activity.</p> <p><b>C6</b> Serving on relevant school or University committees and groups.</p>	<p><b>AL1</b> Successful delivery of enterprise-related projects.</p> <p><b>AL2</b> Leadership in the design and delivery of enterprise or “applied” projects, such as knowledge exchange with industry, consultancy services, training or CPD activities.</p> <p><b>AL3</b> Effective mentoring of colleagues, developing the skills base in enterprise activity.</p> <p><b>AL4</b> Successful track record of leading a team within the University e.g. programme leadership evidenced, for example, by good programme NSS scores.</p> <p><b>AL5</b> Track record of successful supervision of postgraduate research students and / or students for professional qualifications.</p> <p><b>AL6</b> Leading capacity building initiatives and staff development activity.</p> <p><b>AL7</b> Collaboration with, and influencing of, colleagues within the University in the development of enterprise activity.</p>	

## Professional Practice

## Esteem

## Innovation & Impact

## Contribution

## Academic Leadership

Evidence would be expected to show:

**E1** Indicators of standing in the professional community such as: membership or fellowship of professional or subject specific bodies or learned societies; awards and prizes; conference organising committees; editorial boards, grant awarding committees prestigious visiting appointments; consultant or advisor to government or professional bodies at national or international level.

**E2** Excellent reputation as an intellectual leader within the relevant profession as evidenced by: awards, invited talks, appointment as external expert; service on advisory boards, national and international organisations and agencies; contribution to policy development or implementation.

**E3** Raising the profile of the University through significant public events or communication of research results to external audiences and bodies.

**I1** Track record of high quality relevant outputs at national or international level (peer reviewed journal papers, conferences publications, books/chapters, creative works, performances).

**I2** Other forms of externally recognised professional practice of a standing equivalent to regular publication of original research.

**I3** Evidence of changing professional practice or thinking within the profession, including beyond the education sector.

**I4** Influence on national policy debates within the field.

**I5** Development of new working relationships with external partners for the mutual benefit of the University and partners.

**I6** Developing new ways of engaging students in professional practice, through innovative curricula design or teaching.

**C1** Generation of external funding for scholarly work.

**C2** Evidence of influencing policy or practice within the discipline external to Higher Education.

**C3** Demonstrable commitment to public engagement.

**C4** Linking professional practice to the curricula, enhancing engagement of employers with students and the curricula.

**C5** Excellent standard of personal teaching performance at various levels, as evidenced by student feedback, module satisfaction scores, programme and module evaluations, HEA accreditation.

**C6** Development of practice related, work based or volunteering opportunities for students.

**C7** Influencing and shaping University policy and practice to enhance engagement with external communities and practitioners.

**C8** Collaboration with, and influencing of, colleagues within the University in the development of professional activities.

**C9** Serving on relevant school or University committees and groups.

**AL1** Leadership and mentoring of colleagues in developing professional networks, activities and profile.

**AL2** Successful track record of leading a team within the University e.g. programme leadership evidenced, for example, by good programme NSS scores.

**AL3** Effective engagement with and mentoring of, colleagues.

**AL4** Influencing strategy and policy development within the School or wider University.

**AL5** Track record of successful supervision of postgraduate research students and/or students for professional qualifications.

**AL6** Leading capacity building initiatives and staff development activity and evidence of continuous improvement of training programmes.

**AL7** Leadership in embedding and implementing evidence based practice in the professional discipline.

For more information, visit <http://staff.napier.ac.uk/academiccareer>  
or email [humanresources@napier.ac.uk](mailto:humanresources@napier.ac.uk)

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**Subject:** Letter to staff confirming “Significant Responsibility for Research” status.

**From:** Dean of School

**Distribution:** to be sent to all Category A staff including those on maternity leave and other types of absence

**Timing:** following comms from Dean of R&I

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## Version 1: Staff deemed to have SSR

Dear {name},

### REF 2021

As you may be aware the funding bodies have decided that all staff with “significant responsibility for research” (SRR) must be included in the next REF exercise. Individual institutions are required to develop a Code of Practice which identifies these staff in a fair, consistent and transparent way. We have been consulting on our own Code of Practice since June last year and tested our initial criteria in the mini-REF exercise in September 2018. Following that exercise and further consultation with staff, the University has decided that the fairest and most open approach in which to define SRR is as follows:

*All Category A eligible staff<sup>1</sup> members on a teaching and research contract, who have normally received a research allowance of at least 0.2FTE per year with associated research objectives (pro rata for part-time staff or minimum of 0.1FTE).*

Selection for submission to REF is based ONLY on whether or not you meet these criteria.

Having considered your situation, we anticipate that you will meet the criteria for having significant responsibility for research as defined above, and that you will therefore be included in the REF 2021 exercise.

If we do not hear from you, it will be assumed you agree with this decision.

If you think this outcome is incorrect or have any concerns please speak to the School Director of Research [enter name] in the first instance. If you are still not satisfied with the outcome you will have the right to appeal. Details for the appeals process can be found in Part 2.3 of the Code of Practice<sup>2</sup>.

The REF recognises that there may be special circumstances that have impacted the volume of your research outputs<sup>3</sup>. Therefore staff who have been deemed to have significant responsibility for research and who think they may qualify for mitigation may complete a [declaration form](#) describing their individual circumstances. This is a voluntary process and staff do not have to complete and return the form if they do not wish to do so. Any circumstances returned will be considered to determine if either an individual should be exempt from the minimum of one output or if the UoA should be allowed a reduction in the number of outputs to be returned.

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<sup>1</sup> Category A eligible’ describes staff meeting core eligibility criteria, who will form the total pool of eligible staff. Building on the definition of Category A staff in REF 2014, ‘Category A eligible’ staff will be defined as academic staff with a contract of employment of 0.2 full-time equivalent (FTE) or greater, on the payroll of the submitting institution on the census date, whose primary employment function is to undertake either ‘research only’ or ‘teaching and research’. Staff should have a substantive connection with the submitting institution. For staff on ‘research only’ contracts, the eligible pool should only include those who are independent researchers, and not research assistants.

<sup>2</sup> See Code of Practice Part 2.3 Appeals <sup>3</sup>see [https://staffworkplace.napier.ac.uk/Services/rio/research-policy-guidelines/Research%20%20Innovation/REF2021%20-%20Code%20of%20Practice/REF2021\\_CoP\\_FINAL\\_APPROVED%20MAY%202019\\_APPENDICES.pdf](https://staffworkplace.napier.ac.uk/Services/rio/research-policy-guidelines/Research%20%20Innovation/REF2021%20-%20Code%20of%20Practice/REF2021_CoP_FINAL_APPROVED%20MAY%202019_APPENDICES.pdf) Part 4.3 Staff Circumstances, URL: [https://staffworkplace.napier.ac.uk/Services/rio/research-policy-guidelines/Research%20%20Innovation/REF2021%20-%20Code%20of%20Practice/REF2021\\_CoP\\_FINAL\\_APPROVED%20MAY%202019\\_APPENDICES.pdf](https://staffworkplace.napier.ac.uk/Services/rio/research-policy-guidelines/Research%20%20Innovation/REF2021%20-%20Code%20of%20Practice/REF2021_CoP_FINAL_APPROVED%20MAY%202019_APPENDICES.pdf)

If you have any questions regarding your status as significantly responsible for research, please don't hesitate to get in touch with me.

Regards,

[enter name]

Dean of School

**Subject:** Letter to staff confirming “Independent Researcher” status.

**From:** Dean of School

**Distribution:** to be sent to all Category A staff including those on maternity leave and other types of absence

**Timing:** following comms from Dean of R&I

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## Version 1: Staff deemed to be an Independent Researcher

Dear {name},

### REF 2021

As you may be aware the funding bodies have decided that all staff with “significant responsibility for research” (SSR) should be included in the next REF exercise. Staff employed on ‘research only’ contracts must be independent researchers to be returned in the REF2021 submission. For the purposes of the REF, an independent researcher is defined as:

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

Individual institutions are required to develop a Code of Practice which identifies such staff in a fair, consistent and transparent way. We have been consulting on our own Code of Practice since June last year and tested it in the mini-REF exercise in September 2018. Following that exercise and further consultation with staff, the University has decided that the fairest and most open approach in defining independent researchers, is for any member of staff on a research only contract at Grade 6 or above who meets **any one of the following criteria**:

1. leading or acting as principal investigator or equivalent on a substantial externally funded research project
2. holding an independently won, competitively awarded fellowship where research independence is a requirement
3. leading a research group or substantial or specialised research work package

Selection for submission to REF is based ONLY on whether or not you meet these criteria.

Having considered your situation, we anticipate you will meet the criteria of being an independent researcher as defined above, and that you will therefore be included in the next REF exercise.

If we do not hear from you, it will be assumed you agree with this decision.

If you think this outcome is incorrect or have any concerns please speak to your School Director of Research [enter name] in the first instance. If you are still not satisfied with the outcome you will have the right to appeal. Details for the appeals process can be found in Part 2.3 of the Code of Practice<sup>1</sup>.

The Code of Practice recognises that there may be special circumstances that have impacted the volume of your research outputs<sup>2</sup>. Staff who have been deemed to be independent researchers and who think they may qualify for mitigation may complete a [declaration form](#) (attached to this letter) describing their individual circumstances. This is a voluntary process and staff do not have to complete and return the form if they do not wish to do so. Any circumstances returned will be considered to determine either if an individual should be

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<sup>1</sup> See Code of Practice Part 2.3 Appeals URL: [https://staffworkplace.napier.ac.uk/Services/rio/research-policy-guidelines/Research%20%20Innovation/REF2021%20-%20Code%20of%20Practice/REF2021\\_CoP\\_FINAL\\_APPROVED%20MAY%202019\\_APPENDICES.pdf](https://staffworkplace.napier.ac.uk/Services/rio/research-policy-guidelines/Research%20%20Innovation/REF2021%20-%20Code%20of%20Practice/REF2021_CoP_FINAL_APPROVED%20MAY%202019_APPENDICES.pdf)

<sup>2</sup> see Code of Practice Part 4.3 Staff Circumstances, URL: [https://staffworkplace.napier.ac.uk/Services/rio/research-policy-guidelines/Research%20%20Innovation/REF2021%20-%20Code%20of%20Practice/Napier\\_REF2021%20Draft%20CoP%20v.14.pdf](https://staffworkplace.napier.ac.uk/Services/rio/research-policy-guidelines/Research%20%20Innovation/REF2021%20-%20Code%20of%20Practice/Napier_REF2021%20Draft%20CoP%20v.14.pdf)

exempt from the minimum of one output or if the UoA should be allowed a reduction in the number of outputs to be returned.

If you have any questions regarding your status as an independent researcher, please don't hesitate to get in touch with me.

Regards,

[enter name]

Dean of School

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## Declaration of Individual Staff Circumstances

This document is being sent to all Category A<sup>1</sup> staff who have been deemed significantly responsible for research or an independent researcher and whose outputs are eligible for submission to REF2021 (see [‘Guidance on submissions’](#), paragraphs 117-122). As part of the University’s commitment to supporting equality and diversity in REF, we have put in place confidential and supportive structures for staff to declare information about any equality-related circumstances that may have affected their ability to research productively during the assessment period (1 January 2014 – 31 July 2020), and particularly their ability to produce research outputs at the same rate as staff not affected by circumstances. The purpose of collecting this information is threefold:

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

### Applicable circumstances

- Qualifying as an ECR (started career as an independent researcher on or after 1 August 2016)
- Absence from work due to secondments or career breaks outside the HE sector
- Qualifying periods of family-related leave
- Junior clinical academics who have not gained a Certificate of Completion of training by 31 July 2020
- Disability (including chronic conditions)
- Ill health, injury or mental health conditions
- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment

If your ability to research productively during the assessment period has been constrained due to one or more of the following circumstances, you are requested to complete the attached form and

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<sup>1</sup> Category A eligible’ describes staff meeting core eligibility criteria, who will form the total pool of eligible staff. Building on the definition of Category A staff in REF 2014, ‘Category A eligible’ staff will be defined as academic staff with a contract of employment of 0.2 full-time equivalent (FTE) or greater, on the payroll of the submitting institution on the census date, whose primary employment function is to undertake either ‘research only’ or ‘teaching and research’. Staff should have a substantive connection with the submitting institution. For staff on ‘research only’ contracts, the eligible pool should only include those who are independent researchers, and not research assistants

return to [Sandrine Flower](#) in HR by Monday 2<sup>nd</sup> December 2019. Further information can be found in paragraph 160 of the Guidance on Submissions (REF 2019/01).

Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. This form is the only means by which the University will be gathering this information; we will not be consulting HR records, contract start dates, etc. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

### **Ensuring Confidentiality**

The details you provide will be held securely by HR and assessed by HR colleagues against the REF applicable circumstances. HR will inform the Vice-Principal of Research & Innovation of the total amount of time associated with any declared circumstances for each member of staff. The Vice-Principal of Research and Innovation will then determine if any reductions should be requested for any individual or UoA. . All staff circumstances will be considered in the same way to ensure consistency. If the University decides to apply to the funding bodies for either form of reduction of outputs (removal of 'minimum of one' requirement or unit circumstances), we will need to provide UK Research and Innovation (UKRI) with data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see the '[Guidance on submissions](#)' document (paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted.

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

### **Changes in circumstances**

The university recognises that staff circumstances may change between completion of the declaration form and the census date (31 July 2020). If this is the case, then staff should contact [Sandrine Flower](#) in HR to provide the updated information.

### Declaration of Staff Circumstances

**Name:** Click here to insert text.

**Department:** Click here to insert text.

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

Yes

No

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

Circumstance	Time period affected
<p><b>Early Career Researcher (started career as an independent researcher on or after 1 August 2016).</b></p> <p><i>Date you became an early career researcher.</i></p>	<p>Click here to enter a date.</p>
<p><b>Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2020.</b></p>	<p>Tick here <input checked="" type="checkbox"/></p>
<p><b>Career break or secondment outside of the HE sector.</b></p> <p><i>Dates and durations in months.</i></p>	<p>Click here to enter text.</p>
<p><b>Family-related leave;</b></p> <ul style="list-style-type: none"> <li>• statutory maternity leave</li> <li>• statutory adoption leave</li> <li>• Additional paternity or adoption leave or shared parental leave lasting for four months or more.</li> </ul> <p><i>For each period of leave, state the nature of the leave taken and the dates and durations in months.</i></p>	<p>Click here to enter dates and durations.</p>
<p><b>Disability (including chronic conditions)</b></p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>





<p><b>Mental health condition</b></p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p><b>Ill health or injury</b></p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p><b>Constraints relating to family leave that fall outside of standard allowance</b></p> <p><i>To include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p><b>Caring responsibilities</b></p> <p><i>To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p><b>Gender reassignment</b></p> <p><i>To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	
<p><b>Any other exceptional reasons e.g. bereavement.</b></p> <p><i>To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>

Please confirm, by ticking the box provided, that:

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

I agree

**Name:** Print name here

**Signed:** Sign or initial here

**Date:** Insert date here

I give my permission for an HR partner to contact me to discuss my circumstances, and my requirements in relation this these.

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

I would like to be contacted by:

Email  Insert email address

Phone  Insert contact telephone number

Please send your completed form to [Sandrine Flower](#) in HR by Monday 2<sup>nd</sup> December 2019 (a reminder will be sent nearer the time).

## Annex F – Overview of REF2021 Decision Making Groups / Advisory Groups

Court	Governing body of the University
Academic Board (AB)	Responsible for the academic activity of the University. Approves the REF CoP on behalf of the University and its staff.
Research and Innovation Committee (RIC)	Sub-committee of AB, responsible for agreeing developments to the CoP, with delegated authority to sign off on the final CoP on behalf of Academic Board.
REF Steering Group	<b>Decision-Making:</b> Responsible for overseeing the University's optimal REF submission including the Units of Assessment submitted. Oversees decisions on SRR in adherence to CoP. Considers and endorses recommendations on circumstance reduction and responds to REF EIAs.
Vice-Principal R&I / Dean of R&I	Responsible for coordinating the University's Optimal REF submission.
Deans of School / School Directors of Research	<b>Decision-making:</b> Responsible for deciding individuals' workload allocation, research objectives and for establishing if individual meets status as SRR or independent researcher according to CoP.
UoA Leaders	<b>Advisory:</b> Responsible for coordinating and leading preparations for the Unit of Assessment submission. Responsible for assigning the final considered score to Output assessments. This group <b>does not</b> make decisions on SRR or Independence.
Output Moderation Panels	<b>Decision-Making:</b> Responsible for agreeing the final considered score assigned to each Output.
HR / Inclusion Team	<b>Advisory:</b> Responsible for conducting Equality Impact Assessments according to the University's REF EIA schedule. Responsible for managing, collating and making recommendations relating to the declaration of circumstances for reductions.
School Inclusion Monitoring Group	<b>Advisory:</b> Responsible for conducting EIAs on the Schools' allocation of workload. Considers the finding of the REF Equality Impact Assessments.
Appeals Panel	An independent group, responsible for considering staff appeals in accordance with the University's REF2021 appeals process.

## Academic Board

### Terms of Reference

The Academic Board has full delegated authority from the [Court](#) to exercise the powers set out in [Part C of Schedule 1 of the 1993 Order of Council](#) relating to the academic work of the University.

Accordingly, Academic Board is responsible for the overall planning, development and co-ordination of the academic work of the University. It approves, and monitors performance against, the University's Academic Strategy and ensures the quality and standards of the University's educational provision.

In performing its function the Academic Board will exercise the detailed powers set out in [Part C of Schedule 1 of the 1993 Order of Council](#) where appropriate.

#### **Quorum**

One third of the current membership, to include the Convener, or a designated Vice-Convener.

#### **Frequency of Meetings**

Four times per annum.

#### **Reporting Requirements**

The Chair of Court must receive the agenda in advance of each meeting.

The Court must receive the full minutes of each meeting.

#### **Current Sub-Committees**

See notes

#### **Working Groups**

None

### Constitution

#### *Student Representatives (4)*

The President of Edinburgh Napier Students' Association, or a sabbatical officer of ENSA nominated by the President

One student from each campus nominated by Edinburgh Napier Students' Association (3)

#### *Elected Members (20)*

Two members of academic staff elected by and from each School (12)

Two members elected by and from the Professoriate (2)

Two members elected by and from the School Academic Leads for Learning & Teaching (2)

Two members elected by and from the School Academic Leads for Research (2)

Two members elected by and from the School Academic Leads for Quality Enhancement (2)

#### *Ex-Officio (15)*

Principal & Vice-Chancellor (Convener)

Senior Vice-Principal (Deputy Vice Chancellor) (Vice-Convener)

Vice Principals, not exceeding 3 in number (3)

One Assistant Principal

Deans of School and the University, not exceeding 8 in number (8)

Senior Officer Responsible for Student Administration & Support

#### *In Attendance*

University Secretary

Senior Officer Responsible for Information Services

Secretary to the Academic Board

Any other officers, not exceeding 2 at any given meeting, as agreed by the Convener.

## Notes

The statutory instrument governing the University [The Napier University (Scotland) Order of Council 1993] requires the Court to appoint and maintain an Academic Board under the chairmanship of the Principal. Subject only to the maintenance of the power reserved to the Court to assume authority for particular functions, the statutory instrument determines that the Court shall delegate their whole function as set out in Part C of Schedule 1 of the statutory instrument to the Academic Board.

The Court determined at its meeting on 23 October 2000 that none of the powers formally delegated to the Academic Board should be reserved to the Court. Consequently, this shall be understood to be the meaning of the first item of the remit of the Academic Board.

However, this assumes a corresponding responsibility on the part of the Principal to bring matters of material significance to the institution to the attention of the Chair at the earliest practicable opportunity. The Chair shall then determine whether, when and in what form such matters should be communicated to the Court. One of the outcomes of the Review of Effectiveness of the Academic Board (accepted by Court in June 2006) was that Court will receive full minutes of each meeting of the Academic Board as a main item on its agenda.

At present Academic Board has the following Sub-Committees:

- Research & Innovation Committee
  - Research Degrees Committee
  - Research Integrity Committee
  - School Research & Innovation Committees (x6)
- Learning, Teaching & Assessment Committee
  - Quality & Standards Committee
  - Collaborative Provision Committee
  - School Learning, Teaching & Assessment Committees (x6)
- Student Experience Committee
- Academic Conduct Committee
- Fitness to Practise Panel

Approved by University Court: 18 June 2018

## Research & Innovation Committee

### Terms of Reference

**Purpose:** To oversee the University's activities in pursuit of the Research & Innovation strand of Academic Strategy 2020 covering all research and knowledge exchange activity, including commercialisation and postgraduate research.

#### Remit

1. To advise the Academic Board on the development and implementation of the Research & Innovation strategy and policy including research degree provision and CPD.
2. To promote the implementation of the University's R&I strategy.
3. To advise the Academic Board on the preparations for and monitoring of progress towards the Research Excellence Framework and similar research assessment exercises.
4. To review Schools' progress towards University Research and Innovation Targets and KPIs.
5. To monitor the volume and value of Research and Innovation activities on a School by School basis and University-wide.
6. To monitor the Resource Allocation Model with respect to Research & Innovation income streams across the University.
7. To consider the University's response to relevant external policy consultations and debates.
8. To monitor the development and motivation of staff in conducting Research & Innovation to build capacity and increase effectiveness.
9. To ensure that Schools are aware of developments in Research & Innovation policy and funding opportunities in the UK and EU.
10. To consider research degrees and researcher development issues presented by Research Degrees Committee.
11. To consider research integrity issues presented by Research Integrity Committee.
12. To monitor public engagement activity on a School by School basis and across the University.
13. To receive, through minutes and an annual report from its sub-committees, assurance as to the effective fulfilment of their remits.
14. To report routinely through Committee minutes and formally annually to Academic Board on the effectiveness of the Committee's oversight of the University's activities in pursuit of the Research & Innovation strand of Academic Strategy 2020

#### Constitution

Vice Principal (Deputy Vice Chancellor) (Convenor)  
School Academic Leads for Research

#### Quorum

One-third of the total membership (excluding co-options) which must include either the Convenor or a designated Vice-Convenor

#### Frequency of Meetings

Four per annum

#### Reporting Line

Academic Board

#### Current Sub-Committees

Research Degrees Committee  
Research Integrity Committee

#### Current Working Groups

To be commissioned as required.

#### Minutes

Copies of all minutes will be forwarded to the Academic Board. Minutes and papers will be held electronically by RIO.

#### Equality Issues

Those officers with responsibility for nominating or appointing members to the committee as prescribed by the constitution should, in doing so, have due regard to the desirability of achieving an equal balance of either gender within the committee's membership.

Senior Officer Responsible for Information Services Dean of Learning, Teaching & Assessment or nominee Convenor of University Research Degrees Committee Convenor of Research Integrity Committee A representative of RIO, nominated by the VP R&I Two Students from the Postgraduate Research Student Body, nominated by the Convenor Up to three additional academic staff members appointed by the Convenor In attendance: Clerk to the Committee	
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Approved by Academic Board 12 June 2015

<b>REF Steering Group</b>	
<b>Terms of Reference</b>	
<b>Role: Decision-Making</b>	
<b>Purpose:</b> The REF Steering Group is a <b>decision-making group</b> , responsible for formalising processes and overseeing preparations for final submission. The group is also responsible for the development and implementation of the Code of Practice.	
<p><b>Remit</b></p> <ol style="list-style-type: none"> <li>1) Monitor progress towards the University's submission to REF2021 including oversight of the REF 2021 timeline, key actions and milestones.</li> <li>2) Oversee the strategic development and management of the University's submission to REF2021 in line with the principles of Transparency, Consistency, Accountability and Inclusivity.</li> <li>3) Refer and respond to the guidance issued by the UK Joint funding councils on REF2021, to ensure the optimal submission for the University, in adherence to the final panel criteria and guidance on submission.</li> <li>4) Identify and manage the risk register relating to the University's REF2021 submission.</li> <li>5) Assist in developing, implementing and ensuring adherence to the University's policies and procedures for: <ol style="list-style-type: none"> <li>a. <i>the fair and transparent identification of staff with significant responsibility for research.</i></li> <li>b. <i>determining who is an independent researcher</i></li> <li>c. <i>and the selection of outputs.</i></li> </ol> </li> <li>6) Assist in developing and monitoring the appeals process and declaration of circumstances.</li> <li>7) Review recommendations on requests for individual or Unit reductions based on circumstances in line with the guidance provided by the Joint UK funding councils.</li> <li>8) Ensure all staff involved in advisory and decision-making roles in REF2021 are fully aware of the Code of Practice and relevant legislation, notably the Equality Act (2010).</li> <li>9) Oversee the decisions of the Deans and Directors of Research relating to significant responsibility for research and research independence in accordance to the agreed CoP criteria.</li> <li>10) Devise and approve a communication plan to ensure that all staff (including those absent from work) are aware and informed of the University's REF2021 Strategy and CoP.</li> </ol>	<p><b>Quorum</b> One-third of the total membership which must include the Convenor or a designated Vice-Convenor</p> <p><b>Frequency of meetings</b> Every 4-6 weeks from November 2018 to December 2020</p> <p><b>Minutes</b> Minutes and papers will be held electronically by RIO on a designated Sharepoint site</p> <p><b>Equality Issues</b> Those officers with responsibility for appointing members to the committee as prescribed by the constitution should, in doing so, have due regard to the desirability of achieving a representative balance of diversity</p> <p><b>Training</b> All members receive bespoke REF2021 E&amp;D training</p> <p><b>Reporting</b> Work of the Steering Group will be reported to the</p>



<p>11) Receive reports on UoA progression / Mini-REF updates and provide feedback on draft submissions, including Impact and Environment narratives.</p> <p>12) Provide knowledge of broader institutional policies and strategies that support Equality and Diversity in the context of REF2021.</p> <p>13) Receive and respond to all Equality Impact Assessments relating to the University's REF Code of Practice and the final REF2021 submission.</p> <p>14) Receive and respond to EIA reports from the School Inclusion Monitoring Group in the context workload allocation.</p> <p>15) Submit regular reports to the Research and Innovation Committee on the work of the Group and the progress of the University's planning and preparations for REF 2021.</p>	<p>Research and Innovation Committee</p> <p><b>Appointment</b> Appointed by the Senior Vice-Principal, to ensure a wide breadth of input, spanning a range of strategic areas relating to the preparation of a final REF submission.</p> <p>The group is constituted of senior members of staff with collective experience of overseeing large-scale, University-wide or sector-wide strategic projects.</p>
<p><b>Constitution</b></p> <ul style="list-style-type: none"> <li>• Vice-Principal Research and Innovation – <i>Chair and responsible for REF Submission</i></li> <li>• Senior Vice Principal – <i>ULT representative, HESA returns</i></li> <li>• Prof Lead - <i>Research Environment</i></li> <li>• Prof Lead - <i>Impact</i></li> <li>• Head of HR Engagement - <i>HR Matters including HR Connect data, Academic Workload, Union consultation, Inclusion</i></li> <li>• One x School Director of Research and UoA Leader Representative</li> <li>• One Research and Innovation Committee representative/ (<i>Prof lead for Research Development</i>)</li> <li>• One representative from Library and Information Service – <i>Open Access Policy</i></li> <li>• Research Policy Officer – Clerk</li> </ul>	

<b>UoA Leaders Group</b>	
<b>Role: Advisory</b>	
<b>Purpose:</b> To support the VP of Research and Innovation in providing REF-related management, coordination and leadership across the University. It also acts as the main forum for REF operational discussions including the development and implementation of the Code of Practice.	
<p><b>Remit</b></p> <ol style="list-style-type: none"> <li>1) Oversee the UoA preparation and final submission to REF2021 (Outputs, Impact and Environment) in accordance to the Guidance on Submissions and Sub-Panel Criteria and Working Methods.</li> <li>2) Assist in developing and implementing the University's policies and procedures for: <ol style="list-style-type: none"> <li>a. <i>the fair and transparent identification of staff with significant responsibility for research.</i></li> <li>b. <i>determining who is an independent researcher</i></li> <li>c. <i>and the selection of outputs.</i></li> </ol> </li> <li>3) Adhere to and comply with the University's REF2021 Project Plan and associated deadlines.</li> <li>4) Assist the School Director of Research in the coordination of output assessment / scoring in accordance with the processes agreed in the University's Code of Practice for selection of outputs. Assign the final considered score to Outputs following moderation panel discussions.</li> <li>5) Oversee the development of UoA Impact case studies and Environment narratives.</li> <li>6) Make recommendations relating to specific elements of the UoA submission to promote optimal submission for the University (Impact case studies / Environment narrative).</li> <li>7) Assist the Director of Research in communicating the University's REF2021 Code of Practice.</li> <li>8) Maintain, manage and interrogate relevant UoA data within the REF module in the University's Research Information Management System (Worktribe)</li> <li>9) Assist the School Director of Research in the management of Open Access compliance within the required thresholds.</li> <li>10) Lead the coordination and implementation of the UoA moderation panel for the purpose of Output scoring.</li> <li>11) Develop and implement UoA specific action plans in response to internal mini-REF recommendations.</li> </ol>	<p><b>Quorum</b> One-third of the total membership which must include the Convenor or a designated Vice-Convenor</p> <p><b>Frequency of meetings</b> Monthly/ every 6 weeks</p> <p><b>Minutes</b> Minutes and papers will be held electronically by RIO</p> <p><b>Equality Issues</b> Those officers with responsibility or appointing members to the committee as prescribed by the constitution should, in doing so, have due regard to the desirability of achieving a representative balance of diversity.</p> <p><b>Training</b> All members receive bespoke REF2021 E&amp;D training</p> <p><b>Reporting</b> UoA Leaders report to School Directors of Research.</p> <p>Work of the UoA Leaders group is</p>

	<p>reported to the Research and Innovation Committee and REF Steering Group.</p> <p><b>Appointment</b> Appointed by the Dean of Research and Innovation.</p> <p>Recruited from experienced staff who self-nominated for selection for the role, based on their research assessment experience, local knowledge of research outputs and interest in being involved in the project.</p>
<p><b>Constitution</b></p> <ul style="list-style-type: none"> <li>• VP of Research and Innovation (Chair)</li> <li>• School Directors of Research x six</li> <li>• Unit of Assessment Leaders</li> <li>• Professorial Lead for REF Impact</li> <li>• Professorial Lead for REF Environment</li> <li>• Professorial lead for Research Leadership</li> <li>• School Research and Innovation Officers (In attendance)</li> <li>• Leader for Research Information Management (In attendance)</li> <li>• Research Policy Officer (Clerk)</li> </ul>	

<b>UoA Output Moderation Panel</b>	
<b>Role: Advisory</b>	
<b>Purpose:</b> To agree the final considered Output score attributed to each Output for the purpose of Output selection, based on the scores received through the internal; institutional and external scoring rounds.	
<b>Remit</b> <ol style="list-style-type: none"> <li>1) Consider the Output scores obtained in stages 1 to 3 (self; institution and external) to agree a final considered score.</li> <li>2) Ensure consistency in approach to scoring across the UoA, avoiding bias by sub-discipline.</li> <li>3) Use collective academic judgement to agree a final considered score based on knowledge of the relevant sub-panel criteria and on the basis of Originality; Significance and Rigor.</li> <li>4) Agree requests for double weighting.</li> </ol>	<b>Frequency of meetings</b> Six monthly  <b>Minutes</b> Decisions are recorded and held centrally in RIO.  <b>Equality Issues</b> Due regard to the desirability of achieving a representative balance of diversity
<b>Constitution</b> <ul style="list-style-type: none"> <li>• VP of Research and Innovation (<i>Oversee consistency in approach across all UoAs</i>)</li> <li>• UoA Leader</li> <li>• School Director of Research</li> <li>• Minimum 1 x external (<i>increase to cover range of disciplines if necessary</i>)</li> <li>• 1 x internal</li> </ul>	<b>Reporting</b> The work of the moderation panel will be reported to the REF Steering Group  <b>Appointment</b> Appointed by the UoA leader with approval from the VP Research and Innovation and Dean of R&I  Recruited from experienced staff, on the basis of their collective research assessment experience and knowledge of the research discipline.

<b>School Inclusion Monitoring Group</b>	
<b>Role: Advisory</b>	
<p><b>Purpose:</b> To oversee the implementation of University processes in each of the Schools from an Equality and Diversity perspective.</p> <p>To review workload across the School from an equality and diversity perspective, to ensure equal and appropriate opportunities for staff in the School.</p>	
<p><b>Remit</b></p> <ol style="list-style-type: none"> <li>1) Oversee the implementation of processes in Schools from an E&amp;D perspective</li> <li>2) Undertake analysis of protected characteristic data</li> <li>3) Undertaking Equality Impact Assessments (EIA) for specific purposes (such as REF)</li> <li>4) Scrutinise EIAs from the School</li> <li>5) Report to relevant higher-level School and University Committees as appropriate</li> <li>6) Ensure that reasonable adjustments are being accommodated and in a consistent manner</li> </ol>	<p><b>Equality Issues</b> Due regard to the desirability of achieving a representative balance of diversity</p> <p><b>Training</b> All members receive bespoke REF2021 E&amp;D training.</p> <p><b>Reporting</b> The work of the School Inclusion Groups (in a REF context) is reported to the REF Steering Group</p>
<ul style="list-style-type: none"> <li>• 1 x member of the self-assessment team</li> <li>• 1 x Athena Swan champion,</li> <li>• School Director of Research</li> <li>• School Academic Lead for Learning and Teaching</li> <li>• 1 x member of recruitment team</li> <li>• 1 x retention lead</li> </ul>	

**EDINBURGH NAPIER UNIVERSITY**

**Research Excellence Framework 2021 – Appeals Process**

**REF2021 Appeals Panel Remit:**

- Oversee the REF2021 appeals process
- Ensure that REF2021 appeals are considered before the final submission is made
- Consider REF2021 appeals from staff after they have received written feedback on the reasons behind REF2021 submission decisions in accordance with the established criteria as outlined in the University's REF2021 Code of Practice for:
  - *Identifying staff with a significant responsibility for research.*
  - *Determining research independence.*
- Undertake an Equality Assessment on the work of the Panel
- Ensure that the appellant receives a decision on the outcome of their appeal, from a panel member and in writing, no later than two weeks after the meeting

**Membership:**

- Secretary of the University (Chair)
- Vice-Principal L&T
- Senior HR person
- One external representative
- REF Policy Officer (Clerk)

**Appointment Process:**

Appointed by the Senior Vice-Principal based on:

- The Group's independence from earlier decision processes about identifying staff
- The Group's collective knowledge and judgement to apply approved criteria

**Period of Appointment:**

1 March 2019 to 31 December 2020

## **REF 2021 – Staff Appeals Process:**

### **Purpose**

This process is for members of staff who wish to appeal, after they have received formal written feedback, on the reasons behind REF2021 submission decisions in accordance with the established criteria as outlined in the University's REF2021 Code of Practice for:

- identifying staff with a significant responsibility for research.
- determining research independence.

### **Background**

Each institution making a submission to REF2021 is required to develop, document and apply a [Code of Practice](#) on the fair and transparent:

- i. identification of staff with significant responsibility for research, as agreed with staff (where a University is not submitting 100% of Category A eligible staff<sup>1</sup>)
- ii. identification of independent researcher
- iii. selection of outputs for submission

The University is required to ensure that REF procedures do not discriminate unlawfully against, or otherwise have the effect of harassing or victimising individuals from protected characteristics (because of age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex or sexual orientation or because they are pregnant or have recently given birth).

The Code of Practice has been developed based on the [REF 2021 Guidance on Submissions and the guidance given](#) by the [Joint UK Funding Councils on the Code of Practice](#).

This Appeals Process forms part of the Code of Practice which will be approved by the Joint UK Funding Councils.

### **Appeals Process**

We would hope to resolve any issues that staff might have relating to the identification of staff with significant responsibility for research; the allocation of research time and the

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<sup>1</sup> 'Category A eligible' describes staff meeting core eligibility criteria, who will form the total pool of eligible staff. Building on the definition of Category A staff in REF 2014, 'Category A eligible' staff will be defined as academic staff with a contract of employment of 0.2 full-time equivalent (FTE) or greater, on the payroll of the submitting institution on the census date, whose primary employment function is to undertake either 'research only' or 'teaching and research'. Staff should have a substantive connection with the submitting institution. For staff on 'research only' contracts, the eligible pool should only include those who are independent researchers, and not research assistants.

determination of independent researcher, through informal discussion. Staff will be encouraged to speak with their line manager, School Director of Research and Dean, before submitting a formal appeal.

If still dissatisfied, staff have the right to appeal directly to the University REF Appeals Panel through the agreed appeals process.

Staff wishing to appeal must submit to the Appeals Process by completing the **Appeals Form (Appendix A)**.

Appeals may be made at the following stages:

Area of appeal	Timescale	Contact Person for Informal Discussion
Significant Responsibility for Research.	After receipt of formal notification from Dean of School. From April 2019 onwards.	Director of Research / Dean of School
Research Independence.	After receipt of formal notification from Dean of School. From April 2019 onwards.	Director of Research / Dean of School

The Appeals Panel will meet as follows:

27<sup>th</sup> May 2019

26<sup>th</sup> September 2019

11<sup>th</sup> February 2020

20<sup>th</sup> May 2020

The Appeals Form should be submitted to [REFCodeofPractice@napier.ac.uk](mailto:REFCodeofPractice@napier.ac.uk) three weeks prior to the Appeals Panel meeting date.

The REF Appeals Panel will convene and consider the evidence in support of the appeal.

The individual will be offered the opportunity of a meeting with the Panel at which the staff member may be accompanied by someone of their choice.

After hearing all the evidence, the Panel will invite the appellant and those in attendance to leave the meeting.

The Panel will then make its decision in closed session. This will be communicated to the appellant by a member of the panel and in writing, within two weeks of the panel meeting.



## Grounds for Appeal

Grounds for appeal are expected to fall within one of the following categories, as follows:

1. Exclusion on personal protected characteristics based on the REF 2021 Guidance on Submissions and the guidance given by the [Joint UK Funding Councils on the Code of Practice](#), relating to age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex, sexual orientation, pregnancy or recently given birth.
2. Failure to take into account fully the impact of work pattern or absence according to the [guidance given by the Joint UK Funding Councils on the Code of Practice](#).
3. Inappropriate application of the criteria of the Code of Practice.
4. Inappropriate application of the criteria as set out in the [REF 2021 Guidance on Submissions](#) and [Panel Criteria and Working Methods](#).

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

1. Disagreement with the approved criteria in the CoP for identification of staff with significant responsibility for research or research independence
2. Validity or standing of the University's final judgements concerning output quality
3. Allocation of individual's research outputs to a specific UoA
4. Allocation of research outputs to individuals on the basis of the minimum one and maximum four output quota, based on the Worktribe automated algorithm

**Appendix A  
REF 2021 Appeals Form**

<b>A. Name</b>	
<b>B. School</b>	
<b>C. Unit of Assessment</b>	
<b>D. Grounds for Appeal</b>	
<b>E. Case for Appeal</b> (500 words maximum) Please state why you wish to appeal and provide any evidence to support your claim.	
Signed (applicant):	
<b>F. Recommendation of Appeal Panel</b>	
<b>G. Reasons for Decision</b>	
<b>Signed (Chair)</b>	

## Promotions Framework for Research Staff

Level	Esteem / profile	Innovation and Impact	Contribution	Academic Leadership
RESEARCH ASSISTANT (Grade 4)	<p><b>E1</b> Evidence of presenting information on research progress and outcomes to relevant stakeholders.</p> <p><b>E2</b> Evidence of having given research seminars internally or externally.</p>	<p><b>I1</b> Evidence of developing relevant contacts and good working relationships to support future collaborations</p> <p><b>I2</b> Evidence of contributing to research reports or publications.</p>	<p><b>C1</b> Evidence of contributing to the successful completion of research projects.</p>	<p><b>AL1</b> Evidence of supporting students undertaking research projects</p> <p><b>AL2</b> Evidence of integrity in research activities.</p>
RESEARCH FELLOW (Grade 5)	<p><b>E1</b> Evidence of disseminating research results as appropriate to the discipline e.g. through conference posters and presentations.</p> <p><b>E2</b> Membership of relevant professional bodies.</p> <p><b>E3</b> Evidence of involvement in peer review of research outputs.</p>	<p><b>I1</b> Evidence of developing effective internal and external networks for knowledge exchange and or public engagement and future collaborations and for identifying sources of funding.</p> <p><b>I2</b> Evidence of publishing research in high quality publications.</p>	<p><b>C1</b> Experience of identifying sources of funding and evidence of contributing to the securing of research funding.</p> <p><b>C2</b> Contribution to preparation of successful funding proposals and applications to external bodies.</p>	<p><b>AL1</b> Disseminates knowledge of research advances to inform departmental teaching.</p> <p><b>AL2</b> Evidence of supporting assessments and supervision of student projects. Provide advice on research project skills.</p> <p><b>AL3</b> Collaboration with academic colleagues on areas of shared research interests.</p> <p><b>AL4</b> Evidence of integrity in research activities.</p>

Level	Esteem / profile	Innovation and Impact	Contribution	Academic Leadership
<p><b>SENIOR RESEARCH FELLOW</b> (Grade 6)</p>	<p><b>E1</b> Evidence of disseminating research results as appropriate to the discipline. e.g. conferences, sector workshops.</p> <p><b>E2</b> Evidence of a developing national profile such as: awards of prizes/ fellowships; honours by external bodies in recognition of research, e.g. best conference paper award; patent/prototype attained; invited to company/other HE institution to deliver seminars; membership of relevant committees; invited to provide expertise to external organisations / government bodies.</p> <p><b>E3</b> Evidence of peer reviewing e.g. for conferences or journals.</p>	<p><b>I1</b> Track record of published research in high quality publications.</p> <p><b>I2</b> Track record of independently and collaboratively conducting research</p> <p><b>I3</b> Evidence of developing impact, knowledge exchange and or public engagement activities by, for example, establishing research links with industry and influencing public policy and the professional bodies or other external beneficiaries.</p>	<p><b>C1</b> Success in obtaining research funding, and/or collaboration in significant research projects as Principal and/or Co-Investigator.</p> <p><b>C2</b> Evidence of contributing to School and/or University committees and groups.</p> <p><b>C3</b> Evidence of contributing to the research culture and environment of the School and University.</p>	<p><b>AL1</b> Evidence of postgraduate research supervision.</p> <p><b>AL2</b> Evidence of leading research projects including the development of research objectives, projects and outputs from the research.</p> <p><b>AL3</b> Evidence of leading junior research staff providing direction, support and guidance to staff, research students and colleagues.</p> <p><b>AL4</b> Evidence of involvement of researcher development.</p> <p><b>AL5</b> Track record of integrity embedded in research activities.</p>

<p>PRINCIPAL RESEARCH FELLOW</p> <p>(Grade 7)</p>	<p>E1 Evidence of disseminating research results as appropriate to the discipline. e.g. Invited speaker at conferences, sector workshops, invited talks.</p> <p>E2 National reputation, evidenced by a broad range of the following: awards of prizes/ fellowships; honours by external bodies in recognition of research, e.g. best conference paper award; patent/prototype attained; invited to company/other HE institution to deliver seminars; significant highly cited paper/s; invitations to present papers at national/international conferences; invitations to referee or review publications; invited to provide expertise to external organisations / government bodies.</p> <p>E3 Membership of conference programme committees; editorial board of journals or other external bodies.</p>	<p>I1 Sustained track record of published research in high quality publications.</p> <p>I2 Track record of conducting nationally significant research including the development of significant and high valued research objectives, projects and proposals for both individual and collaborative research.</p> <p>I3 Evidence of leading the development of impact, knowledge exchange and or public engagement activities by, for example, establishing research links with industry and influencing public policy and the professions or other external beneficiaries.</p> <p>I4 Generate new research approaches and contribute to the development of research strategies.</p>	<p>C1 Track record of securing significant research funding as Principal Investigator and successfully managing research grant/s awarded.</p> <p>C2 Serving on relevant School and University groups and committees.</p> <p>C3 Evidence of leading activity contributing to the research culture and environment of the School and University.</p>	<p>AL1 Evidence of successful postgraduate research supervision</p> <p>AL2 Track record of leading research teams and successful research projects, providing leadership and guidance to staff, research students and colleagues.</p> <p>AL3 Evidence of leading and developing internal and external networks of researchers and leading thinkers in the field to foster research collaborations.</p> <p>AL4 Responsibility for the research integrity in research groups and large projects.</p> <p>AL5 Leading on a researcher development initiative.</p>
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## Guidance for Employees and Managers

### Supporting staff with Reasonable Adjustments

**Reasonable adjustment** may be required from time to time due to individuals declaring that they have a disability as covered by the Equality Act 2010. Adjustment may also be required in a number of other situations such as when someone returns from long term sickness, maternity, secondments to other roles or other factors that may impact expected performance within a role.

It is important to ensure that each individual case is considered in a fair, transparent and consistent manner and when required support from the HR team is sought.

Reasonable adjustments are wide-ranging and may be agreed on a permanent, occasional or temporary basis. The following are examples of the types of adjustments that may be considered:

#### **Adjusting the duties or responsibilities of a role**

For a period of time the employee may be unable to undertake a limited number of duties associated with their role. Where the changes are minor and do not substantially affect the role it may be possible to distribute work elsewhere so that the employee can continue in their current role. However, where adjustments to the role are significant, a discussion regarding the impact should take place. It should be noted that it may not be possible to accommodate these.

#### **Provision of specialist equipment or auxiliary aids**

This may include modifying existing equipment or providing new equipment that will help the employee fulfil their role, for example providing a specialist chair for an employee who is experiencing back, neck or shoulder pain, an ergonomic keyboard for an employee with arthritis, modifying instructions by providing them in large print or braille and installing voice activated software for an employee who has been diagnosed as dyslexic.

#### **Premises**

Making changes to the physical nature of the workplace, such as access, lighting or temperature. Or it may mean doing things in a different way, e.g. allowing someone with social anxiety disorder to have their own desk instead of hot-desking.

#### **Training**

Providing appropriate or additional training, mentoring, supervision etc. that the employee may require to fulfil their role.

#### **Working hours or arrangements**

This might range from allowing the employee to start work earlier or later in the day to ease travel, or allow for medications, to changing working hours or patterns more significantly if this can be accommodated.

#### **Phased return to work**

Phased returns can help to facilitate a return to work following a prolonged period of absence.

Each case will be considered on its own merits, taking a holistic view of the most reasonable and appropriate adjustments for the employee, whilst considering the needs of the University. When the

manager is determining whether or not an adjustment is reasonable and proportionate, consideration may be given to the following:

- ☑ The extent that the adjustment will benefit the employee and prevent the disadvantage;
- ☑ The practicality of the adjustment and any health and safety considerations;
- ☑ Resource implications - cost of making the adjustment and available resources;
- ☑ The extent to which an adjustment will cause operational disruption.

When a reasonable adjustment is agreed, the manager should record the agreement and resulting support that has been put in place. The information should be shared with HR so that details of the agreed adjustments can be recorded in the employee's file. The manager should undertake regular reviews of the provision (at least every 12 months) with the employee to ensure that the support provided continues to be the most appropriate for their condition. These discussions should be noted as well.

☑ The **appendix** contains a **template disability reasonable adjustments agreement**.

It is helpful if the employee informs their manager if there are any changes which may affect their work, or if any reasonable adjustments are no longer working anymore.

In order to ensure consistency of approach, if there is a change in reporting line, the employee should discuss the arrangements with their new line manager. Wherever possible, it can be helpful to have a meeting with the employee, their current manager and new manager.

Over time, changes at the University may necessitate alterations to any adjustments that are in place. If this happens, this should be discussed with the employee to explore the impact of any proposed change/removal of an adjustment and discuss the options that are available.

In some cases, it may not be possible for adjustments to be made and the reasons for this should be explained to the employee. It may be that alternative options can be explored and tested to see if they have an impact.

It is also worth noting that funding for adjustments due to a disability may be available through [Access to Work](#).

### Further Support

Various sources of support and information is available to help people

- ☑ [Employees who are members of the Educational Institute of Scotland \(EIS\) or UNISON can receive support and advice from their trade union representative.](#)
- ☑ [Employee Assistance Programme](#) is a confidential external wellbeing service that provides emotional, practical and physical support across a wide range of areas for all employees to access.
- ☑ [Occupational Health provides information about potential support measures that could be considered to support an employee with a disability in the workplace.](#)
- ☑ [Equality Act 2010](#) – we ensure consideration and decisions are made in accordance with this Act.

- ☞ Detailed definitions of a disability are set out in Appendix 1 of the [Equality and Human Rights commission statutory code of practice](#) and [HM Government document Equality Act 2010 Guidance](#).
- ☞ [Access to Work](#) is a government organisation attached to Job Centre Plus. They can help employees if their health or disability affects the way they do their job.
- ☞ [Capability Scotland provides care, support and education for people with a disability](#).
- ☞ [Inclusion Scotland](#) aim to achieve positive changes to policy and practice so that people with a disability are fully included throughout all Scottish society as equal citizens.
- ☞ [Disability Information Scotland](#) help to guide people through the maze of disability information.
- ☞ [Disability Confident](#) is a scheme designed to help employers recruit and retain people with disability.
- ☞ [Macmillan Cancer Support provides support](#) and information for people who have cancer.
- ☞ [Mind](#) provides support to people who are experiencing a mental health problem.
- ☞ [ME Association](#) provides support and information for anyone who is suffering from ME.
- ☞ [MS Society](#) provides support and information for anyone who is suffering from MS.
- ☞ [Asthma UK](#) provides support and information for people with asthma.
- ☞ [RNIB](#) provides support for people who are suffering from sight loss.
- ☞ [Action on Hearing Loss](#) provides support for people who are suffering from hearing loss.

## Appendix - Reasonable Adjustments Agreement

Employee & Manager Details			
<b>Employee name:</b>	Employee name	<b>Role:</b>	Role
<b>School/Service:</b>	School/Service	<b>Manager name:</b>	Manager name
Purpose of the Agreement			
<p>This is a record of reasonable adjustments agreed between an employee with a disability and their manager. The purpose of this agreement is to:</p> <ul style="list-style-type: none"> <li>☞ Ensure that both the employee and the University have an accurate record of what has been agreed.</li> <li>☞ Minimise the need to renegotiate reasonable adjustments if the employee changes role or is assigned a new manager;</li> <li>☞ Provide the employee and their manager with the basis for discussions about reasonable adjustments at future meetings.</li> </ul> <p>This agreement should be reviewed, and may be amended as necessary:</p>			



- ☑ at any regular one-to-one meeting;
- ☑ at a return-to-work meeting following a period of sickness absence;
- ☑ at a mid or end-of-year review discussion;
- ☑ before a change of role, duties, location, working hours or way of working;
- ☑ before or after a change in circumstances for the employee or the University.

#### Details of the Employee's Disability

How the employee's disability impacts them at work

#### Agreed Reasonable Adjustments

Adjustment	Date implemented	End date (if applicable)

<b>Employee Declaration</b>	
<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> The above details are correct.</li> <li><input checked="" type="checkbox"/> I will let my manager know if there are any changes to my condition that have an effect on my work and/or if the agreed adjustments are not working.</li> <li><input checked="" type="checkbox"/> A copy of this form may only be given to a new manager with my consent.</li> </ul>	
<b>Employee's Signature and Date:</b>	Employee Signature and Date
<b>Manager's Signature and Date</b>	Manager Signature and Date
For details on how personal data is processed, please view the <a href="#">Staff Privacy Notice</a>	

### Supporting Research Activity: Significantly Responsible for Research

#### Background – Research Excellence Framework 2021

The Research Excellence Framework (REF) is the system used for assessing the quality of research in UK higher education institutions (HEIs).

Each institution making a submission to REF2021 is required to develop, document and apply a **Code of Practice** (CoP) on the fair and transparent:

- i. identification of staff with significant responsibility for research, as agreed with staff (where a University is not submitting 100% of Category A eligible staff)
- ii. determining research independence
- iii. selection of Outputs for submission

The University's Code of Practice is available to access [here](#)

#### What does it mean to be Significantly Responsible for Research?

Staff with significant responsibility for research (SRR) are those for whom:

***Explicit time and resources are made available, to actively engage in independent research, and that it is an expectation of their job role.***

The University's criteria for determining significant responsibility for research is: All Category A eligible staff members on a teaching and research contract, who have normally received a **research allowance of at least 0.2FTE** per FTE per year with **associated research objectives** (pro rata for part-time staff or minimum of 0.1FTE, whichever is greatest).

#### Research objectives for SRR staff

The University's ['allocating research time'](#) policy outlines the process for requesting and agreeing an allowance of research time in exchange for delivering on research objectives. Each School has developed a local R&I plan with associated research objectives, which provide line of sight for individuals' objective setting.

The University's [Academic Appointment and Promotion Framework](#) outlines the expectations of staff on the research pathway, commensurate to grade.

When agreeing annual research objectives as part of the 'MyContribution' process, SRR staff should **refer to the criterion below**, as well as being informed by their School R&I plan.

Staff engaging in independent research are **expected to engage in a range of activities and behaviours**, which demonstrate significant responsibility for research.

#### Expectations of staff deemed SRR

##### Example SRR Research Objectives:

- **Applying for external research funding (with a demonstrable success record in due course)**
- **Successful delivery of externally funded projects**
- **Production of research outputs**
- **Supervising post graduate research students**
- **Disseminating research findings to national or international audiences**

- **Engaging in Public Engagement activities (Research)**
- **Generating impact from research**

In addition to delivering on a range of research objectives, SRR staff are also expected to demonstrate the University values – Professional, Ambitious, Innovative and Inclusive.

This includes exemplifying **Institutional Citizenship** by collaborating with colleagues, actively contributing to the successful operation of the University and engaging in relevant committee and working groups.

#### **Expected SRR Behaviours:**

- **Contribute to the research culture of the School, research group or centre:**
  - Attending and presenting at School/University/External research seminars
  - Mentoring and building capacity – Early Career Researchers
  - Contributing to relevant committees, working groups, forums
  - Engaging in peer assessment processes within the School and externally (grants and outputs)
  - Preparing and maintaining a personal 5-year research plan
  - Promoting research activity through Worktribe news and other public forums
  - Membership / fellowship of professional and subject specific bodies and societies
  - Building external networks
  - Engaging in personal learning and research development opportunities
  - Research Conference activity (e.g. conference organisation, programme chairing/committee)
  
- **Adhere to research policy, process and best practice:**
  - Maintaining an accurate current research profile in the University Research Information Management System – Worktribe
  - Adhering to Open Access Policy
  - Adhering to the Research Integrity and Research Degree Framework
  - Adhering to the Research Data Management policy
  - Utilising [www.findaPhD.com](http://www.findaPhD.com) to advertise for prospective research degree students
  - Engaging with REF processes, including scoring outputs

#### **What you can expect**

- **Clear expectations** - research objectives agreed at the beginning of the academic year
- **Uninterrupted research time** - as far as possible, Schools will provide blocks of time available for research as part of the normal timetable
- **Opportunities to apply for research sabbatical leave**
- **Support for personal training and development** – the University’s researcher development programme is designed to encompass all the skills and competencies required from an early career researcher to principal investigator through to professorship level. Researchers can access a series of events underpinned by the Vitae RDF
- **Professional research advice and support** – the Research and Innovation Office provides a range of dedicated support, assisting with all stages of research from

finding funding and writing proposals, through to managing research and communicating results

- **Access to research funding** – opportunities to apply for local research excellence grant funding and access to centrally co-ordinated funding initiatives
- **Opportunities to advertise a PhD studentship** – through the international advertising platform [www.findaphd.com](http://www.findaphd.com)

Useful links:

[Research Policies and Guidance](#)

[Staff Charter](#)

[Researcher Development](#)



Edinburgh Napier University

*Equality Impact Assessment  
REF2021 Code of Practice*

## Edinburgh Napier University – Equality Impact Assessment

<p><i>School/Service Area</i></p> <p><b>Research and Innovation Office</b></p>	<p><i>Date of Assessment</i></p> <p><b>February 2019</b></p>	<p><i>Name of the proposal to be assessed</i></p> <p><b>REF2021 Code of Practice: Stage 1 Analysis – Post Mini-REF (Staff analysis)</b></p>	<p><i>Person/s responsible for the assessment</i></p> <p><b>Research and Innovation Office and; HR Inclusion Team</b></p>
<p><i>Who was present at the EIA?</i></p> <p><b>Dean of R&amp;I Research Policy Officer Inclusivity partner (HR)</b></p>	<p><i>Is this a <b>new</b> or <b>existing</b> proposal?</i> New proposal</p> <p><b>New: REF2021 Code of Practice</b></p>		<p><i>When will this proposal be reviewed?</i></p> <p><b>Stage 1 – Post Mini-REF (Feb 2019) Stage 2 – Final CoP Submission (May 2019) Stage 3 – Monitoring (June 2020) Stage 4 – Post submission (December 2020)</b></p>



1. Briefly describe the aims, objectives and purpose of the Code of Practice.

The Joint UK funding councils require that each institution making a submission to REF2021 is required to develop, document and apply a **Code of Practice (CoP)** on the fair and transparent:

- i. identification of staff with significant responsibility for research, as agreed with staff (where a University is not submitting 100% of Category A eligible staff)
- ii. determining research independence
- iii. selecting Outputs for submission

The University is required to **ensure that REF procedures do not discriminate** unlawfully against, or otherwise have the effect of harassing or victimising individuals from protected characteristics (because of age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex or sexual orientation or because they are pregnant or have recently given birth).

The Code of Practice has been developed based on the REF 2021 Guidance on Submissions and the guidance given by the Joint UK Funding Councils on the Code of Practice. **The content has been driven by the principles of: Objectivity; Non-discrimination and Transparency.**

**Aims:**

The ultimate goal is to **ensure fairness in the University's REF2021 submission, adhering to the parameters of the REF guidance relating to staff and outputs.**

*achieved by:*

- Utilising Workload Allocation consistently across all Category A eligible staff in all UoAs to identify staff with Significant Responsibility for Research (0.2 FTE, per FTE per year (pro rata for P/T staff)
- Utilising the University's 'MyContribution' Personal Development Review process to agree and record research objectives
- Utilising the agreed three criteria for research independence, applied consistently, relative to the UoA/ discipline
- Utilising the University's Research Information Management System (Worktribe) automated algorithm for the selection of Outputs based on highest quality
- Ensuring that all those involved in decision-making, have received bespoke REF2021 E&D training.

<p>2. <i>Who is intended to benefit / who is affected from the Code of Practice and in what way?</i></p>	<p>The Code is <b>intended for all staff meeting the definition of Category A eligible</b> (<a href="#">p/g 117</a> Guidance on Submissions).</p> <p>The Code outlines the criteria which will be applied consistently to the Cat A eligible staff pool, to identify the Cat A submittable staff pool.</p> <p>The Code is <b>intended to benefit the Cat A eligible staff pool, by providing clear criteria</b>, applied consistently, <b>by which to identify those staff with Significant Responsibility for Research or Research Independence</b> and thus included in the submittable pool for REF2021.</p> <p>The Code also outlines the criteria and processes for <b>selection of Outputs</b> (based on the REF guidance relating to minimum and maximum requirements), <b>based on highest quality/ merit only</b> and it <b>provides a commitment to staff</b> that attributing more or less papers to an individual for the REF2021 submission, will not be seen as a reflection of the value placed on that individual's contribution to the research environment at Edinburgh Napier University.</p> <p>The Code of Practice also <b>benefits the University as a whole by having transparent criteria and processes in place, by which to ensure adherence to the REF guidance and rules on submission.</b></p>
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<p>3. <i>What outcomes are wanted from the Code of Practice?</i></p>	<p>The desired outcome from the Code of Practice is:</p> <p><b>To achieve submission of all staff with Significant Responsibility for Research and research independence and ensure that our REF procedures do not discriminate, harass or victimise individuals from a protected characteristic.</b></p> <p>Another desired outcome is <b>to achieve an optimal REF2021 submission</b> for the University, working within the parameters of the Framework.</p> <p>Desirable Outcomes:</p> <ul style="list-style-type: none"> <li>• Ensure that the University’s criteria and procedures, as outlined in the Code of Practice for the i. identification of staff with SRR, ii. Identification of independent researcher and iii. Selection of Outputs, <b>do not discriminate against any of the protected characteristics</b></li> <li>• Ensure that <b>the University’s criteria is applied fairly, equitably, transparently and consistently</b> across all REF Units of Assessment</li> <li>• Ensure that there is a <b>clear and appropriate process for declaring mitigation</b> (in line with the REF2021 guidance)</li> <li>• Ensuring there is a transparent, <b>independent appeals process</b> in place</li> <li>• Ensuring that those with role holders with responsibility for the application of REF2021 criteria are trained under a <b>bespoke programme of REF2021 Equality and Diversity training</b></li> </ul>
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4. How have you consulted on the Code of Practice including those from protected groups? What were their views?

Development of the Code of Practice has included a thorough **programme of institution-wide consultation** at various stages of development, including:

Open campus meetings on all three campuses, engagement with staff representative groups – Academic Union Representatives, consultation with the University Leadership Team, the University’s Research and Innovation Committee, Academic Board and the REF2021 Steering Group. Staff have also been invited to provide feedback through a dedicated REF2021 CoP email address.

**All reasonable attempts** have been made to publicise the Code of Practice to staff on leave or **working away from the University through means of communication familiar to them.**

Communications to **all staff via the ‘all staff’ email directory** and on the **staff intranet**, has ensured that staff from **across all of the protected groups** have been included in the communications and have had equal opportunity to feed into the consultation process. Similarly, the University Committees as referenced above are **constituted with due regard to a representative balance of diversity**, meaning **staff from across the protected groups** have been present at these Committees and involved in the development.

**Feedback on the development of the Code has been positive**, with staff signalling that they are in agreement with the criteria, working within the parameters outlined by the REF guidance and in light of the data sources available within the University.

In developing this Code of Practice, the institution has considered the content of the Edinburgh Napier REF2014 CoP, alongside the outcomes of the final Equality Impact Assessment, conducted post submission, which found the practices of selection in REF2014 to be fair and transparent.

Further, the University has **considered the report by the Equality and Diversity Advisory Panel (EDAP)** relating to good practice in REF2014, to inform the content of this the Code.

It is designed to **complement the University’s existing recruitment and staff development policies**, all of which have been subject to equality impact assessment and **which comply with the Equality Act 2010.**

5. What factors/forces could contribute/detract from the outcomes?

Factors which could **contribute / detract from the outcomes include:**

- An inclusive communication strategy, ensuring that all staff are aware of the content of the Code of Practice; how it is being implemented; and how it affects them
- A comprehensive E&D training programme for all role holders involved in the application of the Code, to ensure it is implemented consistently and with due regard for staff with protected characteristics
- Robust and consistent processes for allocating and recording Workload Allocation
- Robust and consistent processes for Objective setting at the Personal Development Review 'MyContribution'
- A clear (voluntary) process for the declaration of circumstances which may have affected research productivity in the period (for removal of the minimum one Output)
- A clear appeals process, which is independent to the decision-making process
- Effective School Equality Monitoring Groups in operation to analyse Workload allocation
- A robust scoring process to assess Output quality against the REF criteria
- An effective automated algorithm within Worktribe, which selects Outputs only on the basis of quality
- A commitment to staff that the volume of Outputs attributed for REF2021 is no reflection of the value that individual contributes to the research environment

6. Does this proposal have a positive impact on equality?  
What evidence is there to support this? Could it do more?

The Code has **been developed with consideration of factors which might affect staff from across the protected characteristic groups**. Recognition has been given to **staff working part time, with a fractional research allowance applied for these staff members**. Line managers are trained in **unconscious bias** and the University is committed to **implementing reasonable adjustments**, where appropriate.

**Data analysis** will be conducted at relevant stages in the preparation of the REF2021 submission, utilising data at key stages, **to evaluate if there is any evidence of any group/s of individuals being unfairly treated**.

The analysis **includes a list of identified actions** to be taken forward by the REF Steering Group or the University more broadly, in respect of other University policies which might warrant review based on the findings.

**Stage 1** – Initial screening on the criteria outlined in the REF2021 Code of Practice using data put forward to mini-REF2018 (conducted in September 2018) – Staff data

**Stage 2** – Screening on the criteria within the Code of Practice, following any final amendments to the code and based on issue of formal letters identifying staff as SRR or independent (to be conducted in May 2019) – Staff data

**Stage 3** – Monitoring prior to submission (June 2020) – Staff data and Output selection

**Stage 4** - Final EIA conducted post-submission (December 2020) – Staff and Outputs selection

**The relevant data analysis is provided below (where data allows):**

**Whilst the data is available by UoA, the data sets are too small to draw any meaningful conclusions. As such the EIA analysis is based on data relating to the University submission.**



Total Eligible Pool (Cat A staff) by Protected Characteristic **(558 People)**



Proportion of Cat A Staff deemed to be Submittable (SRR or Independent researcher) by Protected Characteristic **(304 People)**

7. Is it likely that the proposal **could** have a positive or negative impact due to gender (including pregnancy and maternity)? What evidence (either presumed or otherwise) do you have for this?

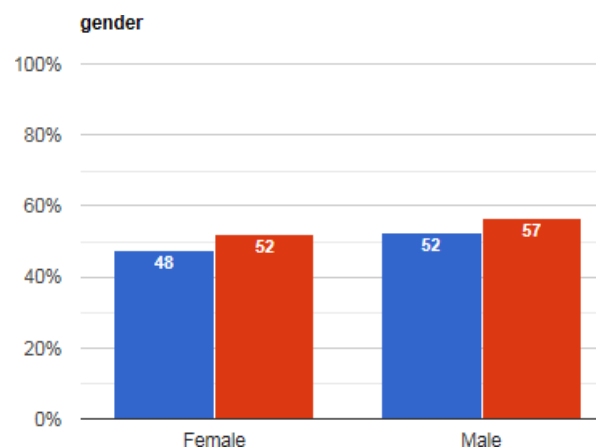
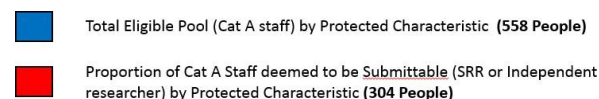
The Code should have no impact (positive or negative) due to gender, as the criteria is being applied consistently to all individuals.

All managers with responsibility for allocating research time take part in **unconscious bias training and bespoke REF E&D training** to avoid direct or indirect discrimination on the basis of any protected characteristics.

Whilst a higher proportion of female staff might be on fractional contracts, working part-time, **the CoP takes accounts for this by applying a fractional expectation** of research time allocation to identify SRR.

**NO**

### Stage 1 Screening: Gender Data as at September 2018 (Mini-REF 2018)



On application of the University's criteria for identification of SRR and Independent Researcher, the proportion of submittable staff Male to Female is 54%: 45%. This compares with a total Category A eligible pool of 52% to 48%.

This suggest that the profile of submittable staff is broadly reflective of the eligible pool, and that there is **no evidence of negative impact due to gender, when applying the criteria.**

57% of eligible Male staff are submittable according to the criteria, compared with 52% of the Female eligible pool. **The variances in proportions are minor and suggests that there is no gender bias in the application of the criteria.**

**ACTION: Present EIA findings to the University Gender Equality Steering Group.**

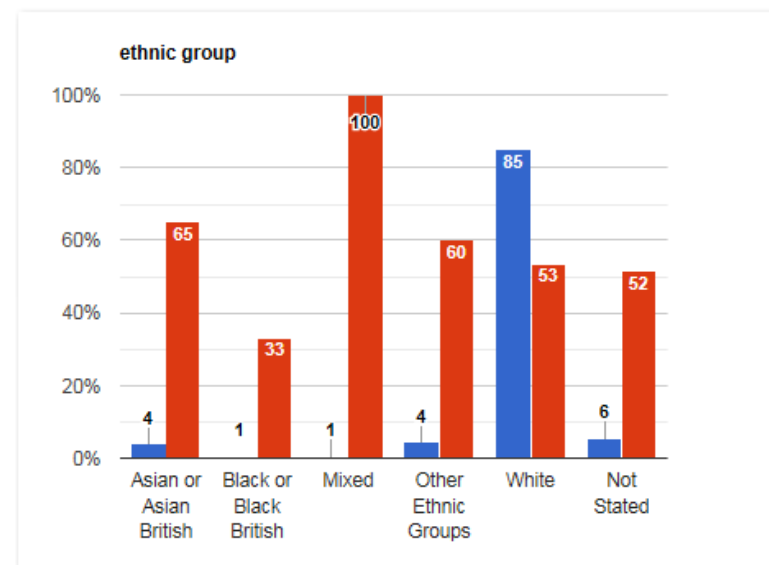
8. Is it likely that the proposal **could** have a positive or negative impact on minority ethnic groups? What evidence (either presumed or otherwise) do you have for this?

The Code should have **no impact (positive or negative) on ethnic groups** as the criteria for identifying SRR or independent researcher are being consistently applied.

All managers with responsibility for allocating research time take part in **unconscious bias training and bespoke REF E&D training** to avoid direct or indirect discrimination on the basis of protected characteristics.

**NO**

### Stage 1 Screening: Ethnic data as at September 2018 (Mini-REF 2018)



There is **no evidence of discrimination** in the application of criteria relating to ethnicity.

**ACTION: Continue to monitor workload allocation by protected group through the School Inclusivity Monitoring Groups.**



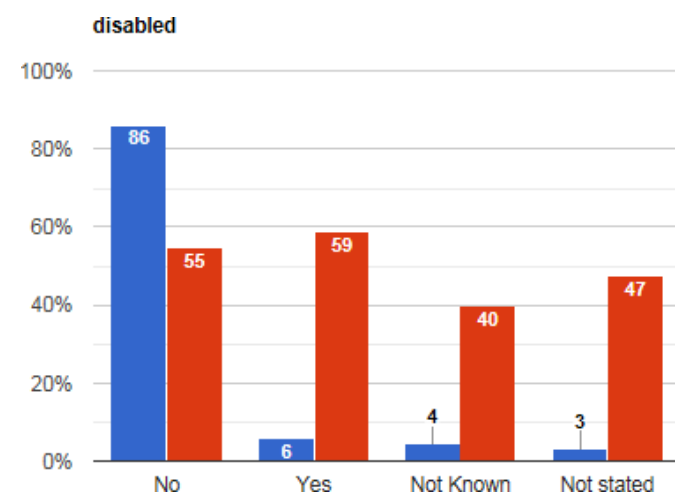
9. Is it likely that the proposal **could** have a positive or negative impact due to disability? What evidence (either presumed or otherwise) do you have for this?

The Code of Practice is unlikely to have an impact on individuals with a disability. The University promotes the implementation of **reasonable adjustments** to facilitate engagement with all four strands of academic activity (Research; Learning & Teaching; Enterprise and Professional Practice).

The University's 'allocating research time policy', recommends that research time should be **allocated in meaningful blocks** to allow for effective research activity to occur. This is considered as part of the discussions relating to annual objectives at the 'MyContribution' meetings, where appropriate and where the individual has disclosed their disability. This includes application of the flexible working policy if appropriate.

**NO**

**Stage 1 Screening: Disability data as at September 2018 (Mini-REF 2018)**



There is **no evidence of discrimination** in the application of criteria relating to disability.

**ACTION:** Present findings to Inclusion Team to promote disclosure of disability through HR Connect self-service, and highlight support services.

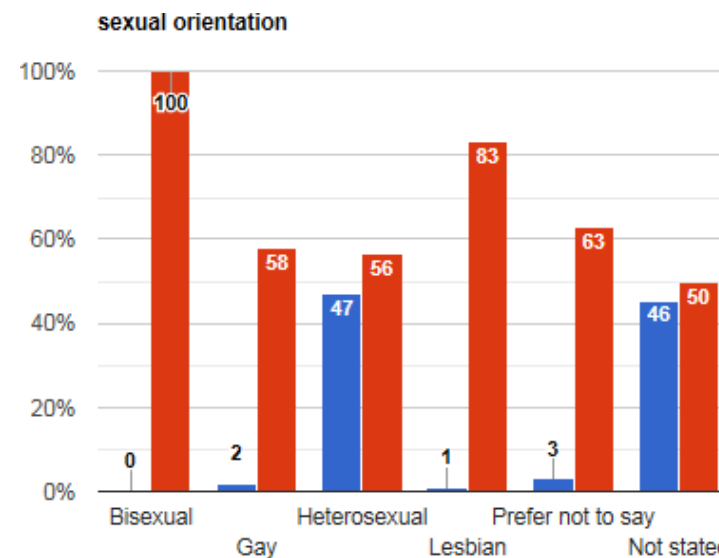
10. Is it likely that the proposal **could** have a positive or negative impact on people due to sexual orientation? What evidence (either presumed or otherwise) do you have for this?

The Code should have **no impact (positive or negative) on sexual orientation** as the criteria for identifying SRR / independent staff are being applied consistently.

All managers with responsibility for allocating research time, take part in **unconscious bias training and bespoke REF E&D training** to avoid direct or indirect discrimination on the basis of protected characteristics.

**NO**

**Stage 1 Screening: Sexual Orient as at September 2018 (Mini-REF 2018)**



There is **no evidence of discrimination** in the application of criteria relating to sexual orientation.

**ACTION: Present EIA findings to the University's LGBT+ network group**

11. Is it likely that the proposal **could** have a positive or negative impact on people due to their age? What evidence (either presumed or otherwise) do you have for this?

The Code of Practice is unlikely to have an impact on individuals due to their age.

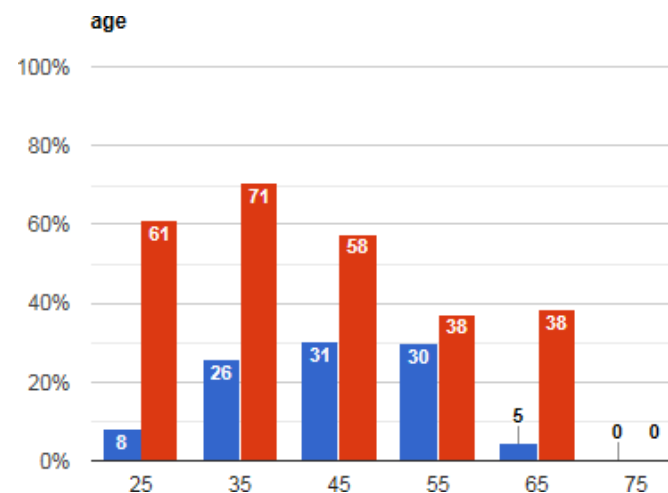
Whilst age could reflect a shorter period in post as an independent researcher (though not always as the definition of ECR applies to career stage not age), the Code mitigates the impact of this in the following ways:

1) Early career researchers (of any age) **can apply for a mitigation against the minimum of one Output, allowing them to be submitted without penalty**

2) The University has stated that **the volume of outputs** attributed to an individual for the purpose of REF submission is **not a reflection of the value placed** on that individuals contribution to the research environment.

NO

**Stage 1 Screening: Age Data as at September 2018 (Mini-REF 2018)**



The data shows that staff under 35 are more likely to be submittable according to the University’s REF Code of Practice criteria. This is reflective of the University’s revised appointment and promotion framework which was launched in 2015, with a strategic focus on recruitment of new staff with a research profile.

**ACTION:**

- 1) Present findings to School Inclusion Monitoring Groups
- 2) School Inclusion Monitoring Groups to monitor allocation of research time and research objectives to ensure equal opportunity

12. Is it likely that the proposal **could** have a positive or negative impact on people due to their religious belief (or none)? What evidence (either presumed or otherwise) do you have for this?

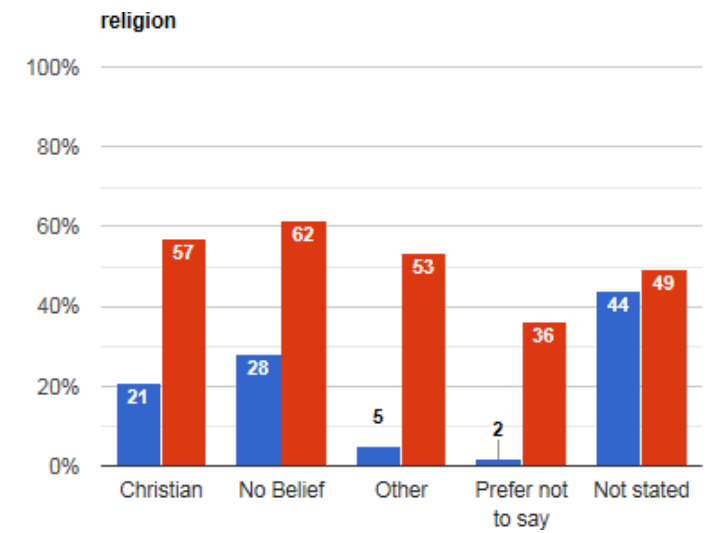
The Code should have **no impact (positive or negative) due to religious belief** as the criteria is consistent and is being consistently applied.

The University is committed to implementing **reasonable adjustments to accommodate circumstances relating to religion** and these are considered as part of the discussions relating to annual objectives at the 'MyContribution' meetings, where appropriate.

All managers with responsibility for allocating research time take part in **unconscious bias training and bespoke REF E&D training** to avoid direct or indirect discrimination on the basis of protected characteristics.

**NO**

**Stage 1 Screening: Religious Data as at September 2018 (Mini-REF 2018)**



There is **no evidence of discrimination** in the application of criteria relating to religious belief.

**ACTION: Present findings to University Inclusion Team**

13. Is it likely that the proposal **could** have a positive or negative impact on people with dependants/caring responsibilities? What evidence (either presumed or otherwise) do you have for this?

The Code of Practice is unlikely to have an impact on individuals with caring responsibilities. The University promotes the implementation of **reasonable adjustments** to facilitate engagement with all four strands of academic activity (Research; Learning & Teaching; Enterprise and Professional Practice).

The University's 'allocating research time policy', recommends that **research time should be allocated in meaningful blocks** to allow for effective research activity to occur. This is considered as part of the discussions relating to annual objectives at the 'MyContribution' meetings, where appropriate and where the individual has disclosed their caring responsibilities. This includes application of the **flexible working policy** if appropriate.

Furthermore, for individuals working part-time (because of caring responsibilities or otherwise), the CoP takes account of this by applying a **fractional expectation of research time allocation**.

NO

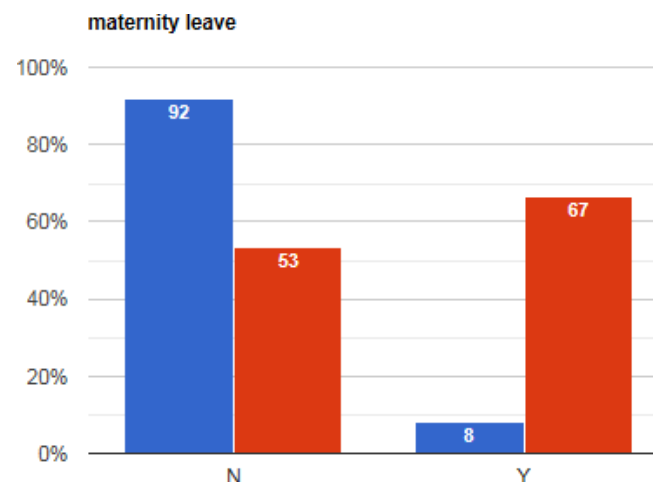
**Stage 1 Screening: Caring Data as at September 2018 (Mini-REF 2018)**

Insufficient data available for meaningful analysis.

**POINT: Low disclosure rate**

**ACTION: Work with the University's Carers Network to promote disclosure and signpost support networks (recognising that caring in the workplace remains a hidden issue)**

**Stage 1 Screening: Mat Data as at September 2018 (Mini-REF 2018)**



There is **no evidence of discrimination** in the application of criteria relating to maternity leave.

**ACTION: Present findings to University's Inclusion Team.**

<p>14. Is it likely that the proposal <b>could</b> have a positive or negative impact on people due to them being transgender or transsexual? What evidence (either presumed or otherwise) do you have for this?</p> <p>The Code should have <b>no impact (positive or negative) on transgender / transsexual</b> groups as the criteria for identifying SRR / independent staff are being applied consistently.</p> <p>All managers with responsibility for allocating research time take part in <b>unconscious bias training and bespoke REF E&amp;D training</b> to avoid direct or indirect discrimination on the basis of protected characteristics.</p> <p>The University promotes the implementation of <b>reasonable adjustments</b> to facilitate engagement with all four strands of academic activity (Research; Learning &amp; Teaching; Enterprise and Professional Practice).</p>		<p><b>NO</b></p>	<p><b>Stage 1 Screening: Transsexual/gender Data as at September 2018 (Mini-REF 2018)</b></p> <p>Insufficient data available for meaningful analysis.</p> <p><b>ACTION: Continue to promote inclusivity across the University and work with colleagues in the inclusion team to raise awareness.</b></p>
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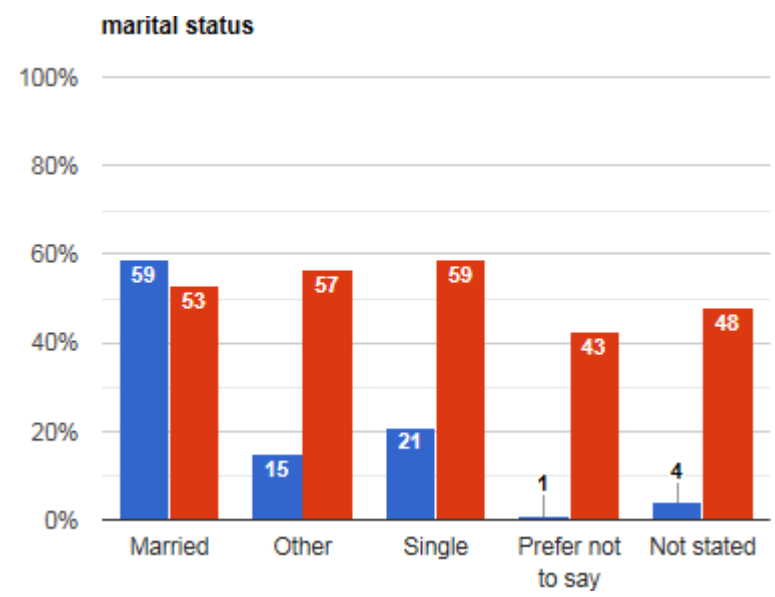
15. Is it likely that the proposal **could** have a positive or negative impact on people due to their marital or civil partnership status? What evidence (either presumed or otherwise) do you have for this?

The Code should have **no impact (positive or negative) on Marital status** as the criteria for identifying SRR / independent staff are being applied consistently.

All managers with responsibility for allocating research time take part in **unconscious bias training and bespoke REF E&D training** to avoid direct or indirect discrimination on the basis of protected characteristics.

**NO**

**Stage 1 Screening: Marital Data as at September 2018 (Mini-REF 2018)**



There is **no evidence of discrimination** in the application of the Code of Practice criteria in relation to marital status.

**ACTION: Present findings to University Inclusion Team.**

<p>16. How will you monitor the actual impact that your proposal has had following its implementation? When will you do this?</p>			<p><b>A final EIA will be conducted post-submission</b>(December 2020) to assess the final composition of staff submitted by protected characteristic and the Outputs selected.</p> <p>School Inclusion Monitoring Groups are in operation to analyse workload allocation in the School from an E&amp;D perspective and will highlight any concerns to the REF Steering Group.</p>
<p>17. <b>Summary.</b> Summarise the outcome of this Equality Assessment, and state any actions you will be taking as a result.</p>			<p>The stage 1 analysis suggest <b>there is no evidence of discrimination</b> in the criteria or the application of the criteria, on the basis of one or more of the Protected Characteristics. Further, <b>there are processes and policies in place to avoid discrimination and promote reasonable adjustments to be made</b>, in order to include staff from protected groups.</p> <p>This analysis <b>has not considered data relating to Output selection. This will be considered in future EIAs.</b></p>



Edinburgh Napier University

*Equality Impact Assessment  
REF2021 Code of Practice*

## Edinburgh Napier University – Equality Impact Assessment

<p><i>School/Service Area</i></p> <p><b>Research and Innovation Office</b></p>	<p><i>Date of Assessment</i></p> <p><b>May 2019</b></p>	<p><i>Name of the proposal to be assessed</i></p> <p><b>REF2021 Code of Practice: Stage 2 Analysis – Final CoP/ Issue of formal letters</b></p>	<p><i>Person/s responsible for the assessment</i></p> <p><b>Research and Innovation Office and; HR Inclusion Team</b></p>
<p><i>Who was present at the EIA?</i></p> <p><b>Dean of R&amp;I Research Policy Officer Inclusivity partner (HR)</b></p>	<p><i>Is this a <b>new</b> or <b>existing</b> proposal?</i> New proposal</p> <p><b>New: REF2021 Code of Practice</b></p>		<p><i>When will this proposal be reviewed?</i></p> <p><b>Stage 1 – Post Mini-REF (Feb 2019)</b>  <b>Stage 2 – Final CoP Submission (May 2019)</b>  <b>Stage 3 – Monitoring (June 2020)</b>  <b>Stage 4 – Post submission (December 2020)</b></p>

1. Briefly describe the aims, objectives and purpose of the Code of Practice.

The Joint UK funding councils require that each institution making a submission to REF2021 is required to develop, document and apply a **Code of Practice (CoP)** on the fair and transparent:

- i. identification of staff with significant responsibility for research, as agreed with staff (where a University is not submitting 100% of Category A eligible staff)
- ii. determining research independence
- iii. selecting Outputs for submission

The University is required to **ensure that REF procedures do not discriminate** unlawfully against, or otherwise have the effect of harassing or victimising individuals from protected characteristics (because of age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex or sexual orientation or because they are pregnant or have recently given birth).

The Code of Practice has been developed based on the REF 2021 Guidance on Submissions and the guidance given by the Joint UK Funding Councils on the Code of Practice. **The content has been driven by the principles of: Objectivity; Non-discrimination and Transparency.**

**Aims:**

The ultimate goal is to **ensure fairness in the University's REF2021 submission, adhering to the parameters of the REF guidance relating to staff and outputs.**

*achieved by:*

- Utilising Workload Allocation consistently across all Category A eligible staff in all UoAs to identify staff with Significant Responsibility for Research (0.2 FTE, per FTE per year (pro rata for P/T staff)
- Utilising the University's 'MyContribution' Personal Development Review process to agree and record research objectives
- Utilising the agreed three criteria for research independence, applied consistently, relative to the UoA/ discipline
- Utilising the University's Research Information Management System (Worktribe) automated algorithm for the selection of Outputs based on highest quality
- Ensuring that all those involved in decision-making, have received bespoke REF2021 E&D training.

<p>2. <i>Who is intended to benefit / who is affected from the Code of Practice and in what way?</i></p>	<p>The Code is <b>intended for all staff meeting the definition of Category A eligible</b> (<a href="#">p/g 117</a> Guidance on Submissions).</p> <p>The Code outlines the criteria which will be applied consistently to the Cat A eligible staff pool, to identify the Cat A submittable staff pool.</p> <p>The Code is <b>intended to benefit the Cat A eligible staff pool, by providing clear criteria</b>, applied consistently, <b>by which to identify those staff with Significant Responsibility for Research or Research Independence</b> and thus included in the submittable pool for REF2021.</p> <p>The Code also outlines the criteria and processes for <b>selection of Outputs</b> (based on the REF guidance relating to minimum and maximum requirements), <b>based on highest quality/ merit only</b> and it <b>provides a commitment to staff</b> that attributing more or less papers to an individual for the REF2021 submission, will not be seen as a reflection of the value placed on that individual's contribution to the research environment at Edinburgh Napier University.</p> <p>The Code of Practice also <b>benefits the University as a whole by having transparent criteria and processes in place, by which to ensure adherence to the REF guidance and rules on submission.</b></p>
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<p>3. <i>What outcomes are wanted from the Code of Practice?</i></p>	<p>The desired outcome from the Code of Practice is:</p> <p><b>to achieve submission of all staff with Significant Responsibility for Research and research independence and ensure that our REF procedures do not discriminate, harass or victimise individuals from a protected characteristic.</b></p> <p>Another desired outcome is <b>to achieve an optimal REF2021 submission</b> for the University, working within the parameters of the Framework.</p> <p>Desirable Outcomes:</p> <ul style="list-style-type: none"> <li>• Ensure that the University’s criteria and procedures, as outlined in the Code of Practice for the i. identification of staff with SRR, ii. Identification of independent researcher and iii. Selection of Outputs, <b>does not discriminate against any of the protected characteristics</b></li> <li>• Ensure that <b>the University’s criteria is applied fairly, equitably, transparently and consistently</b> across all REF Units of Assessment</li> <li>• Ensure that there is a <b>clear and appropriate process for declaring mitigation</b> (in line with the REF2021 guidance)</li> <li>• Ensuring there is a transparent, <b>independent appeals process</b> in place</li> <li>• Ensuring that those with role holders with responsibility for the application of REF2021 criteria are trained under a <b>bespoke programme of REF2021 Equality and Diversity training</b></li> </ul>
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4. How have you consulted on the Code of Practice including those from protected groups? What were their views?

Development of the Code of Practice has included a thorough **programme of institution-wide consultation** at various stages of development, including:

Open campus meetings on all three campuses, engagement with staff representative groups – Academic Union Representatives, consultation with the University Leadership Team, the University’s Research and Innovation Committee, Academic Board and the REF2021 Steering Group. Staff have also been invited to provide feedback through a dedicated REF2021 CoP email address.

**All reasonable attempts** have been made to publicise the Code of Practice to staff on leave or **working away from the University through means of communication familiar to them.**

Communications to **all staff via the ‘all staff’ email directory** and on the **staff intranet**, has ensured that staff from **across all of the protected groups** have been included in the communications and have had equal opportunity to feed into the consultation process. Similarly, the University Committees as referenced above are **constituted with due regard to a representative balance of diversity**, meaning **staff from across the protected groups** have been present at these Committees and involved in the development.

**Feedback on the development of the Code has been positive**, with staff signalling that they are in agreement with the criteria, working within the parameters outlined by the REF guidance and in light of the data sources available within the University.

In developing this Code of Practice, the institution has considered the content of the Edinburgh Napier REF2014 CoP, alongside the outcomes of the final Equality Impact Assessment, conducted post submission, which found the practices of selection in REF2014 to be fair and transparent.

Further, the University has **considered the report by the Equality and Diversity Advisory Panel (EDAP)** relating to good practice in REF2014, to inform the content of this the Code.

It is designed to **complement the University’s existing recruitment and staff development policies**, all of which have been subject to equality impact assessment and **which comply with the Equality Act 2010.**

5. What factors/forces could contribute/detract from the outcomes?

Factors which could **contribute / detract from the outcomes include:**

- An inclusive communication strategy, ensuring that all staff are aware of the content of the Code of Practice; how it is being implemented; and how it affects them
- A comprehensive E&D training programme for all role holders involved in the application of the Code, to ensure it is implemented consistently and with due regard for staff with protected characteristics
- Robust and consistent processes for allocating and recording Workload Allocation
- Robust and consistent processes for Objective setting at the Personal Development Review 'MyContribution'
- A clear (voluntary) process for the declaration of circumstances which may have affected research productivity in the period (for removal of the minimum one Output)
- A clear appeals process, which is independent to the decision-making process
- Effective School Equality Monitoring Groups in operation to analyse Workload allocation
- A robust scoring process to assess Output quality against the REF criteria
- An effective automated algorithm within Worktribe, which selects Outputs only on the basis of quality
- A commitment to staff that the volume of Outputs attributed for REF2021 is no reflection of the value that individual contributes to the research environment

6. Does this proposal have a positive impact on equality?  
What evidence is there to support this? Could it do more?

The Code has **been developed with consideration of factors which might affect staff from across the protected characteristic groups**. Recognition has been given to **staff working part time, with a fractional research allowance applied for these staff members**. Line managers are trained in **unconscious bias** and the University is committed to **implementing reasonable adjustments**, where appropriate.

**Data analysis** will be conducted at relevant stages in the preparation of the REF2021 submission, utilising data at key stages, **to evaluate if there is any evidence of any group/s of individuals being unfairly treated**.

The analysis **includes a list of identified actions** to be taken forward by the REF Steering Group or the University more broadly, in respect of other University policies which might warrant review based on the findings.

**Stage 1** – Initial screening on the criteria outlined in the REF2021 Code of Practice using data put forward to mini-REF2018 (conducted in September 2018) – Staff data

**Stage 2** – Screening on the criteria within the Code of Practice, following any final amendments to the code and based on issue of formal letters identifying staff as SRR or independent (to be conducted in May 2019) – Staff data

**Stage 3** – Monitoring prior to submission (June 2020) – Staff data and Output selection

**Stage 4** - Final EIA conducted post-submission (December 2020) – Staff and Outputs selection

**The relevant data analysis is provided below (where data allows):**

**Whilst the data is available by UoA, the data sets are too small to draw any meaningful conclusions. As such the EIA analysis is based on data relating to the University submission.**



Total Eligible Pool (Cat A staff) by Protected Characteristic (552 People)



Proportion of Cat A Staff deemed to be Submittable (SRR or Independent researcher) by Protected Characteristic (298 People)



7. Is it likely that the proposal **could** have a positive or negative impact due to gender (including pregnancy and maternity)? What evidence (either presumed or otherwise) do you have for this?

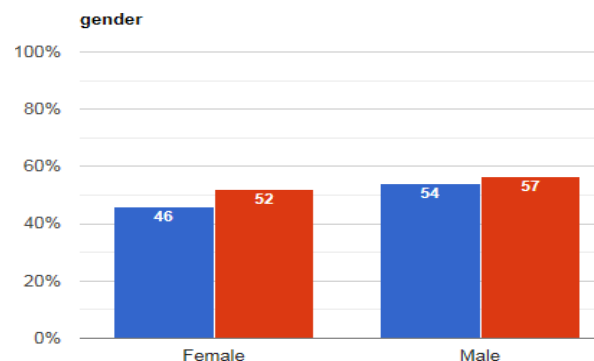
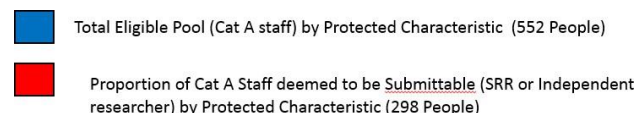
The Code should have no impact (positive or negative) due to gender, as the criteria is being applied consistently to all individuals.

All managers with responsibility for allocating research time take part in **unconscious bias training and bespoke REF E&D training** to avoid direct or indirect discrimination on the basis of any protected characteristics.

Whilst a higher proportion of female staff might be on fractional contracts, working part-time, **the CoP takes accounts for this by applying a fractional expectation** of research time allocation to identify SRR.

**NO**

### Stage 2 Screening: Gender Data as at 03 May 2019



On application of the University's criteria for identification of SRR and Independent Researcher, the proportion of submittable staff Male to Female is 57%: 43%. This compares with a total Category A eligible pool of 54% to 46%.

This suggest that the profile of submittable staff is broadly reflective of the eligible pool, and that there is **no evidence of negative impact due to gender, when applying the criteria.**

57% of eligible Male staff are submittable according to the criteria, compared with 52% of the Female eligible pool. **The variances in proportions are minor and suggests that there is no gender bias in the application of the criteria.**

**ACTION: Present EIA findings to the University Gender Equality Steering Group.**

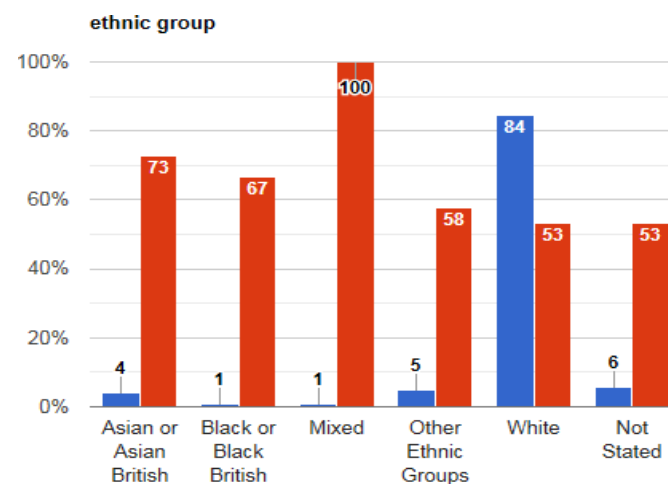
8. Is it likely that the proposal **could** have a positive or negative impact on minority ethnic groups? What evidence (either presumed or otherwise) do you have for this?

The Code should have **no impact (positive or negative) on ethnic groups** as the criteria for identifying SRR or independent researcher are being consistently applied.

All managers with responsibility for allocating research time take part in **unconscious bias training and bespoke REF E&D training** to avoid direct or indirect discrimination on the basis of protected characteristics.

**NO**

### Stage 2 Screening: Ethnic Data as at 03 May 2019



There is **no evidence of discrimination** in the application of criteria relating to ethnicity.

**ACTION: Continue to monitor workload allocation by protected group through the School Inclusivity Monitoring Groups.**

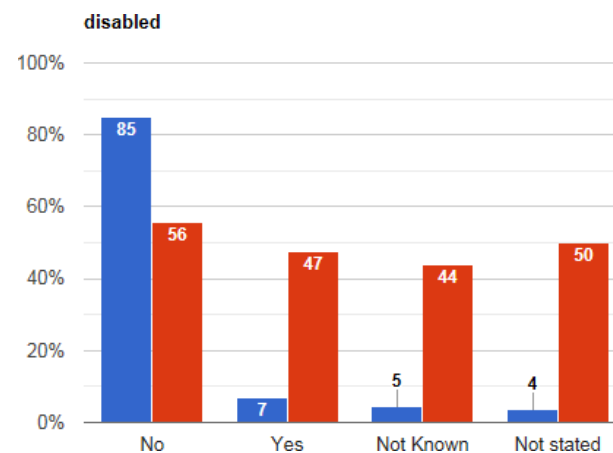
9. Is it likely that the proposal **could** have a positive or negative impact due to disability? What evidence (either presumed or otherwise) do you have for this?

The Code of Practice is unlikely to have an impact on individuals with a disability. The University promotes the implementation of **reasonable adjustments** to facilitate engagement with all four strands of academic activity (Research; Learning & Teaching; Enterprise and Professional Practice).

The University's 'allocating research time policy', recommends that research time should be **allocated in meaningful blocks** to allow for effective research activity to occur. This is considered as part of the discussions relating to annual objectives at the 'MyContribution' meetings, where appropriate and where the individual has disclosed their disability. This includes application of the flexible working policy if appropriate.

**NO**

**Stage 2 Screening: Disability Data as at 03 May 2019**



There is **no evidence of discrimination** in the application of criteria relating to disability.

**ACTION: Present findings to Inclusion Team to promote disclosure of disability through HR Connect self-service, and highlight support services.**

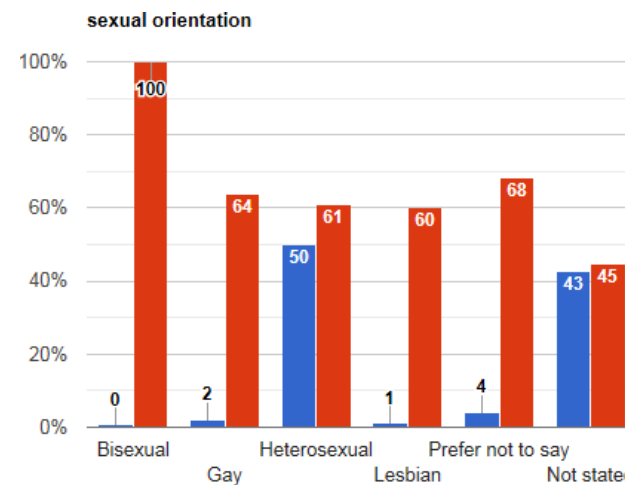
10. Is it likely that the proposal **could** have a positive or negative impact on people due to sexual orientation? What evidence (either presumed or otherwise) do you have for this?

The Code should have **no impact (positive or negative) on sexual orientation** as the criteria for identifying SRR / independent staff are being applied consistently.

All managers with responsibility for allocating research time, take part in **unconscious bias training and bespoke REF E&D training** to avoid direct or indirect discrimination on the basis of protected characteristics.

**NO**

### Stage 2 Screening: Sexual Orientation as at 03 May 2019



There is **no evidence of discrimination** in the application of criteria relating to sexual orientation.

**ACTION: Present EIA findings to the University's LGBT+ network group**

11. Is it likely that the proposal **could** have a positive or negative impact on people due to their age? What evidence (either presumed or otherwise) do you have for this?

The Code of Practice is unlikely to have an impact on individuals due to their age.

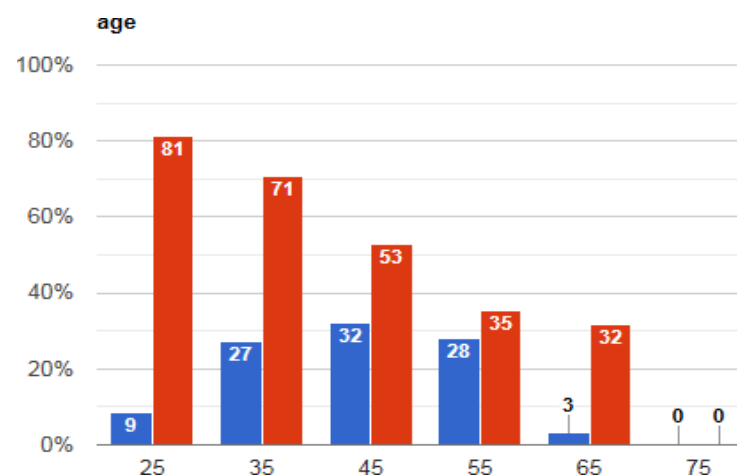
Whilst age could reflect a shorter period in post as an independent researcher (though not always as the definition of ECR applies to career stage not age), the Code mitigates the impact of this in the following ways:

1) Early career researchers (of any age) **can apply for a mitigation against the minimum of one Output, allowing them to be submitted without penalty**

2) The University has stated that **the volume of outputs** attributed to an individual for the purpose of REF submission is **not a reflection of the value placed** on that individuals contribution to the research environment.

NO

### Stage 2 Screening: Age band Data as at 03 May 2019



The data shows that staff under 35 are more likely to be submittable according to the University's REF Code of Practice criteria. This is reflective of the University's revised appointment and promotion framework which was launched in 2015, with a strategic focus on recruitment of new staff with a research profile.

#### ACTION:

- 1) Present findings to School Inclusion Monitoring Groups
- 2) School Inclusion Monitoring Groups to monitor allocation of research time and research objectives to ensure equal opportunity

12. Is it likely that the proposal **could** have a positive or negative impact on people due to their religious belief (or none)? What evidence (either presumed or otherwise) do you have for this?

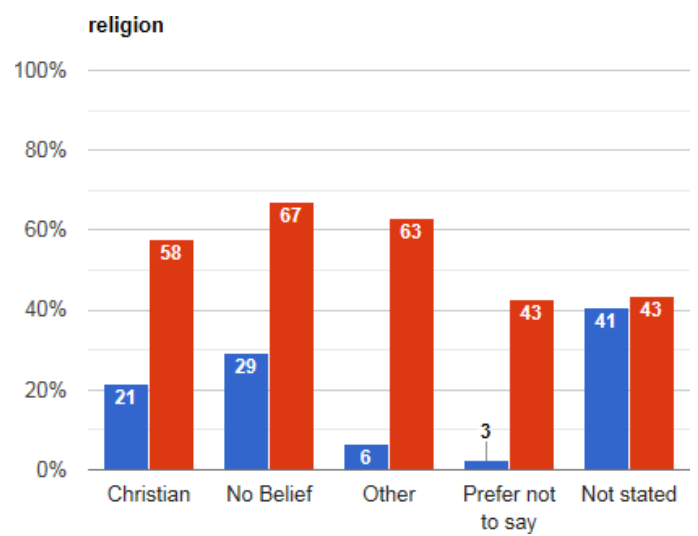
The Code should have **no impact (positive or negative) due to religious belief** as the criteria is consistent and is being consistently applied.

The University is committed to implementing **reasonable adjustments to accommodate circumstances relating to religion** and these are considered as part of the discussions relating to annual objectives at the 'MyContribution' meetings, where appropriate.

All managers with responsibility for allocating research time take part in **unconscious bias training and bespoke REF E&D training** to avoid direct or indirect discrimination on the basis of protected characteristics.

**NO**

**Stage 2 Screening: Religious Data as at 03 May 2019**



There is **no evidence of discrimination** in the application of criteria relating to religious belief.

**ACTION: Present findings to University Inclusion Team**

13. Is it likely that the proposal **could** have a positive or negative impact on people with dependants/caring responsibilities? What evidence (either presumed or otherwise) do you have for this?

The Code of Practice is unlikely to have an impact on individuals with caring responsibilities. The University promotes the implementation of **reasonable adjustments** to facilitate engagement with all four strands of academic activity (Research; Learning & Teaching; Enterprise and Professional Practice).

The University's 'allocating research time policy', recommends that **research time should be allocated in meaningful blocks** to allow for effective research activity to occur. This is considered as part of the discussions relating to annual objectives at the 'MyContribution' meetings, where appropriate and where the individual has disclosed their caring responsibilities. This includes application of the **flexible working policy** if appropriate.

Furthermore, for individuals working part-time (because of caring responsibilities or otherwise), the CoP takes account of this by applying a **fractional expectation of research time allocation**.

**NO**

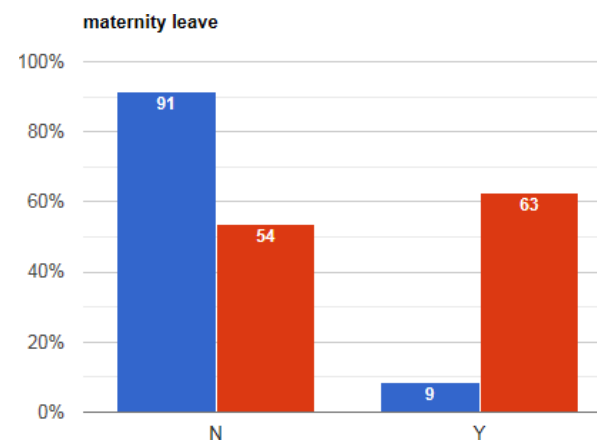
### Stage 2 Screening: Caring Data as at 03 May 2019

Insufficient data available for meaningful analysis.

**POINT: Low disclosure rate**

**ACTION: Work with the University's Carers Network to promote disclosure and signpost support networks (recognising that caring in the workplace remains a hidden issue)**

### Stage 2 Screening: Maternity Data as at 03 May 2019

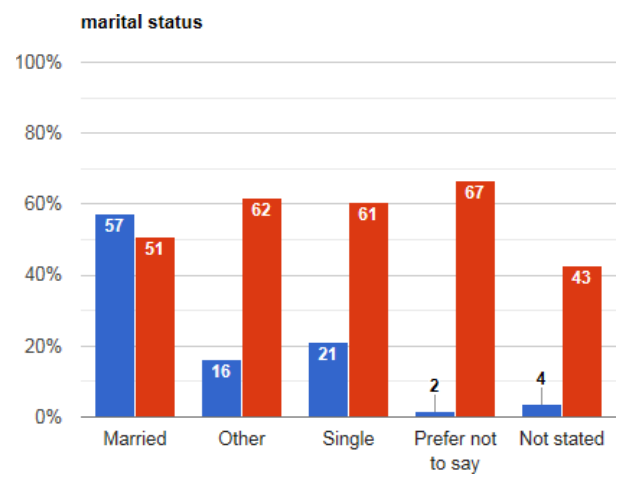


There is **no evidence of discrimination** in the application of criteria relating to maternity leave.

**ACTION: Present findings to University's Inclusion Team.**

<p>14. Is it likely that the proposal <b>could</b> have a positive or negative impact on people due to them being transgender or transsexual? What evidence (either presumed or otherwise) do you have for this?</p> <p>The Code should have <b>no impact (positive or negative) on transgender / transsexual</b> groups as the criteria for identifying SRR / independent staff are being applied consistently.</p> <p>All managers with responsibility for allocating research time take part in <b>unconscious bias training and bespoke REF E&amp;D training</b> to avoid direct or indirect discrimination on the basis of protected characteristics.</p> <p>The University promotes the implementation of <b>reasonable adjustments</b> to facilitate engagement with all four strands of academic activity (Research; Learning &amp; Teaching; Enterprise and Professional Practice).</p>	<p><b>NO</b></p>	<p><b>Stage 2 Screening: Transgender/Transsexual Data as at 03 May 2019</b></p> <p>Insufficient data available for meaningful analysis.</p> <p><b>ACTION: Continue to promote inclusivity across the University and work with colleagues in the inclusion team to raise awareness.</b></p>
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<p>15. Is it likely that the proposal <b>could</b> have a positive or negative impact on people due to their marital or civil partnership status? What evidence (either presumed or otherwise) do you have for this?</p> <p>The Code should have <b>no impact (positive or negative) on Marital status</b> as the criteria for identifying SRR / independent staff are being applied consistently.</p> <p>All managers with responsibility for allocating research time take part in <b>unconscious bias training and bespoke REF E&amp;D training</b> to avoid direct or indirect discrimination on the basis of protected characteristics.</p>	<p><b>NO</b></p>	<p><b>Stage 2 Screening: Marital Data as at 03 May 2019</b></p>  <table border="1"> <caption>Marital Status Data</caption> <thead> <tr> <th>Marital Status</th> <th>Blue Bar (%)</th> <th>Red Bar (%)</th> </tr> </thead> <tbody> <tr> <td>Married</td> <td>57</td> <td>51</td> </tr> <tr> <td>Other</td> <td>16</td> <td>62</td> </tr> <tr> <td>Single</td> <td>21</td> <td>61</td> </tr> <tr> <td>Prefer not to say</td> <td>2</td> <td>67</td> </tr> <tr> <td>Not stated</td> <td>4</td> <td>43</td> </tr> </tbody> </table> <p>There is <b>no evidence of discrimination</b> in the application of the Code of Practice criteria in relation to marital status.</p> <p><b>ACTION: Present findings to University Inclusion Team.</b></p>	Marital Status	Blue Bar (%)	Red Bar (%)	Married	57	51	Other	16	62	Single	21	61	Prefer not to say	2	67	Not stated	4	43
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<p>16. How will you monitor the actual impact that your proposal has had following its implementation? When will you do this?</p>		<p><b>A final EIA will be conducted post-submission</b>(December 2020) to assess the final composition of staff submitted by protected characteristic and the Outputs selected.</p> <p>School Inclusion Monitoring Groups are in operation to analyse workload allocation in the School from an E&amp;D perspective and will highlight any concerns to the REF Steering Group.</p>																		

<p>17. <b>Summary.</b> Summarise the outcome of this Equality Assessment, and state any actions you will be taking as a result.</p>			<p>The stage 2 analysis suggest <b>there is no evidence of discrimination</b> in the criteria or the application of the criteria, on the basis of one or more of the Protected Characteristics. Further, <b>there are processes and policies in place to avoid discrimination and promote reasonable adjustments to be made</b>, in order to include staff from protected groups.</p> <p>This analysis <b>has not considered data relating to Output selection. This will be considered in future EIAs.</b></p>
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