Sheffield Hallam University

REF 2021 Research Excellence Framework

Code of Practice for the Preparation of the Research Excellence Framework 2021 Submission

October 2020

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1 Introduction

1.1 Context

The Research Excellence Framework (REF) is the UK's system for assessing the quality of research in higher education institutions. The threefold purpose of the REF is: i) to provide accountability for public investment in research and produce evidence of the benefits of this investment, ii) to provide benchmarking information and establish reputational yardsticks, for use within the HE sector and for public information, and iii) to inform the selective allocation of funding for research.

The REF is a process of expert review, carried out by expert panels, made up of senior academics, international members and research users.

REF Glossary of Terms

Term	Definition
Unit of Assessment (UoA)	Academic subjects are organised by Research England into 34 disciplines. Universities map their staff to these and make returns to a selection of them. Assessment takes place at UoA level by expert panels known as sub-panels.
Category A eligible staff	Category A eligible staff are defined as academic staff with a contract of employment of 0.2 FTE or greater, whose primary employment function is to undertake either 'teaching and research' or 'research only'. The University determines this by the 'Contract type' field on the CORE Human Resources and Organisational Development (HR&OD) system being either 'Teaching/Research' or 'Research', and the 'FTE' field being 0.2 or greater. The Higher Education Statistics Agency (HESA) requires the University to align all Category A eligible staff to a UoA.
Category A submitted staff	Category A submitted staff are those from the Category A eligible staff pool who, through appropriate process as set out in this Code of Practice, are determined to have both significant responsibility for research and be an independent researcher. All Category A submitted staff must be returned in the REF.
Significant responsibility for research	Staff with significant responsibility for research are those for whom explicit time and resources are made available, to engage actively in independent research, and that is an expectation of their job role. The University process for determining staff with significant responsibility for research is set out in Section 7.1.
Independent researcher	An independent researcher is defined as an individual who undertakes self-directed research, rather than carrying out another individual's research programme. The University process for determining research independence is set out in Section 8.1.

1.2 Commitment

Sheffield Hallam University aims to grow its research, both in terms of volume and quality. The University's mission is to transform lives, with research generating transformative social, economic and cultural benefits. This Code of Practice aligns to these ambitions. The Creating Knowledge (Research) Pillar, one of

the University's four strategic pillars, drives the Creating Knowledge Implementation Plan. Three research and impact platforms - Healthy, Independent Lives; Thriving, Inclusive Communities; and Future Economies - align to strategic priorities and the UKRI grand challenges. These platforms provide a focus for areas of research strength, galvanise collaboration across the University and externally, ensure co-ordinated support for the research community, and act as the vehicle for delivering the University's Transforming Lives strategy.

The University is intent on advancing equality and diversity as key features within all its activities, as it believes this to be ethically right and socially responsible. Equality and diversity are essential factors that contribute to the academic and business strengths of the University.

The University believes that excellence will be achieved through recognising the value of every individual. We aim to create an environment that respects the diversity of staff, students and other stakeholders in the University's community and enables them to achieve their full potential, to contribute fully, and to derive maximum benefit and enjoyment from their involvement in the life of the University. Through the principle of inclusivity, the talents of all individuals should be utilised to achieve organisational goals.

To this end, the University acknowledges the following basic rights for all members and prospective members of its community:

- to be treated with respect and dignity
- to be treated fairly with regard to all procedures, assessments and choices
- to receive encouragement to reach their full potential

These rights carry with them responsibilities and the University requires all members of the community to recognise these rights and to act in accordance with them in all dealings with fellow members of the University. In addition, the University will comply with all relevant legislation and good practice.

As an equal opportunities employer the University seeks to create conditions whereby staff are treated solely on the basis of their merits, abilities and potential, regardless of gender, race (incorporating colour, nationality, ethnic or national origin), age, socio-economic background, disability, religious or political beliefs, family circumstance, sexual orientation or any other irrelevant distinction. Further information on the University's commitment to equality and diversity can be found at: www.shu.ac.uk/about-us/equality-and-diversity.

As well as supporting established researchers, the University is also committed to developing researchers - both early-career researchers, and those who have previously focused more on learning and teaching or professional and business engagement activities. The University will support these staff with time and resources to develop their research skills and activities.

The provision of time and resource for research and development, where linked to agreed objectives and plans, is a long-term commitment by the University to developing its workforce and ensuring a clear and transparent process to identifying staff with significant responsibility for research. Once established, this process will continue as a permanent part of the annual Performance and Development Review (PDR) and work planning cycle.

1.3 Actions since REF 2014

Since REF 2014, equality and diversity has continued to be more fully embedded in all areas of University business, including research strategy.

After REF 2014, and in subsequent internal research assessment exercises (2015, 2017, 2018, 2019), equality analyses were undertaken, which evaluated where there was under-representation with respect to four equality groups (gender, race, age and disability), both in terms of engagement and performance in

these exercises compared with the overall population. These are regularly monitored to ensure the direction of travel is positive, such that any under-representation is reduced, and specific targeted actions are implemented to support that end. The REF 2014 equality analysis can be found here: www.shu.ac.uk/research/quality/research-excellence-framework. The analyses undertaken in 2015, 2017, 2018 and 2019 (University committee reference numbers RIC 1/16/7, RCOG 3/17/5, RCOG 3/19/1 and RCOG 3/19/2) were reported to the relevant committees within the University's governance structures - Creating Knowledge Pillar Board (previously Research and Innovation Committee), Equality and Diversity Committee, and Researcher Concordat Operations Group. These data and recommendations were then embedded into action plans for Athena SWAN and the Concordat to Support the Career Development of Researchers.

As well as retaining its institutional Athena SWAN Award (Bronze, Nov 2017), the University's principal STEM departments/centres have also had their gender equality work recognised through the scheme: Nursing/UoA 3 (Bronze, Nov 2015), Psychology/UoA 4 (Bronze, Nov 2015), Bioscience/UoA 5 (Silver, Apr 2019), Engineering/Materials and Engineering Research Institute/UoA 12 (Bronze, Nov 2017) and Built Environment/UoA 13 (Bronze, Nov 2016). Specific action plans relating to these awards target areas of concern and encourage the sharing of effective practice.

The University also retained its HR Excellence in Research Award from the European Commission in 2019. Annually-revised action plans set against the Concordat to Support the Career Development of Researchers drive enhancements in the experiences of early-career researchers and the overall research community.

The University has also launched the Hallam Deal, to promote an outstanding environment for all staff in which to research and work. The Hallam Deal sets out what staff can expect in return for their commitment - in terms of clarity of expectations, working environment and career development opportunities.

1.4 Principles

The University's approach to REF 2021 is underpinned by the principles of transparency, consistency, accountability and inclusivity. It is also part of the University's general equality objectives, which in particular seek to eradicate gender and race disparities, and ensure an inclusive working environment for all staff.

The University is committed to being open and transparent about its processes for identifying which staff have significant responsibility for research, determining which staff meet the definition of an independent researcher, and in ensuring the fair and transparent selection of outputs. This will be achieved through the communication and implementation of this Code of Practice, particularly in terms of making information available on how decisions will be made and by providing feedback to staff at appropriate junctures. The University is also transparent in making available information and analysis on its staff demographics, including publishing annual reports on its gender pay gap.

Output selection decisions will be evidence-based and will refer back to the fundamental criteria of first, research quality and second representativeness of the community (both in terms of demographics/diversity profile and research themes). Robust processes, set out in this Code of Practice, will ensure that all eligible staff are treated fairly and consistently within and across UoAs. Fairness is also assured by systematically building equality analyses into key processes and by the application of appropriate staff circumstances.

The roles, responsibilities and operating methods of all individuals and bodies involved in REF 2021 management and decision-making are set out in Section 4.

The University is committed to an inclusive approach to equal opportunities, promoting an environment that is inclusive of all members of its community. Eligibility for submission will be based on the Research

England definition of Category A eligible staff. Individual circumstances, which may have had a material impact an individual's ability to undertake research and produce outputs, will be taken into consideration, as appropriate, and in accordance with the guidance from Research England (REF 2019/01).

1.5 Communication of the Code of Practice and All Related Processes and Procedures

The Code of Practice will be published on the University's external website.

An email will be sent from the Dean of Research to all academic staff (Category A eligible staff, as identified by HR&OD records), advising how the Code of Practice can be accessed. The email will also state that the Code of Practice can, on request, be made available in large print format.

Category A eligible staff who are absent from the University (e.g. due to sickness, maternity leave, paternity leave, adoption leave, or any other absence) or who may have difficulty accessing email, will be identified by HR&OD. Absent Category A eligible staff will receive a hard copy of the Code of Practice at their home address.

Staff will be advised of any subsequent updates to the published Code using the same process.

2 Policies and Procedures

2.1 Decisions and Timescale

The University wishes to be clear on its timescales and decision-making arrangements in order to allow staff to fully engage in processes and to ensure they are clear and transparent.

UoA Co-ordinators deliver the return for their UoA and make recommendations on decisions affecting the unit's submission. Final decisions on the REF submission are made by the REF Management Group, chaired by the Dean of Research. Details of the full governance and management arrangements are set out in Section 4.2.

Identifying which staff have significant responsibility for research will be completed and communicated by:

- Outcomes - as part of the annual Performance and Development Review (PDR) and work planning process - spring/early summer 2019
- Confirmation of Significant Responsibility for Research Status - 5 September 2019
- Appeal Period - 5 September - 11 October 2019
- Decisions Following Appeal Hearings - 13 December 2019
- Decisions on New Starters and Change of Circumstances Review - up-to 31 July 2020

Determining which staff meet the definition of an independent researcher will be completed and communicated by:

- Initial Decisions - 5 September 2019
- Appeal Period - 5 September - 11 October 2019
- Decisions Following Appeal Hearings - 13 December 2019
- Decisions on New Starters and Change of Circumstances Review - up-to 31 July 2020

Outputs will be selected by:

- Initial Decisions - October 2020
- Final Decisions - 11 January 2021

Determining eligible staff circumstances will be completed by:

- Submission Period - 5 September 2019 - 31 January 2020
- Staff Circumstance Panel Reviews - 5 September 2019 - 29 February 2020

- Final Submissions to Research England - March 2020
- Communication of Outcomes - September 2020

3 Development of Processes

3.1 Consultation

A REF Code of Practice Working Group was established in October 2018. Membership included the Dean of Research, Head of Research Services (Research and Innovation Services - RIS), Research Development Manager (RIS), Senior HR Business Partner (Human Resources and Organisational Development - HR&OD), representative with responsibility for Equality and Diversity (HR&OD), Head of Department (Psychology, Sociology and Politics) and two trade union representatives (University and College Union). The group met regularly over winter 2018-19, to draft the document and devise approaches to the three key issues of significant responsibility for research, research independence and selection of outputs.

The core principles of the Code of Practice were approved by the University's executive group (University Leadership Team) on 22 January 2019. Staff consultation events and focus groups were held between March and April 2019 (full list in Appendix 2), where a full draft of the Code of Practice was considered, discussed and refined. This included proposals presented to the Information and Consultation Committee - the established mechanism for communication and engagement between University management, recognised trade unions and elected staff representatives - on 27 March 2019. Agreement by staff representative groups was confirmed on 9 May 2019. The final Code of Practice was approved by the University's research committee (Creating Knowledge Board) on 9 May 2019**.**

The Code of Practice was submitted to Research England in advance of 7 June 2019.

4 Staff, Committees and Training

4.1 Advice and Decision-Making

The University will identify staff classified as Category A eligible on the basis of HR&OD records, specifically the 'Contract type' field on the CORE HR&OD system being either 'Teaching/Research' or 'Research', and the 'FTE' field being 0.2 or greater.

It is a requirement that the University aligns all Category A eligible staff to a UoA. Alignment of staff to UoAs will be determined by the REF Management Group, with allocations ratified by the respective UoA Co-ordinators. As a result of regular internal research assessment exercises, most staff with significant responsibility for research should be well integrated within UoAs. Others, and staff without significant responsibility for research (for the purpose of HESA requirements for 2019/20), will be mapped broadly according to Appendix 4. Every effort will be made to match every staff member with significant responsibility for research to the most appropriate UoA the University will be submitting to; outputs will be assessed to determine best fit in accordance with the REF UoA descriptors (REF 2019/02, Part 2).

Significant responsibility for research will be determined by the process described in Section 7.1. Implementation will normally be through discussions between the staff member, their line manager and a local research lead (the latter two may be the same individual) - undertaken as part of the work planning and PDR cycle. Some areas may utilise research committees to advise on decisions, in addition to or instead of local research leads, as part of the implementation. Ultimate sign-off will be by the appropriate Head of Research Centre/Institute/Department, with oversight by the college Associate Dean for Research and Innovation (ADRI).

Research independence will be determined by the process described in Section 8.1. HR&OD records will be used to identify the research fellows (grade 7, research-only staff), who will be subject to consideration on

this basis, with a rationale completed with the relevant UoA Co-ordinator, using the template in Appendix 5. Decisions will be made on a case-by-case basis by the REF Management Group.

All Category A eligible staff will be contacted on 5 September 2019 to confirm whether, following their research plan and work planning discussion and in accordance with University-held data, they have been identified as Category A submitted staff or not. Category A eligible staff will also be given information on how to appeal this designation, if it does not agree with their understanding of their position. The appeals process is set out in Section 5. Communications to absent staff will be conducted as per Section 1.5. While confirmation will be communicated from a central source to ensure consistency, one-to-one follow-up conversations will then occur with line managers, where requested by the staff member. These follow-up meetings should be regarded as being of the utmost importance by all relevant line managers and must be prioritised accordingly.

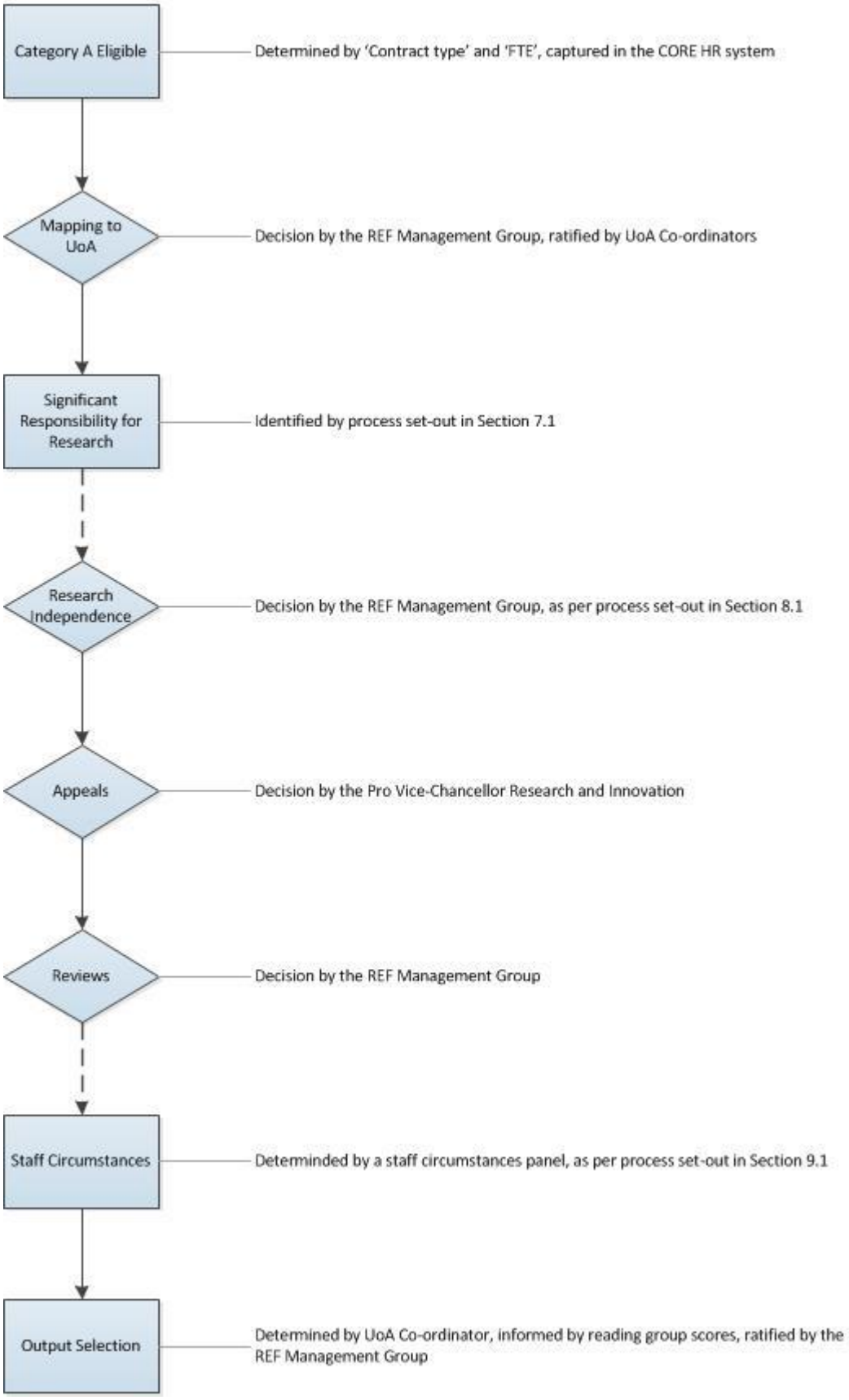
In the event that an individual's circumstances change significantly during academic year 2019/20, the individual can make a request for review to the REF Management Group before the end of July 2020, using the form in Appendix 7. This mechanism will be communicated to all Category A eligible staff, and is separate to the appeals process.

The REF Management Group will also review before the end of July 2020 any Category A eligible staff who have joined the University since 1 August 2019, to ensure they have the correct status ahead of the 31 July 2020 census date.

Staff circumstances will be determined by the process described in Section 9.1. Decisions will be made by a dedicated panel consisting of a representative with responsibility for Equality and Diversity (HR&OD), Senior HR Business Partner (HR&OD), Head of Research Services (RIS), Research Development Manager (RIS) and the Dean of Research. The constitution of the staff circumstance panel will be determined by the post holders of the ex-officio roles at the time the circumstances are reviewed. The diversity profile of the panel will form part of the final equality analysis.

UoA Co-ordinators will recommend to the REF Management Group their final selection of outputs. UoA Co-ordinators will make these recommendations in accordance with the criteria in Section 9. Impact case studies will be selected in the same manner.

Decision Tree



4.2 REF Governance and Management

The responsibilities of UoA Co-ordinators, and other key roles, as well as the membership and terms of reference of the REF Management Group are set out in Appendix 1.

The REF Management Group was first constituted in January 2015. This succeeded a REF Implementation Group that existed between 2008-14. This group reports to both the University's research committee (Creating Knowledge Board) for academic related issues, and the University's executive group (University Leadership Team) for matters relating to University resource. The REF Management Group meetings are minuted.

Membership of the REF Management Group is drawn from the Dean of Research, the Associate Deans Research and Innovation from each of the University's three colleges, and staff from the central Research and Innovation Services (RIS) who play a key role in co-ordinating the University's REF submission. Other members are co-opted as appropriate from the wider University community (full details in Appendix 1).

Associate Deans Research and Innovation have been given the responsibility to work closely with UoA Co-ordinators within their colleges, to plan and develop REF submissions and bring forward regular reports and recommendations to the REF Management Group.

UoA Co-ordinators are appointed by Associate Deans Research and Innovation, in consultation with the Deans of College, to lead the planning and preparation of submissions within each college. Each UoA in which the University is preparing a submission has a Co-ordinator.

UoA Co-ordinators have each convened a defined group of staff from the UoA - known as the UoA's reading group - to assist with the review of research outputs and impact case studies, and drafting of the submission. The constitution of reading groups is determined by expertise and experience, and varies across UoAs. Review of their representativeness in terms of diversity profile forms part of the periodic equality analyses.

All staff with decision-making REF responsibilities must provide assurance to the Dean of Research that they have read the Code of Practice. Formal and informal discussions - involving members of the REF Management Group, Associate Deans Research and Innovation, and UoA Co-ordinators; and which concern significant responsibility for research, research independence or the selection of outputs - must be carried out in accordance with the Code of Practice.

Final authorisation of decisions on these issues in the REF submission will be made by the REF Management Group, chaired by the Dean of Research. UoA Co-ordinators are responsible for providing feedback to individuals regarding decisions, supported by their Associate Dean Research and Innovation.

Arrangements for seeking external advice in relation to preparing UoA submissions must be approved by the REF Management Group. Assessors will be asked to comment on the quality of outputs, impact case studies and environment statements only; they will not make any decisions relating to the submission.

Comments from individuals relating to significant responsibility for research, research independence or selection of outputs, are considered working documents and will not be made available to staff. However final agreed feedback on status relating to significant responsibility for research and research independence will be provided on request to any member of staff, and will be routinely provided to anyone who engages with the appeals process.

4.3 Training

All members of staff at the University are required to complete two online equality and diversity modules - 'Equality Essentials' and 'Unconscious Bias 1'. In addition, all staff who are in a management role or have responsibility for recruitment must also complete a third module - 'Unconscious Bias 2'.

Regarding REF, all members of the REF Management Group, UoA Co-ordinators, members of UoA reading groups, and those with responsibilities for establishing REF processes, are required to have completed all three modules prior to assessing, advising or making decisions relating to REF 2021.

The University will also deliver mandatory REF-specific training for these groups. This will be informed by the Research England/Advance HE materials and will specifically include the University's policy and approach to the use of responsible metrics.

A detailed schedule of training records will be verified by RIS and HR&OD, to ensure all those with designated REF responsibilities have undertaken this mandatory training.

All external reviewers have signed contracts declaring they have 'undertaken recent (since the introduction of the Equality Act 2010), appropriate training'. They have also been offered access to Sheffield Hallam's e-learning modules, if they had not received such training via their own institution.

5 Appeals

5.1 Communication

The Dean of Research will send an email in early September 2019, and a reminder in late September 2019, advising Category A eligible staff that they may appeal against their designation relating to significant responsibility for research and/or being an independent researcher, if they feel University-held information has not accurately described their status. Hard copies will be issued to staff absent from the University. Drop-in sessions, for staff to get informal advice on the process, will be held throughout the appeals window.

5.2 Process and Grounds for Appeal

If an individual wishes to make an appeal they should submit written communication to the Dean of Research stating the grounds of the appeal. Appeals should be submitted between 5 September and 11 October 2019.

An individual has the right to appeal against the accuracy of the University-held data that informed the decision that they do not meet the agreed criteria for having significant responsibility for research (see Section 7 for criteria) and/or for not being an independent researcher (see Section 8 for criteria). They can also appeal the reverse - i.e. they have been deemed to be Category A submitted staff, but do not feel that they actually meet the criteria.

Appeals will not be held on the matter of the selection of outputs as, following the spirit of the Stern Review recommendations, the University will implement a corpus-based approach to this, decoupling staff from outputs. Coupling will only be used to ensure compliance with the minimum of one and maximum of five requirements, and in the equality analysis to monitor the representativeness of the submissions. Staff and outputs will not be directly linked by either the University or Research England, so researchers will not be submitted with a categorical number of publications. It is the collective performance of the UoA that REF is assessing, so every individual's contribution will simply be 'at least one output'. To optimise the submission and ensure maximum inclusivity, final decisions on the constitution of the corpus will also not be made until close to the final submission deadline.

5.3 Hearings

Appeals will be investigated by the Deputy Vice-Chancellor (Academic), or a suitable nominee, who is not a member of the REF Management Group and has not been involved in making decisions about significant responsibility for research or research independence.

The Deputy Vice-Chancellor (Academic) will have ultimate responsibility for deciding the outcome of an appeal, but can take advice from a panel consisting of:

- a member of the Equality and Diversity Team in HR&OD - to advise on equality and diversity related issues
- a member of RIS - to advise on REF 2021 process and guidance issues
- the University's Head of Research Ethics - to advise on academic related issues

A written response will be provided by the Deputy Vice-Chancellor (Academic) to the member of staff who has lodged the appeal, as soon as possible, and all appeals will be responded to by 13 December 2019.

This does not in any way impinge on the rights of individuals under University Statutes.

6 Equality Analysis

6.1 Use of Equality Analyses

Equality analyses (formerly known as equality impact assessments) have been used continuously throughout this REF cycle to monitor the engagement and performance of those with protected characteristics in comparison with the overall population. This will continue at each drafting stage of the final submission, and will facilitate and enable an equality analysis on the processes for REF 2021 at the institutional and UoA level. The key areas which will go through a process of equality analysis are:

- the process for determining staff with significant responsibility for research
- the process which relates to determining researcher independence
- the impact of REF processes on part-time and fixed-term staff
- the policies and procedures which relate to the selection of outputs
- the impact of applying staff circumstances policies and procedures
- the appeals process for those who wish to raise issues relating to decisions on their role and responsibilities

Equality analyses have and will enable the University to investigate any areas where there appears to be a risk of discrimination or an opportunity to advance equality. The outcomes of these assessments have and will continue to be submitted to the University's Creating Knowledge Board and Equality and Diversity Committee, to ensure that any necessary changes to minimise the risk of discrimination or advance equality are taken prior to the REF 2021 submission deadline.

An equality analysis will be undertaken to look at the representativeness of staff identified as Category A submitted for 2019/20 in comparison with the Category A eligible population. While equality analyses will be conducted at institutional level, data will also be provided to UoAs, specifically to inform decisions relating to the selection of outputs.

After the REF 2021 submission date, a final equality analysis will evaluate the final submission, considering the outcomes of and effect on the protected characteristics groups. The outcomes of the final equality analysis will be reported to the Creating Knowledge and Equality and Diversity Committees. The final equality analysis will inform wider University policy and practice to ensure that any identified inequalities can be addressed into the next REF cycle, where possible.

The final version of the University's equality analysis for REF 2021 will be made available on the University's external website.

7 Identifying Staff with Significant Responsibility for Research

7.1 Criteria

Research England guidance states that: "staff with significant responsibility for research are those for whom:

a. 'Explicit time and resources are made available'. Indicators of this could include:

- a specific proportion of time allocated for research, as determined in the context of the institution's practices and applied in a consistent way
- research allocation in a workload model or equivalent

b. 'To engage actively in independent research'. Indicators of this could include:

- eligibility to apply for research funding as the lead or co-applicant
- access to research leave or sabbaticals
- membership of research centres or institutes within the HEI

c. 'And that is an expectation of their job role'. Indicators of this could include:

- current research responsibilities as indicated in, for example, career pathways or stated objectives
- expectations of research by role as indicated in, for example, job descriptions and appraisals"

Research England have also mandated that significant responsibility for research is determined by an individual's status on the census date (31 July 2020). It cannot be based on retrospective data.

The University will apply this in the following way.

Professors

- All Professors whose focus is research excellence have a significant responsibility for research
- These Professors are expected to lead a significant programme of high-quality original research, sustaining an extensive track record of research outputs to maintain and enhance their reputation in their own subject area
- The University has a number of Professors whose focus is teaching excellence, knowledge exchange and/or senior management. These can be clearly evidenced. These individuals would not normally be deemed to have significant responsibility for research and will be addressed on a case-by-case basis

Readers

- Research excellence is the focus for all Readers and therefore all have a significant responsibility for research

Research Contracts (Principal Research Fellows, Senior Research Fellows, Research Fellows, Researchers, Research Assistants)

- Staff on research-only contracts all have significant responsibility for research, except where they do not meet the independence test criteria (see Section 8.1)
- Exceptionally, some staff on research-only contracts may have a specific focus on consultancy/knowledge exchange, rather than research. These staff will be deemed to not have significant responsibility for research. This consultancy/knowledge exchange focus can be evidenced by explicit objectives in their role descriptor and/or PDR

Academic Contracts (Principal Lecturers, Senior Lecturers, Lecturers)

- The approach to identifying staff with significant responsibility for research is based on a threshold allocation of time for specific and agreed research objectives, as part of academic work planning, PDR and academic development

- The thresholds are based on a percentage of the full FTE contract (1576 hours), pro rata. All staff have a Research and Scholarly Activity (RSA) allocation of 10.8% (170 hours) of that 1576 hours, pro rata. Further research and/or development allocations are additional to RSA
- The RSA allocation of 10.8% covers a range of general activities associated with research and/or scholarly activity, which may or may not be linked to specific research objectives
- The standard 10.8% RSA allocation does not, on its own, constitute a significant responsibility for research
- Additional Research time allocation will be used to identify significant responsibility for research. This additional allocation will be set against specific research expectations, and will be based on individual research plans for the next year, set against track record and trajectory
- This will be implemented via the work planning process, which allows for discussion and agreement of the research objectives, along with expectations of support and the resultant outcomes
- The mechanism for agreeing additional time, as part of the work planning process, involves discussions between the staff member, their line manager and a research lead, based on individual research plans, as part of the PDR cycle
- Such Research allocations are distinct from any additional time allocated for Academic Development (AD) to support staff who are developing their academic profile through, for example, undertaking specific scholarly activity, research skills development, or undertaking a doctorate
- The specific overall threshold for identifying significant responsibility for research has been determined, through the work of the Code of Practice Working Group, to be equal to or greater than 10% Research time allocation (in addition to the 10.8% RSA)
- Individuals undertaking staff doctorates can have significant responsibility for research, if they have a separate additional Research allocation equal to or greater than 10%, with associated staff research objectives, in addition to any Academic Development allocation for their doctorate
- Example Research objectives are set out in Appendix 3 and are as per PDR guidance for researchers

Atypical Staff

- Approximately 235 academic staff across the University do not have standard professor, reader, research or academic roles (as determined by 'Job Title' field on the CORE HR&OD system not being professor, reader, principal research fellow, senior research fellow, research fellow, researcher, research assistant, principal lecturer, senior lecturer or lecturer)
- These include those in senior management roles: vice-chancellor, pro vice-chancellors, deans, heads of department, heads of centres, directors etc. These may exceptionally have significant responsibility for research where undertaking research is an explicit objective of their role, as evidenced by explicit research objectives in their role descriptor and/or PDR. These will be assessed on a case-by-case basis
- Other staff on academic contracts include: learning and teaching CPD roles, student evaluation roles, employability-related roles, business development managers, gallery managers, learning technologists, industrial designers etc. The default will be that these staff do not have significant responsibility for research, unless they can demonstrate undertaking research is an explicit objective of their role, as evidenced by explicit research objectives in their role descriptor and/or PDR, through the appeals process

Part-Time Staff

- All time allocation thresholds will be percentages, rather than fixed hour time allocations or decimal FTEs
- It is the capability of being able to produce high quality research that is being recognised by the allocation of research time; the 1-5 output range will support different levels of volume. So staff are facilitated to contribute research at a pro-rated rate
- This may create cases where staff on fractional contracts with significant responsibility for research, have fewer actual hours for research than some full-time staff without significant

responsibility for research; but this is consistent with the principles of the Part-Time Workers (Prevention of Less Favourable Treatment) Regulations 2000

- Explicit expectations will be built into PDR objectives that the timeframe for part-time staff to produce research outputs is pro-rated
- It is a recommendation that research time provided should normally be blocked into whole days, and this is particularly to be applied to part-time staff

Appeals

- Any staff member who feels the University-held data that informed decisions does not reflect their status in terms of having significant responsibility for research, can appeal against this (see Section 5)

Summary

Staff Group	Status
Professors	All have significant responsibility for research; other than exceptionally those whose focus is not research, e.g. teaching excellence, knowledge exchange and/or senior management
Readers	All have significant responsibility for research
Research Staff	
Principal Research Fellows (G9), Senior Research Fellows (G8), Research Fellows (G7), Researchers/Research Assistants (G6)	All have significant responsibility for research; other than exceptionally those with a specific consultancy/knowledge exchange focus *(Grade 6 staff will not be independent, while grade 7 staff will have their independence determined)*
Academic Staff	
Principal Lecturers (G9), Senior Lecturers (G8), Lecturers (G7)	Research and Scholarly Activity (RSA) time (10.8%) does not, on its own, constitute a significant responsibility for research Additional Research time (+ ≥10%), in combination with RSA, and allocated against agreed research plans, constitutes a significant responsibility for research
Atypical Staff	Do not have significant responsibility for research; except those with explicit research objectives in their role descriptor and/or PDR

Work Planning Categories

Counts Towards Significant Responsibility for Research	Does not Count Towards Significant Responsibility for Research
Research and Scholarly Activity (RSA) 10.8% (fixed for all staff)	
Research ≥10% (in addition to RSA)	Academic Development
Externally-Funded Research	

Time will be recorded as either Research or Academic Development. Sabbatical time will be captured within these categories as appropriate.

7.2 Stages of Approval

Time allocations along the above principles will be implemented for the 2019/20 academic year, which begins on 1 August 2019.

Staff on academic contracts (Principal Lecturers, Senior Lecturers and Lectures) can submit individual research plans to inform the PDR and work planning process. Local forms which align to the principles of this Code may be utilised in preparation for academic year 2019/20, with the aim to move to a common institutional form for 2020/21. Decisions will be made locally between the staff member, their line manager and a local research lead (or research committee), with sign-off by a Head of Research Centre/Institute/Department. ADRIs will have oversight of the process.

Appeals against the data that informed designations relating to significance responsibility for research can be submitted as set out in Section 5. Any revisions will then be agreed in advance of the REF census date. This annual review will continue as part of the PDR process into the next REF cycle.

8 Determining Research Independence

8.1 Criteria

Staff on teaching and research contracts are normally considered to be independent, where they are identified as having significant responsibility for research. For staff on research-only contracts, the University will implement the Research England criteria for determining research independence, specifically: 'an individual who undertakes self-directed research, rather than carrying out another individual's research programme'. A combination of the Research England indicators will be used to assess this, in particular:

- leading or acting as principal investigator or equivalent on an externally-funded research project
- acting as co-investigator on an externally-funded research project (Panels C and D only)
- holding an independently-won, competitively awarded fellowship where research independence is a requirement
- leading a research group or a substantial or specialised work package

At Sheffield Hallam University, an equivalent to acting as a principal investigator on an externally-funded project could be leading or co-leading a contract or commissioned research project. Staff having substantial leadership responsibilities as part of a team on a piece of contract or commissioned research have roles which may be considered to be equivalent to co-investigator.

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

All Principal Research Fellows (G9) and Senior Research Fellows (G8) are independent researchers.

Research Fellows (G7) will be considered under the research independence criteria, where they may exceptionally be found to be independent. The process is set out in Appendix 5.

Researchers/Research Assistants (G6) do not, according to their role profile, undertake independent research.

8.2 Stages of Approval

The determination of research independence along the above principles will be implemented for the 2019/20 academic year, which begins on 1 August 2019.

All staff identified in HR&OD records as Research Fellows (G7) will be contacted and invited to complete the form in Appendix 5, with their line manager and the relevant UoA Co-ordinator, by the end of June 2019. Decisions will be made by the REF Management Group.

Appeals against these decisions can be submitted as set out in Section 5. Any revisions will then be agreed in advance of the REF census date.

9 Selection of Outputs (including Consideration of Staff Circumstances)

9.1 Procedures

In the spirit of the Stern Review, the University has embedded a corpus-based approach to outputs, where outputs and authors are decoupled as much as possible.

Author self-nomination, which was utilised for REF 2014, no longer takes place. Instead the University's output management system (Elements) drives a bottom-up approach, where all outputs in the University's corpus are automatically harvested from a wide-range of international databases. This removes the possible equality concerns inherent in opt-in approaches. Outputs outside the scope of the REF open access policy (creative portfolios, monographs, book chapters etc.) do need to be manually added to Elements; it is the responsibility of the output lead, supported by the UoA, to ensure this is undertaken.

Since REF 2014, UoA reading groups have periodically reviewed outputs in their corpus against REF criteria and awarded them ratings on the 1-4* scale. All outputs are reviewed by at least two members of the reading group, and moderated within the unit. Samples are also sent to external reviewers for calibration.

The University has a policy on the responsible use of metrics (www.shu.ac.uk/research/quality/ethics-and-integrity/research-metrics) and is a signatory of the San Francisco Declaration on Research Assessment (DORA). All outputs are assessed using expert qualitative judgement, and metrics are never used as a proxy for that.

In UoAs where authors tend to produce large numbers of outputs, to help with capacity, authors can be asked to nominate only their 'best' outputs for review. However, work is reviewed for every Category A submitted staff member.

When the output target is fixed on the census date, UoA Co-ordinators will rank their outputs according to the star rating assigned to each output during their review processes. The UoA Co-ordinator will then select their best quality outputs up to the target number, ensuring the minimum of one and maximum of five per individual stipulation has been met.

While research quality is the primary criterion for the selection of outputs, assessment will also be made on the representativeness of the community in the submission. This will look at both the profile of the population in terms of equality characteristics and research themes. The representativeness of the UoA will play a particular role in deciding between outputs that have been assigned the same rating by the UoA reading group.

Since internal research assessment exercises began in 2015, the University has taken a developmental approach, with authors being provided with the ratings of their own outputs and feedback on how they might potentially achieve greater reach and significance with future outputs. Reviews are ratified by the UoA reading group, with consolidated ratings and feedback given to individuals on behalf of the UoA reading group.

The same broad approaches are applied to the selection of impact case studies. Feedback to potential impact case study authors is, however, more formative and often includes both a current and potential rating. A similar formative approach is taken with portfolio-based outputs, particularly in creative disciplines.

All staff with significant responsibility for research will be invited to declare any circumstances which have had a significant effect on their research productivity. Communications to staff will be as set out in Section 1.5. Clearly defined circumstances - relating to qualifying as an early-career researcher, periods of family-related leave, or secondments or career breaks outside of higher education - will be validated by HR&OD data. Complex circumstances - relating to disability; ill health, injury or mental health condition; constraints relating to pregnancy, maternity, paternity, adoption or childcare; other caring responsibilities; gender reassignment; or other circumstances relating to protected characteristics - will be considered by a dedicated staff circumstances panel. The University will operate a process – set out in Appendix 8 - to enable staff to disclose their circumstances in an appropriate and confidential manner, building on processes and learning from REF 2014. The information provided by staff will be used exclusively for the purposes of the REF 2021 submission.

Research England has requested that institutions set out criteria for determining when a unit has been disproportionately affected by staff circumstances, such that output reductions will be requested. For UoAs with less than 20 FTE staff, the University will request reductions for all declared circumstances. For UoAs with 20 FTE or more staff, reductions will be requested only where 5% or more of staff have declared circumstances. UoA Co-ordinators will be notified of the number of output reductions the University will be requesting for their UoA, made in accordance with the tariffs set out in the Annex L of the REF Guidance on Submissions. They will also be notified of any individual where a request will be made to return them without the minimum of one eligible output. The University has embraced the spirit of decoupling outputs from individuals and is implementing a corpus-based approach, with the explicit expectation that the contribution of all staff is 'at least one' output. As such, UoAs will only be notified of approved reductions by demographic (to inform environment narrative statements), not by individual; except where there are individuals whose circumstances have been determined to remove the requirement for a minimum of one output.

The University does not have a formal expectation of any staff member's contribution to the output pool. Staff who are voluntarily declaring circumstances will have the option of agreeing to line managers and local research leads being notified of the impact of their circumstances, so that this can be taken into account when reviewing performance, and setting workload and research objectives, as part of the PDR process. Staff will also be given the option of arranging a confidential discussion of their circumstances with HR&OD, which may include consideration of additional adjustments.

The University will not include in its submission outputs produced by any member of staff who has been made redundant during the REF period. It should be noted that REF decision-makers will not always have access to the necessary HR&OD information to implement this, where departure arrangements are bound by confidentiality clauses. Where there has been internal co-authorship, outputs naming staff made redundant may still appear in the corpus.

Outputs of staff who have taken voluntary redundancy or retired during the REF period will be considered. Outputs of staff whose fixed-term contracts ended during the REF period will also be considered, ensuring compliance with the Fixed-Term Employees (Prevention of Less Favourable Treatment) Regulations 2002.

Outputs produced by any member of staff dismissed on grounds of research misconduct will not be included. Where there has been internal co-authorship, and the integrity of the outputs have not been brought into question in misconduct hearings, outputs naming staff dismissed for this reason may still appear in the corpus.

9.2 Stages of Approval

Staff circumstance declarations will take place between 1 September 2019 - 31 January 2020, with reviews completed by 29 February 2020, in advance of the Research England notification deadline of March 2020.

The outputs for submission will initially be compiled by each UoA in April 2020, based on an estimate volume target. Revisions will happen after the census date when the target is confirmed, and up to the submission date, as new outputs continue to be published.

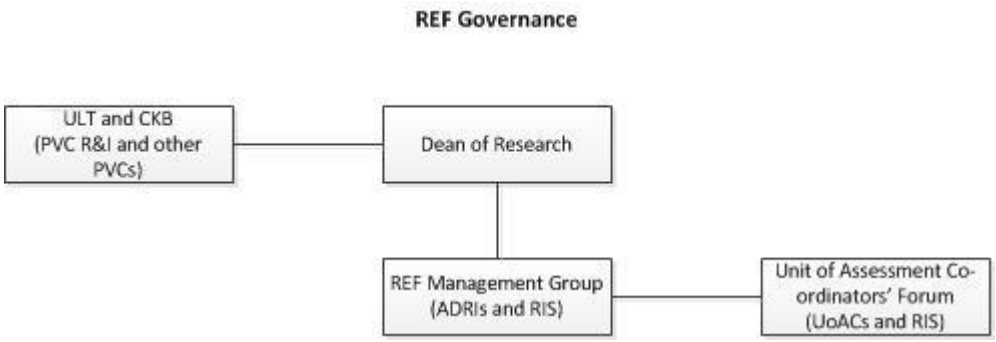
10 Appendices

10.1 Appendix 1 - REF Governance and Management

The Research Excellence Framework (REF) at Sheffield Hallam University is governed and managed in a way that ensures that the submission is optimised, to reflect and demonstrate the excellence of our research and maximise QR funding, while complementing the broader research ambitions and strategy of the University. REF management is also actively associated with delivering the University's equality and diversity objectives. The approach to governance structures aims to enshrine accountability, responsibilities, lines of communication and that all areas are appropriately resourced and supported.

Governance

The Dean of Research is ultimately responsible for decision-making relating to REF. The Dean of Research is advised by a REF Management Group (RMG), made-up of the three college Associate Deans Research and Innovation (ADRIs) and key staff from Research and Innovation Services (RIS). Professional Service staff from across the University are co-opted as required. The Unit of Assessment Co-ordinator's Forum (UoACF) is the key consultation body. Reports are made to the University Leadership Team (ULT) and the Creating Knowledge Board (CKB, chaired by the PVC Research and Innovation [PVC R&I]) at key points.[1]



Dean of Research
Role: To lead institutional REF strategy and make final decisions regarding the submission.

Associate Deans Research and Innovation
Role: To represent the colleges and advise the Dean of Research on REF strategy matters and decision-making, primarily through the RMG.

Unit of Assessment Co-ordinators
Role: To deliver the return for their Unit of Assessment (UoA), including providing counsel on strategic matters and information as required to inform planning and preparations, primarily through the UoACF.

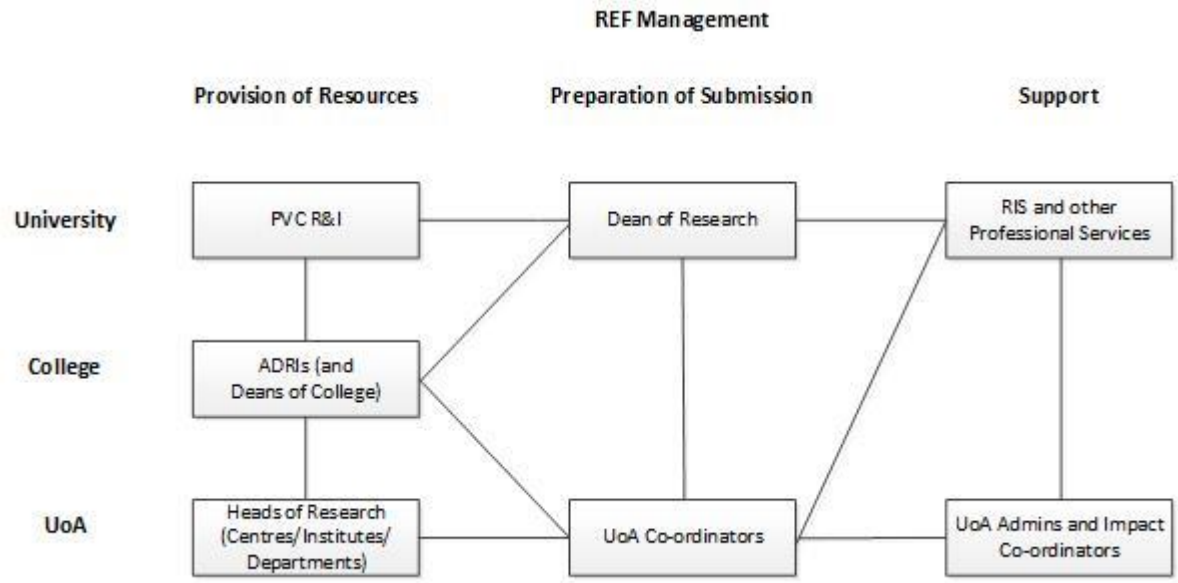
PVC Research & Innovation and other/cross-cutting PVCs
Role: To provide counsel on strategic matters and decisions, usually sought through reports to ULT and CKB around the time of key milestones, decisions or deadlines. Also, from July 2020, the PVC R&I to chair the REF Management Group.

RIS
Role: To advise on REF guidance and panel criteria to ensure submission compliance and adherence to the REF Code of Practice across the University. Responsible for REF equality and diversity monitoring.

[1] During the Covid-19 pandemic the Creating Knowledge Board has temporarily been replaced by a more agile Research Leadership Group. Its role relating to REF is unchanged.

Management

The Dean of Research is ultimately responsible for the final University submission. Unit of Assessment Co-ordinators (UoACs) have responsibility for the preparation, review and quality assurance of UoA submissions. The RMG (Dean of Research, ADRIs and RIS) has responsibility to ensure the consistency of narratives and data across the institution. The PVC R&I and Deans of College, ADRIs and Heads of Research Centre, Institute or Department have responsibility for ensuring the necessary resources are in place to support the UoAs/UoACs and the institutional infrastructure. Research and Innovation Services, other Professional Services, UoA administrators and impact co-ordinators provide operational support.



Dean of Research

Responsibilities: To oversee the production of the University's final submission and all management aspects leading to that point. Also to act as the main institutional contact with Research England. To be aware of and to manage any issues regarding potential conflicts of interest at college level or involving more than one college.

Associate Deans Research and Innovation

Responsibilities: To facilitate the necessary resources to enable high-quality submissions in their constituent UoAs, to support the activities of their UoACs, and to assure performance against strategy and benchmarks. This includes: appointment of UoACs for those UoAs whose work is predominantly focused in their college, co-ordinating arrangements when UoAs span faculties, and reviewing and ensuring coherence of all submissions within their college. To be aware of, and to manage, any issues regarding potential conflicts of interest within their colleges.

Unit of Assessment Co-ordinators

Responsibilities: To oversee the production of the UoA's final submission and all management aspects leading to that point. This includes: staff communications, preparation of narratives, review and selection of outputs and impact case studies, collating and verifying all information, and generally providing intellectual research leadership for the UoA. Other elements include: providing guidance to staff around outputs and impact case studies, assembling reading groups to support the review of outputs and case studies, sharing good practice with the UoACF, and working with the RMG - under the auspices of the University's REF Code of Practice - to prepare the UoA's submission.

PVC Research & Innovation and Deans of College

Responsibilities: To provide the necessary resources to enable high-quality submissions for the institution and its constituent UoAs, and to support the activities of the Dean of Research, ADRIs and UoACs.

Heads of Research Centre/Institute/Department

Responsibilities: To support REF-related activities and the work of the UoAs that their centres/institutes/departments feed into, including provision of resources and time allocation to UoACs under their direct management, provision of other resources (e.g. staff for reading groups), and advocacy to encourage staff engagement.

RIS

Responsibilities: To provide operational support to the Dean of Research, including all University-wide initiatives, co-ordination of the RMG and UoACF, and the provision of relevant information and data to the UoAs. This includes: institutional oversight of operations and approach, provision of expert advice and guidance to the UoACs and RMG on all matters pertaining to REF/panel guidance on submission and panel criteria, acting as institutional data contact and audit contact with Research England, and co-ordinating institutional responses to Research England consultations, submission intentions and other REF-related requests. Also to co-ordinate external linkages, e.g. through sector policy forums.

UoA Administrators and Impact Co-ordinators

Responsibilities: To provide operational support to the UoACs and to share good practice through a REF Administrators' Forum. Local impact co-ordinators, where they exist, to provide support and guidance to case study authors and others in the unit(s) undertaking impact activities.

Other Professional Services (Library, Human Resources and Organisational Development, Finance, Marketing, Doctoral School)

Responsibilities: To provide appropriate services, resource, data and expertise at the requisite moments (see Roles of Professional Services Teams table).

Researchers

Responsibilities: To undertake excellent research with impact, and to engage with appropriate University research assessment exercises and initiatives.

RACI Matrix

	Dean of R	ADRIs	UoACs	PVC R&I	Deans of Coll	HoRC/ RI/Ds	RIS	UoA admin & ICs	Other PS	R-ers
Code of Practice	A	C	C	C	C	C	R	I	C	C
Inclusion criteria	A, R	R	C	C	C	C	C	I	C	I
Implementation of inclusion criteria	A, R	R	R	R	R	R	R	I	R	I
Decisions on UoAs	A, R	A, R	C	C	C	C	C	I	I	I
Volume targets	C	A, R	R	I	I	I	I	I	-	-
Quality assessment	C	A	R	I	I	I	R	R	R	I
Eligibility checks	C	A	R	-	-	-	R	R	R	-
ICS selection	C	A	R	I	I	I	C	I	-	I
Final output selection	C	A	R	I	I	I	C	I	R	I
UoA submissions	R	A	A, R	A, C	C	C	C	R	C	-
SHU submission	R	R	C	A, C	C	I	R	I	C	-
Communications	A, R	C	R	I	I	I	R	I	I	I

- **R**esponsible: The person who does the work to achieve the task. They have responsibility for getting the work done or decision made.
- **A**ccountable: The person who is accountable for the correct and thorough completion of the task. This is often the project executive or project sponsor. This is the role that responsible is accountable to and approves their work.
- **C**onsulted: The people who provide information for the project and with whom there is two-way communication. This is often subject matter experts.
- **I**nformed: The people kept informed of progress and with whom there is one-way communication. These are people that are affected by the outcome of the tasks, so need to be kept up-to-date.

REF Management Group - Terms of Reference and Membership

Purpose:

To manage the strategic direction and co-ordination of the Research Excellence Framework submission

Objectives:

1. To have responsibility for the REF submission, including quality assurance thereof

2. To determine and advise the Dean of Research on the strategic and operational requirements to optimise future REF returns

3. To have overview of college and departmental responsibilities in contributing to the University REF submission, to ensure compliance with Research England requirements, University strategy and operational procedures

4. To brief the Dean of Research on evolving requirements and best practice across the sector

5. To report to CKB on REF-related developments and activities, where these are relevant to the work of the Board

6. To review, disseminate and advise on the REF 2014 results, and the future REF 2021 results

7. To advise on the distribution of QR funds

Membership:

PVC Research and Innovation
Dean of Research
Associate Deans Research and Innovation x 3 (one per college)
Head of Research Services (RIS)
Research Development Manager (RIS)
Impact Manager x2 (RIS)
REF Co-ordinator (RIS)

Affiliate:

Doctoral School - Director of the Doctoral School
Library Services - Head of Library Research Support
Finance - Senior Management Accountant
Human Resources and Organisational Development - Senior HR Business Partner
Communications and Marketing - Senior Business Partner

Roles of Professional Services Teams for REF 2021

Directorate	Data	Other
HR&OD	Provision of personal staff HR&OD data relating to employment conditions to support decision making around staff with a significant responsibility for research Provision of sensitive personal staff information to support equality and diversity monitoring, in accordance with the confidentiality procedures as defined in the Code of Practice	
Library Services	Provision of systems and processes to support Research England open access requirements including exemptions Provision and quality assurance of metadata for all outputs submitted to REF	Narrative on library research support infrastructure, notably policies that go above and beyond Research England OA requirements
Corporate Operations	Accurate HESA student returns and provision of underlying data. Supporting metrics for inclusion in the environment narrative.	Descriptors of doctoral processes and quality assurance procedures as required to support the REF narrative
Finance	Accurate HESA FSR returns and provision of underlying data. Supporting metrics for inclusion in the environment narrative	
Communications and Marketing	Web presence that showcases excellent research and arising impact that supports the REF submission. Up-to-date staff profiles	
Strategy, Planning and Insight	Access to Athena SWAN data as required to support analysis and understanding of REF E&D monitoring	Equality and Diversity training tailored for the REF to support the REF Code of Practice
Estates and Facilities	Provision of finance investment information in the estate/infrastructure to support the environment narrative	

10.2 Appendix 2 - List of Consultation Events

11/03/19 - Staff Consultation - UoAs 27, 28, 32 and 34
12/03/19 - Staff Consultation - UoAs 3, 4, 20 and 24
13/03/19 - Staff Consultation - UoAs 13, 17 and 23
14/03/19 - Staff Consultation - UoAs 5, 11 and 12
27/03/19 - Information and Consultation Committee

Individuals did not have to attend the consultation event for their particular UoA - all were open to all staff. UoA groupings were suggested to help manage numbers.

10.3 Appendix 3 - Research Objectives/Examples of Research Activity

Research objectives should broadly link to the core areas of:

- Research outputs
- Research income
- Research impact
- Research data collection

Examples might include:

- Producing high-quality research outputs, aiming towards internationally excellent (REF 3*) and world leading (REF 4*) standard, as internally quality-rated by the Unit of Assessment reading groups, as part of an ongoing personal publication strategy
- Contributing to applications for funding and securing levels of income generation appropriate to the academic discipline and researcher's career stage
- Contributing to the planning and delivery of research impact activities that would be of a suitable level to potentially be a REF impact case study. Impact activities use research to direct engagement with non-academic external stakeholders, covering areas such as knowledge exchange, commercialisation, the development of public policy, informing professional practice, culture, and public engagement
- Collecting research data as part of an ongoing personal research and publication strategy

Other research environment-focused activities include:

- Contributing to local reading/peer review groups for bids, outputs (pre and post publication) and ethics reviewing
- Mentoring researchers at earlier career stages
- Contributing to the internal research environment, e.g. giving research seminars, providing researcher training
- Professional academic activities e.g. peer review boards, editorial boards, membership of learned societies
- Developing an external profile and extending international research networks

The following activities would not be classified as research objectives:

- Doctoral supervision and examination would typically be regarded as a learning and teaching activity
- Knowledge exchange work would typically be regarded as a professional and business engagement activity, except where it is serving as a pathway to research impact (recognising these areas overlap)

The above reflects existing practice that staff should be familiar with, particularly outlined in the University's Academic Careers Framework (https://blogs.shu.ac.uk/acf/, login required) and PDR Toolkit (https://blogs.shu.ac.uk/shupdreviewtoolkit/creating-knowledge-2/).

10.4 Appendix 4 - Provisional High-Level Mapping of Subject Areas

College	Research Centres	Teaching Departments	**Provisional UoA Mapping**
Health, Wellbeing and Life Sciences	Sport and Physical Activity Research Centre (SPARC)	Academy of Sport and Physical Activity	**24 - Sport**
	Advanced Wellbeing Research Centre (AWRC)		
		Department of Allied Health Professions (AHP)	**3 - Health**
		Department of Nursing and Midwifery	**3 - Health**
		Department of Social Work and Social Care	**20 - Social Policy**
	Biomolecular Sciences Research Centre (BMRC)	Department of Biosciences and Chemistry	**5 - Bioscience**
Business, Technology and Engineering	MERI - Polymers, Nanocomposites and Modelling Research Centre	Department of Engineering and Mathematics	**12 - Engineering**
	MERI - Centre for Automation & Robotics Research (CARR)		**11 - Computing**
	MERI - Thin Films Research Centre		**12 - Engineering**
	MERI - Structural Materials and Integrity Research Centre		**12 - Engineering**
	MERI - Materials Analysis and Research Services (MARS)		**12 - Engineering**
	National Centre of Excellence for Food Engineering (NCEFE)		**12 - Engineering**
	Centre of Excellence in Terrorism, Resilience, Intelligence and Organised Crime Research (CENTRIC)	Department of Computing	**11 - Computing**
		Department of Management (DM)	**17 - Business**
		Department of Service Sector Management (SSM)	**24 - Sport** **3 - Health** (Nutrition group)
		Department of Finance, Accounting and Business Systems (FABS)	**17 - Business**
Social Sciences and Arts	Centre for Regional Economic and Social Research (CRESR)	Department of Natural and Built Environment (NBE)	**13 - Planning**
	Centre for Behavioural Science and Applied Psychology (CeBSAP)	Department of Psychology, Sociology and Politics (PSP)	**4 - Psychology**
	Helena Kennedy Centre for International Justice	Department of Law and Criminology (DLC)	**20 - Social Policy**
	Centre for Development and Research in Education (CDARE)	Department of Education, Childhood and Inclusion (DECI)	**23 - Education**
		Department of Teacher Education (TED)	**23 - Education**
	Humanities Research Centre (HRC)	Department of Humanities	**27 - English** **28 - History** **34 - Communications** (Film group)
	Lab4Living (L4L)	Department of Art and Design Sheffield Institute of Arts	**32 - Art and Design**
	Art & Design Research Centre (ADRC) (includes Design Futures)		
	Communication & Computing Research Centre (CCRC)	Department of Media Arts and Communication (MAC)	**34 - Communications** **32 - Art and Design** (Media Production group)

*Individual researchers may be mapped to a different UoA, in line with their research focus

10.5 Appendix 5 - Example Independent Researcher Identification Form

Name:
Department/Institute/Centre:
Unit of Assessment:

I confirm that I am on a grade 7 research-only contract (typically having the job title Research Fellow) ☐

The definition of an independent researcher is 'an individual who undertakes self-directed research, rather than carrying out another individual's research programme'. Indicators of this include:

- leading or acting as principal investigator or equivalent on an externally-funded research project
- leading/co-leading a project, or having substantial leadership responsibilities as part of a team, on a piece of contract or commissioned research
- acting as co-investigator on an externally-funded research project (Panels C and D only)
- holding an independently-won, competitively awarded fellowship where research independence is a requirement
- leading a research group or a substantial or specialised work package

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

Rationale for claiming research independence. Include examples evidencing that the above criteria has been met (500 words)

Member of Staff:

Line Manager:

UoA Co-ordinator:

Date of submission:

REF Management Group Decision
Independent ☐, or
Not Independent ☐

Date of decision:

Explanation for decision

10.6 Appendix 6 - Example Appeal Form

Name:
Department/Institute/Centre:
Unit of Assessment:

Part A - Significant Responsibility for Research (SRfR)

My 2019/20 academic year status is:
Significant Responsibility for Research ☐, or
No Significant Responsibility for Research ☐

My appeal is that my status should be:
Significant Responsibility for Research ☐, or
No Significant Responsibility for Research ☐

Grounds for appeal:
Incorrect HR&OD data (relating to contract type or FTE) ☐
Incorrect work planning data (relating to time allocated for research) ☐
Contract does not reflect current status ☐
Incorrect record of Performance and Development Review objectives relating to research ☐
Other ☐

Rationale for appeal. Include as much specific evidence as possible (500 words)

Part B - Research Independence

2019/20 academic year status is
Independent ☐, or
Not Independent ☐

My appeal is that my status should be:
Independent ☐, or
Not Independent ☐

Grounds for appeal, I present more information with regard to the criteria of:
Acting as a Principal Investigator or Co-Investigator on an externally-funded research project ☐
Leading/co-leading a project, or having substantial leadership responsibilities as part of a team, on a piece of contract or commissioned research ☐
Holding an independently-won, competitively awarded fellowship ☐
Leading a research group or a substantial work package ☐
Other ☐

Further information. Include as much specific evidence as possible (500 words)

Member of Staff:

Line Manager:

Local Research Lead (for SRfR)/UoA Co-ordinator (for independence):

Date of submission:

Decision
Appeal Unfounded - Maintain Status ☐, or
Appeal Accepted - Change Status ☐

Date of decision:

Explanation for decision

10.7 Appendix 7 - Example Review Form

Name:
Department/Institute/Centre:
Unit of Assessment:

Part A - Significant Responsibility for Research (SRfR)

My 2019/20 academic year status is:
Significant Responsibility for Research ☐, or
No Significant Responsibility for Research ☐

My review will make the case that my status should be:
Significant Responsibility for Research ☐, or
No Significant Responsibility for Research ☐

Grounds for review:
Contract change ☐
Work planning change ☐
Change in PDR objectives relating to research ☐
Other ☐

New information. Include as much specific evidence as possible (500 words)

Part B - Research Independence

2019/20 academic year status is
Independent ☐, or
Not Independent ☐

My review will make the case that my status should be:
Independent ☐, or
Not Independent ☐

Grounds for review, I present more information with regard to the criteria of:
New externally-funded research project ☐
New independently-won, competitively awarded fellowship ☐
Newly leading contract or commissioned research ☐
Newly leading a research group or a substantial work package ☐
Other ☐

New information. Include as much specific evidence as possible (500 words)

Member of Staff:

Line Manager:

Local Research Lead/UoA Co-ordinator:

Date of submission:

Decision
Review Unfounded - Maintain Status ☐, or
Review Accepted - Change Status ☐

Date of decision:

Explanation for decision

10.8 Appendix 8 - Example Staff Circumstances Form

Name:
Department/Institute/Centre:
Unit of Assessment:

The following disclosures will be treated in the strictest confidence. The information provided will only be seen by a dedicated staff circumstances panel, and will be used exclusively for the purposes of the REF 2021 submission. Where an output reduction is agreed, information relating to an individual and the rationale as to why the reduction was granted will be confidential and will not be passed on to the college, line manager or UoA Co-ordinator. UoA Co-ordinators will be informed of the combined output reduction across the UoA, and will only be informed of reductions relating to individuals where it involves a zero output return.

Part A - Circumstances

Circumstance	Time period affected
Early Career Researcher (started career as an independent researcher on or after 1 August 2016). *Date you became an early career researcher.*	Enter a date
Career break or secondment outside of the HE sector lasting 12 months or more. *Dates and durations in months.*	Enter dates and durations
Family-related leave lasting four months or more; • statutory maternity leave • statutory adoption leave • Additional paternity or adoption leave or shared parental leave lasting for four months or more. *For each period of leave, state the nature of the leave taken and the dates and durations in months.*	Enter dates and durations
Disability (including chronic conditions) *To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Enter text
Mental health condition *To include: Nature / name of condition, periods of absence from work, and periods at*	Enter text

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

Part B - Support and Disclosure

If you feel you would benefit from more support relating to any ongoing circumstance(s), please discuss this with your line manager.

Alternatively, if you would like general advice, please contact the HR Operations team (x4264, '! HR Operations') for a confidential discussion.

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as at the date I am submitting it

- I realise that the above information will be confidential, and will be made available to just the University's staff circumstances panel (consisting of the Head of Equality and Diversity, Senior HR Business Partner, Head of Research Services, Research Development Manager, and the Dean of Research), for REF purposes only
- A member of that panel may contact me for further information relating to this declaration
- I realise it may be necessary to share information with the Research England Equality and Diversity Advisory Panel (EDAP) and members of the Research England REF team, for the purpose of audit

I agree ☐

Please select the appropriate response:

I would like my line manager and local research lead to be notified of the impact of my circumstances, so that this can be taken into account when reviewing my performance, and setting my workload and research objectives, as part of my PDR (the nature of the circumstances will not be disclosed).

Yes ☐, or
No ☐

Decision

Tariff Reduction	☐	Tariff Reduction …..
Return with Zero Outputs	☐, or	
No Tariff Reduction	☐	

Date of decision:

Sheffield Hallam University

REF 2021 Code of Practice

FILDES, Keith <http://orcid.org/0000-0003-0673-7882> and CRANTON, Wayne

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