

REF 2021

Code of Practice



Research & Innovation Office
June 2019

Table of Contents

Part 1: Introduction.....	1
1.1 Context.....	1
1.2 Institutional policies and strategies to support equality and diversity.....	3
1.3 Update on Actions Taken Since REF 2014.....	4
1.4 Transparency, Consistency, Accountability and Inclusivity	8
Part 2: Identifying staff with significant responsibility for research	10
Part 3: Determining research independence	11
3.1 Policies and Procedures.....	11
3.2 Staff, Committees and Training	14
3.3 Appeals	20
3.4 Equality Impact Assessment.....	21
Part 4: Selection of outputs	23
4.1 Policies and Procedures.....	23
4.2 Staff, Committees and Training	28
4.3 Staff Circumstances	30
4.4 Equality Impact Assessment.....	33
Part 5: Appendices	35
Appendix A: Staff Consultation Communications Plan.....	35
Appendix B: Staff REF Data Collection Statement for HEIs	39
Appendix C: Equality Impact Assessment	42
Appendix D: Employing a Responsible Approach to the Evaluation of Research within Cranfield University Policy	46
Appendix E: Declaration of Individual Staff Circumstances Template	48
Appendix F: Glossary	53

Part 1: Introduction

1.1 Context

1.1.1 Cranfield is an exclusively postgraduate university focused on technology and management. Cranfield is often classified as a 'specialist institution' within the UK Higher Education sector.

Cranfield was originally formed in 1946 as the College of Aeronautics, becoming the Cranfield Institute of Technology in 1969 with the award of a Royal Charter. Subsequently, the National College of Agricultural Engineering was subsumed in 1975 and the Royal Military College of Science in 1985, prior to becoming Cranfield University in 1993. Cranfield operates from two sites: the main campus at Cranfield in Bedfordshire and from the Defence Academy of the United Kingdom site at Shrivenham, near Swindon.

1.1.2 There are eight specialist areas of focus, termed Themes, which are broadly the equivalent of departments in a conventional discipline-led university. Multidisciplinarity is embedded in the high-level organisational structure which has a broad focus on market sectors. The Themes are Aerospace, Defence & Security, Energy & Power, Environment & Agrifood, Leadership & Management, Manufacturing, Transport Systems and Water.

1.1.3 The Themes are grouped together into the four Schools:

- Cranfield Defence and Security (CDS)
- School of Aerospace, Transport and Manufacturing (SATM)
- School of Water, Energy and Environment (SWEE)
- School of Management (SoM)

each headed by a Pro-Vice-Chancellor (PVC - School) who is a member of the University's Executive, reporting directly to the Chief Executive and Vice-Chancellor (Figure 1).

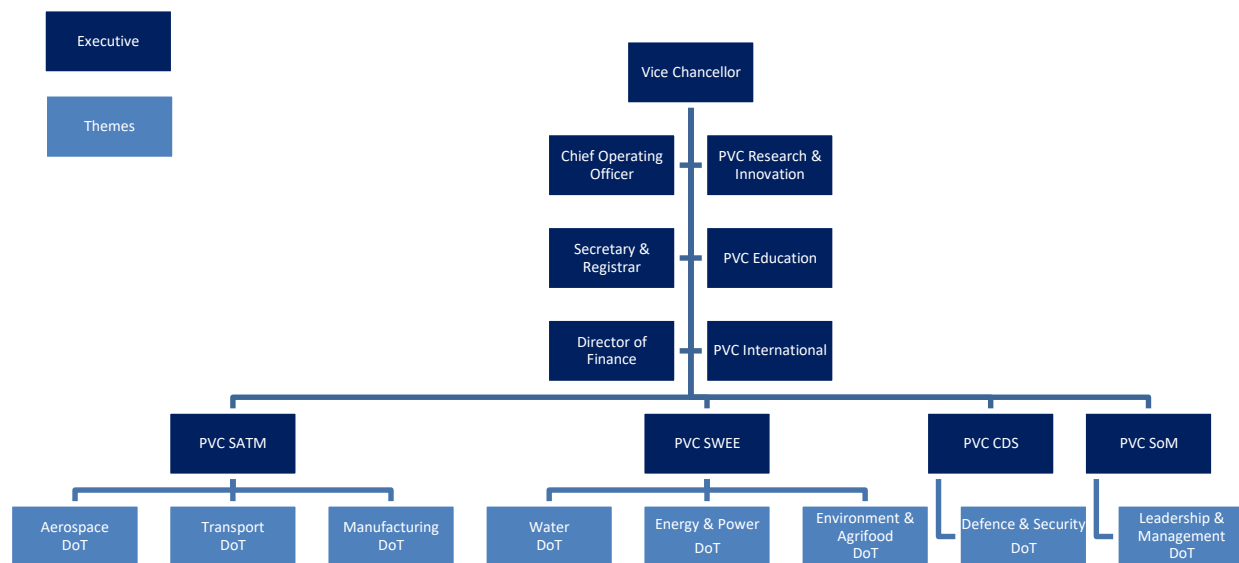


Figure 1: High level academic line management structure of Cranfield University, showing members of the Executive, PVC - Schools and Directors of Themes

1.1.4 The Pro-Vice-Chancellor for Research and Innovation (PVC R&I) leads Cranfield's activities that includes development and delivery of research and knowledge exploitation strategies, leading relationships with research funders and submission of major grant bids. Each of the four Schools has a dedicated Director of Research, a Professor responsible for operational and governance aspects of research and innovation, reporting to the PVC - School. The Directors of Research also have a 'dotted line' responsibility direct to the Pro-Vice-Chancellor for Research and Innovation.

1.1.5 Since the start of the REF 2021 period, Cranfield has convened an independent REF Strategy Board chaired by a senior member of academic staff, i.e. Director of Research or Director of Theme. The Board is constituted of academics from all the Themes, the Head of Diversity & Inclusion and other support staff with the secretariat provided by the University's Research & Innovation Office (RIO). The REF Strategy Board makes recommendations to the PVC R&I for decision and final approval by the University's Executive. The REF 2021 Code of Practice (CoP) development and consultation was overseen by the REF Strategy Board with final approval from the University's Executive which is Chaired by the Vice-Chancellor.

1.2 Institutional policies and strategies to support equality and diversity

1.2.1 Cranfield University is committed to diversity and inclusion, as highlighted in the University Charter:

“The University will provide a collaborative and supportive working and learning environment, which embeds equality of opportunity and the rights of individuals in all its operations and treats everyone with dignity and respect”.

1.2.2 The University aims to enhance its position as a University and Employer of choice and promote an inclusive learning, teaching and working environment for our staff and students, irrespective of background. We have developed a range of policies, procedures and development materials to support these aims and our wider culture change programme. These policies cover all of the protected characteristics, flexible working, bullying and harassment (Dignity at Work), and a range of caring responsibilities.

1.2.3 We recognise the benefits of Diversity & Inclusion and that by managing diversity successfully we will enhance creativity and innovation.

1.2.4 We have a Diversity & Inclusion Strategy which supports the University's mission and outlines how we will not only fulfil our legal duties, but also promote a culture where the diversity of our staff and students is positively valued. In addition to this, our annual diversity report and action plan (which underpins our Athena SWAN action plan) highlight our key objectives and progress against key actions.

1.2.5 Our policies and procedures support our approach to REF 2021 and this CoP highlights how the University will take a transparent and fair approach to the inclusion of staff for REF. Steps will be taken to ensure that staff are not discriminated against on the basis of any of the protected characteristics under the Equality Act 2010 (age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex and sexual orientation).

1.2.6 In addition, the University will ensure that staff on fixed term and/or part time contracts are treated equally and fairly when determining suitability for inclusion in the REF, in line with legislation.

1.2.7 The University recognises that individuals may have exceptional personal circumstances which may impact their ability to meet quantitative requirements for submission to REF. Where exceptional circumstances exist, individuals will be actively encouraged to make an individual case for inclusion through the process outlined in Part 4 of this CoP.

1.3 Update on Actions Taken Since REF 2014

1.3.1 Since 2014, the University Executive has pledged action on progressing Cranfield's Diversity & Inclusion agenda on a number of fronts, including undergoing training focused on equality, diversity & inclusion and unconscious bias. For example, Cranfield achieved an Athena SWAN Bronze Institutional Award (with plans to re-apply in 2020) and have a detailed action plan in place to attract, retain and develop diverse talent (particularly female). Given the disciplines in which the University is focused, a gender balance within the University is difficult, however, we recognise that females are under-represented in senior academic roles across the University and are taking a number of actions to address this which will have a significant cultural change over time including:

- Reviewing our recruitment processes and channels to try and ensure they are inclusive and free from bias e.g. revising the language in on our job advertisements.
- Including wording on our commitment to Diversity & Inclusion and flexible working in our job advertisements to try and attract diverse talent.
- Ensuring that our recruitment panels have had appropriate training and are diverse, with at least one woman on each panel.
- Altering our recruitment processes to incorporate many recommendations arising from a workshop in Jun 2018 on 'Diversifying Recruitment' for line managers and Human Resources and Development (HR&D) held by Advance HE (formerly the Equality Challenge Unit).
- Supporting the development of a number of our female staff through our Step-Up women's network, Advance HE's Aurora programme and our own internal Women as Leaders programme and are beginning to see the impact of these through our promotion rates.
- Becoming a Sponsor for International Women in Engineering, holding IWES (International Women Entrepreneur Show) events and having two women named in the Telegraph's Top 50 Women in Engineering list two years in a row (2017 and 2018).
- Signing up to support the 'Women in Aviation and Aerospace Charter' which reflects the aspiration to see gender balance at all levels across the aviation and aerospace sectors.
- Becoming members of Working Families and have establishing a Flexible Working steering group to review our policies and practices to make them more inclusive.
- Forming a Career Development Working group to provide initiatives to support the career development of our staff. These have included mentoring, reviewing our career development pathways to develop our talent pipeline and holding a Career Development week.
- Becoming 'Disability Confident' employers and joining the Business Disability Forum to demonstrate our support in being a disabled friendly employer.
- Mandating all staff are required to undertake an Equality, Diversity and Inclusion (ED&I) online module

- Providing unconscious bias training to the University Executive Board and open workshops for staff
- Creating resources for researchers to understand how to integrate, implement and operationalise ED&I considerations within their research
- Carrying out annual diversity monitoring exercises to encourage staff to update their protected characteristics to enable improved reporting
- Developing a Carers policy which goes beyond childcare responsibilities
- Continuing to engage with the local community and a number of Cranfield staff are attending WorkTree events in the region, which encourage young people from all backgrounds to consider careers in science, technology, engineering, mathematics (STEM) and other technical areas
- Reviewing the Senior Academics Promotion process to further encourage inclusion. All staff, regardless of level or tenure, are now reviewed in terms of promotional potential with particular focus now given to under-represented groups e.g. women, who are less likely to put themselves forward for promotion unless they 'tick all the boxes'
- Local HR&D teams working with individuals and line managers to draft promotion cases to ensure all staff present effective cases. Attention is given to ensure language barriers are not undermining the ability to present a case. To support the development of Senior Academic Promotion cases, previous examples are shared (with author permission) with support offered via workshops or 1-2-1s from local School Executive members. We have started to see the benefits of this revised approach as more diverse staff are being successfully promoted across the Schools, many of whom would not previously have considered submitting a case.
- Reviewing our Performance and Development Review (P&DR) process and included a question on career development so that staff are able to have a detailed discussion around their career aspiration and development needs.
- Establishing a University Brexit Working Group that serves as both a proactive information resource for staff and student and an open forum for individuals to raise their concerns, challenges or seek advice. It has a watching brief on Brexit, advising staff, students and prospective stakeholders on the implications of Brexit as well as make recommendations for University policy according to the challenges and opportunities that arise.

1.3.2 The University's Corporate Plan 2014-2019 identifies 4 areas of strategic priority:

- To provide a premier learning experience that enhances the capabilities of individuals and their organisations
- To be recognised for outstanding transformational research that meets the needs of business, government and wide society
- To grow an efficient, effective and sustainable enterprise
- To be renowned for our impact and influence – regionally, nationally and internationally

1.3.3 Each priority includes a core goal resulting in Plan 415i:

- Towards 400 fully research active staff
- Towards a UK top 10 postgraduate learning experience
- 5% operating surplus
- Impact, influence, internationalisation

1.3.4 To support the realisation of these priorities and goals, the University has undertaken a significant volume of work and ensured that all opportunities and resources are provided in a fair, transparent and inclusive manner. New Research, Education and Knowledge Exploitation Strategies have been developed and implemented to provide a transparent and shared vision of the University so that staff and students understand the context in which they are working. Additionally, a Researcher Handbook has been developed for all staff which details the research environment at Cranfield in a comprehensive fashion, is practical, easy to use and provides guidance on elements important for REF and researcher development. Relevant to the REF and the CoP, a selection of the resulting activities have focused on enabling staff to develop to their full potential and achieve their aspirations, providing an equitable and consistent level of researcher support across the University, clarified the internal research infrastructure and governance mechanisms, and ensured there are clear, transparent expectations of staff in their roles. Such work is particularly important in consideration of the focus of the organisation and the diversity of the staff within it; the University employs a significant proportion of staff directly from industry and from overseas.

1.3.5 A centrally-managed Research & Innovation Office (RIO) was established in 2014 with the mission to 'support researchers in working together to achieve excellence and impact in delivering the University's vision for research and innovation'. The implementation of RIO has offered benefits to all researchers to become fully research active such as raising awareness of funding opportunities, bespoke support to individuals when applying for funding, skills and development training, industrial relationship development, improving and clarifying student processes and governance, and preparing for REF as well as maintaining a cross-University view of research, expertise and capability. It provides a one-stop shop for enquiries, support, and guidance across the whole research and innovation development pathway. For example, RIO in conjunction with

other professional service units has been actively supporting the publication process in a number of ways:

- Generating and distributing a Leading Academic Journals Guide to help and encourage researchers to decide where to publish as part of their individual publication plan
- Providing six-monthly reports of staff publications to inform line management support
- Workshops on Writing a Good Research Paper, an Introduction to Bibliometrics, Understanding Open Access and Publishing Research Outcomes on Sensitive Topics
- Organising academic-led sessions on writing for specific journals
- Coordinating 1-2-1 Publication Support upon request by individuals
- Webinars on Predatory Publishing, New Features in the Journal Citation Reports, and Making your Work Open Access.

1.3.6 RIO has also facilitated an increase in research funding through activities that support researchers, such as:

- Development and awareness sessions that highlight the UK and global funding environment, specific funding bodies and agencies and best practice in writing applications as well as guest expert speakers
- Ideas and individual career matching against funding schemes
- Workshops to enable the generation of innovative research ideas
- Creating a repository of application examples to aid proposal writing
- Providing in depth bid content reviews for both eligibility requirements and non-technical understanding
- Mock panel events and interviews that recreate the peer review process occurring within United Kingdom Research and Innovation (UKRI)
- A Knowledge Transfer Partnership (KTP) dedicated team that provide whole life support for KTP applications and projects
- Partnership brokering and support for industrial collaborations and contracts

1.3.7 In addition, RIO has helped support and develop prospective proposals for ED&I research funding and utilised the University's Engineering and Physical Sciences Research Council (EPSRC) Institutional Sponsorship Award to fund case studies with existing female staff and others with protected characteristics, on their careers as successful academic researchers. New software was also utilised and applied to a selection of Cranfield job adverts in an effort to improve language and encourage a more diverse range of applicants; best practice was developed as a consequence and is applied to the writing of our job descriptions.

1.3.8 The University achieved the European Commission's in HR Excellence in Research in 2017 in recognition of its commitment to supporting the careers of researchers. The achievement of the Award was important to the institution to demonstrate support for existing staff in maximising their

potential and to help attract new staff in support of the corporate priorities. In doing so, it requires the institution to regularly review and publish its practices and procedures against the principles of the Concordat to Support the Career Development of Researchers, publish and deliver an action plan for implementing the Researcher Development Strategy, and evidence what has been achieved. The key aspects the University initially focused on are the provision of a clear and well-communicated performance excellence framework and in developing common approaches and policies across the University to ensure a consistent, clear and strong provision of personal and career development support to researchers. The outcomes of the strategy in achieving excellence in researcher development are to:

- Deliver an excellent programme of researcher development
- Support researchers in their engagement with professional networks
- Provide a supportive research community
- Respond to changes in national research policy and funding
- Meet the requirements set out in the Concordat and the University's plans.

1.3.9 The University has made progress against the action plan, and the desired strategic outcomes, and will submit for re-accreditation in 2019.

1.4 Transparency, Consistency, Accountability and Inclusivity

1.4.1 At Cranfield, promotion and performance of individuals within the University is not influenced by the inclusion or non-inclusion of staff in any research assessment exercise. With 100% of our eligible staff being submitted into REF 2021, we are mindful that our submission needs to be fair and transparent and should not discriminate or adversely affect those with protected characteristics or other personal circumstances. The Equality Act 2010 (summarised in Table 1 of the REF CoP guidance) covers the protected characteristics of age, disability, gender reassignment, marriage and civil partnership, race, religion and belief, sex, sexual orientation.

1.4.2 To ensure the institution complies with its obligations under the Equality Act 2010, particularly the Public Sector Equality Duty, a Staff Consultation Communications Plan was followed (see **Appendix A**) to ensure that all perspectives and implications have been considered and that inadvertent discrimination or bias towards or against individuals does not occur. Different media were used to ensure all staff could understand, digest and feedback in a variety of ways such as email, dedicated email inbox, an intranet site updated constantly with

Q&As, drop in sessions and 1-2-1 open surgeries, webinars, presentation sessions, an online survey and School meetings. Staff not on site were sent all material in hard copy and encouraged to feedback in hard copy, soft copy, online, attendance on site or through telephone consultation. As part of the Equality Impact Assessment (EIA) process, the findings of the consultation process were considered not only in light of our REF processes but to wider University policies and procedures.

1.4.3 Therefore, processes for selecting research outputs and determining whether individual staff are eligible for a reduction in research outputs in addition to the roles and groups responsible for supporting or making decisions associated with the University's REF submission, are clearly described in this CoP. The principles governing the processes covered by the CoP and the mechanisms described in this document will be consistently applied across the organisation and managed through a single route via the REF Strategy Board. All individuals involved in either a decision-making or advisory capacity will receive the same REF-specific Equality, Diversity & Inclusion training.

1.4.4 The Staff REF Data Collection Statement for HEIs (**Appendix B**) outlines what information will be gathered as well as how it will be used, treated and secured. All of our REF processes will comply with the Cranfield University Privacy Policy.

Part 2: Identifying staff with significant responsibility for research

Cranfield University will submit 100% of Category A eligible staff, as defined by the REF Guidance on Submissions (academic staff with a contract of employment of 0.2 FTE or greater, on the payroll of the submitting institution on the census date, whose primary employment function is to undertake 'teaching and research' or 'research only').

Category A eligible staff will be identified by reference to their job family and career pathway. Staff on Cranfield Academic Research & Teaching pathways are eligible by this definition. Staff on Academic Education & Scholarship pathways are not eligible for REF as 'teaching only' staff. Staff with 'research only' roles will be eligible if they qualify as an independent researcher – see Section 3 below.

Therefore, Cranfield does not need to include policies and procedures for identifying staff with significant responsibility for research who would be excluded from Category A eligible staff.

Part 3: Determining research independence

3.1 Policies and Procedures

3.1.1 All staff employed on 31st July 2020 and meeting the common indicators for independent researchers as put forward by Research England and the REF Panels will also be eligible for submission. These criteria are:

- Minimum of 0.2 x FTE research contract
- Undertake self-directed research rather than delivering another individual's research programme
- Leading or acting as a Principal Investigator or equivalent on an externally funded research project, including contract research and Innovate UK Co-Investigators (Co-Is) and / or
- Holding an independently won, competitively awarded externally-funded fellowship where independence is a requirement and / or
- Leading a research group or a substantial or specialised work package (can include those research staff who are a named Co-I / technical lead on an externally funded grant)

3.1.2 In addition, Panels C and D (responsible for assessing Social Sciences and Arts and Humanities Unit of Assessment (UoA) submissions as opposed to Panels A and B who review Medicine, Health and Life Sciences and Physical Sciences, Engineering and Mathematics) also accept additional indicators:

- Named as a Co-I on externally funded grants / awards
- Having significant input into the design, conduct and interpretation of the research

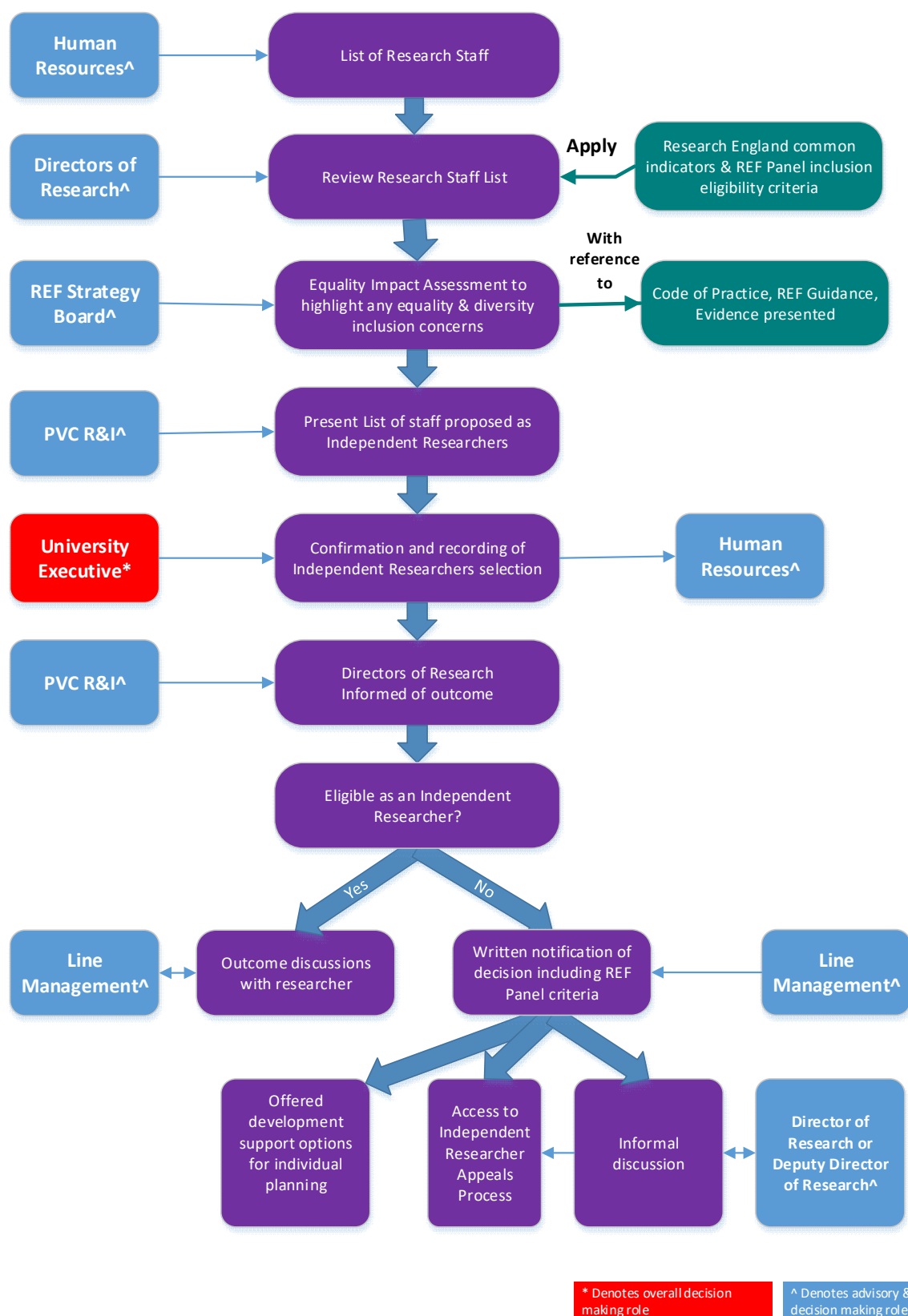
3.1.3 Please note that authorship of publications is NOT an indicator of an independent researcher.

3.1.4 The process followed for selection is outlined in Figure 2. It will initiate with HR&D providing an indicative list of staff to the Directors of Research. The Directors of Research will review the list and consider evidence to confirm which staff are independent according to the indicators above. The REF Strategy Board will objectively review the list from the Directors in light of the CoP and REF guidance and the evidence presented, highlight any equality, diversity or inclusion concerns. An Equality Impact Assessment (EIA) will be conducted to compare the population of staff identified as independent researchers to those not recommended for submission as independent researchers. The REF Strategy Board will make recommendations to the PVC R&I for changes to, or approval of, the list of staff proposed to be submitted as independent researchers. The PVC R&I will present the recommendations to the

University Executive who will confirm research staff selection. The PVC R&I will then inform the Directors of Research of the final list whom in turn will contact the relevant staff and their line managers to discuss the outcome. HR&D will record which staff have been confirmed as independent researchers. For those individuals not deemed eligible, the decision will be made in writing and reference the REF criteria for the relevant panel. They will also be appraised of all the support options available to them in order to develop as independent researchers over time, such as training and development opportunities, mentoring and funding options available.

3.1.5 Research staff wishing to appeal their outcome should follow the Independent Researcher Selection Appeal Process. The Directors of Research, or Deputy Directors of Research are the first point of contact for staff wishing to informally discuss their non-selection before going through the formal appeals route.

Figure 2 Independent Researcher Selection Process



3.2 Staff, Committees and Training

3.2.1 Overall decision-making

3.2.1.1 The University Executive is constituted to support the Chief Executive and Vice-Chancellor in exercising their delegated authority and responsibilities under the University Laws. The University Executive is the principal operating committee of the University.

3.2.1.2 The membership of the University Executive (Figure 1) will usually comprise the:

- Chief Executive and Vice-Chancellor (Chair);
- Pro-Vice-Chancellors;
- Chief Operating Officer;
- University Director of Finance (co-opted);
- University Secretary and Registrar.

3.2.1.3 The University Executive may, as required, co-opt additional members and invite attendees.

3.2.1.4 The duties of the University Executive are to:

- i. ensure effective strategic health and safety and environmental management across the University;
- ii. set University values, ethos and corporate image;
- iii. ensure the University operates within the relevant regulatory frameworks set by, among others, Government, Office for Students and UKRI;
- iv. identify and implement future strategy of the University, particularly areas for growth;
- v. monitor and evaluate the performance and effectiveness of the University against the plans and approved key performance indicators;
- vi. consider and recommend plans and budgets for submission to Council and other bodies as laid down by the University regulation;
- vii. identify the resources needed to implement strategy;
- viii. evaluate, monitor and manage the University Risk Register;
- ix. ensure that all parts of Cranfield are effectively managed; and

- x. manage the current and future performance of the University and its Schools.

3.2.1.5 The Pro-Vice-Chancellor for Education and the PVC R&I, reporting directly to Senate, and working with PVC - Schools, will be responsible for delivering, implementing and assuring the quality of the University's academic work.

3.2.1.6 Where a decision is reserved for Council (or related body) by University regulations, the Executive Committee's responsibility will be to make recommendations to that body.

3.2.1.7 The University Executive is therefore responsible for approving Cranfield's REF 2021 submission

3.2.2 Advisory and decision-making

3.2.2.1 The PVC R&I has a corporate responsibility for ensuring a high quality Cranfield University REF submission, as part of their duties on leading the University's research and innovation activities. Their role is to review the recommendations made by the REF Strategy Board on UoA selection, independent researcher returns, output selection, requests for UoA output reduction volumes according to the principle of ensuring the return for the collective good of Cranfield. The PVC R&I will then present the final recommendations to the University Executive for final approval for the REF 2021 submission.

3.2.2.2 The REF Strategy Board acts as a 'corporate body' in taking responsibility for delivery of the REF strategy. The Board's collective responsibility is to ensure the best possible outcome for Cranfield University as a whole. Therefore, members of the REF Strategy Board are responsible for delivering outcomes on behalf of the University rather than acting as representatives for a particular group of people or structure within the organisation.

3.2.2.3 The REF Strategy Board:

- Provides strategic direction for preparation of the University's REF submissions
- Informs the decision-making of the University's Executive in recommending the UoAs under which the University will submit
- Is responsible for providing an updated and approved University REF CoP
- Ensures that the University's decision-making and selection processes and their implementation are transparent, fair and in accordance with the University's Diversity Policy and REF CoP, and guidance received from the Higher Education (HE) funding bodies
- Ensures that all necessary data is provided via the centralised University systems and reviews diversity data at each stage of the decision-making process
- Makes the final recommendations on which research staff should be returned as independent researchers, the final outputs list and the impact case studies that should be submitted
- Reviews the institutional and UoA Environment templates
- Assess any proposed cases for UoA total output reductions and supports those for recommendation where the case is credible
- Ensures consistency of approach, where possible, across the University.
- Shares best practice gleaned from both internal external sources.
- Encourages the active engagement of all academic staff with the University's REF submissions and ensures effective communications on the REF process.
- Is an advocate for the REF submission process
- Informs the University Research Committee, via the PVC R&I as Chair and the Directors of Research as members, of progress and updates.

3.2.2.4 The Chair of the REF Strategy Board is appointed by the Research Committee and acts as the strategic lead on REF for the University. The Chair is selected from senior academic leadership staff of the University, i.e. the Directors of Research and Directors of Theme. The Research Committee is chaired by the PVC Research and Innovation and includes all Directors of Research who attend the REF Strategy Board, other academic staff and student representatives. Research Committee is a sub-committee of Senate. Senate has authority delegated by Council to oversee the academic work of the University, assure academic quality and standards and regulate student affairs. Senate normally meets four times a year and is chaired by the Vice-Chancellor.

3.2.2.5 Members of the REF Strategy Board are senior members of academic staff selected for their knowledge of research assessment exercises and/or their responsibility in directing major areas of research within the University. Each UoA under which the University could submit will be

considered and enacted by the REF Strategy Board, recommending an approach to the University Executive via the PVC R&I based on best fit for research, strategic content and previous REF experience. PVC-Schools are observers at the REF Strategy Board.

Members of the REF Strategy Board are:

Chair – currently Director of Research SWEE

PVC R&I

Director of Research CDS

Director of Research SATM

Director of Research SoM

Director of Research & Innovation RIO

Head of Research Excellence RIO

Secretary - REF Delivery Manager RIO

REF Theme Leads - Publications / REF UoA Leads

REF Theme Leads - Impact

Senior HR Lead for Performance Excellence

Senior Assistant Registrar Education Services

Head of Diversity and Inclusion HR&D

Research staff representatives

3.2.2.6 Information on the Board and the minutes from each meeting are available on the intranet to all staff. Reports containing sensitive data are available only to members of the Board, with data managed, stored and processed in line with applicable data protection legislation¹ and the Cranfield University Privacy Policy.

3.2.2.7 There is one Director of Research per School, selected via an open competition requesting individuals with at least 5 years' experience in research and previous experience of responsibility and expertise; as such, they are typically senior academics. Their appointments are confirmed by Senate via the PVC R&I through recommendation by the PVC School. The Directors of Research have a clear strategic role to work with the PVC R&I to develop the University's Research Strategy and to implement this through the thematic structure of their Schools. They also manage the provision of the School relating to research activity and programmes of supervised research including assessing the sustainability of the research capabilities and practices within the School and raising issues with Senate relating to the provision of an excellent research environment.

¹Data Protection legislation includes the Data Protection Act 2018, the General Data Protection Regulation (EU) 2016/679 and related UK legislation, the Privacy and Electronic Communications (EC Directive) Regulations 2003 and any related guidance or codes of practice issued by the Information Commissioner, all as amended, re-enacted or updated.

As such, the Directors of Research are in an ideal position to undertake the following duties in relation to the CoP:

- Inform the REF Strategy Board of the School's research portfolio
- Lead the review of research quality within each School
- Liaise with other Directors of Research where appropriate
- Ensure good coordination within each School and raise any issues that REF Theme / UoA Leads may encounter to their respective School Executive.
- Reviews the evidence from research staff against the agreed indicators of independent research
- Make recommendations to the REF Strategy Board as to which staff are independent researchers
- Provide informal support to staff considering following the Independent Researcher Selection Appeal Process due to non-selection
- Provide informal support to staff considering engaging with the Individual Staff Circumstances Process
- Following the decisions of the REF Strategy Board and the Independent Researcher Selection Appeal Process, notify line management of the outcomes for research staff
- Following the decisions of the REF Strategy Board and the Individual Staff Circumstances Panel (ISCP), notify line management of the final list of outputs and supported output reductions for staff outcomes.

3.2.2.8 The responsibilities of the REF Theme Leads are listed below.

REF Theme Lead – Publications:

- Lead a review of the publication outputs (primarily journal articles) published within each Theme; focusing on their suitability of the outputs for the REF.
- In partnership with the Director of Theme / Heads of Centres, plan and support staff in achieving REF outputs.
- Advise the REF Strategy Board on which publication outputs are to be assigned to individual staff with a view to maximising the outcome of REF for the University as a whole, informed by equality considerations
- Act as the first point of contact for staff informally wishing to discuss the suitability of their publications in each Theme
- Ensure that the University's REF CoP is implemented
- Represent the University's research Theme portfolio at the REF Strategy Board
- Liaise with other REF Publications Leads where appropriate

- Conversant with Open Access requirements for the next REF and be able to offer advice to staff (briefing/training by Library to be provided)
- Advise the REF Strategy Board on the data profile of eligible staff

REF Theme Lead – Impact:

- Provide academic leadership to the development of potential impact case studies within each Theme that could be submitted to the REF, with support of the Research Impact Co-ordinator, RIO
- In partnership with the Director of Theme / Heads of Centres, plan and support staff in building impact case studies
- Advise the REF Strategy Board on which impact case studies should be taken forward, taking into account the criteria set for the REF
- Act as the first point of contact for staff informally wishing to discuss potential impact case studies within in each Theme
- Ensure that the University's REF CoP is implemented
- Represent the University's research Theme portfolio at the REF Strategy Board
- Ensure impact case studies are linked to a research activity and body of work as well as a broad range of research outputs
- Liaise with other REF Impact Leads where appropriate

3.2.3 Training Provided to Advisory and Decision-Making Parties

3.2.3.1 All staff involved in REF-advisory and decision making processes (both internal and external) will undertake diversity & inclusion training before any final selections are made. The training will be tailored to the University's specific REF processes (using the materials shared at the Advance HE REF Workshop) and will be led by the Head of Diversity & Inclusion with the involvement of HR&D / REF teams. The learning outcomes of the training will be to;

- Understand the legislative and policy drivers and context for embedding consideration of equality and diversity in REF 2021
- Ensure that equality is embedded in all decisions on REF 2021 at the level of the individuals, UoAs and institutionally
- Understand the concepts of conscious and unconscious bias and how these can impact on REF 2021 decision making

- Create a culture and process for individuals to disclose circumstances (but not compelled to)
- Manage at UoA level the effects of individuals on the total output pool
- Begin to develop individual and institutional actions and strategies to minimise the potential for bias in REF decision making

3.2.3.2 In addition to REF specific training, staff involved in REF processes will have undertaken the following:

- ED&I online module (which is mandatory for all staff)
- Unconscious Bias training for REF Strategy Board
- ED&I briefing for REF Strategy Board in July 2018 highlighting lessons from 2014

3.3 Appeals

3.3.1 Research staff wishing to appeal their outcome should follow the Independent Researcher Selection Appeal Process. The Directors of Research, Deputy Directors of Research or the Head of Diversity & Inclusion are the first point of contact for staff informally wishing to discuss their non-selection before going through the formal appeals route. The appeals process is detailed within this CoP, which will be available on the intranet and sent to everyone via email (or hard copy if not on site). For those staff deemed ineligible as an independent researcher through the selection process and whom will receive written feedback as to why, according to the eligibility criteria, the appeals process will be referenced in their feedback to aid their awareness of the appeals option.

3.3.2 Should an individual believing that they should be treated as an independent researcher wish to make a formal appeal against non-selection they must prepare a clear case of the grounds for appeal, in writing, to the Chair of the REF Strategy Board.

3.3.3 The Chair will then establish an Independent Researcher Selection Appeal Panel comprising of a Director of Theme (Chair) not associated with the Theme in which the individual is hosted, the Senior HR Lead for Performance Excellence, the Head of Diversity & Inclusion and the Secretary to the REF Strategy Board/Senior RIO Representative. The individual can also choose to be accompanied by a colleague or union representative. Where the appeal is straightforward this should normally be completed within 20 working days. HR&D will record which staff have been confirmed as independent researchers. The individual and the relevant UoA Lead will be informed, in writing, of the outcome of this Stage I appeal.

3.3.4 If an individual is not satisfied with the Stage I Appeal outcome and wishes to appeal further, they must outline the reasons in writing to the Chair of the REF Strategy Board. A second Appeals

Panel will then be established mirroring the first, except that a different Director of Theme will Chair the Panel, and undertake a review of the Stage II appeal. The individual can also choose to be accompanied by a colleague or union representative.

3.3.5 The grounds for appeal against a decision at Stage I are limited to one or more of the following:

- 1) That evidence provided to the reviewer at Stage I was incorrect or incomplete, to the extent that it is reasonable to conclude that the outcome may have been different.
- 2) That the Stage I review was not conducted in accordance with this CoP.
- 3) That there was prejudice or bias on the part of the reviewer.

3.3.6 The conclusion of this Stage II Appeal will normally be communicated in writing to the individual concerned within 5 working days of the appeal and will be the final decision under this appeals process. HR&D will record which staff have been confirmed as independent researchers.

3.4 Equality Impact Assessment

3.4.1 The University is committed to assessing the impact of all its policies and procedures and has a robust equality impact assessment process in place for doing this. The purpose of the Equality Impact Assessment (EIA) is to monitor data / current actions and their potential impact, and identify future actions to make processes more inclusive.

3.4.2 All REF policies, processes and procedures (including this CoP) relating to the University will be equality impact assessed by the Head of Diversity & Inclusion with support from HR&D and the REF Strategy Board, and will be monitored on an on-going basis to ensure there is equality of opportunity for staff and that an inclusive approach has been taken. We will also try to ensure that decision-making panels are as diverse as possible at each stage.

3.4.3 The key points at which EIAs will be carried out are:

- When comparing data by protected characteristic on Category A eligible staff against the broader academic/research community (to identify and address equality issues). This specifically refers to the characteristics of staff on 'Research & Teaching' pathways in comparison to the characteristics of staff on 'Education & Scholarship' pathways, and comparing those research staff that meet the definition of being 'independent researchers' to the broader pool of early career research staff (or equivalent at Cranfield).

- When comparing data on the number of outputs from staff by protected characteristics, to ensure there has been a fair and transparent process. This includes processes on how outputs were selected for submission.
- Overall consideration will also be given to the combined impact of policies and procedures relating to i) the identification of staff who are considered independent researchers and, ii) the selection of outputs.
- When considering appeals (to ensure there is no negative impact on any particular group of staff).
- When preparing the final submission, to ensure that any equality barriers have been considered and addressed.
- When staff have requested a reduction in outputs due to exceptional circumstances to ensure staff are disclosing a range of circumstances.

3.4.4 Immediate action will be taken to address and equality, diversity and inclusion issues which are identified in relation to this CoP or its implementation over the course of the REF period.

3.4.5 An initial EIA template is provided in **Appendix C**.

Part 4: Selection of outputs

4.1 Policies and Procedures

4.1.1 Output submission has been decoupled from submitted staff in REF 2021 meaning that submitted staff are not required to submit the same number of outputs but the UoA as a whole is expected to submit a specific number of outputs. The total number of outputs required for each UoA must equal 2.5 times the number of submitted FTE staff. For REF 2021, all staff submitted to REF are required to have at least 1 output attributed to them within the UoA submission up to a maximum of 5 outputs. Outputs will be selected on the basis of research quality. Publications are required to be made open access where possible and be in the public domain by 31st December 2020.

4.1.2 Cranfield has committed to not including outputs from former staff who have been made redundant where no other Cranfield co-authors are named.

4.1.3 The process of selecting the outputs is outlined in Figure 3. It will be based on the sample set offered to UoA Leads by the individual staff themselves. Staff will be asked to identify up to 5 outputs each, representing their highest quality research, and put them in quality order then send these to refadmin@cranfield.ac.uk or flag them on the Cranfield Research Information System (CRIS). This includes staff requests for consideration of double-weighting of an output, allowing the attribution of the same output to a maximum of 2 submitted members of staff, reflecting each individual's substantial research contribution to the output. In this instance, the work tends to have been of a large scale and / or necessitated intensive research collaboration. Output reductions, as a result of staff circumstances, will be informed by the Chair of the ISCP. Staff should discuss their sample set with line managers, colleagues, Directors of Theme or Directors of Research for additional input, before submitting their best outputs for consideration. The criteria for assessing the quality of outputs are 'originality, significance and rigour'. Each star rating is as follows:

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.

4.1.4 Research England define output quality as:

Originality will be understood as the extent to which the output makes an important and innovative contribution to understanding and knowledge in the field. Research outputs that demonstrate originality may do one or more of the following: produce and interpret new empirical findings or new material; engage with new and/or complex problems; develop innovative research methods, methodologies and analytical techniques; show imaginative and creative scope; provide new arguments and/or new forms of expression, formal innovations, interpretations and/or insights; collect and engage with novel types of data; and/or advance theory or the analysis of doctrine, policy or practice, and new forms of expression.

Significance will be understood as the extent to which the work has influenced, or has the capacity to influence, knowledge and scholarly thought, or the development and understanding of policy and/or practice.

Rigour will be understood as the extent to which the work demonstrates intellectual coherence and integrity, and adopts robust and appropriate concepts, analyses, sources, theories and/or methodologies.

4.1.5 In addition, there are separate Panel criteria that provide further information.

4.1.6 Any sensitive outputs (business confidential or have national security classified status) should be identified by the author, and will be managed and secured appropriately in accordance with the Cranfield University Privacy Policy. Any outputs of an interdisciplinary nature should also be identified by the author as it will determine how the output is treated by the REF Panels. The criteria for an interdisciplinary identifier are:

'Research that achieves outcomes (including new approaches) that could not be achieved within the framework of a single discipline. It should feature significant interactions between two or more disciplines and/or move beyond established disciplinary foundations in applying or integrating research approaches from other disciplines.'

4.1.7 Once the output list from individual researchers has been collected by RIO along with any additional requests as above, it will then collate the list of outputs and send these to the relevant UoA leads, along with any available data. Therefore, the UoA Leads will receive the following data:

- Author assessment
- The outcomes of any Internal Review (based upon the criteria used by Research England and undertaken by a subject matter expert)
- The outcome of any External Review (based upon the criteria used by Research England and undertaken by a subject matter expert)
- Citation data where the UoA being considered will use such information

4.1.8 UoA leads will review the quality of the research output, drawing on the available data as appropriate, and utilise academic judgments to assign a 'REF starred level' (4* to Unclassified) to each output. Please note that the supporting data provided will be used to inform and support expert opinion and evaluation in accordance with the principles outlined in Cranfield University's Responsible Research Evaluation statement (**Appendix D**), and will NOT supplant qualitative assessment or expert judgement. Sensitive research outputs must have the permission of the sponsoring organisation to be made available to the REF team if requested. They will only be shared with the REF team and relevant Panel, whom are operating under a confidentiality agreement. Outputs will not be listed as part of published submissions and once the assessment has taken place, will be destroyed.

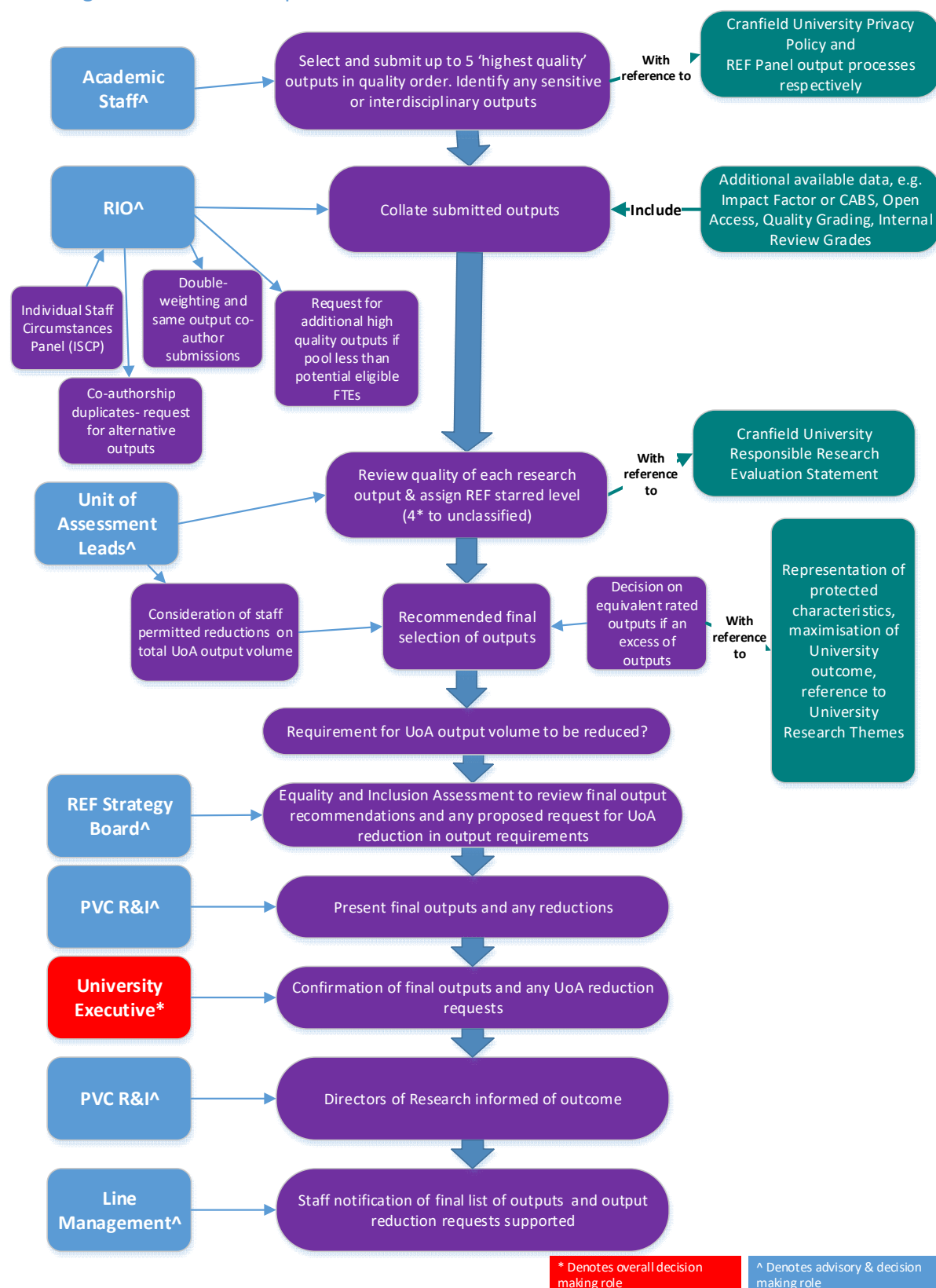
4.1.9 Where there is a duplication of outputs offered due to co-authorship, RIO will ask the authors for alternative representatives of their highest quality research. Only Panel D (Arts & Humanities) allow the inclusion of the same output twice; the criterion here is that the work itself was of a large scale or constituted intensive collaborative research. The attribution of outputs of submitted individuals will be enacted by the UoA Lead in the first instance. Where an insufficient pool of outputs have been offered, relative to the number of potentially eligible FTEs, RIO will ask authors for any additional high quality outputs they may have. Where decisions need to be made between outputs scoring the same grade due to an excess of outputs required, then the following criteria will be applied: appropriate representation of staff protected characteristics being

submitted, maximisation of outcome for the University and adequate reflection of the University Research Themes.

4.1.10 Disproportionate effects on the total output requirement of UoAs arising from REF-eligible individuals whose circumstances have affected their ability to produce multiple research outputs (i.e. 2.5x the number of FTEs), will be considered as part of the Individual Output Selection process and are separate from the staff selection processes. RIO will inform the UoA Leads of any relevant decisions made by the ISCP where permitted output reductions have been agreed. The UoA Lead will then consider whether there is a sufficient volume of individuals with permitted reductions to substantially impact on the total UoA output volume and whether the requirement for the UoA volume of outputs can be met. Example scenarios would include where a very small UoA is disproportionately affected by staff with permitted output reductions or if disciplinary norms make it likely individuals will have generated a smaller number of outputs across the publication period.

4.1.11 Recommendations on the selection of final outputs and whether a request for a reduction in output requirement may be necessary for each UoA, will be initially made by the UoA Lead to the REF Strategy Board. The Board will review the short-list and make any adjustments needed to ensure the list is representative of the protected characteristics of the submitted staff via a EIA, optimises the outcome of the REF submission for the University, and that it adequately reflects the University's Research Themes. The research outputs of staff that have left during the course of the REF period will be included if they are deemed to represent the overall quality of the submission. Cranfield has committed to not including outputs from former staff who have been made redundant where no other Cranfield co-authors are named. The Board will also assess any cases presented for requests for UoA total output reductions. The recommended list of outputs and any supported requests will then be considered by the University Executive via the PVC R&I, where final approval of the output selection and reduction requests will be made. The PVC R&I will then inform the Directors of Research of the final submission of outputs and supported output reduction requests, whom in turn, will contact the relevant staff and their line managers to discuss the outcome. Upon request, staff may receive the internal rating of their research outputs for information purposes only.

Figure 3 Individual Output Selection Process



4.2 Staff, Committees and Training

4.2.1 Overall decision-making

4.2.1.1 The University Executive is responsible for overall decision-making, see 3.2.1.1

4.2.2 Advisory and decision-making

4.2.2.1 All REF eligible staff (see Section 2 above), will be required to submit up to a maximum of 5 research outputs for consideration. Their selection will form the basis of the pool of outputs considered by the University for submission. It is expected that individuals are the best judge of their output portfolio in terms of quality and impact, hence they form the first decision gate. They should seek advice from their peers and colleagues, such as the Directors or Deputy Directors of Research the REF Publication Leads or the UoA Leads to help in their selection.

4.2.2.2 REF Strategy Board, see 3.2.2.2

4.2.2.3 Directors of Research, see 3.2.2.7

4.2.2.4 UoA Leads are required to have relevant research expertise and seniority in the field and be representative of the cohort of eligible staff. An invitation will be sent out to current REF Theme Leads (Publications & Impact), asking people to set out their interest, relevant experience, commitment to ED&I and line manager approval. REF Strategy Board reviews applications and selects individual. If no nominations are received, the invitation will be sent out to all academic staff requesting indications of interest. If no applications are received or applications are from individuals whom do not match the criteria, then the REF Strategy Board identifies suitable individuals based on relevant experience, ED&I commitment, and representation of UoA disciplines. Board Chair and PVC R&I ensure appropriate time is set aside in UoA Lead workloads and role recognised and approved by their PVC - School.

4.2.2.5 The UoA Leads will be appointed in June 2019, so as to take overall responsibility for all aspects of each individual UoA submission. They will build on the work already undertaken by the REF Theme Leads. From 2015 to 2019, REF Theme Leads - Publications have had responsibility for looking after the research output quality within each of Cranfield's 8 Themes and will continue to liaise closely with them. In particular, the UoA Lead roles will cover:

- Advise the REF Strategy Board on the content of the UoA submission
- Lead the review of research quality for their UoA
- Consider the impact of staff reductions as informed by Chair of the ISCP on overall output volume of UoA
- Determine which outputs are assigned to individual staff; liaising with REF Theme Leads
- Decide on equivalently-rated outputs should there be an excess against UoA-staff requirements
- Recommend the best pool of outputs based on research quality in terms of originality, significance and rigour using academic judgement to the REF Strategy Board
- Recommend the best pool of impact case studies in terms of greatest reach and significance to the REF Strategy Board
- Oversee final preparation / drafting of impact case studies
- Lead on compiling the individual UoA environment statements (REF5) with support from RIO
- Liaise with other UoA Leads and REF Theme Leads as appropriate
- Ensure the University's REF CoP is implemented in their deliberations
- Work closely with RIO to deliver a mock REF in autumn 2019, the findings of which will inform UoA submission decisions

4.2.2.6 All data received and generated by the UoA Leads will managed, stored and processed in line with applicable data protection legislation¹ and the Cranfield University Privacy Policy.

¹Data Protection legislation includes the Data Protection Act 2018, the General Data Protection Regulation (EU) 2016/679 and related UK legislation, the Privacy and Electronic Communications (EC Directive) Regulations 2003 and any related guidance or codes of practice issued by the Information Commissioner, all as amended, re-enacted or updated.

4.3 Staff Circumstances

4.3.1 The University recognises that certain circumstances may have constrained an individual's ability to produce a research output or to work productively throughout the assessment period.

These circumstances may be:

- Qualifying as an early career researcher
- Absence from work due to secondments or career breaks outside the HE sector lasting at least 12 months
- Qualifying periods of family-related leave
- Circumstances equivalent to absence that require a judgement about the appropriate reduction in outputs
- Part-time staff (by exception as part-time working is considered when calculating FTEs within each UoAs e.g. the FTE of a staff member late in the assessment period does not reflect their average FTE over the period as a whole)
- Absences due to;
 - o Disability
 - o Ill health, injury or mental health conditions
 - o Constraints due to pregnancy, maternity, paternity, adoption or childcare
 - o Other caring responsibilities
 - o Gender reassignment
 - o Circumstances relating to the protected characteristics as above or activities protected by employment legislation.

4.3.2 If a member of staff eligible for REF submission would like a reduction in outputs to be considered due to individual circumstances, they can do so by voluntarily completing the Declaration of Individual Circumstances Template and sending it to the Head of Diversity and Inclusion (**Appendix E**). The period for staff to submit their Declarations to the University for a reduction in outputs will launch in June 2019 and end 18 December 2020. Existing staff employed by the University will be encouraged to submit requests for permitted reductions in outputs to zero by 31 January 2020 if possible, as these require permission from Research England due to the decoupling model used for REF 2021 i.e. each returned member of staff is required to submit only 1 output. Any request submitted thereafter as part of the final REF submission will not have a known outcome until the assessment results are received.

4.3.3 The individual staff circumstances process is outlined in Figure 4. If staff would prefer an initial informal confidential discussion, they may contact the Head of Diversity and Inclusion, the Directors of Research or the Deputy Directors of Research. All formal Stage I requests will then

be confidentially reviewed by the ISCP Chaired by the Head of Diversity & Inclusion and also comprising of a representative of HR&D and the Secretary of the REF Strategy Board/Senior RIO Representative. The individual concerned will be informed of the outcome by the Chair of the Panel within 20 working days. If the Panel's decision leads to a reduction in the number of outputs associated with an individual, then the relevant UoA lead and RIO will be informed, but NOT of the reason for the reduction.

4.3.4 Information received will be stored and processed in line with applicable data protection legislation¹. Our Cranfield University Privacy Policy provides further information on this matter. Completed 'Declaration of Individual Staff Circumstances Templates' will be handled with the utmost confidentiality and will only be used for the purposes stated above. Circulation will be restricted to HR and the Panel only and will not be made available to anyone else, including line management. A Data Protection Impact Assessment will be undertaken as the information will be stored on the HR&D server separate from existing HR&D staff records, thus creating a new personal data repository. Where we compile data for statistical purposes, the information is completely anonymised to protect an individual's privacy.

4.3.5 The declaration of individual circumstances is entirely voluntary, with no expectation placed on individuals to declare known or unknown circumstances.

4.3.6 The following table outlines the permitted reductions in outputs for early career researchers (from average of 2.5 outputs) associated with an individual's circumstance:

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

¹ Data Protection legislation includes the Data Protection Act 2018, the General Data Protection Regulation (EU) 2016/679 and related UK legislation, the Privacy and Electronic Communications (EC Directive) Regulations 2003 and any related guidance or codes of practice issued by the Information Commissioner, all as amended, re-enacted or updated.

The following table provides output reductions related to absence from work due to secondments or career breaks outside of HE:

Total months absent between 1 January 2014 and 31 July 2020 due to a staff member's secondment or career break:	Output pool may be reduced by up to:
Fewer than 12 calendar months	0
At least 12 calendar months but less than 28	0.5
At least 28 calendar months but less than 46	1
46 calendar months or more	1.5

The following table provides output reductions related to qualifying periods of family-related leave:

Type and length of leave	Impact on individual output:
Statutory maternity leave or statutory adoption leave taken substantially during 1 January 2014 to 31 July 2020	Reduce output pool by 0.5 for each discrete period
Additional paternity or adoption leave, or shared parental leave lasting 4 months or more, taken substantially during 1 January 2014 to 31 July 2020	Reduce output pool by 0.5 for each discrete period

4.3.7 Where individuals have had a combination of circumstances that have a defined reduction in outputs, these may be accumulated up to a maximum reduction of 1.5 outputs.

4.3.8 All academic submitted staff must be returned with a minimum of one output attributed to them. However, where an individual's circumstances have had an exceptional effect on their ability to work throughout the assessment period such that they have not been able to produce an eligible output, a request may be made for the minimum to be removed. These circumstances are:

- o an overall period of 46 months or more absence from research during the assessment period, due to one or more of the circumstances set out above
- o circumstances equivalent to 46 months or more absence from research, where circumstances as set out above apply
- o two or more qualifying periods of family-related leave

4.3.9 Where these circumstances do not apply but others are deemed to have resulted in a similar impact (e.g. a combination of circumstances), these can also be considered.

4.3.10 Should any individual wish to appeal the decision of the Panel, they must prepare a clear case of the grounds for Stage II appeal, in writing, to the Chair of the ISCP. Figure 4 outlines the process. The grounds for appeal are:

- 1) That evidence provided to the Panel at Stage I was incorrect or incomplete, to the extent that it is reasonable to conclude that the outcome may have been different.
- 2) That the Stage I review was not conducted in accordance with this CoP.
- 3) That there was prejudice or bias on the part of the reviewer.

4.3.11 A Stage II Appeals Panel will then be established mirroring the first, except that the Director of HR&D will Chair the Panel, and undertake a review of the evidence presented. The individual can also choose to be accompanied by a colleague or union representative. The conclusion of this Stage II Appeal will normally be communicated in writing to the individual concerned within 5 working days of the appeal and will be the final decision under this appeals process.

4.4 Equality Impact Assessment

4.4.1 The initial EIA is provided in **Appendix C**.

Figure 4 Individual Staff Circumstances Process



Part 5: Appendices

Appendix A: Staff Consultation Communications Plan

The CoP staff consultation was undertaken as part of an ongoing policy of ensuring that all staff are kept informed of REF 2021 developments.

Cranfield has had dedicated intranet pages available to all staff with information on the Research Excellence Framework (REF) since 2015. Full information is included on the format of REF with guidance to staff. The membership drawn from all Themes across the university and terms of reference of the REF Strategy Board are included, along with the minutes of every Board meeting.

Regular updates on REF 2021 progress have also been communicated through the Research Committee and Senate. The Research Committee is chaired by the PVC Research and Innovation and includes all Directors of Research who attend the REF Strategy Board, other academic staff and student representatives. Research Committee is a sub-committee of Senate. Senate has authority delegated by Council to oversee the academic work of the University, assure academic quality and standards and regulate student affairs. Senate normally meets four times a year and is chaired by the Vice-Chancellor.

For the REF 2021 CoP, a comprehensive consultation communication plan was initiated through the university's internal communications team, so that staff were given the maximum opportunity to respond and feedback (see below).

REF 2021 CoP consultation communication plan timeline

Actions

- Develop a set of key messages for use by those communicating/involved in REF to ensure consistency – Strategy Board; UoA leads; impact case study co-ordinators etc.
- Agree co-ordinated and collaborative approach between REF team and internal communications team
- All REF-related communications to go out from refadmin@cranfield.ac.uk email address
- REF team and internal communications team to meet monthly to develop the communications plan, ensure consistency and co-ordination and to ensure messages are reiterated through all of our channels and opportunities are not missed.
- REF intranet site to be developed over time to become repository of all REF-related information and messages

Specific communications

11 March 2019

- Article in March eBulletin for all staff about what REF is and why it's important to the University/all of us
- Email to all academic and research staff and message included in eBulletin publicising the REF information sessions (overview of REF 2021 guidance and introduction of the topics for consultation) and REF webinar – 'How to prepare for REF'.

12 March

- Paper on the REF CoP and consultation presented by PVC R&I to the University Executive.

19 March

- Updated REF intranet site published to include REF 2021 information, including a set of questions and answers which will be added to over time and a high level timeline
- Targeted email to all academics and researchers about proposed eligibility; development of CoP and consultation in April; publications and support available.

21 March

- Communication meeting with Unions to share plans for the CoP consultation

22 March

- REF included as a topic at the School of Aerospace, Transport and Manufacturing all- school meeting

25 March

- Presentation, discussion and feedback at Senate 13:45 (Stafford Cripps 1 and Global Classroom)

1 April

- Email to all academic and research staff with a link to the draft CoP, inviting comments on three elements:
 - o the eligibility criteria for individuals classed as independent researchers
 - o our proposed REF processes, including appeals
 - o the indicators used to determine the quality of outputs.
- Highlighting the various ways that colleagues can feed back their comments:
 - o Email: refadmin@cranfield.ac.uk
 - o General drop-in sessions: 9 April, 1-3pm (Cranfield Vincent Building, LR3); 11 April, 1-3pm (Cranfield Vincent Building, LR3); 15 April, 12-2pm (Cranfield Vincent Building, LR3); Shrivenham date 23 April, 12-2pm, WH174
 - o PVC R&I drop-in sessions (see below)
 - o Online form: Found on REF intranet site
 - o Webinars: Monday 8 April 2-3pm, Wednesday 10 April 2-3pm and Tuesday 16 April 1-2pm. Sign up by emailing the REF Delivery Manager
- Hard copy letter and CoP posted to home address of academic/research colleagues who are currently away from the University.
- Announcement published on the intranet replicating the email message.
- REF message to be one of three topics discussed by Peter Gregson in his latest all staff video message included in the April eBulletin.
- Communication to Unions to share plans for the CoP consultation

10 April

- REF included as a topic at the School of Water, Energy and Environment all-school meeting

19 April

- 'Open surgery' drop-in sessions with PVC R&I:
 - o 15 April, 2-4pm (Stafford Cripps seating area, Cranfield)
 - o 19 April, 2-4pm (Stafford Cripps seating area, Cranfield)
 - o 23 April, 2-4pm (Room 10, Slim Building, Shrivenham)

w/c 22 April

- Progress update and what's next article included in InBrief, the eBulletin for academic, research and technical colleagues.

24 April

- REF included as a topic at the School of Management all-school meeting

26 April

- Close of Consultation

w/c 29 April

- Email to academic/research staff following consultation to share any changes following consultation; thanks for input; update on what's next (mock REF exercise in autumn)

1 May

- Communication to Unions to share consultation feedback and present final draft of CoP consultation at the Strategic Combined CJCC & JNCC Meeting

20 May

- REF Strategy Board Meeting: 11-12pm (Stafford Cripps 1)

June

- Share link to published CoP on REF intranet site.
- Declaration of Individual Staff Circumstances to be sent out via email, hard copy where staff are off-site and published on REF intranet site.

Appendix B: Staff REF Data Collection Statement for HEIs

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

If you are a researcher who has been included as part of our submission to the REF 2021, in 2020 we will send some of the information we hold about you to UKRI for the purpose of the REF 2021. The information will not be in coded form and your name and details such as your date of birth, research groups, and contract dates will be provided along with details of your research. If you are submitted with individual circumstances that allow a reduction in the number of outputs submitted, without penalty, some details of your personal circumstances will be provided.

You can find further information about what data are being collected on the Research England REF website, in particular publication 2019/01, 'Guidance on submissions'.

Sharing information about you

UKRI may pass your data, or parts of it, to any of the following organisations that need it to inform the selective distribution of public funds for research and to carry out their statutory functions connected with funding higher education:

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

Some of your data (Unit of Assessment, HESA staff identifier code and date of birth) will also be passed to the Higher Education Statistics Agency (HESA) to enable it to verify coded data returned to it as part of our HESA staff return (see HESA webpage). Data returned to the REF will be linked to that held on the HESA staff record to allow UKRI and the organisations listed above to conduct additional analysis into the REF and fulfil their statutory duties under the Equality Act 2010 (England, Wales and Scotland) or the Northern Ireland Act 1998 (Northern Ireland).

UKRI and the organisations listed above will use the information to analyse and monitor the REF 2021. This may result in information being released to other users including academic

researchers or consultants (commissioned by the funding bodies), to carry out research or analysis, in accordance with the Data Protection Act 2018 and the General Data Protection Regulation (GDPR) (Regulation (EU) 2016/679). Where information not previously published is released to third parties, this will be anonymised where practicable.

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

Parts of your data will be passed to the REF expert panels and the Equality and Diversity Advisory Panel (whose members are independent of UKRI) for the purpose of conducting a systematic evaluation of submissions, in accordance with predetermined criteria and methods. Panels will make judgments about the material contained in submissions and will not form quality judgments about individuals. All panel members are bound by confidentiality arrangements.

Publishing information about your part in our submission

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

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

UKRI will also publish a list of the outputs submitted by us in each UoA. This list will not be listed by author name.

Data about personal circumstances

You may voluntarily disclose personal circumstances to your submitting unit, which could permit us to submit your information to the REF without the 'minimum of one' requirement (without penalty), or to submit a reduced number of outputs without penalty. If (and only if) we apply either form of reduction of outputs, we will need to provide UKRI with data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see the 'Guidance on submissions' document (paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted. Please see the Cranfield CoP for details on how the process for disclosing and considering personal circumstances will be managed.

Submitted data will be kept confidential to the Research England REF team, the Equalities and Diversity Advisory Panel, and main panel chairs. All these bodies are subject to confidentiality arrangements. Information received by Cranfield staff according to the CoP defined processes, will be stored and processed in line with applicable data protection legislation¹. The University's [Privacy Notice](#) provides further information on this matter. Completed 'Declaration of Individual Staff Circumstances Templates' will be handled with the utmost confidentiality and will only be used for the purposes stated above. Circulation will be restricted to HR&D and the Panel only and will not be made available to anyone else, including line management. Where data is compiled for statistical purposes, the University will ensure the information is completely anonymised to protect an individual's privacy. The REF team will destroy the submitted data about individuals' circumstances on completion of the assessment phase.

As set out above, unless redacted, the information to be published by UKRI, on behalf of the four UK higher education funding bodies, will include a single list of all the outputs submitted by us. The list of outputs will include standard bibliographic data (including the author name) for each output, but will not be listed by author name.

Accessing your personal data

Under the Data Protection Act 2018 and the GDPR, you have the right to see and receive a copy of any personal information that UKRI holds about you. Further information about the Act and GRPR, and guidance on making a subject access request, can be found on the Research England website.

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

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

[Email: dataprotection@ukri.org](mailto:dataprotection@ukri.org)

Cranfield Privacy Policy and GDPR

If you have any concerns or require any further information regarding our Privacy Policy or GDPR more information can be found on our website

<https://www.cranfield.ac.uk/about/governance-and-policies/policies-and-regulations/privacy-policy>.

Appendix C: Equality Impact Assessment

Name of Policy/Procedure	REF 2021 Code of Practice
Outline of policy/procedure	All HEI's submitting to REF 2021 must implement and produce a CoP on the fair and transparent identification of staff with significant research responsibility (where applicable); determining who is an independent researcher; and the selection of outputs. The purpose of an equality impact assessment is to determine whether the proposed policy/activity has a differential impact on a particular group of staff. For the purposes of REF 2021, an equality impact assessment will take place at different stages of the process to ensure that it is fair and transparent. A more detailed equality impact assessment on the impact of the Code will be undertaken alongside a Mock REF to be conducted in Autumn 2019. This will include an analysis of data on staff with protected characteristics across the key components of the REF process. The outcome of this analysis will be taken into account by the REF Strategy Board leading up to the REF census date of 31 July 2020.
Date of assessment	20/05/19 (initial assessment).
Name of assessor	Hiran Odedra (Head of Diversity & Inclusion)

	Further information/proposed impact	Where appropriate, give reason/response/mitigating actions
Is there a particular risk of this policy or procedure having an adverse or different impact on people with a protected characteristic? 1. Career pathways for staff and REF eligibility 2. Determining research independence	Cranfield will submit all staff on an academic contract with an FTE of 0.2 or greater whose primary function is to undertake 'research' or 'teaching and research' on the census date (in line with the REF guidelines). Staff on an Education & Scholarship pathway are not eligible for REF. The impact of HR&D policies are regularly monitored by the University's Senior Management Team with respect to EDI. There has been no significant impact identified on any protected characteristics, when comparing REF eligible career pathways (Research & Teaching) with those on non-eligible career pathways (Education & Scholarship), to date. REF guidance states that an independent researcher is considered to be an '<i>individual who undertakes self-directed research rather than carrying out another individual's research programme</i>'. Therefore Cranfield will include all Level 5 and above staff meeting the criteria (including Research fellows and Senior Research Fellows).	As part of our on-going communication and engagement activities (outlined in Appendix A of the CoP), staff have been informed of REF eligibility requirements and how this relates to their career pathway. Changes to career pathway are agreed and documented via formal letters issued by HR&D. All staff have had the opportunity to discuss REF eligibility and career pathways further with HR&D or the REF Team at drop-in sessions or via email. The CoP includes a clear process (as outlined in Figure 2) on how staff will be identified as independent researchers and how they will be communicated of this, as well as an appeals process. This has been communicated to staff with the opportunity to provide feedback to highlight any concerns.

3. Selection of outputs for the REF	HEI's are required to include at least one and a maximum of five outputs per submitted member of staff. The total number of outputs required for each UoA must equal the 2.5 times the number of submitted FTE staff. Staff will have the opportunity to request a reduction in outputs due to circumstances which may have constrained an individual's ability to produce a research output or work productively throughout the assessment period (as outlined in Part 4 of the CoP). All requests will be reviewed by the University's Exceptional Circumstances Panel.	The CoP includes a clear process on how staff will be asked to identify up to 5 outputs each (as outlined in Figure 3), representing their highest quality research and rank them in quality order (based on the Research England definition of 'quality'). There will be different stages within the process that will include internal and external assessment. Quality assessment processes will utilise academic judgement together with any relevant data including: • Author assessment • Internal Review • External Review • Citations (only for UoA6) To generate an indicative 'star' rating of each, data will be used to inform expert opinion NOT supplant it. Following staff consultation, the CoP was amended so that staff will have the opportunity to have a confidential discussion with the Head of Diversity & Inclusion or Director of Research to discuss the exceptional circumstances process prior to submitting a form.
Is there a particular risk of inequality of opportunity, in relation to the protected characteristics?	Unknown at this stage, as no specific inequalities were identified during the consultation stage of the CoP. Regular equality impact assessments will be undertaken throughout the process to ensure that the submitted pool of staff reflects the potential eligible pool and that the Athena SWAN principles have been incorporated into the process (as outlined in section 1.3.1 of the CoP). Where any inequality is highlighted, this will be escalated to the REF Strategy Board for action. Staff have also been assured that their career progression will not be impacted if they are not included in REF 2021 (see section 1.4.1 of the CoP).	The Head of the Diversity & Inclusion and Senior HR Lead for Performance Excellence are part of the REF Strategy Board and will be reviewing the process regularly and act as points of contact for staff to raise concerns to ensure there is no adverse impact on any particular group of staff. All members of staff involved in REF (including REF Strategy Board members and Panels) have completed the online diversity module, so they are aware of their roles and responsibilities under the Equality Act 2010. In addition to this, they will all have specific Diversity & Inclusion training in the context of REF 2021 in the second half of 2019, as outlined in section 3.2.3 of the CoP.

Have you taken any active steps to promote equality of opportunity for all?	We have carried out a wide ranging consultation process (including this equality impact assessment), both face to face and online informing staff of our CoP and inviting them to provide feedback or comments (outlined in Appendix A of the CoP). This consultation included staff on long term leave e.g. maternity and sickness absence and Trade Unions.	We had minimal comments from staff, but wherever possible, suggestions were agreed by the REF Strategy Board and incorporated into the CoP.
Does this policy support the University's Diversity and Inclusion policies/Strategy?	The CoP supports the University's wider Diversity & Inclusion strategy and Athena SWAN principles.	We have carried out regular staff monitoring exercises to ensure that staff are encouraged to update their diversity and personal data on the HR&D system, as this will help provide more accurate reporting and monitoring and feed into better informed decision making.

Signed (Assessor)
(print or type)

Hiran Odedra

Appendix D: Employing a Responsible Approach to the Evaluation of Research within Cranfield University Policy



Employing a responsible approach to the evaluation of research within Cranfield University CU-RIO-POL-12.0 v1

Introduction

Cranfield University is a research intensive institution with world-class expertise, facilities and partnerships. We understand the importance of being able to assess, manage and benchmark our research, researchers and students in order to fully unlock the potential of our people (and capabilities) and achieve our strategic ambitions. However, it is crucial that the evaluation approach we take is fair, objective and transparent with metrics being used in a responsible fashion to support expert judgement.

The key principles of this approach are outlined below and reflect the ideologies outlined in the Leiden Manifesto, The Metric Tide: Report of the Independent Review of the Role of Metrics in Research Assessment and Management and the San Francisco Declaration on Research Assessment (DORA).

Expert opinion is the foundation of research evaluation

The qualitative assessment of research by thought leaders, academic peers and specialist authorities is core to the Cranfield approach. It allows for local, discipline, career and individual diversity to be accounted for within evaluations.

Metrics are valuable when used appropriately

The careful selection of quantitative indicators can inform and support expert opinion and decision making when the limitations, bias and robustness associated with each are recognised and considered.

Evaluation inputs are transparent to the individual, community and organisation

The basis for evaluation in terms of data collection, information sources and analytical processes is made open, simple and transparent to allow independent verification and review. The value and impact of all possible research activity and outputs will be considered.

Our approach engenders a responsible evaluation ethos and remains fit for purpose

Clear and consistent guidance will be frequently communicated to academic and research staff on how to support this ethos, with an annual review of progress conducted through structured Performance and Development Reviews on an individual basis.

Cranfield will regularly assess and review our evaluation approach, taking into account sectorial best practice, the emergence of new indicators and the changing priorities of the institution alongside alignment with the principles outlined above.

Cranfield University is the UK's only exclusively postgraduate university with a specialist focus on technology and management. We deliver transformational research, postgraduate education and professional development in partnership with industry, governments and other organisations. We have a distinct research portfolio arising from our cross-University multi-disciplinary Themes and a varied community of staff, students and collaborators representing over 100 countries, backgrounds, and career paths; thus we recognise and celebrate the importance of individuality and creativity within our research activities. It is therefore crucial that the approach we take, and continue to take, for research evaluation marries with our ideals and values.

For further information on the range of metrics that can be used, please review the Snowball Metrics initiative and the Metrics Toolkit.

Document control

Document title	Employing a responsible approach to the evaluation of research within
Document number	CU-RIO-POL-12.0
Originator name/document owner	Professor Tom Stephenson/RIO
Professional Service Unit/Department	Research & Innovation Office
Implementation/effective date	9 March 2019
Approval by and date	9 March 2019
Date of last review and version number	V1
Date of next review	December 2019
Standards reference	
Signature	
Name	Professor Tom Stephenson
Title	Pro-Vice Chancellor of Research
Information categorisation	Open

Appendix E: Declaration of Individual Staff Circumstances Template

This document is being sent to all academic staff and research staff whose outputs are eligible for submission to REF 2021. As part of the University's commitment to supporting equality and diversity in REF, we have put in place safe and supportive structures for staff to declare information about any equality-related circumstances that may have affected their ability to research productively during the assessment period (1 January 2014 – 31 December 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. Further information can be found 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&D 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

All formal Stage I requests will be confidentially reviewed by the Individual Staff Circumstances Panel Chaired by the Head of Diversity & Inclusion and also comprising of a representative of HR&D and the Secretary of the REF Strategy Board/Senior RIO Representative. Information received will be stored and processed in line with applicable data protection legislation¹. Our Cranfield University Privacy Policy provides further information on this matter. Completed 'Declaration of Individual Staff Circumstances Templates' will be handled with the utmost confidentiality and will only be used for the purposes stated above. Circulation will be restricted to HR&D and the Panel only and will not be made available to anyone else, including line management. A Data Protection Impact Assessment will be undertaken as the information will be stored on the HR&D server separate from existing HR&D staff records, thus creating a new personal data repository. Where we compile data for statistical purposes, the information is completely anonymised to protect an individual's privacy. The individual concerned will be informed of the outcome by the Chair of the Panel within 20 working days. If the Panel's decision leads to a reduction in the number of outputs associated with an individual then the relevant UoA lead and RIO will be informed, but NOT of the reason for the reduction.

If the institution 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 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 Research England 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 Research England REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs. All these bodies are subject to

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

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 their HR&D partner to provide the updated information.

To submit this form you should send it to the Head of Diversity & Inclusion via email OR by hard copy to the Head of Diversity & Inclusion, Building 29, Cranfield University, Cranfield MK43 0AL.

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 December 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
Early Career Researcher (started career as an independent researcher on or after 1 August 2016). <i>Date you became an early career researcher.</i>	Click here to enter a date.
Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2020.	Tick here ☐
Career break or secondment outside of the HE sector. <i>Dates and durations in months.</i>	Click here to enter dates and durations.
Family-related leave; statutory maternity leave statutory adoption leave Additional paternity or adoption leave or shared parental leave lasting for four months or more. <i>For each period of leave, state the nature of the leave taken and the dates and durations in months.</i>	Click here to enter dates and durations.

Disability (including chronic conditions) <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>	Click here to enter text.
Mental health condition <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>	Click here to enter text.
Ill health or injury <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>	Click here to enter text.
Constraints relating to family leave that fall outside of standard allowance <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>	Click here to enter text.
Caring responsibilities <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>	Click here to enter text.
Gender reassignment <i>To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i>	Click here to enter text.
Any other exceptional reasons e.g. bereavement. <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>	Click here to enter text.

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below
- I realise that the above information will be used for REF purposes only and will be seen by the Head of Equality & Diversity, HR&D and the Secretary of the REF Strategy Board/Senior RIO Representative.
- 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 a HR&D partner to contact me to discuss my circumstances, and my requirements in relation 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

Appendix F: Glossary

Athena SWAN	national charter mark that recognises the advancement of gender equality in higher education, encompassing representation, progression and success for all
CDS	Cranfield Defence and Security
CJCC	Cranfield Joint Consultative Committee
Co-I	Co-Investigator
CoP	Code of Practice
CRIS	Cranfield Research Information System
DoT	Director of Theme
ED&I	Equality, Diversity and Inclusion
EIA	Equality Impact Assessment
EPSRC	Engineering and Physical Sciences Research Council
FTE	Full Time Equivalent
GDPR	General Data Protection Regulation
HE	Higher Education
HEI	Higher Education Institution
HESA	Higher Education Statistics Agency
HR&D	Human Resources and Development
ISCP	Individual Staff Circumstances Panel
JNCC	Joint Negotiating Consultative Committee
P&DR	Performance & Development Review
PVC R&I	Pro-Vice-Chancellor - Research & Innovation
PVC School	Pro-Vice-Chancellor - School
REF	Research Excellence Framework
RIO	Research and Innovation Office
SATM	School of Aerospace, Transport & Manufacturing
STEM	Science, Technology, Engineering, Mathematics
SoM	School of Management
SWEE	School of Water, Energy and Environment
UKRI	UK Research and Innovation
UoA	Unit of Assessment