

REF 2021

Code of Practice

Part 1: Introduction

1. The University's mission is to be a distinctive 'teaching intensive and research informed' university that puts student experience and education first, supported by the quality of our staff, our facilities and our links to employment sectors. Our world-leading research is supported by our strong links to industry as we seek to enhance the quantity, quality and usefulness of our research, focusing its application on improving practice, shaping change, informing public policy and solving problems. Consequently, the University's policy is to present the very best of the research conducted by our staff in the Research Excellence Framework in 2021. The University strives to ensure that there are no obstacles for staff based on lack of awareness, oversight, preconception or prejudice.
2. As a truly diverse institution, the University of Bolton is committed to promoting equality in all its activities and aims to provide a work, learning, research and teaching environment free from discrimination and unfair treatment. The University has an Equality and Diversity Committee, chaired by a member of the University Executive Board, reporting to the Executive and Board of Governors on human resource development and equality and diversity matters. The Board of Governors and the Senate receive a report on equality and diversity matters annually.
3. This Code of Practice addresses the four underpinning principles of the Research Excellence Framework as follows;
 - Transparency: the processes for identifying staff who will be submitted and selecting outputs for inclusion in the submissions are transparent.
 - Consistency: the University policies in relation to the processes covered by this Code of Practice are consistently implemented across the University, with key policies such as that for appeals being longstanding University policies.
 - Accountability: responsibilities are clearly defined and the individuals and committees involved in REF decision making are identified clearly.
 - Inclusivity: the University policies and processes are driven by a commitment to an inclusive environment for all staff.
4. Since REF 2014 the University requires all staff to undertake mandatory online training as follows;
 - a. Equality and Diversity Awareness (two course are available; one is for all staff and the other is specific to those in management roles)
 - b. The Bribery Act
 - c. PREVENT duty
 - d. GDPR
5. During 2018 the University also piloted online training for 'unconscious bias' for those in management roles and has subsequently made this a requirement for all staff who are members of REF committees.
6. The University is committed to equality of opportunity, the pursuit of diversity amongst its staff and student population and a supportive environment for all members of our

community. It expects that all staff and students alike will contribute to and actively support the University in working towards:

- a. the elimination of discrimination, harassment, victimisation and any other conduct that is prohibited under the Equality Act 2010
 - b. the advancement of equality of opportunity and the fostering of good relations between persons who share a relevant protected characteristic and persons who do not share it
7. Protected characteristics under the Equality Act 2010 are age, disability, sex, gender reassignment, pregnancy, maternity, race (which includes colour, nationality and ethnic or national origins), sexual orientation, religion or belief, or because someone is married or in a civil partnership.
 8. Under the Fixed-term employee and Part time workers Regulations, fixed term employee and part time workers have the right not to be treated less favourably than a comparable employee who works on an open contract or full time.
 9. Accordingly, the University wishes to ensure that all staff have the opportunity to present their research to be considered for inclusion in a submission for Research Excellence Framework (REF) 2021 subject to them fulfilling the appropriate criteria. No member of staff will be excluded or less favourably treated due to any protected characteristic. In order to ensure compliance, the University will use its 'Equality Check' process to conduct equality impact assessments of this code.
 10. This policy has been reviewed in response to and in accordance with the Equality Act 2010 and the Code will apply to all those involved in the University's submission for REF 2021.
 11. Implementation of this Code will include:
 - a. Publicising the policy throughout the University of Bolton.
 - b. Publishing on the Research pages of the University web site.
 - c. Publishing on the Diversity pages of the University web site.
 - d. Providing specialist training for selection panels to raise awareness on equality and diversity issues relating to submissions.

Development of process(es)

12. The formal deliberative processes associated with the development of the REF Submission have been led through the REF Outputs Sub-panel and its parent committee, the REF Strategy Group. The membership of both committees is representative of all academic areas of the University, including representation from HR, IST and the timetabling/workload support area. The members of these committees will be encouraged to cascade, and feedback, information to/from the relevant Faculties so that dissemination of information has been as broad as possible.
13. In order to facilitate the work of the REF committees a REF Staff database was commissioned from the IS&T team within the University. This system extracted data from existing University systems for HR and from publicly available data related to our staff within the ORCID system. In this way, multiple data sources were avoided and the REF committees worked with data that was already held on Category A staff within the University. The REF Staff database allows for modelling of UoA submissions and for capturing REF specific information such as the 200 word text to show a 0.2 – 0.29 fte staff member's substantive connection with a UoA. This formed part of the strategy of openness

with staff about data collection and manipulation for REF purposes, as well as helping to ensure an inclusive approach.

14. Additionally, matters of significance will be agenda items on the Research and Knowledge Exchange Committee (particularly around research impact case studies and open access) with whom the REF Strategy Group will consult. Matters such as ORCID and open access will also be discussed with the Board of Studies for Research Degrees as part of a process of engaging a wider community in the deliberations. This has been helpful in providing several 'critical friends' during the development of our REF processes, policies and systems, whilst also providing a wider audience for REF developments. During the calendar year 2018 the Executive Dean – R&GS and the AVC (OfS) undertook meetings with individual academic groups based on likely units of assessment in order to brief them on the requirements of REF and to allow them chance to enter into dialogue about their own subject in a focused meeting.

Consultation

15. Staff have been consulted throughout the development of the Code leading to a high level of confidence with regard to staff agreement to the processes defined in relation to significant responsibility for research (SRR). Additional local consultation also took place when Faculty representatives from the relevant committees reported to their Faculty/School Boards and when the Executive Dean – R&GS was invited to School research meetings. Specific consultation events were;
 - a. Senate meeting on 25 February 2019 and circulation of a further draft to members on 26 March 2019 for comment
 - b. REF Outputs sub-panel meetings of 27 February 2019, 13 March 2019 and 10 April 2019.
 - c. Research and Knowledge Exchange Committee on 14 March 2019
 - d. All staff email requesting feedback on a draft which was issued on 16 April 2019 with responses requested by 3 May 2019

This level of consultation activity was appropriate for the size of the University and scale of its research.

16. The University and College Union (UCU) branch Chair was consulted initially at regular periods and there was a Union Liaison meeting convened by HR on 6 March 2019. Subsequently the UCU Branch Chair was sent further drafts on 17 April 2019 and 13 May 2019 with a request for feedback. This was circulated to the circa. 120 members of UCU (which represents 355 of the Category A eligible staff) for comments. The response from the UCU Branch Chair confirming the consultation and their support for this Code is shown in Annex 11. Additionally, a letter from the University confirming that staff consultation has occurred, and yielded staff consent to the Code, is also included in Annex 11.
17. Ultimately, the Executive Board approves all policies related to REF and the actual REF submission having been endorsed by the REF Strategy Group.
18. The University REF internal timeline for developing the final version of this Code is shown in Annex 1.

Part 2: identifying staff with significant responsibility for research (SRR)

Policies and procedures

19. There are three criteria in establishing whether or not a current member of Category A staff has significant responsibility for research (SRR) and these are detailed in paragraph 141 of the Guidance on Submissions (GOS). In summary they are;

- a. Explicit time and resources are made available: paragraphs 21-23 explain the process used to determine this aspect
- b. The staff member acts as an independent researcher: detailed in Part 3 of this Code within paragraphs 44 and 45
- c. It is an expectation of the job role: paragraph 25 expands on this point

Staff who meet the criteria specified in a), b) and c) will be deemed to have significant responsibility for research (SRR) and will therefore be eligible to be Category A Submitted for REF purposes.

20. There will be no variation across submitted UoAs in terms of determining SRR because the University's employment practices are consistent across all subject areas.

Explicit time and resources

21. The University's existing workload allocation system (WLA) is the well-established method by which dedicated research time is planned and allocated to academic staff. The process of allocating time will be used to inform discussions with staff during the annual Performance Review process where allocations are balanced across teaching and research. These allocations may vary across individual staff but the process is transparent and takes account of research projects/grants, outputs and personal circumstances. The WLA will be used inform our approach to the identification of staff who make a significant contribution to research.

22. The University will use the existing workload allocation system (WLA) to review the time allocated to research activities in AY 2019-20. Staff for whom an allowance of hours has been entered in the supplemental activity 'Research Type I/Type II' or 'Research Active' fields will be deemed to have met this criterion.

23. A Category A staff member who does not have hours allocated would not be deemed to have had explicit time and resources available that is consistent with being research active. In this case, the staff member would not be submitted.

Expectation of the job role

24. The HR Business Partner responsible for REF and attached to the REF Outputs sub-panel has confirmed that all academic (that is 'teaching and research') and 'research only' contracts contain detailed reference to a requirement to engage in research activity.

Staff, committees and training

25. A diagram of the main University committees is shown in Annex 2 together with the terms of reference and membership for the key consultative and decision making committees directly involved in the REF preparations;

- Senate
- REF Strategy Group

- REF Outputs Sub-panel
- Research & Knowledge Exchange Committee (RKEC)

26. The memberships of the committees referred to below are designed to provide a balance of representation from appropriate areas of the University and to ensure those with the relevant specialist knowledge of the committee's work are included. This is evident from the role descriptions given in Annex 2.

27. The deliberative and decision-making relationships between the key committees directly involved in the REF submission are summarized in Figure 1. Ultimately, it will be the Executive Board that approves the Code of Practice and the REF submission itself.

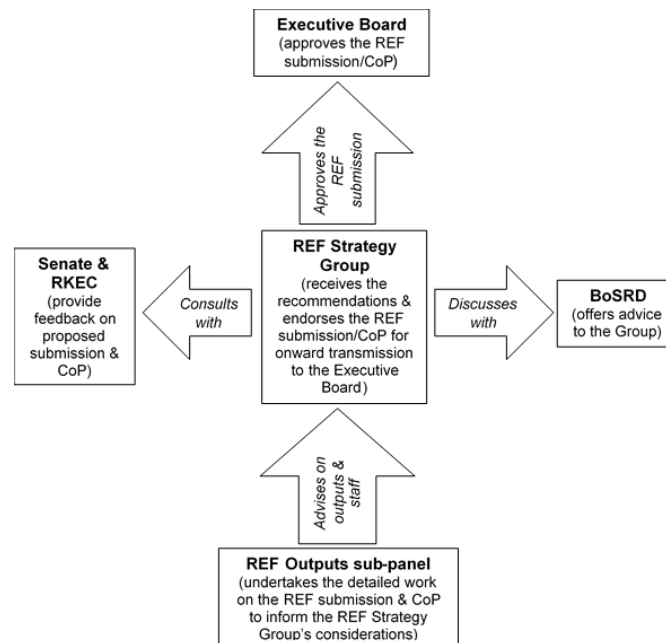


Figure 1 Committee relationships

28. The Assistant Vice Chancellor (Office for Students) convenes and chairs the REF Strategy Group consisting of the Executive Dean – R&GS (or nominee), School research coordinators, HR Business Partner (responsible for academic processes including REF/TEF/ECR) and the REF administrator (whose substantive role is Senior Administrator in the R&GS). The minutes of these meetings are presented to the next meeting of Senate. The REF Strategy Group is the committee that coordinates all REF related task and processes on behalf of Senate and makes the recommendation on the final shape of the REF submission including the Code of Practice.

Responsibilities of Senate

29. Senate is the University's most senior committee in relation to academic matters. It has overall responsibility for the University's qualifications, the oversight of academic quality, standards and information and for the quality framework. It directly approves changes to the academic regulations for taught and research programmes of study. More detailed functions are largely delegated to its sub committees: Education Committee alongside the Research and Knowledge Exchange Committee.

Responsibilities of REF Strategy Group

30. This Group will receive the recommendations on the REF submission from the REF Outputs Sub-panel and then endorse the final form of REF submission for onward

passage to the Executive Board. This Group is responsible to the Executive Board for the initiation, ongoing management and integrity of the process of preparing the research submissions, which the University will return in REF 2021, and advised of the deliberations of the REF Outputs sub-panel in relation to submitted staff, outputs and the Code of Practice. Where a UoA covers more than one Faculty/Centre research area, the REF Strategy Group will determine which Faculty/Centre Research acts as “host”.

31. The Strategy Group will invite Faculties or Research Centres whose submissions show equality profiles markedly different from the University’s profile either to revise the submission or to produce commentary that explains the apparent discrepancy.
32. The Strategy Group will make recommendations to the Executive Board with regard to the REF submission.

Responsibilities of the REF Outputs Sub-panel

33. The Executive Dean – R&GS (or nominee) chairs this meeting, which comprises four Faculty REF coordinators, HR Business Partner (responsible for academic processes including REF/TEF/ECR) and the REF administrator (whose substantive role is Senior Administrator in the R&GS). The minutes of these meetings are presented to the next meeting of the REF Strategy Group.
34. This sub-panel will undertake the detailed work on outputs and staff to be submitted in order that it can make a proposal on the REF submission to the REF Strategy Group.

Responsibilities of the Research & Knowledge Exchange Committee

35. The Committee is advisory to Senate on the development of the Strategic Plan in relation to research, knowledge exchange/transfer, and industry engagement and for developing policies and initiatives concerning the maintenance, growth and enhancement of related activities and the University’s research activity (including scholarship, knowledge transfer and the creation and exploitation of new knowledge) within the overall context of the current Strategic Plan. The Committee’s remit will include the development of business opportunities and the creation and exploitation of new knowledge within the overall context of the Strategic Plan.

Responsibilities of Faculties/Research Centres

36. Faculties/Research Centres will convene such meetings as are necessary to undertake work on the outputs and staff to be submitted at a local level as required by the REF Outputs Sub-panel. Outcomes will be reported to relevant School Boards and the REF Outputs Sub-panel.
37. An online training package was implemented in November 2018 for unconscious bias training for all staff in managerial/supervisory roles and those directly involved in any REF related committees. The University has also implemented mandatory equality and diversity training, which must be completed by all employees of the University. This ensures that all employees of the University have a good understanding of all equality and diversity matters and are able to act appropriately if they encounter an instance of bullying, harassment, victimisation or discrimination.

Appeals

38. Appeals will be possible for each stage of the REF process and will be eligible on the following grounds;

- Inappropriate exclusion from the Category A submitted list due to not meeting the criteria related to 'significant responsibility for research' (SRR)
- Inappropriate rejection of personal circumstances, but only if a personal circumstances form was submitted within the prescribed timeline

39. It should be noted that in line with the REF guidelines there is no ground for appeal relating to the selection of outputs for a UoA submission.

40. Individual staff will have access to the University's existing Grievance Process (as shown in Annex 3) in order to make an appeal. This is a tried and tested process that has existed for many years and has the full support of the recognized trade unions (UCU and UNISON) meaning that the University has full confidence in the fairness and transparency of the process making it highly appropriate for use in this Code where such attributes are a key feature. The procedure makes it clear that the process should be undertaken without 'unreasonable delay' and usually within 15 days of receiving an appeal. Appeals under this Code of Practice are unlikely to be more complex than typical and so the University envisages concluding such appeals in a speedy manner. The final internal deadlines for personal circumstances forms and decisions on SRR have been set such that it allows March through to June as a period when staff will know the outcomes and can lodge appeals.

41. The HR Business Partner (responsible for academic processes including REF/TEF/ECR) will notify the REF Outputs sub-panel only of the outcome of an appeal so that the sub-panel can revise its recommendations to the REF Strategy Group.

Equality impact assessment

42. The University's existing 'Equality Check' process (Annex 4) will be used to conduct equality impact assessments of this Code. The completed Equality Checks are included in Annex 5. The Equality Check process will not be used to directly identify staff because the mechanisms outlined in this Code will be used. However, the Equality Check will be used to provide a reflection on the Code and to identify any changes that may be necessary to ensure that the Code is fair in its treatment of staff as well as ensuring compliance with legal obligations regarding equality and diversity. This Code has been constructed with equality and diversity at its core throughout its development.

Part 3: Determining research independence.

Policies and procedures

43. Where the University HR system shows a member of staff to be on a 'teaching and research contract (ACEMPFUN = 3) then they will be deemed to be an independent researcher. In the context of the University of Bolton all such staff are permitted to undertake research activities in line with the types of indicators specified in paragraph 132 of the GOS. The University uses a pool of academic variable hours tutors (VHT) but these colleagues are on a teaching only contract (ACEMPFUN = 1) and are therefore out of scope for REF.

44. Those staff who are on a 'research only' contract (ACEMPFUN = 2 in the University HR system) may not automatically be assumed to be independent researchers. The Chair of the REF Outputs Sub-panel will write to the staff members on such contracts and ask them to produce a short statement evidencing their independence with reference to paragraphs 128 to 133 in the GOS. The statements will be considered by the REF Outputs Sub-panel who will decide whether the staff member is compliant with this

criterion. The individual staff member will be notified by email normally within 5 working days of the meeting. The minutes of the REF Outputs Sub-panel will provide the audit trail in relation to decisions taken.

Staff, committees and training

45. The committee structure outlined in Part 2 also applies here.
46. The REF Outputs Sub-panel will undertake the detailed work in this aspect and make recommendations to the REF Strategy Group who will make the final recommendations to Senate.

Appeals

47. The appeals process detailed in Part 2 of this Code of Practice will apply.

Equality impact assessment

48. The University's existing 'Equality Check' process (Annex 4) will be used to conduct equality impact assessments of this Code as described in Part 2.

Part 4: Selection of outputs

Policies and procedures

49. For all staff who are deemed to be Category A 'submitted' (by virtue of meeting the criteria detailed in Part 2 and Part 3) a request will be made for each staff member to complete an Outputs Form (Annex 6) detailing their 5 best outputs based on their own assessment together with a rationale to explain these choices. The REF Outputs sub-panel will use this information to recommend to the REF Strategy Group a profile of outputs that meet the criteria of;
 - a minimum of 1 output per Category A fte
 - a maximum of 5 outputs per individual and;
 - overall, 2.5 outputs x number of Category A staff in the UoA
50. Once the final size of the Category A eligible group is determined, the REF Outputs sub-panel will select outputs that best represent the excellent research undertaken in that UoA with regard to those indicated on the REF Outputs form (Annex 6) for each eligible staff member.
51. The aim will be to provide a coherent set of outputs for the UoA. In undertaking this work, the REF Outputs sub-panel will take into account the permitted criteria for reductions in outputs as detailed in paragraphs 58-68. Staff will be able to request a reduction by using the Individual Staff Circumstances Disclosure form in Annex 8 following the process described in paragraphs 71-74. The REF Outputs sub-panel will use the information returned to determine the appropriate reductions in the UoA output pools as defined in Tables 1 and 2 of this Code so that an appropriate UoA submission can be constructed.
52. The outputs of former staff will be allocated to relevant UoAs by the REF Outputs sub-panel who will take advice from the relevant Faculty representative on that committee.

The GOS guidelines (paragraphs 211 to 216) will be applied to determine eligibility and the University will include the outputs from former staff who were made compulsorily redundant if their outputs fit with a submitted UoA. Outputs from current staff will be prioritised over those from former staff where all other selection criteria are deemed equal.

53. Outputs will be selected in order to best represent the breadth and diversity of research undertaken in the UoA.
54. Where the REF Outputs sub-panel are unclear in their deliberations then they may request a meeting with the current staff member to gain better understanding of why they have proposed the particular outputs on the form.

Small Units of Assessment

55. The GOS permits an exception for submission for UoAs where the combined fte of staff employed with significant responsibility for research in the unit is lower than 5 and where the research focus of these staff
- falls within the scope of one UoA exclusively;
 - is clearly academically distinct from other submitting units in the institution and;
 - the environment for supporting research and enabling impact of each proposed submitted unit is clearly separate and distinct from other UoAs in the University
56. The REF Strategy Group will consider whether to request an exemption for certain UoAs if:
- The research is in the scope of a UoA in which the institution has not previously submitted, and has not been an area of investment and growth for the institution; or
 - a previous REF submission has been made to the UoA, but there has been a change in the staff profile in the research area.

Criteria for Reduction in Outputs (from GOS)

57. Submitting units may be returned with fewer than 2.5 outputs per fte without penalty in the assessment, where one or more of the following circumstances significantly constrained the ability of submitted staff to produce outputs or to work productively throughout the assessment period:
- Qualifying as an early career researcher.
 - Absence from work due to secondments or career breaks.
 - Qualifying periods of family-related leave.
 - Circumstances equivalent to absence, that require a judgement about the appropriate reduction in outputs, which are:
 - i. Disability: defined in Annex 7 (extracted from REF2018/03).
 - ii. Ill health, injury, or mental health conditions.
 - iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances made below.
 - iv. Other caring responsibilities (such as caring for an elderly or disabled family member).
 - v. Gender reassignment.
 - vi. Other circumstances relating to the protected characteristics listed in Annex 7 or relating to activities protected by employment legislation.

58. The reduction applied to the total output pool will be a sum of the reductions arising from individual staff in the unit with applicable circumstances, which have constrained their ability to work productively during the assessment period.
59. Reductions arising from the circumstances of individual staff should be determined according to the tables and guidance below, up to a reduction of 1.5 outputs per staff member affected.
- a. The sum of the reductions should include those arising from the circumstances of staff for whom a request is being made to remove the minimum of one requirement, up to 1.5 outputs. A further reduction of one will be applied if the request to remove the minimum of one requirement is agreed by REF.
 - b. Rounding to the nearest whole number will be applied to the sum of reductions to give a whole number of outputs for reduction.
 - c. The applied reduction must not reduce the output pool below the unit's required minimum of one per Category A submitted staff member (except for any staff for which a reduction to the minimum of one is sought).
60. In applying defined reductions, or making a judgement on circumstances equivalent to absence, the University may take account of where an individual's circumstances are ongoing at the point of making the request.

Early career researchers

61. ECRs are defined as members of staff who meet the definition of Category A eligible on the census date, and who started their careers as independent researchers on or after 1 August 2016. For the purposes of the REF, an individual is deemed to have started their career as an independent researcher from the point at which:
- a. they held a contract of employment of 0.2 FTE or greater, which included a primary employment function of undertaking 'research' or 'teaching and research', with any HEI or other organisation, whether in the UK or overseas, and
 - b. they first met the definition of an independent researcher.
62. Table 1 sets out the permitted reduction in outputs without penalty in the assessment for ECRs who meet this definition.

Table 1 Early career researchers: permitted reduction in outputs

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

Absence from work due to secondments or career breaks

63. Table 2 sets out the permitted reduction in outputs without penalty in the assessment for absence from work due to secondments or career breaks outside of the HE sector, and in which the individual did not undertake academic research (the allowances are based

on the length of absence or time away from working in HE. They are defined in terms of total months absent from work);

Table 2 Secondments or career breaks: permitted reduction in outputs

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

Qualifying periods of family-related leave

64. The total output pool may be reduced by 0.5 for each discrete period of:

- a. Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2014 to 31 July 2020, regardless of the length of the leave.
- b. Additional paternity or adoption leave, or shared parental leave lasting for four months or more, taken substantially during the period 1 January 2014 to 31 July 2020.

65. While the above reduction of outputs due to additional paternity or adoption leave is subject to a minimum period of four months, shorter periods of such leave could be taken into account as follows:

- a. By applying a reduction in outputs where there are additional circumstances, for example where the period of leave had an impact in combination with other factors such as ongoing childcare responsibilities.
- b. By combining the number of months for shorter periods of such leave in combination with other circumstances, according to Table 2.
- c. Any period of maternity, adoption, paternity or shared parental leave that qualifies for the reduction of an output under the provisions above may in individual cases be associated with prolonged constraints on work that justify more than the defined reduction set out. In such cases, the circumstances should be explained in the disclosure form (Annex 8).

Combining circumstances

66. 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. For each circumstance, the relevant reduction should be applied and added together to calculate the total maximum reduction.

67. Where Table 1 allowances is combined with Table 2, the period of time since 1 January 2014 up until the individual met the definition of an ECR will be calculated in months, and Table 2 will be applied. When combining circumstances, only one circumstance can be taken into account for any period of time during which they took place simultaneously.

68. Staff may disclose circumstances that do not lead to a reduction in either individual outputs or those of a UoA and yet these may be circumstances of which the University

has been unaware prior to this process. The University does not have formal expectations of the numbers of research outputs or research funding bids that an individual should meet and so this is not an issue that would cause undue stress for an individual. However, the University prides itself on taking a caring approach to its staff and would seek to support a colleague to the best of its ability. The confidential nature of the disclosure process would mean that the HR Business Partner would intervene directly to establish what support could be offered at a University level, and would seek approval for engaging the relevant line manager in any support mechanism.

Staff, committees and training

69. The committee structure outlined in Part 2 also applies here.
70. The REF Outputs Sub-panel will undertake the detailed work in this aspect and make recommendations to the REF Strategy Group who will make the final recommendations to Senate.

Disclosure of circumstances

71. Each staff member who is Category A 'eligible' will be invited to submit a personal circumstances declaration form (Annex 8) voluntarily. This form should be returned by email to HR@bolton.ac.uk. The University gives an undertaking that any disclosure will be treated confidentially and in line with REF requirements. All REF related personal data will be destroyed in 2022 and all such data will be managed in compliance with the University's Staff Data Privacy Notice (Annex 10).
72. Due to the complex nature of such personal circumstances and the links with output reductions, it may be necessary for the HR Business Partner (responsible for academic processes including REF/TEF/ECR) to discuss the case with the Chair of the REF Outputs sub-panel in order to ascertain what, if any, reduction can be sought from UKRI. The individual staff member will be notified by email normally within 5 working days of a decision being made and would be able to appeal at that stage.
73. The outcomes would be reported in anonymized form to the next full meeting of the REF Outputs sub-panel. Any reductions would be reflected in the relevant entries within the University's REF Staff Database.
74. Colleagues wishing to use this process will be asked to note the declarations on the form itself concerning the sharing of their data, particularly with respect to anonymity if their data has to be passed to UKRI.

Appeals Process

75. The appeals process detailed in Part 2 of this Code of Practice will apply.

Equality impact assessment

76. The University's existing 'Equality Check' process (Annex 4) will be used to conduct equality impact assessments of this Code as described in Part 2. The completed Equality Checks are included in Annex 5. The Equality Check process will not be used to directly identify staff because the mechanisms outlined in this Code will be used. However, the Equality Check will be used to provide a reflection on the Code and to identify any changes that may be necessary to ensure that the Code is fair in its treatment of staff as well as ensuring compliance with legal obligations regarding equality and diversity.

Data Collection Statements

77. Annex 9 contains statements from UKRI regarding the use of personal data collected during the REF 2021 process. There are separate statements for 'staff' and 'non-staff' in order that the different stakeholders in REF 2021 have clarity with respect to their data. The University's Staff Data Privacy notice is given in Annex 10 for completeness.

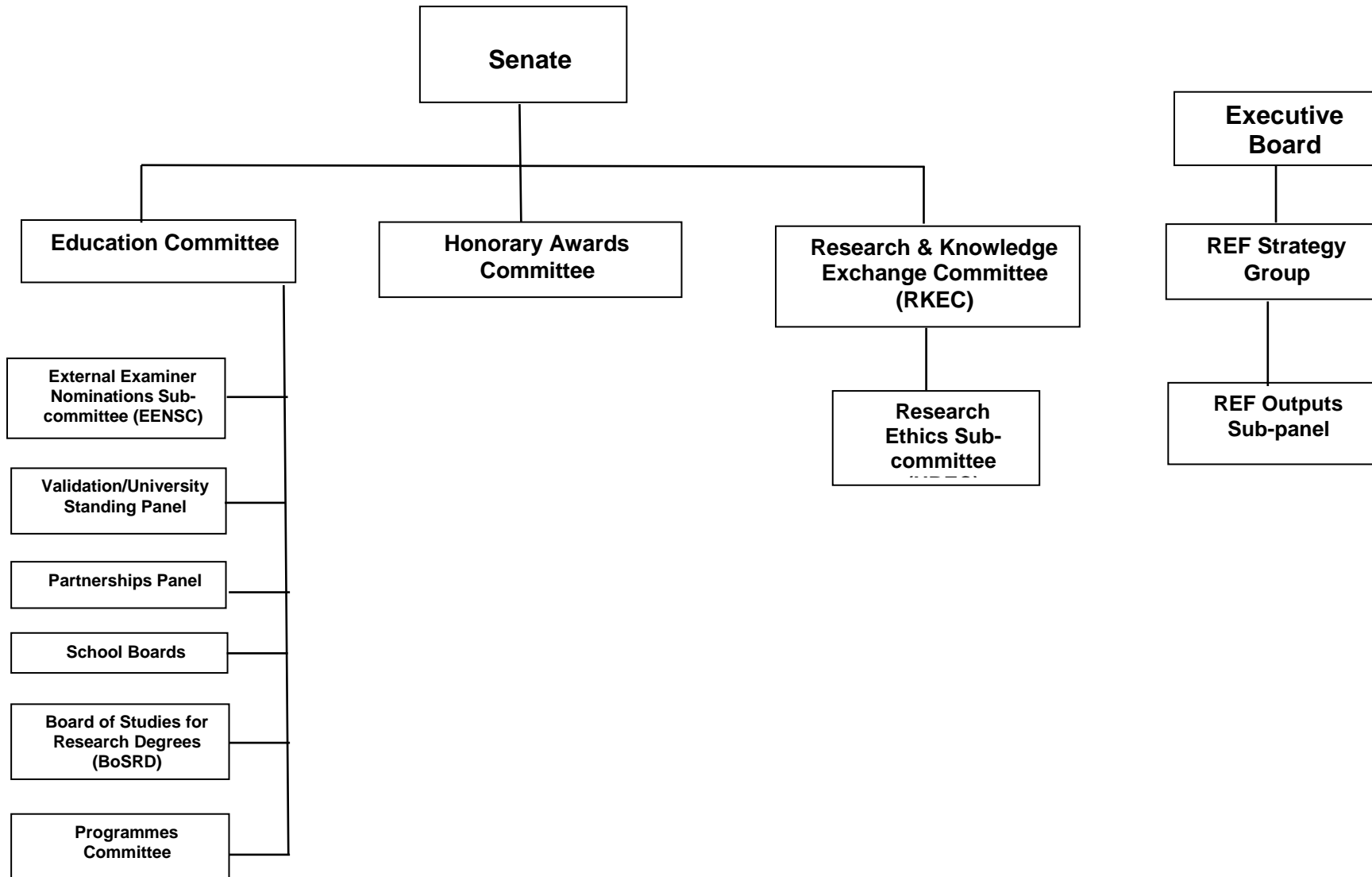
Annex 1

REF Code of Practice Internal timeline

2019	W/c	Activity
February	11	13: draft to BoSRD
	18	20: draft to Outputs sub-panel
	25	25: draft to Senate
March	4	6: draft discussed with UCU & UNISON (University liaison committee)
	11	13: draft to Outputs sub-panel 14: draft to RKEC
	18	Collate all responses received and compile final draft
	25	Circulate final draft to RKEC, BoSRD, Senate (responses by 29 March)
April	1	Undertake equality check
	8	10: CoP final draft to Outputs sub-panel
	15	Consult: publish CoP to R&GS web pages and send via all staff email 17: Consult: UCU Branch Secretary on final version (email)
	22	
	29	3 May: responses from all-staff consultation
May	6	8: CoP endorsed by BoSRD
	13	13: version 4 after staff consultation sent to UCU for comment
	20	
	27	30: CoP endorsed by RKEC and circulated to Senate
June	3	3: final sign-off by Executive Board (Chair sign off) 5: final approval to submit from AVC (OfS) 7 midday: Submit to REF
July		CoP final version published to R&GS web pages and all staff email
August	5	
	12	16: REF notifies UoB of CoP outcome
	19	<i>19: REF approved CoP published - R&GS web & all-staff email</i>
	26	
September	2	
	9	
	16	20: Resubmission of CoP if required [AVC(OfS) chair's action]
	23	
October		
November	4	8: REF approves CoP or requires further resubmission
	11	<i>11: REF approved CoP published - R&GS web & all-staff email</i> 15: Resubmission of CoP if required [AVC(OfS) chair's action]
	18	
	25	29: Final REF approval of CoP
December		<i>2: REF approved CoP published - R&GS web & all-staff email</i>

Annex 2

Senate and its sub-committees and REF committee reporting lines 2019



Senate

The Senate has delegated its authority to the following committees:

Assessment Boards

On behalf of Senate, Assessment Boards determine the results of assessments, student progression and the classification of awards. Senate receives regular reports on student progression and achievement and approves the regulations, which are used to define the conduct of Assessment Boards and the rules governing progression and attainment.

Honorary Awards sub-committee

The Honorary Awards sub-committee has delegated authority to identify and approach candidates for the award of honorary degrees.

Education Committee

The Education Committee has delegated authority to review and approve processes for the implementation of policies related to the University's Learning, Teaching and Assessment Strategy, the Student Experience Strategy and the Employability, Enterprise and Apprenticeships Strategy. The Education Committee also oversees the arrangements for assuring academic quality and standards on University programmes of study in both an on and off campus context.

Research and Knowledge Exchange

On behalf of Senate, to implement the Strategic Plan as it relates to research, knowledge exchange and industrial engagement, including the approval, review and oversight of the implementation of any related policies and procedures. To oversee the submission of bids for research and/or knowledge exchange funding.

Terms of Reference

- i. To determine the University's academic aims and objectives and to promote effective student learning, teaching, scholarship and research.
- ii. To advise the President & Vice Chancellor and Board of Governors on the development of the University's academic activities and the resources needed to support these activities.
- iii. To approve a framework of principles and regulations to be complied with by all of the University's programmes of study and programmes of supervised research, including University programmes offered in collaboration with external organisations.
- iv. To determine conditions and procedures for the granting and conferment of Degrees, Diplomas, Certificates, other academic awards, prizes and distinctions by the University, including honorary academic awards and titles.
- v. To be responsible for academic standards, academic quality audit, the validation and review of programmes of study and programmes of supervised research, subject to the requirements of external bodies.
- vi. To maintain oversight of the arrangements for ensuring that students have the opportunity to express their opinions on their overall experience and to ensure that students are well-prepared for employment in fields related to their degrees.
- vii. To establish policies and procedures on matters relating to the admission of students, student retention, teaching, curriculum content, assessment and examination of the academic performance of students, subject to the requirements of the University's authority and that of any external bodies.
- viii. To appoint and, if necessary, to remove internal and external examiners or, where appropriate, recommend the appointment of examiners to external validating bodies.

- ix. To determine procedures whereby students may appeal against decisions made by an Assessment Board.
- x. To determine procedures for the expulsion of students for academic reasons, after having consulted with the Board of Governors.
- xi. To advise on such other matters as the President & Vice Chancellor or Board of Governors may refer to Senate.

Membership

Under the Articles of Government, Senate should have no more than thirty members, selected under arrangements approved by the Board of Governors. The President & Vice Chancellor shall be Chairperson and in the event of the membership being at any time below thirty, the proportion of staff holding designated management posts should not be less than half. The membership of Senate shall be as follows:

- Chair – President & Vice Chancellor
- Fifteen holders of designated management posts (to include Pro-Vice Chancellor (Academic) (Deputy Chair), Deans of Faculty, Heads of Schools /Institutes; others to be designated managers with cross institutional responsibilities) (nominated by the President & Vice Chancellor)
- Five members of the permanent academic teaching staff (no more than two from an individual School) (elected by and from the permanent academic teaching staff)
- Five members of the Professoriate
- Two student representatives
- Two other permanent non-teaching staff (nominated by the Vice Chancellor).

Research and Knowledge Exchange Committee

Terms of Reference

- i. To engage with the research landscape across the higher education sector and its funding bodies, partners and users, to inform research policy and planning within the University.
- ii. To identify opportunities for knowledge exchange and industry engagement with research and the wider University, including opportunities for student internships and placements, and to identify potential sources of funding, and research partners from the UK, EU and overseas, so as to inform policy and planning within the University.
- iii. To formulate and implement University research strategies and associated policies according to the commitments made in the Strategic Plan and to ensure that appropriate staff development is made available to support these activities.
- iv. To formulate and implement University knowledge exchange and employer engagement policies, strategies and implementation plans according to the commitments made in the Strategic Plan.
- v. To identify opportunities by which the University is able to achieve its knowledge exchange and industry engagement-related goals and to measure progress against these goals, including:
 - a. the development of products and services leading to knowledge exchange and industrial engagement outcomes;
 - b. the development of mechanisms to support and deliver high added value consultancy and knowledge exchange;
 - c. the creation, exploitation and dissemination of innovative approaches to industry engagement;
 - d. the development of mechanisms to assist in new knowledge creation and transfer.
- vi. To advise the Vice Chancellor on the appropriate strategic utilisation and distribution of the Funding Council third stream income in support of research and employer engagement (such as the HEIF grant and any successful SDF application) and, on behalf of Senate, to monitor and report back on the outcomes achieved.
- vii. To advise the Vice Chancellor on the appropriate distribution of the Funding Council research grant (including any special funds for research) and on the level and distribution of internal funding for research.
- viii. To consider annual reports from Schools and research teams and relevant central services relating to the achievement of University and local research plans and to report to Senate accordingly.
- ix. To receive progress reports from Schools, research centres and institutes on their acquisition and use of external project funding in support of innovation and employer engagement and on their achievement of the funded outcomes.
- x. To advise as required by Senate on the configuration and content of any returns and statements on research and on knowledge exchange and industry engagement made to external bodies.
- xi. To disseminate good practice in the preparation of bids for external funding.

Membership

- Chair – Member of the Professoriate
- Assistant Vice Chancellor, Office for Students
- Pro Vice Chancellor, Academic
- A member from each School, nominated by the Head of School.

- Six co-options as agreed with the Chair of the Committee, representative of the research and enterprise activity of the University
- Up to three external representative from relevant industries to be nominated by the Heads of Schools

Invited to attend:

- Research and Innovation Administrator (Secretary)

REF2021 Strategy Group

Terms of Reference

1. The overall goal of the group is to achieve the **best possible outcome** for the University of Bolton in the next Research Excellence Framework assessment.
2. To develop an overall **strategy and set of objectives** consistent with that overall goal.
3. To locate the goal, strategy and objectives within the context of the University's Strategic Plan 2015-2020 including in particular the commitment to become a '**Teaching Intensive, Research Informed**' institution ('TIRI').
4. To make final recommendations on which Units of Assessment and which individuals should be **submitted** to REF2021.
5. To ensure that the University supports good practice in relation to **diversity**, inclusion transparency and equal opportunities' in the process and final judgements relevant to the REF2021.
6. To ensure that the University reviews options on submission **at an early stage**.
7. To ensure the University has appropriate **systems** in place to capture, manage, audit and submit appropriate information in relation to individual researchers, financial transactions, research students and other data relevant to the final submission.
8. To ensure that the **process** of preparing for the REF2021 submission does itself contribute to the quality of research, the culture of academic critical enquiry and innovation across the institution.
9. To liaise with Schools, Committees and officers relevant to the goal of the Group.
10. To champion the importance of the REF for the reputation of the University to students, partners and other stakeholders as appropriate.
11. To contribute as appropriate to **national consultations** on the overall character, focus and operations of the REF2021.

The Group is advisory to the Assistant Vice Chancellor (Office for Students)

Membership:

AVC (OfS), Chair

Senior Policy & Practice Advisor – Standards & Enhancement

Professor - Psychology

Executive Dean Research & Graduate School

Impact Case Study Lead (Reader in CiF)

Research Coordinator - IoM

Professor – Fire Research

Professor - OfCD

Professor - Engineering

Research Coordinator – Sports Science

Research Coordinator - Health

Professor - Arts

Emeritus Professor - Philosophy

R&GS Coordinator

HR Business Partner (responsible for academic processes including REF/TEF/ECR)

Senior Administrator R&GS, Steering Group Officer

REF2021 Outputs Sub-panel

Terms of Reference

1. To make preliminary recommendations to the Assistant Vice Chancellor (OfS) and the REF2021 Steering panel regarding which Units of Assessment and which outputs should be **submitted** to REF2021.
2. To ensure that the University supports good practice in relation to **diversity**, inclusion transparency and equal opportunities' in the process and final judgements relevant to the REF2021 through the development of an appropriate REF-compliant **Code of Practice**.
3. To ensure that the University reviews options on submission **at an early stage**.
4. To ensure the University has appropriate **systems** in place to capture, manage, audit and submit appropriate information in relation to individual researchers and their outputs.
5. To liaise with Schools, Committees and officers relevant to the goal of the Subpanel as appropriate.
6. To advise the main panel and the AVC on the implications of emerging policies and protocols in relation the final submission.
7. The Subpanel reports to the main REF2021 Strategy Group.

Membership:

Executive Dean Research & Graduate School (Chair)
Senior Policy & Practice Advisor (Deputy Chair)
HR Business Partner (responsible for academic processes including REF/TEF/ECR)
Research Co-ordinator (Professional Studies)
Research Co-ordinator (Engineering & Creative Tech)
Research Co-ordinator (Arts)
Research Co-ordinator (Health)
R&GS Coordinator
Impact Case Study Lead
SDM (Workload Allocation Tool)
Head of IS&T
Secretary – Senior Administrator R&GS
Director of HR Services – corresponding member
AVC (OfS) – Corresponding member

The Sub Panel will normally meet on a monthly basis

Annex 3

THE UNIVERSITY OF BOLTON THE INDIVIDUAL GRIEVANCE PROCEDURE

1. Introduction

The University of Bolton is committed to the promotion of equality, diversity and a supportive environment for all members of our community. Our commitment to equality and diversity means that this procedure has been screened in relation to the use of plain English, the promotion of the positive duty in relation to race, gender and disability and avoidance of discrimination.

The University wishes to establish a culture of professionalism, respect and a positive working environment for its entire staff. It recognises that from time to time circumstances may arise where employees could have concerns about, for example, their work, working conditions and working relationships with colleagues. In such cases an employee may wish to bring the issue(s) to the attention of the University in the form of a grievance.

Any employee who has a grievance relating to his or her employment should have access to an effective means of dealing with the grievance in order to prevent problems from escalating where this can be avoided. This procedure:

- (i) sets out a framework where grievances can be dealt with effectively;
- (ii) seeks to achieve solutions initially through informal methods before recourse to formal processes where this is appropriate, and is concerned to achieve a resolution of employee grievances;
- (iii) sets out the general steps that will be followed by the University and is non-contractual.

The University reserves the right to vary any stage in this procedure as it deems necessary in order to comply with any current legal obligations and best practice.

2. Scope

This procedure applies to all staff within the University other than the Vice Chancellor, Deputy Vice Chancellor or the University Secretary and Clerk to the Governors who are designated as senior post holders and to whom a separate procedure shall apply in respect of any grievance raised by a senior post holder.

In circumstances where two or more employees assert a common grievance the issue should be progressed in accordance with the principles and procedures set out in this procedure.

This procedure should be followed where an employee has a grievance arising from their employment, except where the matter constitutes an appeal against a disciplinary decision, or relates to a disciplinary decision, which should be taken up in accordance with the disciplinary procedures, or where the University has specifically applicable procedures such as in relation to grading or remuneration or public interest disclosure.

It is anticipated that the majority of problems can be resolved at an early stage by informal discussion, ideally at the time when they arise. However, if the matter cannot be resolved informally, it may then pass to formal stages.

3. The Procedure

3.1 Informal Procedure

Employees are encouraged to resolve any grievances which arise in the workplace as quickly as possible through informal means, including through mediation.

Most grievances can be resolved quickly and informally through discussion by the employee with the person concerned. If the employee feels unable to speak to the person concerned he/she should speak to his/her line manager. If the employee feels unable to speak to his/her line manager, for example, because the complaint concerns the line manager, the employee should speak informally to a more senior manager or the Personnel Manager. If this does not resolve the problem the formal procedure set out at 3.2 below should be followed.

3.1.1 Mediation

Mediation is a completely voluntary and confidential process, which involves an independent, impartial person helping to reach a solution that is acceptable. The mediator can talk to all parties separately or together and will not make judgements or determine outcomes – he/she will ask questions that will help to uncover underlying problems, assist the parties to understand the issues and help them to clarify the options for resolving their conflict/issue. Mediation aims to restore and maintain the employment relationship and its focus is on working together to go forward, not determining who was right or wrong in the past.

The University and/or the employee may suggest mediation as a potential way forward in appropriate cases. If an employee wishes to have his/her issue resolved through mediation they should contact the University's Personnel Manager, however, the University may decide that given the circumstances of a particular case that mediation is not an appropriate means of resolving the grievance. In these circumstances, the grievance will be progressed through the informal/formal procedure (as appropriate). Where mediation is considered an appropriate mechanism for resolving a particular grievance, an individual will be selected from an approved list of mediators held by the Personnel Manager to mediate on the grievance.

3.1.2 Failure to resolve a grievance informally

Only if the informal methods fail to resolve the issue or it is not considered appropriate to seek resolution by informal means should the employee use the formal procedure set out at paragraph 3.2 below.

3.2 Formal Procedure

3.2.1 Stage 1 of the Formal Procedure

When an employee considers that he/she has exhausted the possibility of resolving a grievance by informal means or in the circumstances it is deemed inappropriate to attempt to resolve the grievance by informal means, then the formal procedure should be implemented as outlined below. A member of the Personnel Team will be in attendance at any meeting held under the formal procedure.

- 3.2.1.1 The grievance must be set out in writing (which can be done using the University's Grievance Form accompanying this procedure (see appendix A)) stating the nature of the grievance, any relevant dates/times and where appropriate witnesses, what, if any, informal methods have been used to resolve the situation and what the employee's desired outcome / remedy is.

- 3.2.1.2 An employee should raise a grievance with his/her immediate supervisor, unless the grievance is about this individual, in which case it should be raised to the next level of authority. The person dealing with the grievance will be referred to as the grievance officer. In instances where the grievance is against a direct report to the Vice Chancellor, the Vice Chancellor will nominate an appropriate individual to act as the grievance officer.
- 3.2.1.3 On receiving a written formal grievance, the grievance officer should consider carefully how to investigate the grievance. This should include a meeting with the employee raising the grievance who will have the opportunity to explain his/her grievance and a meeting with the employee against whom the grievance has been raised, having informed the person beforehand, if this is the nature of the grievance, and interviewing any witnesses if appropriate, and seeking such other information as the grievance officer requires.
- 3.2.1.4 The grievance officer should write to the employee who raised the grievance to invite him/her to a meeting to discuss the grievance as soon as practical to do so. The employee will be informed of his/her right to be accompanied by a work colleague or trade union representative at the grievance meeting. The grievance meeting should take place without unreasonable delay and usually within 15 working days after receipt of the written grievance.
- 3.2.1.5 If an employee's companion cannot attend on a proposed date, the employee can suggest another date as long as it is reasonable and not more than 5 working days after the date originally proposed by the grievance officer.
- 3.2.1.6 At the meeting, the employee will be given the opportunity to explain his/her grievance and state how he/she thinks it may be resolved.
- 3.2.1.7 The grievance officer will consider the issues and, if necessary, adjourn the meeting to seek advice or undertake further investigation.
- 3.2.1.8 The grievance officer will write to the employee who raised the grievance confirming the outcome of the grievance within 10 working days of the meeting. If this cannot be achieved within the timescale the grievance officer will write to the employee informing him/her of the reasons for the delays. Once a decision has been made and communicated, the employee will be informed of his/her right to appeal against the decision if he/she is not satisfied with it. Any appeal must be lodged in writing with the Personnel Manager within 5 working days of the notification to be dealt with in accordance with paragraph 3.2.3 below.

3.2.2 Grievance against the Vice Chancellor

In the event the Vice Chancellor is personally the object of the grievance by virtue of his/her alleged conduct and not by virtue of the proper exercising of his/her authority as the Vice Chancellor of the University, the grievance may be submitted, formally, in writing, to the University of Secretary and Clerk to the Governors who will arrange for the grievance to be heard by a Governor, the "grievance officer". The procedure to be followed by the Governor hearing the grievance will be as referred to at paragraphs 3.2.1.2 - 3.2.1.8 above, except that in the event that the employee is dissatisfied with the decision he/she has a right of appeal to be lodged in writing with the University of Secretary and Clerk to the Governors within 5 working days of the notification. The University Secretary and Clerk to the Governors will arrange for the appeal to be heard by the Chair of the Board of Governors (or his/her nominee), the "appeal officer(s)", in line with the procedures set out in paragraphs 3.2.3.2 - 3.2.3.6 below.

3.2.3 Stage 2 of the Formal Procedure - Appeal

3.2.3.1 The Personnel Manager will pass the appeal to the next level of authority to deal with (usually a Director of School / Research Centre or Head of a Service) i.e. a more senior manager. This person will be referred to as the appeal officer. In instances where the grievance is against a direct report to the Vice Chancellor, the Vice Chancellor will act as the appeal officer.

3.2.3.2 The appeal officer will write to the employee to invite him/her to attend an appeal meeting. This meeting should take place without unreasonable delay and usually within 15 working days of receiving the appeal. The employee will be informed of his/her right to be accompanied by a trade union representative or a work colleague.

3.2.3.3 At the appeal meeting, the employee will be given the opportunity to explain his/her grievance and the grounds of appeal and state how he/she thinks it may be resolved.

3.2.3.4 The appeal officer will review the issues and if necessary adjourn the appeal meeting to seek advice or undertake further investigation.

3.2.3.5 The decision of the appeal officer shall be either that:

- (i) the decision stands; or
- (ii) the decision is not upheld.

3.2.3.6 The appeal officer will consider his/her decision and usually within 10 working days of the appeal meeting inform the employee in writing of the outcome of the appeal which will be final.

3.3 Records

Copies of correspondence from all stages of the grievance procedure will ordinarily (unless the issues raised are of a nature that requires otherwise) be kept on the employee's personal file for a period of 12 months.

3.4 Procedural Advice and Guidance

The Head of HR Strategy & Personnel and/or the Personnel Manager may be consulted for procedural guidance by any party at any stage.

3.5 Time Limits

The indicative time limits are working days (Monday to Friday) and are included in the procedure in order to ensure as far as possible that matters are dealt with promptly and without undue delay. However, in certain circumstances it may be necessary to extend these time limits in order that the grievance and any appeals are dealt with properly.

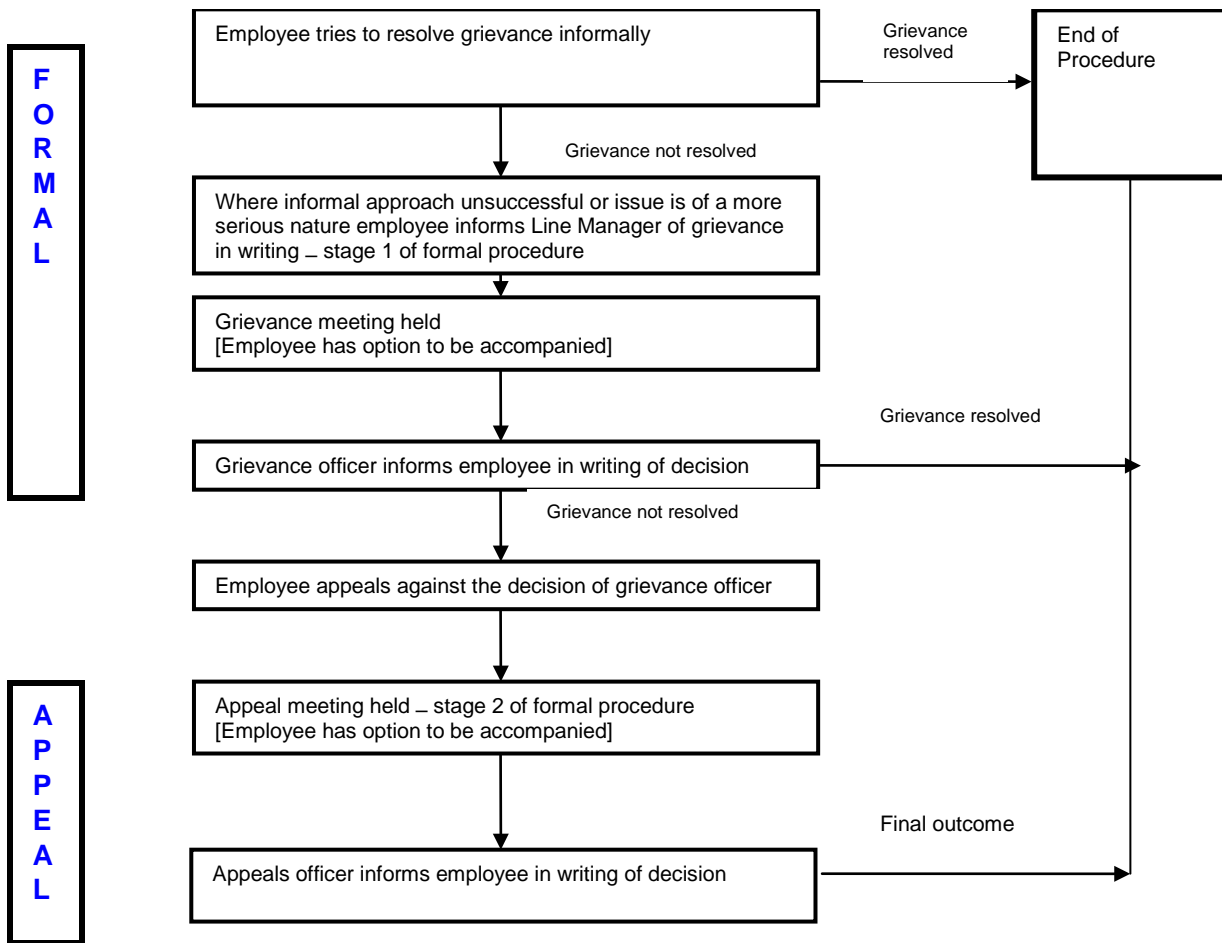
3.6 Representation

As indicated in paragraphs 3.2.1.4 and 3.2.3.2 above, an employee may be accompanied by a companion at any formal stage of the procedure. The person chosen by the employee as his/her "companion" may be either a fellow worker, a trade union representative or an official employed by a trade union. The companion may not be a legal representative. It is also not normally reasonable for employees to insist on being accompanied by a companion whose presence

would prejudice the hearing nor would it be reasonable for an employee to be asked to be accompanied by a companion from a remote geographical location if someone suitable and willing was available on site.

The companion may address the hearing to put or sum up the employee’s case, respond on behalf of the employee to any views expressed at the meeting and confer with the employee during the hearing. The companion does not have the right to answer questions on the employee’s behalf, address the hearing if the employee does not wish it or prevent the grievance officer or appeal officer from explaining the University’s case.

4. Flowchart



5. Other Related Policies, Procedures, Codes and Guidelines

- Dignity and Respect at Work Procedures for Staff
- Dignity & Respect Procedure – Formal Complaints
- Grievance Form
- The University’s Disciplinary Procedure
- The Role Analysis Review Procedure
- The Role Analysis / Grading Appeal Procedure

6. Monitoring and Review

This procedure shall be monitored and its effectiveness reviewed by the Head of HR Strategy & Personnel and reported to the University's Resources Committee as part of the HR annual report.

7. Dissemination of and Access to the Policy

This procedure will be made available to all staff via the Governance section of the University's website.

The Individual Grievance Procedure	
Procedure Ref:	
Version Number	2
Version Date	<i>March 2009</i>
Name of developer/Reviewer	Head of HR Strategy & Personnel
Procedure Owner ((School/Centre/Unit)	Personnel & Organisational Development
Person responsible for implementation (postholder)	Head of HR Strategy & Personnel
Approving Committee/Board	Board of Governors
Date approved	4 March 2009
Effective from	4 March 2009
Dissemination method (e.g. website)	Website/HR Department
Review Frequency	In line with strategy/legislation
Reviewing Committee	Governance and Management Group
Document History (e.g. rationale for and dates of previous amendments)	To simplify the procedure so that informal mechanisms are encouraged and that formal procedures are streamlined for greater effectiveness



Appendix A GRIEVANCE FORM

Section A: To be completed by person making the grievance.

Name:

School/Centre/Service:

Line Manager:

Nature of Grievance include dates, times and any relevant witnesses (use separate sheet if necessary)

Desired Outcome (i.e. what action would you like the organisation to take)

Signed (Person Making Grievance):

Date:

Section B: To be Completed by Person Resolving the Grievance

Date Received:

Received By:

Date of Grievance hearing:

Annex 4

Guidance on Equality Check Process

Equality impact assessment (EIA) is a tool to help higher education institutions ensure that their policies, practices and decisions are fair, meet the needs of their staff and students and do not inadvertently discriminating against any protected group. The University's new EIA process is called 'Equality Check'.

Legal requirements

While equality impact assessment (EIA) is no longer a specific legal requirement in England, it is an established and credible tool for demonstrating due regard to the public sector equality duty (PSED), which is required by law. It also supports the University to understand equality issues and provides an evidence base for development of its equality objectives, which are legally required to be published every four years.

The PSED requires the University to have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation
- Advance equality of opportunity
- Foster good relations

In relation to the following protected characteristics:

- Age
- Disability
- Gender reassignment
- Marriage and civil partnership (in employment)
- Pregnancy and maternity
- Race
- Religion or belief (including no belief)
- Sex
- Sexual orientation

Other benefits of Equality Checks

- Creating an environment and culture that is inclusive at all levels
- Supporting participation and success of all students and staff
- Supporting achievement of institutional mission, values and strategy

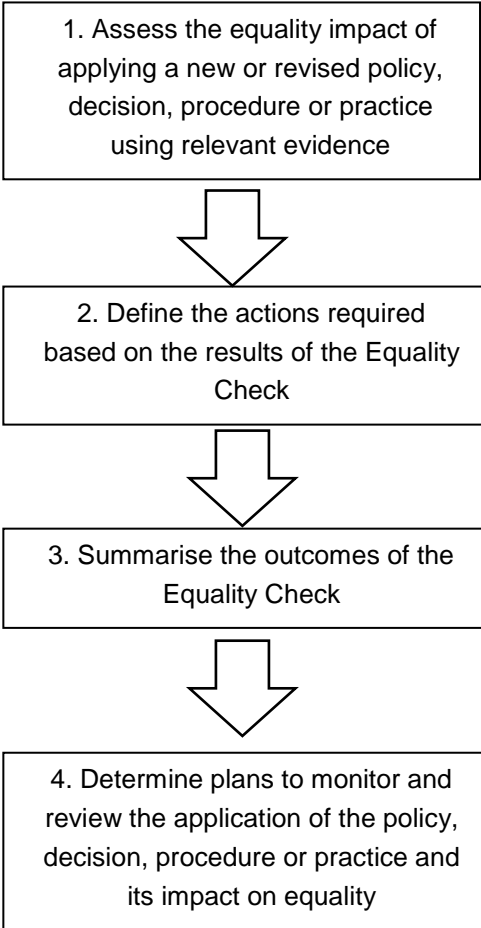
Carrying out an Equality Check

While EIA does not have to follow a specified process, most institutions have an EIA process and documentation to ensure consistency. The University has developed a streamlined process and pro forma that reflects the broader reach of the Equality Act 2010 and aims to increase staff and student engagement with EIA. Equality Checks should be undertaken at the beginning of a policy review or development process to ensure the results can inform the policy.

Responsibility for Equality Checks

Equality Checks should be undertaken by the policy owner, who has detailed knowledge of the policy. This ensures responsibility for and action to improve equality is embedded across the institution.

Process for Equality Checks



Pro Forma for Equality Check

Title of policy, decision, procedure, or relevant practice			
Name of person undertaking equality check			
Type of policy, decision, procedure, or relevant practice	New	<input type="checkbox"/>	
	Existing	<input type="checkbox"/>	
Date of Equality Check			
Who is it likely to impact on? (Students, staff, stakeholders, visitors)			
1. Assessment of equality impact			
PSED requirement	Detail of potential positive/neutral/ negative impact	Not known	Evidence
Protected characteristics to consider: Age, disability, gender reassignment, pregnancy and maternity, marriage & civil partnership, sex (gender), sexual orientation, race, religion & belief.			
Eliminating unlawful discrimination, harassment and victimisation Is the policy likely to treat anyone less favourably or disadvantage them because of their protected characteristics? Could it lead to different outcomes for different protected groups?			
Advancing equality of opportunity Will the needs of staff and students with different protected characteristics be met? Could the policy lead to increased take-up/participation or equality of opportunity for protected groups?			
Promoting good relations Have steps been taken to tackle prejudice and promote understanding, where appropriate?			

How have relevant individuals or groups been consulted in developing and equality checking this policy/procedure/practice?			
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2. Outcomes of Equality Check – What changes are you making/action are you taking to address negative/promote positive impact in meeting the needs of the PSED for all protected groups, including any gaps in evidence?

<p>How will any unlawful discrimination, harassment or victimisation be eliminated? How will equality of opportunity be proactively advanced? How will good relations be fostered? Include:</p> <ul style="list-style-type: none"> • where negative impact is identified, action to reduce • where positive impact is identified, action to promote • justification of any proportionate negative or positive impact for different groups 	
--	--

3. Summary of outcomes of Equality Check

<p>No action – no potential adverse impact <input type="checkbox"/></p> <p>Amendments or changes to remove barriers <input type="checkbox"/></p> <p>Proceed with awareness of adverse impact <input type="checkbox"/></p> <p>Abandon (stop and rethink) <input type="checkbox"/></p>
--

4. Monitoring and review

Monitoring plans:	Review date:
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Completed form to be held locally. A copy also to be submitted to HR by email to S.Fairclough@bolton.ac.uk.

Completion Notes

Who should undertake the Equality Check?

The assessment should be undertaken by the policy owner.

When should the Equality Check be undertaken?

The Equality Check should take place as early as possible in the policy review and development process in order that it can effectively inform the policy. It should not be undertaken retrospectively.

Should a screening be undertaken?

In the University's new process, an initial screening is not required. The full process is sufficiently streamlined and adaptable in order that it can be undertaken for all new and revised policies, procedures and practices. Where a policy is of low relevance to equality, this will quickly become apparent when proceeding through the process, and conversely when a policy is of high relevance, additional time will necessarily need to be spent to complete the process robustly.

What should be Equality Checked?

An Equality Check needs to be undertaken for new or revised strategic decisions, policies, procedures and practice. This covers the whole institution, including all functions and departments, and relates to staff, students and other service users.

How should we assess impact when undertaking the Equality Check?

Use evidence relating to protected characteristics

It is essential that appropriate evidence related to protected characteristics is identified and considered for impact to accurately be assessed. This may include staff and student statistics across protected characteristics, participation and up-take data by protected group, feedback, complaints, external evidence sources, such as Equality Challenge Unit or Equality and Human Rights Commission reports. The scope of your evidence gathering will depend on the scope of the policy and your approach to evidence gathering should be proportionate to the policy in question.

Look for indicators of potential impact for protected characteristics

There are a number of key indicators that might suggest potential for impact. Some will be relevant to staff, some to students, and some to both. For example, your information might show existing or potential for:

- Lower application rates (staff and students)
- Lower achievement rates (students)
- Lower promotion rates (staff)
- Lower job application and selection rates (staff)
- Lower rates of facility usage (staff or students)
- Higher complaints rates (staff or students)

Identify any evidence gaps

There may be areas where you do not have evidence to support your assessment. In these cases, you should note the gaps in the pro forma, and where appropriate consider consultation activities (below) and/or planning action to fill the gaps in future.

Consider consultation and other engagement activities

For example, focus groups, interviews and asking for feedback at meetings or events. This could add to the information you have gathered, fill evidence gaps, and help you to identify the impact of change. Again, the approach you take should be proportionate to the policy in question.

Consider the three parts of the PSED

The pro forma will prompt consideration of the three parts of the public sector equality duty – eliminate unlawful discrimination, harassment and victimisation; advance equality of opportunity; foster good relations. This focuses your attention on the core elements of the University's responsibilities in relation to equality and diversity.

Consider each protected characteristic

- **Age:** Age is defined in the Equality Act 2010 by reference to a person's age group.
- **Disability:** Under the Act, a person has a disability 'if they have a physical or mental impairment, and the impairment has a substantial and long-term adverse effect on his or her ability to carry out normal day-to-day activities'.
- **Gender reassignment:** This protects trans people who propose to undergo, are undergoing, or have undergone a process (or part of a process) of having their sex reassigned.
- **Marriage and civil partnership:** The Act protects people who are married or in a civil partnership from discrimination in relation to employment only.
- **Pregnancy and maternity:** Protects a woman from being treated unfavourably because of her pregnancy, pregnancy-related illness or she is on maternity leave.
- **Race:** The definition of race includes colour, nationality, ethnic origins and national origins.
- **Sex:** The Act protects men (being a man) and women (being a woman) from discrimination.
- **Sexual orientation:** A person's sexual orientation towards people of the same sex, opposite sex or both. Lesbian, gay and bisexual staff and students are protected under the Act.
- **Religion and belief:** Religion is defined as any religion or reference to religion, including a reference to a lack of religion, and belief is defined as any religious or philosophical belief or reference to belief, including a reference to a lack of belief.

Think about negative, neutral and positive impacts

As well as identifying potential negative impacts for particular groups, equality checks should identify potential positive impacts that can be taken advantage of to promote equality and diversity. Think about any negative results that may be encountered by particular groups as a result of the policy, but also think about how a policy might enable a particular group to participate or succeed.

Negative or adverse impact	The outcome of a decision, policy or practice that creates disadvantage or unequal treatment of a person with a protected characteristic
Neutral impact	The outcome has no negative or positive results for people with protected characteristics
Positive impact	The outcome creates a benefit to support the advancement of equality of opportunity for people with protected characteristics and/or promotes good relations between groups

Defining action required

If you can identify potential negative impacts, ask yourself: how can that impact be avoided or mitigated? The assessment should highlight areas where amendments may need to be made to the policy or additional actions may need to be taken to ensure that no adverse impacts ensue and

that positive impacts are taken advantage of. For example, adjustments or alternative arrangements that can be provided to ensure that disabled staff or students can access a new facility. Including timescales for planned actions within the pro forma will support implementation.

There may be instances where you identify a potential negative impact but deem that this is justifiable and proportionate. In these circumstances, you should provide this justification in part two of the pro forma. You should also create plans for the policy to be monitored and reviewed regularly after its implementation.

In rare instances, you may find that it is necessary to pause the policy development process in order to give further consideration as to how to avoid negative impacts you have identified.

How frequently should Equality Checks be monitored and reviewed?

The plans you put in place for monitoring and review will reflect the findings of the Equality Check. For example, if negative impacts are detected and action is planned to address these, you will need to monitor the efficacy of these actions and review the policy after a shorter amount of time than if no negative impacts were detected. As a matter of course, a review of equality impact should be built into the policy review cycle.

How are completed Equality Checks reviewed?

The Organisational Development, Equality and Diversity Committee is responsible for overseeing the equality check process. They receive and regularly review completed Equality Checks.

V1. February 2017

Annex 5 Completed Equality Checks

Equality Check 1

Title of policy, decision, procedure, or relevant practice		REF 2021 Code of Practice	
Name of person undertaking equality check		Dr Andrew T Graham	
Type of policy, decision, procedure, or relevant practice		New @ March 2019	
Date of Equality Check		7 March 2019	
Who is it likely to impact on?		Academic staff	
1. Assessment of equality impact			
PSED requirement	Detail of potential positive/neutral/ negative impact	Not known	Evidence
Protected characteristics to consider: Age, disability, gender reassignment, pregnancy and maternity, marriage & civil partnership, sex (gender), sexual orientation, race, religion & belief.			
Eliminating unlawful discrimination, harassment and victimisation Is the policy likely to treat anyone less favourably or disadvantage them because of their protected characteristics? Could it lead to different outcomes for different protected groups?	It is difficult to see how the CoP would disadvantage those with protected characteristics. The Code will not lead to different outcomes for different groups of staff. The impact is neutral.		The CoP has been written with E&D at its core.
Advancing equality of opportunity Will the needs of staff and students with different protected characteristics be met? Could the policy lead to increased take-up/participation or equality of opportunity for protected groups?	The Code only applies to staff for REF purposes. All groups of staff will be treated in accordance with the law and existing University policies. The impact is neutral.		The CoP has been written with E&D at its core. The characteristics of the academic staff are shown at the end of this Equality Check.
Promoting good relations Have steps been taken to tackle prejudice and promote understanding, where appropriate?	Training as detailed in Part 1 of the Code has been undertaken by all staff of the University. The impact is neutral.		The members of REF committees have undertaken unconscious bias training in addition to the mandatory training in equality that the University requires.

How have relevant individuals or groups been consulted in developing and equality checking this policy/procedure/practice?	Draft and final versions of the Code have been taken to committees in the University as well as dissemination on the University web pages.		Details of consultation are shown in Annex 7 of the Code.
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2. Outcomes of Equality Check – What changes are you making/action are you taking to address negative/promote positive impact in meeting the needs of the PSED for all protected groups, including any gaps in evidence?

<p>How will any unlawful discrimination, harassment or victimisation be eliminated?</p> <p>How will equality of opportunity be proactively advanced?</p> <p>How will good relations be fostered?</p> <p>Include:</p> <ul style="list-style-type: none"> • where negative impact is identified, action to reduce • where positive impact is identified, action to promote • justification of any proportionate negative or positive impact for different groups 	<p>The Code of Practice has been designed to ensure compliance with all legal duties on the University and to be compliant with University policies. As such, any unlawful acts are prevented because they would not be compliant with any policies or the law. As a truly diverse institution, the University is committed to promoting equality in all its activities and aims to provide a work, learning, research and teaching environment free from discrimination and unfair treatment. The University has an Equality and Diversity Committee reporting to the Executive and Board of Governors on human resource development and equality and diversity matters. Good relations have been fostered through the formal consultations shown in Annex 1 of the Code as well as through meetings with individual subject staff groups.</p>
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3. Summary of outcomes of Equality Check

<p>No action – no potential adverse impact <input checked="" type="checkbox"/></p> <p>Amendments or changes to remove barriers <input type="checkbox"/></p> <p>Proceed with awareness of adverse impact <input type="checkbox"/></p> <p>Abandon (stop and rethink) <input type="checkbox"/></p>

4. Monitoring and review

<p>Monitoring plans:</p> <p>This will be kept under constant review as it is at the core of the CoP. The Equality Check will be reviewed before the Executive Board is asked to approve the Code.</p>	<p>Review date:</p> <p>The second Equality Check will be completed in w/c 1/4/2019.</p>
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Completed form to be held locally. A copy also to be submitted to HR by email to S.Fairclough@Bolton.ac.uk

Equality Check 2

Title of policy, decision, procedure, or relevant practice		REF 2021 Code of Practice	
Name of person undertaking equality check		Dr Andrew T Graham	
Type of policy, decision, procedure, or relevant practice		New @ March 2019	
Date of Equality Check		1 April 2019	
Who is it likely to impact on?		Academic staff	
1. Assessment of equality impact			
PSED requirement	Detail of potential positive/neutral/ negative impact	Not known	Evidence
Protected characteristics to consider: Age, disability, gender reassignment, pregnancy and maternity, marriage & civil partnership, sex (gender), sexual orientation, race, religion & belief.			
<p>Eliminating unlawful discrimination, harassment and victimisation</p> <p>Is the policy likely to treat anyone less favourably or disadvantage them because of their protected characteristics?</p> <p>Could it lead to different outcomes for different protected groups?</p>	<p>The Code will not lead to different outcomes for different groups of staff or those with protected characteristics. The impact is neutral.</p>		<p>The CoP has been written with E&D at its core. Online consultation with Senate, RKEC & BoSRD in w/c 25/3/2019.</p>
<p>Advancing equality of opportunity</p> <p>Will the needs of staff and students with different protected characteristics be met?</p> <p>Could the policy lead to increased take-up/participation or equality of opportunity for protected groups?</p>	<p>The Code applies to staff for REF purposes. All groups of staff will be treated in accordance with the law and existing University policies. The impact is neutral.</p>		<p>The CoP has been written with E&D at its core. Online consultation as described above. The characteristics of the academic staff are shown at the end of this Equality Check.</p>
<p>Promoting good relations</p> <p>Have steps been taken to tackle prejudice and promote understanding, where appropriate?</p>	<p>Training as detailed in Part 1 of the Code has been undertaken by all staff of the University. The impact is neutral.</p>		<p>The members of REF committees have undertaken unconscious bias training in addition to the mandatory training in equality that the University requires.</p>

How have relevant individuals or groups been consulted in developing and equality checking this policy/procedure/practice?	Draft and final versions of the Code have been taken to Senate, RKEC & BoSRD in the University as well as dissemination on the University web pages in w/c 15/4/2019.		Details of consultation are shown in Annex 7 of the Code.
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2. Outcomes of Equality Check – What changes are you making/action are you taking to address negative/promote positive impact in meeting the needs of the PSED for all protected groups, including any gaps in evidence?

<p>How will any unlawful discrimination, harassment or victimisation be eliminated? How will equality of opportunity be proactively advanced? How will good relations be fostered? Include:</p> <ul style="list-style-type: none"> • where negative impact is identified, action to reduce • where positive impact is identified, action to promote • justification of any proportionate negative or positive impact for different groups 	<p>The Code of Practice has been designed to ensure compliance with all legal duties on the University and to be compliant with University policies. As such, any unlawful acts are prevented because they would not be compliant with any policies or the law. As a truly diverse institution, the University is committed to promoting equality in all its activities and aims to provide a work, learning, research and teaching environment free from discrimination and unfair treatment. The University has an Equality and Diversity Committee reporting to the Executive and Board of Governors on human resource development and equality and diversity matters. Good relations have been fostered through the formal consultations shown in Annex 7 of the Code as well as through meetings with individual subject staff groups.</p>
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3. Summary of outcomes of Equality Check

<p>No action – no potential adverse impact <input checked="" type="checkbox"/></p> <p>Amendments or changes to remove barriers <input type="checkbox"/></p> <p>Proceed with awareness of adverse impact <input type="checkbox"/></p> <p>Abandon (stop and rethink) <input type="checkbox"/></p>

4. Monitoring and review

<p>Monitoring plans:</p> <p>This will be kept under constant review as it is at the core of the CoP. The Equality Check will be reviewed before the Executive Board is asked to approve the Code.</p>	<p>Review date:</p> <p>The final review will be done once the Category A submitted staff list is available.</p>
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Completed form to be held locally. A copy also to be submitted to HR by email to S.Fairclough@Bolton.ac.uk

Equality Check: Academic Staff Profile at 31 January 2019

Age Band	UoB % split	
Academic <25	0.28 %	
Academic 26-30	4.56 %	
Academic 31-35	9.69 %	
Academic 36-40	14.81 %	
Academic 41-45	12.82 %	
Academic 46-50	16.24 %	
Academic 51-55	13.68 %	
Academic 56-60	14.81 %	
Academic 61-65	8.26 %	
Academic 66+	4.84 %	
Category	UoB	Sector
Academic Disabled	11.68 %	4.5 %
Academic Non-disabled	86.89 %	95.5 %
Academic information refused	1.43 %	-
Category	UoB	Sector Avg
Academic BME	17.38 %	13.0 %
Academic White	79.49 %	87.0 %
Academic information refused	3.13 %	-
Category	UoB	Sector
Academic Male	48.43 %	49.1 %
Academic Female	51.57 %	50.9 %
Gender split by Academic role	Male	Female
Assoc. Lecturer	28.6 %	71.4 %
Lecturer	47.8 %	52.2 %
Senior Lecturer	50 %	50 %
Assistant Teaching Professor	77.8 %	22.2 %
Associate Teaching Professor	33.4 %	66.6 %
Reader	50 %	50 %
Professor (inc TIRI/Visiting & Emeritus)	89.5 %	10.5 %

Annex 6

REF Outputs Form

Name							
Proposed UoA (see UoA list in Annex D of the GOS):							
Rank	Title	DoI	Citation Reference	Date of Publication	Date of Acceptance	Type of Output (para. 264 (c))	Date made Open Access
1							
<i>Brief rationale explaining why you selected this item:</i>							
2							
<i>Brief rationale explaining why you selected this item:</i>							
3							
<i>Brief rationale explaining why you selected this item:</i>							
4							
<i>Brief rationale explaining why you selected this item:</i>							
5							
<i>Brief rationale explaining why you selected this item:</i>							
How many eligible outputs do you have in total?							
Declaration							
All items listed above are available through open access and comply with paragraphs 235-237 in the GOS							Yes / No
I have read paragraphs 238 to 250 in the GOS and confirm that the items listed are compliant							Yes / No
Signature:						Date:	

Annex 7

REF 2018/03 Table 1: Summary of equality legislation

<p>Age</p>	<p>All employees within the higher education sector are protected from unlawful age discrimination, harassment and victimisation in employment under the Equality Act 2010 and the Employment Equality (Age) Regulations (Northern Ireland) 2006. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group.</p> <p>Age discrimination can occur when people of a particular age group are treated less favourably than people in other age groups. An age group could be for example, people of the same age, the under 30s or people aged 45-50. A person can belong to a number of different age groups.</p> <p>Age discrimination will not be unlawful if it is a proportionate means of achieving a legitimate aim. However, in the context of the REF, the view of the funding bodies is that if a researcher produces excellent research an HEI will not be able to justify not selecting their outputs because of the their age group.</p> <p>It is important to note that early career researchers are likely to come from a range of age groups. The definition of early career researcher used in the REF (see 'Guidance on submissions', paragraphs 144 to 147) is not limited to young people.</p> <p>HEIs should also note that, given developments in equalities law in the UK and Europe, the default retirement age has been abolished from 1 October 2011 in England, Scotland, Wales and Northern Ireland.</p>
<p>Disability</p>	<p>The Equality Act 2010, the Disability Discrimination Act (1995) (Northern Ireland only) and the Disability Discrimination (Northern Ireland) Order 2006 prevent unlawful discrimination, victimisation and harassment relating to disability. Individuals are also protected if they are perceived to have a disability or if they are associated with a person who is disabled (for example, if they are responsible for caring for a disabled family member).</p> <p>A person is considered to be disabled if they have or have had a physical and/or mental impairment, which has 'a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities'. Long-term impairments include those that last or are likely to last for at least 12 months.</p> <p>Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities. An impairment which is managed by medication or medical treatment, but which would have had a substantial and long-term adverse effect if not so managed, is also a disability.</p> <p>There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people, not individuals, carry out on a daily or frequent basis.</p> <p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p> <ul style="list-style-type: none"> • sensory impairments • impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy • progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer

	<ul style="list-style-type: none"> • organ specific impairments, including respiratory conditions and cardiovascular diseases • developmental impairments, such as autistic spectrum disorders and dyslexia • mental health conditions such as depression and eating disorders • impairments caused by injury to the body or brain. <p>It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability. Equality law requires HEIs to anticipate the needs of disabled people and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a disabled researcher's impairment has affected the quantity of their research outputs, the submitting unit may return a reduced number of outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances').</p>
<p>Gender reassignment</p>	<p>The Equality Act 2010 and the Sex Discrimination (Gender Reassignment) Regulations (Northern Ireland) 1999 protect from discrimination, harassment and victimisation of trans people who have proposed, started or completed a process to change their sex. Staff in HE do not have to be under medical supervision to be afforded protection because they are trans and staff are protected if they are perceived to be undergoing or have undergone related procedures. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.</p> <p>Trans people who undergo gender reassignment will need to take time off for appointments and, in some cases, for medical assistance. The transition process is lengthy, often taking several years and it is likely to be a difficult period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole.</p> <p>The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a transsexual may commit a criminal offence if they pass the information to a third party without consent. Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care.</p> <p>If a staff member's ability to work productively throughout the REF assessment period has been constrained due to gender reassignment, the unit may return a reduced number of research outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'). Information about the member of staff will be kept confidential as described in 'Guidance on submissions', paragraph 191.</p> <p>HEIs should note that the Scottish government recently consulted on, and the UK government is currently consulting on, reform of the Gender Recognition Act 2004, which may include streamlining the procedure to legally change gender.</p>
<p>Marriage and civil partnership</p>	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 as amended, individuals are protected from unlawful discrimination, harassment and victimisation on the grounds of marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and treatment in employment. The protection from discrimination does not apply to single people.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff who are married or in civil partnerships.</p>

Political opinion	<p>The Fair Employment and Treatment (Northern Ireland) Order 1998 protects staff from unlawful discrimination on the grounds of political opinion.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff based on their political opinion.</p>
Pregnancy and maternity	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 women are protected from unlawful discrimination, harassment and victimisation related to pregnancy and maternity.</p> <p>Consequently, where researchers have taken time out of work, or their ability to work productively throughout the assessment period has been affected, because of pregnancy and/or maternity, the submitting unit may return a reduced number of research outputs, as set out in 'Guidance on submissions', paragraphs 169 to 172.</p> <p>In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process.</p> <p>For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.</p>
Race	<p>The Equality Act 2010 and the Race Relations (Northern Ireland) Order 1997 protect HEI staff from unlawful discrimination, harassment and victimisation connected to race. The definition of race includes colour, ethnic or national origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their race or assumed race (for example, based on their name).</p>
Religion and belief including nonbelief	<p>The Equality Act 2010 and the Fair Employment and Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination, harassment and victimisation related to religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived religion or belief, including non-belief. 'Belief' includes any structured philosophical belief with clear values that has an effect on how its adherents conduct their lives.</p>
Sex (including breastfeeding and additional paternity and adoption leave)	<p>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect HEI staff from unlawful discrimination, harassment and victimisation related to sex. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex.</p> <p>The sex discrimination provisions of the Equality Act explicitly protect women from less favourable treatment because they are breastfeeding. Consequently the impact of breastfeeding on a woman's ability to work productively will be taken into account, as set out in 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'.</p> <p>If a mother who meets the continuity of employment test wishes to return to work early or shorten her maternity leave/pay, she will be entitled to shared parental leave with the father or her partner within the first year of the baby's birth. Partners may also be eligible for shared parental leave or pay. Fathers/partners</p>

	<p>who take additional paternity or adoption leave will have similar entitlements to women on maternity leave and barriers that exist to taking the leave, or as a result of having taken it, could constitute unlawful sex discrimination. Consequently, where researchers have taken additional paternity and adoption leave, the submitting unit may return a reduced number of outputs, as set out in 'Guidance on submissions', paragraphs 169 to 172.</p> <p>HEIs need to be wary of implementing procedures and decision-making processes in relation to REF 2021 that would be easier for men to comply with than women, or vice versa. There are many cases where a requirement to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women.</p> <p>HEIs should note that there are now requirements under UK and Scottish legislation for public authorities (including HEIs) to report information on the percentage difference amongst employees between men and women's average hourly pay (excluding overtime).</p>
<p>Sexual orientation</p>	<p>The Equality Act 2010 and the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003 protect HEI staff from unlawful discrimination, harassment and victimisation related to sexual orientation. Individuals are also protected if they are perceived to be or are associated with a person who is of a particular sexual orientation.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived sexual orientation.</p>

Annex 8

Individual Staff Circumstances Disclosure Form for REF 2021

Name	
Faculty/Centre	
Unit of Assessment (Provisional)	

Section one:

Please select one of the following:

- I have individual circumstances that I wish to make known but I am not seeking a reduction in outputs. (Please complete sections 2 and 3)
- I have individual circumstances that I wish to make known and I am seeking a reduction in research outputs. (Please complete sections 2 and 3)

Section two:

Please including the following information in case we need to explore or discuss items with your further;

Email	
Telephone	
Preferred method of communication	

Section 3

I wish to make the University aware of the following circumstances, which have had an impact on my ability to produce four outputs or work productively between 1 January 2014 and 31 July 2020:

Please provide information required on relevant circumstance/s and continue onto a separate sheet of paper if necessary:

Circumstance (References are to GOS January 2019)	Information required
Early career researcher (started career as an independent researcher on or after 1 August 2016) Para. 160 a	Date on which you became an early career research
Information	
Part time employee Para. 161	FTE and duration in months
Information	

Career break or secondment outside of the higher education sector. Para. 160 b	Dates and duration in months
Information	
Maternity leave, statutory adoption leave, or additional paternity leave (taken by partners of new mothers or co-adopters). Para 160 c	For each period of leave state which type of leave was taken and the dates and duration in months
Information	
Disability. Para 160 e. i)	Explain how this impacts on ability to undertake research.
Information	
Junior clinical academics in medicine or dentistry submitted in UoA 1 to 6. Para. 160 d	With reference to Paragraph 177 confirm that you are covered by this definition.
Information	
Ill health, injury or mental health. Para. 160 e. ii)	Explain how this impacts on ability to undertake research.
Information	
Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare in addition to the period of maternity, adoption or additional paternity leave taken.	Explain how this impacts on ability to undertake research and give a duration in months
Information	
Other caring responsibilities (including caring for an elderly or disabled relative) Para. 160 e. iv)	Explain how this impacts on ability to undertake research and give a duration in months
Information	
Gender reassignment Para. 160 e. v)	Explain how this impacts on ability to undertake research and give a duration in months.

Information	
Other circumstances related to protected characteristics defined in REF2018/03 Table 1. Para. 160 e. vi)	Explain how this impacts on ability to undertake research and give a duration in months
Information	

Please check each box:

- I confirm that the information provided is a true and accurate description of my circumstances.
- I recognise that the information provided will be used for REF purposes and may be seen by the panel members of the appropriate Research Committee in exceptional circumstances.
- I realise that it may be necessary to share information with UKRI, who may make the information available to REF panel chairs, members and secretaries on the understanding that my anonymity will be preserved.

Where permission is not granted, the University of Bolton will be limited in the action it can take with regard to requesting a reduction in outputs for the REF 2021.

Signature (staff member): _____ Date: _____

Please note that this information will be used only for the purposes of REF and all REF related personal data will be destroyed in 2022.

- I give my permission for an HR business partner to contact me to discuss my circumstances, and my requirements in relation this the declared circumstances.
- I give my permission for the details of this form to be passed on to the relevant contact within my School. (Please note, if you do not give permission your department may be unable to adjust expectations and put in place appropriate support for you).

Please return under 'confidential' cover to HR@bolton.ac.uk

Ensuring Confidentiality

If the University decides to apply to UKRI 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 refer to paragraphs 55-65 and 68-71 of this document as well as the GOS (para. 151-201) for more detail about reductions in outputs and what information needs to be submitted.

Submitted data will be kept confidential to the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs. All these bodies are subject to confidentiality arrangements. The

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

Changes in circumstances

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

Annex 9

Data Collection Statements

Staff Data Collection Statement

The purpose of the Research Excellence Framework 2021 (REF2021) 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 REF2021. 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 REF website, at www.ref.ac.uk 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 www.hesa.ac.uk). 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 REF2021. 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 and paragraphs 55-65 and 68-71 in the Code of Practice.

Submitted data will be kept confidential to the REF team, the Equalities and Diversity Advisory Panel, and main panel chairs. All these bodies are subject to confidentiality arrangements. Annex 3 in the Code of Practice explains how we will ensure anonymity of personal circumstances that are declared. 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 RE web-site at <https://re.ukri.org/about-us/policies-standards/foi-data-protection/>

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

The University of Bolton Staff Privacy Notice is included in Annex 11.

Non-Staff - Data Collection Statement

About the REF

The purpose of the Research Excellence Framework 2021 (REF2021) 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 outcomes are used to calculate about £2 billion per year of public funding for universities' research, and affect their international reputations. The results also inform strategic decisions about national research priorities. The next REF will be undertaken in 2021.

The REF was first carried out in 2014, replacing the previous Research Assessment Exercise. It included for the first time an assessment of the broader impact of universities' research beyond academia: on the economy, society, culture, public policy and services, health, the environment and quality of life – within the UK and internationally.

Impact is assessed through the submission of case studies, which describe the changes or benefits brought about by research undertaken by researchers at the institution. Impressive impacts were found across all disciplines, with 44 per cent of submissions judged to be outstanding. A database of case studies submitted in 2014 can be found here:

<https://impact.ref.ac.uk/>.

Data collection

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.

You may have provided information for one or more impact case studies or environment statements as part of our submission to the REF 2021. In 2020 we will send information about impact case studies and environment statements to UKRI for the purpose of the REF2021. The information will not be in coded form and your name - and details such as your job title and organisational affiliation - may be provided in these narrative statements. We refer to this information about you as 'your data'.

You can find further information about what data are being collected on the REF website, at www.ref.ac.uk in particular publication 2019/01, 'Guidance on submissions'. Annex G of that document sets out the data that we will be required to share with UKRI.

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).

UKRI and the organisations listed above will use the information to analyse and monitor the REF2021. 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. 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.

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 details will normally be removed.

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 RE web-site at <https://re.ukri.org/about-us/policies-standards/foi-data-protection/>

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

The University of Bolton Staff Privacy Notice is included in Annex 11.

Annex 10

University of Bolton Staff Data Privacy Notice

PROCESSING YOUR PERSONAL DATA

General

The University needs to collect, process and use personal data (information) for a variety of purposes about those who express an interest in becoming a member of staff at the University (recruitment and selection stage), those who become members of staff at the University including those staff members that have left the University.

In collecting, processing and using data the University must comply with the requirements of the Data Protection Act 2018 (DPA) and the General Data Protection Regulation (Regulation (EU) 2016/679) (GDPR) which govern the processing of personal information.

The University Data Protection Policy sets out the rules for adherence to the requirements of data protection laws and is available at:
<https://www.bolton.ac.uk/about/governance/documents/>

Personal information means any information relating to an identified or identifiable living person. An identifiable person is one who can be identified, directly or indirectly, in particular by an identifier such as a name, identification number, online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that person. Processing is any activity carried out involving personal information, including holding and storing it in any format, both digital and hardcopy.

The University takes the matter of data security and protection extremely seriously. The personal data you provide to us during the recruitment and selection procedure and during the course of your employment is securely held by the University and will be treated confidentially and with sensitivity. The University is notified as a Data Controller for all personal information that it holds and processes, except where it is done in the capacity of a data processor on behalf of another data controller.

The University's Information Commissioner's Office data controller registration number is Z5888188.

If you have any questions about our privacy practices, please contact our Data Protection Officer.

Contact details: University of Bolton Data Protection Officer:
 Email: dpo@bolton.ac.uk
 Address: Data Protection Officer
 The University of Bolton
 Deane Road
 Bolton
 BL3 5AB

Changes to this privacy notice

It is important that you check this privacy notice for updates. If we make changes that we consider to be important, we will let you know by contacting you.

The types of personal information we collect

The University collects and processes information relating to its staff, including images, personal details, family and social circumstances, education and training records and financial details for various administrative and health and safety reasons. The University may collect, hold and process what may be considered 'special category personal data'.

Special category personal data is generally defined as information related to racial or ethnic origin, political opinions, religious or other beliefs, physical or mental health, other medical information including biometric and genetic data. In some instances, the University will also collect and process criminal offence data relating to criminal allegations, proceedings, convictions or related security measures.

Not all of the personal information the University holds about you will come directly from you. It may, for example, come from other organisations to which you belong or professional service providers. We also collect personal information from third parties.

Why do we process personal data?

The University needs to process personal data about its staff for a number of administrative reasons. For example:

- Managing Human Resources processes such as recruitment, payment of salaries and pensions, performance management, and training and development;
- delivering facilities such as IT services, library services, and car parking provision;
- Monitoring equal opportunities;
- Preventing and detecting crime, such as using CCTV and photographs on staff ID cards;
- Keeping contact with past employees;
- Provision of employee benefit schemes;
- Provision of wellbeing and support services;
- Compliance with legal obligations, for example, making external statutory returns to the Higher Education Statistics Agency (HESA)

The University processes special category personal data for a number of administrative purposes. For example:

- Equal opportunities monitoring and managing obligations under equal opportunities legislation;
- Managing Human Resources processes such as administering sick pay and sick leave schemes, managing absence, administering maternity Leave and related pay schemes;
- Managing a safe environment and ensuring fitness for work;
- Provision of occupational health and wellbeing services to individuals

Where we store and process personal information

The University is a global institution and in certain circumstances the University may transfer personal information to third parties located in countries outside of the European Economic Area. Any such transfers will be strictly in relation to the delivery of the University's core services. All instances of overseas transfers of personal data are subject to appropriate and adequate safeguards and contractual provisions incorporating appropriate assurances to ensure the security of the information and compliance with legislative and regulatory requirements.

The European Commission decisions on the adequacy of the protection of personal data in third countries are published at: ec.europa.eu/justice/data-protection/internationaltransfers/adequacy/index_en.

How we secure personal information

The University takes data security seriously and uses appropriate technologies and procedures to protect personal information. Our information security policies and procedures are reviewed regularly and updated as necessary to meet our service needs, changes in technology and regulatory requirements. Further information on data security is published at:

<https://www.bolton.ac.uk/about/governance/documents/>

How long we keep personal information

The University's Records Retention and Disposal Policy and Records Retention Schedule detailing the retention period for different staff records is published at:

<https://www.bolton.ac.uk/about/governance/documents/>

Your right to access and correct your personal information

The University respects your right to access and control your information, we will respond to requests for information and, where applicable, will correct, amend or delete your personal information.

You have the following rights:

- request access to your personal information that the University holds;
- rectify inaccuracies in your personal data;
- be forgotten - that is your details to be removed from the systems that we use to process your personal data in certain situations;
- restrict the processing of personal data in certain situations;
- object to the processing of personal data in certain situations. For example, sending and receipt of direct marketing material;
- data portability - obtain a copy of your data in a commonly used electronic form in order to provide it to other organisations;
- object to automated decision making and profiling – object to decisions made by automated means without human intervention in certain circumstances;
- withdraw consent where that is the legal basis of processing.

Staff must ensure that all personal data provided to the University is accurate and up to date. Any changes must be notified to Human Resources at hr@bolton.ac.uk

If you are not happy with how the University manages your personal information you should contact the University's Data Protection Officer in the first instance. If you feel that the complaint has not been dealt with to your satisfaction you can formally complain to the University Registrar.

You also have a right to complain to the Information Commissioner's Office about the way in which we process your personal data at:

Information Commissioner's Office
Wycliffe House
Water Lane
Wilmslow
Cheshire SK9 5AF
www.ico.org.uk

Submission of your information to HESA

It is a statutory requirement for the University to send some of the information we hold about you to HESA every year. HESA is the official source of data about UK universities and higher education colleges, alternative HE providers and recognised higher education courses taught at further education institutions. HESA is a registered charity and operates on a not-for-profit basis.

HESA collects, and is responsible for, the database in which your HESA information is stored. HESA uses your HESA information itself for its own purposes and also shares your HESA information with third parties for specified and lawful purposes. HESA's use of your HESA information may include linking information from it to other data, as described in the HESA staff data collection notice, see the link below. All uses of HESA information must comply with the DPA and GDPR.

If you give us information about your disability status, ethnicity, sexual orientation, gender reassignment or religion these may be included in your HESA information and used to assist with monitoring equality of opportunity and eliminating unlawful discrimination in accordance with the Equality Act 2010. Your special category personal information will be used for research purposes and will not be used to make decisions about you.

To read the full HESA staff data collection notice please visit:
<https://www.hesa.ac.uk/about/regulation/data-protection/notices>

How we process your personal information – legal basis for processing

It is necessary for the University to collect, process and use staff data in order to perform the contract between you and the University.

Some processing activities may also be carried out under a legal obligation (for example, disclosing personal data to external parties under statutory powers), where it is necessary to protect the vital interests of the staff member or another party (for example, disclosures to external parties to ensure the safety and wellbeing of individuals), where it is necessary for the performance of a task carried out in the public interest or in the exercise of official authority (for example, collecting or disclosing information in order to meet regulatory or statutory requirements), or where it is necessary for legitimate interests pursued by the University or a third party (the legitimate interests will relate to the efficient, lawful and proportionate delivery of services and will not be to the detriment of the interests or rights of individuals). Where any of these legal bases do not apply, the consent of an individual to process their personal data will be sought.

Where staff members special category personal data is collected and processed by the University this will be on the legal bases of explicit consent of the staff member, employment or social security/protection requirements, protecting the vital interests of the staff member or another party, the exercise or defence of a legal claim, reasons of substantial public interest, purposes of medical or health care or where the information has been made public by the staff member. Any processing will be proportionate and relate to the provision of services by the University.

Table A below sets out the separate categories of personal information that the University may hold, what its purpose is, where the information is located, the method of data processing used, who we share your personal data with and the legal basis for processing that information.

How we process your information within the University

Personal data may be shared amongst different departments that require the information to carry out their duties, for example:

- IT Services for internal email and telephone directory set up ie. staff name, department, email address and telephone number;

- Photograph for the purpose of identification and security ie. staff ID card;
- monitoring computer usage through user name and log-ins to ensure compliance with the University Acceptable Use Policy;
- results of disclosure and barring service (DBS) checks that need to be undertaken for certain positions.

The total amount of personal information shared within the University will be no more than is reasonably necessary.

There are times when staff members will need to share your special category personal data within the University. For example, the occupational health service may seek information from departments or share information with Human Resources about fitness to work.

Situations may also arise where special category personal data is shared with within the University without obtaining your explicit consent. This will occur if the processing is necessary, for example:

- for the purpose of carrying out obligations in the field of employment and social security and social protection law;
- in connection with legal claims or pursuant to a court order requiring disclosure;
- to protect your vital interests and you cannot give your consent or your consent cannot be reasonably obtained;
- to protect another person's vital interests and you have unreasonably withheld your consent;
- necessary for the purposes of medical or healthcare provision;
- To meet our statutory obligations in relation to equality and diversity monitoring;
- disclosure is made for the purpose of prevention or detection of crime, the apprehension or prosecution of offenders and we have received a notice from the police confirming that the disclosure is required for these purposes.

How Do We Share Your Data with Third Parties

The University may need to share your personal data with third parties outside of the University who are contracted to work on its behalf, for example pension providers, insurers or legal consultants. The University may also disclose data to auditors undertaking investigations or to selected individuals acting on behalf of the University such as organisations undertaking market research or academic researchers provided no personal data is published. The University will often confirm dates and the nature of an individual's employment to a prospective employer in a reference.

When we share personal information

This privacy notice includes information about who the University may disclose staff personal data, special category personal data and criminal offence data to and how staff data is used.

Table A below sets out what information the University may share with other third parties.

Table A below sets out the separate categories of personal information that the University may hold on you, what its purpose is, where the information is located, the method of data processing used, who we share your personal data with and the legal basis for processing that information.

TABLE A

No.	Type of information held and purpose	Method of data Processing	Location of data	Data Format	University and/or External Needs	Legal Basis for Processing (Article 6)
1.	Vacancy enquiry and application for processing, tracking, contact analysis, equal opportunities monitoring. Name, address, e-mail, telephone numbers, gender, date of birth + age, ethnicity, disability, nationality, religion, qualifications on entry, previous education, emergency contact details.	Manual and electronic	Human Resources	Application form; application supporting documents	University	Article 6(1)(a) or (1)(b) or (1)(f)
2.	Recruitment and Selection (e.g. application, CV's, interview records and notes)	Manual and Electronic	Human Resources; relevant school/department.	Application form(s); CV; interview notes	University	Article 6(1)(a) or (1)(b) or (1)(f)
3.	Administration of employment contracts	Manual and electronic	Human Resources	Personal record in relevant file	University	Article 6 (1)(b) or (1)(c) or (1)(f)
4.	Staff Development: <ul style="list-style-type: none"> • Staff training and development undertaken • Details of courses and conferences attended 	Manual and Electronic	Human Resources; relevant school/department.	Personal development plan	University	Article 6(1)(b) or (1)(f)
5.	Performance Assessment: <input type="checkbox"/> Induction checklist <ul style="list-style-type: none"> • Probation reviews • Teaching evaluations • PDR record 	Manual and Electronic	Human Resources; relevant school/department.	Personal record in relevant file(s)	University	Article 6 (1)(b) or (1)(f)

	<ul style="list-style-type: none"> Rewarding exceptional performance or thank you scheme correspondence Promotion/re-grading details 					
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6.	<p>References:</p> <ul style="list-style-type: none"> References written about individuals (e.g. to support promotion cases) References written for individuals 	Manual and Electronic	Human Resources	References	University and External	Article 6 (1)(b) or (1)(c)
7.	<p>Absence and Attendance:</p> <ul style="list-style-type: none"> Annual leave records; Communication relating to maternity/paternity/special leave/flexible working/off sick, etc.; Return to work meetings following sickness, maternity, etc. Occupational health reports Self certs and Fit Notes 	Manual and Electronic	Human Resources; relevant school/department	Personal record in relevant file(s)	University	Article 6(1)(b) or (1)(c) or (1)(d) or (1)(e) or (1)(f)
8.	For the assessment and provision of services to disabled staff or staff requiring access to healthcare services.	Manual and Electronic	Human Resources; relevant school/department	Personal record in relevant file(s)	University and External	Article 6(1)(b) or (1)(c) or (1)(d) or (1)(e) or (1)(f)
9.	<p>Police or other regulatory body where pursuant to the detection, investigation or disclosure of a potential crime.</p> <p>Information to 3rd parties for compliance with statutory and other regulations applicable to the University. Personal details as in 1 above, correspondence and notes of requests, reports and information supplied.</p>	Manual and Electronic	Human Resources; relevant school/department	Personal record in relevant file(s)	University and External	Article 6 (1)(c) or (1)(d) or (1)(f)

10.	Production of statistical returns required for third party government bodies e.g. the Higher Education Statistics Agency, for completion of government supported survey, statistics for the analysis of staff statistics and/or to enable them to carry out their statutory functions as applicable.	Manual and electronic	Human Resources;	HESA return database; staff records database; personal file	University and External	Article 6 (1)(c) or (1)(e) or (1)(f)
11.	Health and safety of individuals and their property and the protection of University assets, including the use of CCTV	Manual and electronic	Human Resources; First Aiders; Specialist Services & Safety Manager; Facilities	Personal record in relevant file; occurrences reports	University	Article 6 (1)(b) or (1)(c) or (1)(d) or (1)(f)

	Health & Safety for first-aid assistance, emergency evacuation, hazard risk assessment, accident monitoring. Personal details as in 1 above. plus medical records, accident/hazard reports, consent records, first-aid action.					
12.	Research and statistical analysis. Surveys and questionnaires for monitoring and evaluation of provision. If not anonymous – personal details as in 1 above.	Manual and electronic	Human Resources	Personal record in relevant file	University	Article 6(1)(b) or (1)(e) or (1)(f)
13.	Close family and emergency services where there is an emergency situation e.g. illness, serious injury or bereavement.	Manual and electronic	Human Resources; First Aiders; Specialist Services & Safety Manager; Facilities	Personal record in relevant file(s)	University and External	Article 6 (1)(d) or (1)(f)
14.	Banking information (and other payment agencies you may use).	Manual and electronic	Human Resources; Finance	Personal record in relevant file(s)	University	Article 6 (1)(b) or (1)(f)

15.	Data Processors in order for them to process data on behalf of the University for any of the purposes for which the University is permitted to process the data.	Manual and electronic	Human Resources	Personal record in relevant file(s)	University and External	Article 6 (1)(b) or (1)(e) or (1)(f)
16.	Official letters as requested by the staff member.	Manual and electronic	Human Resources; relevant school/department	Personal record in relevant file(s)	University	Article 6 (1)(f)
17.	To professional bodies where registration with that body is related to or a requirement for the staff member. Information to 3 rd parties for compliance with statutory and other regulations applicable to the University. Personal details as in 1 above, correspondence and notes of requests, reports, and information supplied.	Manual and Electronic	Human Resources; relevant school/department	Personal record in relevant file(s)	University and External	Article 6 (1)(b) or (1)(e) or (1)(f)
18.	The production of staff identification cards; and the inclusion of photographic images	Electronic	IT	Personal record	University	Article 6 (1)(b) or (1)(f)

	on the University's computerised staff record system.					
19.	To the Home Office and other international and national governmental and regulatory bodies in connection with the assessment of status.	Manual and Electronic	Human Resources	personal record in relevant file(s)	University and External	Article 6 (1)(b) or (1)(c)
20.	Discipline and Grievance □ Letters, reports and meeting notes relating to cases	Manual and Electronic	Human Resources; relevant school/department	personal record in relevant file(s)	University	Article 6 (1)(b) or (1)(c) or (1)(f)

21.	Workforce Planning: □ Fixed Term Contract consultation meeting notes and documentation □ Contract extension details	Manual and Electronic	Human Resources; relevant school/department	personal record in relevant file(s)	University	Article 6 (1)(b) or (1)(f)
22.	Financial data: Information relating to staff payroll, salary and payments	Manual and Electronic	Human Resources; Finance	personal record in relevant file(s)	University	Article 6 (1)(b) or (1)(c) or 1(f)
23.	Appeals and complaints/anticipated or ongoing legal action: Staff disciplinary appeals, complaints and litigation	Manual and Electronic	Human Resources; relevant school/department; Finance; Vice Chancellor's Office	personal record in relevant file(s)	University and External	Article 6(1)(b) or (1)(f)
24.	To the University's external lawyers, insurers in respect of accidents occurring within the institution and external auditors.	Manual and electronic	Finance; Central Services	personal record in relevant file(s)	University and External	Article 6(1)(b) or (1)(c) or (1)(f)
25.	Production of statistical returns required for third party government bodies e.g. the Higher Education Statistics Agency, for completion of government supported survey, statistics for the analysis of staff statistics and/or to enable them to carry out their statutory functions as applicable.	Manual and electronic	Human Resources;	HESA return database; staff records database; personal file	University and External	Article 6 (1)(c) or (1)(e) or (1)(f)
26.	To professional bodies where registration with that body is related to or a requirement for the staff member. Information to 3 rd Parties for compliance with statutory and other regulations	Manual and electronic	Human Resources; relevant school/department	Personal record in relevant file(s)	University and External	Article 6 (1)(b) or (1)(e) or (1)(f)
	applicable to the University. Personal details as in 1 above, correspondence and notes of requests, reports, and information supplied.					

27.	DBS: disclosure Information relating to criminal records	Manual and Electronic	Human Resources; relevant school/department	DBS application; DBS results	University and External	Article 6 (1)(b) or (1)(e) or (1)(f)
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All staff agree to the University processing their “special categories of personal data” for the following purposes and for release to the following third parties:

No.	Type of information held and purpose	Method of data Processing	Location of data	Data Format	University and/or External Needs	Legal Basis for Processing (Article 9)
28.	For the assessment and provision of services to disabled staff or staff requiring access to healthcare services.	Manual and Electronic	Human Resources; relevant school/department	Personal record in relevant file(s)	University and External	(see No. 8 above) and Article 9 (1)(a)
29.	DBS: disclosure Information relating to criminal records	Manual and Electronic	Human Resources; relevant school/department	DBS application; DBS result	University and External	(see No. 27 above) and Article 9 (1)(a) or (1)(b)
30.	Audit/professional/ statutory data: Health and safety records, verification data required by professional body or HEFCE audit	Manual and Electronic	Human Resources; relevant school/department	Personal record in relevant file	University and External	(see No. 11 and 24 above) and Article 9(1)(a) or (1)(b) or (1)(g) or (1)(h)
31.	Discipline and Grievance Letters, reports and meeting notes relating to cases	Manual and Electronic	Human Resources; relevant school/department	personal record in relevant file(s)	University	(see No. 20 above) and Article 9 (1)(a) or (1)(f)
32.	Appeals and complaints/anticipated or ongoing legal action: Staff disciplinary appeals, complaints and litigation	Manual and Electronic	Human Resources; relevant school/department; Finance; Vice Chancellor's Office	personal record in relevant file(s)	University and External	(see No. 23 above) and Article 9(1)(f) or (1)(g)

	To the University's external lawyers, insurers in respect of accidents occurring within the institution and external auditors.	Manual and electronic	Finance; Central Services	personal record in relevant file(s)	University and External	(see No. 24 above) and Article 9(1)(f) or (1)(h)
33.	Production of statistical returns required for third party government bodies e.g. the Higher Education Statistics Agency, for completion of government supported survey, statistics for the analysis of staff statistics and/or to enable them to carry out their statutory functions as applicable.	Manual and electronic	Human Resources;	HESA return database; staff records database; personal file	University and External	(see No. 25 above) and Article 9(1)(g) or 9(2)(j)
34.	To professional bodies where registration with that body is related to or a requirement for the staff member. Information to 3 rd Parties for compliance with statutory and other regulations applicable to the University. Personal details as in 1 above, correspondence and notes of requests, reports, and information supplied.	Manual and electronic	Human Resources; relevant school/department	Personal record in relevant file(s)	University and External	(see No. 26 above) and Article 9(1)(g) or 9(2)(j)

Also see the University Appropriate Policy Document available at: <https://www.bolton.ac.uk/about/governance/documents/#dataprotection>

Article 6(1)(a) Consent – on specific occasions the University will only process certain data if you consent.

Article 6 (1)(b) necessary for the performance of your employment contract – on many occasions the University will process your data to enable it to meet its commitments to you.

Article 6 (1)(c), necessary to comply with a legal obligation – the University does have legal obligations to provide your personal data to others e.g. HESA.

Article 6 (1)(d) for the purpose of protecting the vital interest of yourself or another – sometimes in extreme circumstances the University will have to release information to protect your interests or the interests of others e.g. in medical emergencies.

Article 6 (1)(e) processing necessary for the performance of a task carried in the public interest – the University is an educational establishment and in particular its educational activity is conducted in a public interest (including your interest and the interest of others).

Article 6 (1)(f) processing is necessary for the purposes of the legitimate interest of the University or a third party subject to overridden interests of the data subject – the University (and sometimes third parties) has a broad legitimate interest in activities that connect to the activities of an educational institution. Subject to those interests not being overridden by the interests of fundamental rights and freedoms of staff, it will pursue those interests. Where Article 6(1)(f) is used the “legitimate interest” is generally the interest of the University (or third party) in providing or supporting the provision of higher education.

Article 22(2)(a) automated decision making necessary for performance of a contract – the University will sometimes automate decisions relating to its services it is providing to you.

Article 9(1)(a) processing “special categories” of data where you have given consent – the University will process certain sensitive information about you with your consent.

Article 9(1)(b) processing “special categories” of data where necessary for the purpose of carrying out obligations in the field of employment and social security and social protection law.

Article 9(1)(f) processing “special categories” of data in connection with legal claims.

Article 9(1)(g) processing “special categories” of data where necessary for reasons of substantial public interest.

Article 9(1)(h) processing “special categories” of data where necessary for the purposes of medical or health care.

Article 9(2)(j) processing necessary for archiving purposes in the public interest, or scientific and historical research purposes or statistical purposes

It is recognised that some of the above grounds will overlap and that the University could rely on multiple grounds justifying its lawful processing. The University also reserves the right to rely upon other grounds that are not referred to under Table A.

Annex 11

Supporting Staff Consultation

This annex includes three items;

- The first item is an email of support from the Chair of the UCU local branch
- The second item is a letter confirming that staff consultation has occurred and staff agreement obtained, from our AVC (Office for Students)
- The third item is an email from the Chair of the UCU Branch confirming staff support for the approach to identifying SRR.

Email from UCU Branch Chair on 5 September 2019

Note: names have been redacted.

Hello [REDACTED],

I can confirm that the UCU University of Bolton Branch Executive was consulted as part of the process of preparing the REF Code of Practice for the University of Bolton, including sight of early drafts and an opportunity to comment on the content of such prior to the publication of the document for all staff in March 2019. I can further confirm that no objections to the Ref Code of Practice have been raised through the local UCU Branch up to this point. Thank you for your hard work in putting together an effective working document on behalf of colleagues at the University.

Best regards

Martin

Martin [REDACTED]
Chair – UCU University of Bolton Branch
01204 903022 boltonucu@gmail.com



Our ref:
Your ref:

5 September 2019



Teaching Intensive, Research Informec

Research England
Nicholson House
Lime Kiln Close
Stoke Gifford
Bristol
BS34 8SR

Dear Dr Hill

Code of Practice: Confirmation of staff consultation

Thank you for your letter of 16 August 2019 outlining the aspects that we needed to refine in our Code of Practice. We have addressed your concerns in the resubmitted version.

You also asked for a letter to confirm staff agreement to our Code. Paragraphs 15 and 16 in the Code outline the stages in staff consultation that we adopted. The local UCU branch have also been consulted and Annex 11 includes an email indicating their support for our Code of Practice.

I can confirm that no objections have been raised by our staff to any aspect of this code and therefore we have staff agreement for its implementation.

Yours sincerely,

A handwritten signature in black ink that reads "Patrick McGhee".

Professor Patrick McGhee
Assistant Vice-Chancellor (Office for Students)

University of Bolton
Deane Rd
Bolton
BL3 5AB

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+44 (0)1204 900600
Fax:
+44 (0)1204 399074

www.bolton.ac.uk

Vice Chancellor:
Professor G.E. Holmes DL



Email from UCU Branch Chair on 13 November 2019

Note: names have been redacted.

From: [REDACTED], Martin <[REDACTED]@bolton.ac.uk>
Sent: 13 November 2019 17:13
To: Graham, Andy <A.Graham@bolton.ac.uk>
Subject: Revised REF Code of Practice Document

Hello Andy,

Thank you for sending through the revised documentation relating to the University's REF Code of Practice. This has been shared with UCU members locally and, following receipt of member comments UCU is happy to provide the following statement:

"UCU University of Bolton Branch recognises the need for a clear and practical framework within which decisions relating to research output may be taken in context of organisational needs and individual circumstances. We appreciate having been afforded the opportunity to participate in developing the working document going forward to Research England through direct collaboration and via consultation with UCU members at the University of Bolton."

Warm regards

Martin

Martin [REDACTED]
Vice-Chair – UCU University of Bolton Branch
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