

UEA REF2021 Code of Practice

Open meeting for all staff

04 July 2019

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Julia Sheldrake, Head of Research, Research & Innovation Services

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What is the REF?



The Research Excellence Framework (REF) is a periodic peer review assessment of research quality in UK HEIs.

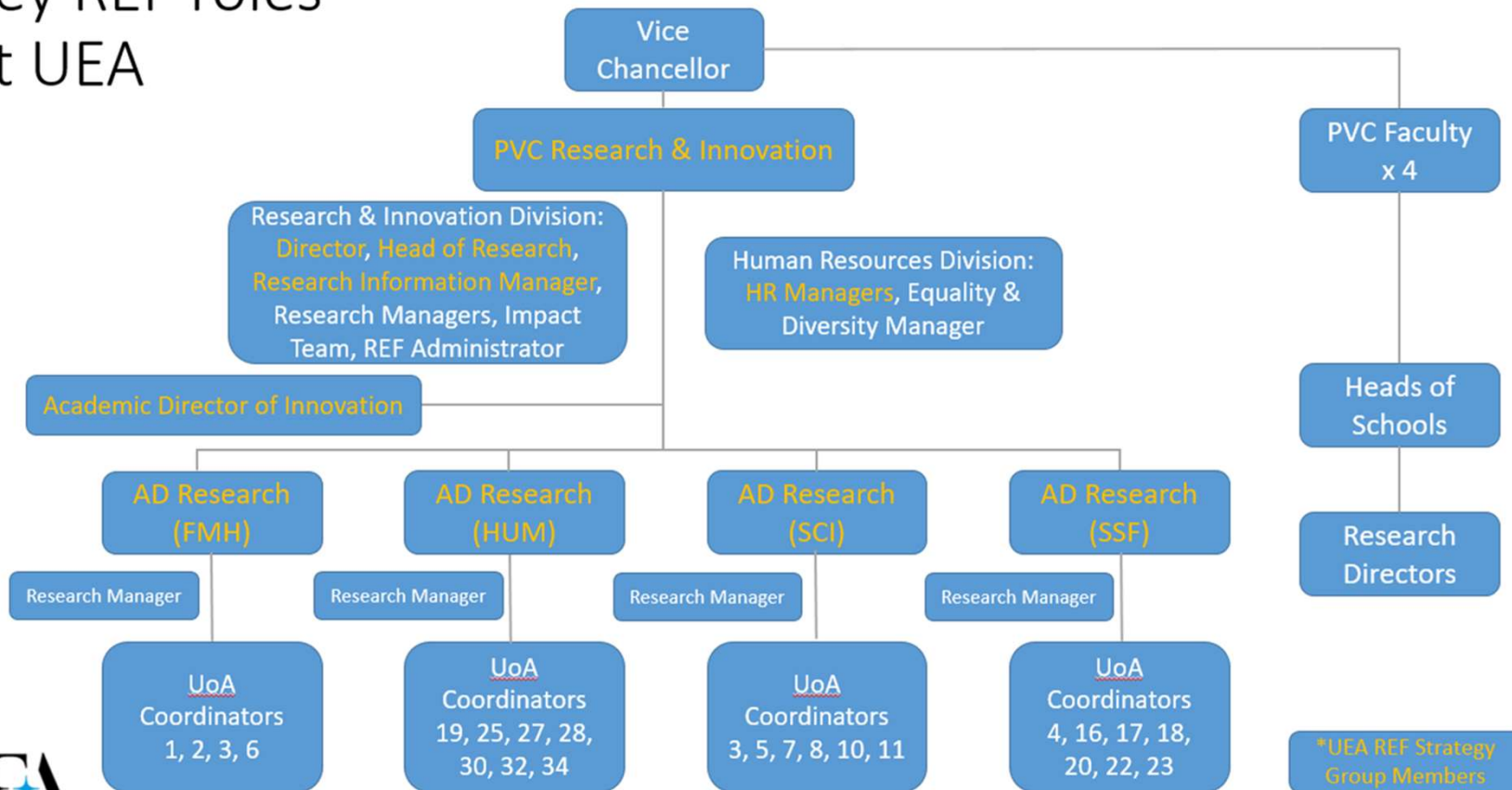
The last REF reported in 2014, the next submission (REF2021) is due in November 2020 with results expected in late 2021.

Results inform Quality Related (QR) funding allocated to Universities, provide reputational benchmarks and contribute to league table positions.

Submissions to REF2021 must include eligible staff details, research outputs, impact case studies and descriptions of research environments, divided into subject area panels (Units of Assessment).

How is the REF submission organised at UEA?

Key REF roles at UEA



Why do we have a Code of Practice for REF?

All HEIs wishing to submit to REF2021 must produce a Code of Practice which is approved by the UK research funding bodies' Equality and Diversity Panel (EDAP).

Aligns to principles of REF EDAP and to the overarching principles embedded by the UEA REF Strategy Group:

- ❖ Collaborative
- ❖ Ambitious
- ❖ Responsible
- ❖ Entrepreneurial



What does the Code of Practice cover?

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- **How we will decide which staff are included in the submission to REF2021**
 - **How we determine if staff on research-only contracts are working independently and are therefore eligible to be included in the submission**
 - **How we choose which outputs are included in the submission**
 - **How we will take into account individual circumstances which may have affected the ability to undertake research in the assessment period**
 - **How we organise our submission, who is involved and what training they will receive**
 - **How we will monitor equality and diversity standards throughout the submission preparation, and use this information to inform future development**

How was the UEA Code developed?

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- **REF2014 Code of Practice, feedback and advice reviewed**
 - **Guidance and format requirements received from the research funding bodies**
 - **Clarification and guidance from funding bodies' webinars**
 - **Draft Code of Practice reviewed by Research Executives, Faculty Executives, UCU representatives and REF Unit of Assessment Coordinators**
 - **Final Draft Code of Practice approved by the University's Executive Team (April 2019) and Council (May 2019)**
 - **Submitted to the REF Equality and Diversity Panel for review (outcome pending)**

Selection of staff and outputs for inclusion in REF2021

Change in REF methodology from REF2014 – all ATR staff now included in submission

Submissions require pool of outputs totalling 2.5 x submitted staff fte

1-5 outputs per person

Can include outputs produced by former eligible staff when they were at the submitting institution

Internal and external reviews inform ranking of pool of eligible outputs to determine highest quality submission for the institution



Independent Researcher Status

Staff who consider themselves independent researchers but do not hold an ATR contract for eligibility may be considered for inclusion in the REF submission

Decision made by PVC R&I

Submit details of research activity to evidence independence, for example:

- **Leading or acting as principal investigator on externally funded research project**
- **Holding an independently won, competitively awarded fellowship**
- **Leading a research group or substantial work package**



Individual Circumstances

Recognises that for some staff, personal circumstances may have affected their ability to conduct research in the assessment period

Examples: early career researcher, career break, ill health, disability, family-related leave, caring responsibilities, gender reassignment, other exceptional reasons.

Submit details voluntarily and in confidence to HR

***only HR managers and the Individual Circumstances Group will see the detail of your case**

May result in removal of minimum of 1 output for the individual, or combined effect reducing overall output requirement for the unit of assessment



Further information



The Code of Practice is available to download from the UEA Portal

<https://portal.uea.ac.uk/rin/ref-2021>

Forms for independent researcher status review and declaration of individual circumstances also on the above Portal page. Alternative formats available on request.

Advice can be sought from your Research Manager (RIN) or HR Manager (HRD):

| | FMH | SCI | HUM | SSF |
|------------------|--|--|---|--|
| HR Manager | Alison Clements a.clements@uea x2193 / x2314 | Jenny Summers jenny.summers@uea x2124 / x2734 | Linda Cole linda.cole@uea x3582 / x3809 | Santha Forder s.forder@uea x2936 / x3494 |
| Research Manager | Sarah Ruthven s.ruthven@uea x1486 | Cassy Spearing cassy.spearing@uea x7483 | Emma King emma.l.king@uea x1598 | |

General REF queries to **REF21.Support@uea.ac.uk**