



University of Bath

REF2014 Code of Practice on Selection of Staff

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Introduction

1. This Code of Practice sets out the procedure to be used by the University of Bath for selecting staff for submission to REF2014. Its purpose is to ensure that the University meets its responsibilities as an employer in respect of all relevant equality and employment legislation current at the submission date for REF2014.
2. The quality of the research contribution of all eligible staff is acknowledged and valued by the University. All eligible staff will be considered for submission and all decisions relating to the content of submissions will be informed by the leading aim of our research strategy: *"to promote research of international excellence and impact."*
3. The Code will enable the University to apply consistent and transparent processes when determining those staff to be included in its REF2014 submission. Researchers will be selected for inclusion on a strategic basis, as detailed in paragraphs 13 to 18 below, with a view to optimising the financial and reputational outcomes of the University's submission as a whole.

University of Bath's legal responsibilities

4. The University is required to ensure that our REF procedures do not discriminate unlawfully against individuals on the grounds of age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex or sexual orientation or because they are pregnant or have recently given birth. The University must also ensure that fixed-term employees and part-time workers are not treated less favourably than comparable employees on open contracts or full-time workers.
5. The University is committed to promoting diversity and equality of opportunity for all staff, including those who are employed part-time or on fixed-term contracts. All eligible staff will be considered for submission by the University.

Summary of legislation

6. The relevant legislation is summarised in paragraph 201 and Table 2 of REF 02.2011 [Assessment framework and guidance on submissions](#). The key legislation includes:
 - a. All employees within the higher education sector are protected from unlawful **age** discrimination in employment under the Equality Act 2010. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group.
 - b. The Equality Act 2010 prevents unlawful discrimination 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.
 - c. The Equality Act 2010 protects from discrimination **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 of gender reassignment and staff are protected if they are perceived to be undergoing or have undergone gender

reassignment. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.

- d. Under the Equality Act 2010, individuals are protected from unlawful discrimination 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.
- e. Under the Equality Act 2010 women are protected from unlawful discrimination related to **pregnancy and maternity**. Primary adopters have similar entitlements to women on maternity leave.
- f. The Equality Act 2010 protects HEI staff from unlawful discrimination 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.
- g. The Equality Act 2010 protects HEI staff from unlawful discrimination on the grounds of **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.
- h. The Equality Act 2010 protects HEI staff from unlawful discrimination on the grounds of their **sex**. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex.
- i. The Equality Act 2010 protects HEI staff from unlawful discrimination on the grounds of **sexual orientation**. Individuals are also protected if they are perceived to be or are associated with someone who is of a particular sexual orientation.

Principles

- 7. Our REF2014 submission and this Code of Practice are based on the principles of transparency, consistency, accountability and inclusivity (REF 02.2011 [Assessment framework and guidance on submissions](#) paragraphs 204 a-d):
 - a. **Transparency** - The procedure for selecting staff for inclusion in the REF is fully explained in this Code. The Code itself is available to all staff, including those absent from work, and published on the University website. Details of key dates and timings are included.
 - b. **Consistency** - The Code will enable the University to apply consistent and transparent processes when determining staff to be included in the submission. This document sets out the principles to be applied to all aspects and stages of the process.
 - c. **Accountability** - The Code sets out the responsibilities of everyone involved in developing our REF submission, with details of memberships, responsibilities, and mandatory training of all individuals, committees, advisory groups and other bodies.

- d. **Inclusivity** - The University of Bath promotes an inclusive research environment and our procedures will ensure that we identify all eligible staff with excellent research for consideration for submission to REF2014.
8. All personal data collected for the REF submission, including during the two preparation stages (the 'Dry Run' and the 'Dress Rehearsal') and final submission, will be treated as confidential and will be handled in accordance with the University's Data Protection Policy <http://www.bath.ac.uk/internal/data-protection/>.
9. All such information will be limited in circulation to those who need access to inform the preparation and assessment of the University's REF submission. See paragraphs 36 to 45 below in respect of information relating to individual staff circumstances.

Communication of the code of practice

10. The REF pages of the University Intranet (<http://www.bath.ac.uk/rdso/staff.bho/ref/index.html>) are open to all University staff and include all general guidance developed in the REF preparations.
11. The REF Information Manager will ensure that this Code is published on the internal webpage, made available to all eligible REF staff by email, and liaise with Human Resources to ensure copies are made available to REF eligible staff who are absent.

No detriment statement

12. The University of Bath is a leading research university. Its reputation reflects the hard work and dedication of a significant body of academic and research staff whose individual contributions are each acknowledged and valued by the University. To optimise the outcomes of REF2014 the University will make strategic decisions about the size and composition of submissions to the Units of Assessment (UoA) entered. As a result of these decisions some staff eligible for submission may not be included in the University's final submission. All decisions about staff selection will be made in accordance with the University's Code of Practice on preparing submissions to REF2014 and the relevant equality and employment legislation. The exercise of the University's discretion to include or not to include an eligible researcher in the REF submission will not be used as a factor by the University for other purposes relating to the researcher's employment.

Criteria for selection of staff for REF2014 submission

13. REF 02.2011, [Assessment framework and guidance on submissions](#), paragraphs 78-81 defines eligible Category A staff. All eligible category A staff will be considered for submission to REF2014 and will be included in planning processes (including the Dry Run and Dress Rehearsal).
14. Category C staff are defined in Paragraph 82 of REF 02.2011, [Assessment framework and guidance on submissions](#). These staff will be identified by the UoA leaders and considered for inclusion using the same procedures as for Category A staff.

15. All decisions relating to the composition of final submissions will be informed by the strategic vision of the University's research strategy: *"to promote research of international excellence and impact"* in appropriate UoAs and areas of research.
16. For the purposes of the Code of Practice, research activity means the three components of 'research outputs', contribution to the 'research environment' and 'impact' as defined in the relevant REF Panel's Criteria and working methods.
17. Researchers will be selected for inclusion on a strategic basis with a view to optimising the financial and reputational outcomes of the University's submission as a whole. The following four criteria will be applied to the research activity of all staff considered for submission:
 - a. The volume of high-quality research outputs generated by the individual within the assessment period meets the stated expectations of the relevant main and sub-panels, having regard to any individual staff circumstances cited.
 - b. The quality of research outputs generated by the individual throughout the assessment period, is internally assessed as being of the required quality threshold for each Unit of Assessment, as measured against the criteria published by the REF panels.
 - c. The research activity generated by the individual throughout the assessment period is in keeping with the research strategy cited in the University's submission in an identifiable Unit of Assessment.
 - d. The research activity is in keeping with the University's broad research strategy as represented in the submission as a whole.
18. Eligible staff whose research activity meets all four of the selection criteria will be selected for submission.

Staff and committees

19. Annex 1: Staff and Committees - roles and responsibilities sets out details of the key staff and committees involved in the preparation of the RE2014 submission, including information on how each committee was formed, its membership, roles/terms of reference, and training.
20. The position of these staff and committees within the decision-making process is as follows:
 - a. The Vice-Chancellor will confirm the REF2014 submission, including the selection of staff for submission, having regard to the advice of the Deans and the Pro-Vice-Chancellor (Research) as presented to Executive Committee.
 - b. The Pro-Vice-Chancellor (Research) will chair the REF Project Steering Group and lead the University's REF submission, providing specific advice on interpreting and applying the Code of Practice as needed.

- c. The University Executive Committee will advise on preparations for REF. It will receive recommendations from the University Research Committee for discussion or endorsement.
 - d. The University Research Committee, chaired by the Pro-Vice-Chancellor (Research), will advise on strategic aspects of the work and will report regularly to the University Executive Committee.
 - e. The REF Steering Group will oversee the development of the REF submission and advise the Pro-Vice-Chancellor (Research) and University Research Committee.
 - f. An Internal Assessment Panel for each UoA will consider provisional submissions in all UoAs and make recommendations to the University Research Committee.
 - g. Leaders for each UoA in which a submission is to be made will oversee preparations in relation to individual submissions.
 - h. All individual staff circumstances will be considered by the Individual Staff Circumstances Panel, none of whom are involved in selecting staff for REF2014.
 - i. Decisions on the individual staff circumstances will be reviewed as appropriate by the Individual Staff Circumstances Review Panel.
21. These committees and groups above, supported by the URC Impact Sub-Group and the REF Data Group, will work with the Pro-Vice-Chancellor (Research), the Deans, Associate Deans for Research and Heads of Department, as set out in Annex 1: Staff and Committees - roles and responsibilities.
22. All staff and groups involved in the preparation of the REF2014 submission are selected on the basis of their academic and strategic expertise and are required to have undertaken appropriate training. There are four main levels of training:
- T1: Equalities Act 2010 briefings
 - T2: Online 'Diversity in Workplace' module
 - T3: Face to face training specifically tailored for REF purposes, including E & D legislation
 - T4: Training on how to calculate reductions based on individual staff circumstances
 - T5: Training on REF module in the Research Information system, PURE.
23. Where an individual is temporarily unable to fulfil any of the functions assigned to them by the Code of Practice, for any reason, a substitute will be appointed; by the Research Committee in line with Annex 1: Staff and Committees - roles and responsibilities. This process would normally be conducted by email. Any substitute will be required to meet the minimum standard for equality and diversity training before participating in staff selection. If necessary, the role of the Pro-Vice Chancellor (Research) will be covered by the Deputy Vice-Chancellor.

Procedure for selection of staff for submission

24. For the Dry Run exercise, (carried out between October 2011 and March 2012), a staff list for all eligible Category A staff was compiled by Human Resources from the University's iTrent database. The census date for this list was 31st October 2011. Staff lists were then distributed to Heads of Department with a request to allocate all staff to one or more UoAs where their research might be considered for submission.
25. The Dry Run included an initial assessment of the quality of research outputs generated by each eligible member of staff throughout the assessment period to date, as assessed against the criteria published by the REF panels. The outputs of individuals were assessed within one or more UoAs, as appropriate.
26. This assessment of output quality was based on the REF panels' published criteria of *originality, significance and rigour*, and working methods (paragraph 65 of REF 01.2012, <http://www.ref.ac.uk/pubs/2012-01/>) and the UoA leaders' and assessors' in-depth knowledge of the publications and related work in the field.
27. Up to six research outputs were submitted by each eligible member of staff. Each output was assessed by two senior academics and assigned to one of the four quality bands identified in the Guidance on Submissions (paragraph 68 of REF 01.2012, <http://www.ref.ac.uk/pubs/2012-01/>). In any case where the assessors did not agree about the quality of an output a view was sought from the UoA lead or another relevant senior academic.
28. Outcomes of the quality assessment were communicated to the relevant individuals at the end of the Dry Run to provide an opportunity for further discussion and to substitute outputs for the Dress Rehearsal if appropriate.
29. During the Dress Rehearsal, to be carried out between October 2012 and March 2013¹, the quality assessment of outputs will be revisited using the same method as outlined above. Any new information, such as citations, prizes and other forms of recognition will also be taken into account. All new or changed publications, and new appointments will be assessed by the same method.
30. During the Dress Rehearsal, the recommendations of the Individual Staff Circumstances Panel (see paragraphs 36 to 50 below) will be applied to determine appropriate reductions in the volume of outputs required for submission as a result of any relevant individual circumstances that may have constrained an individual's ability to produce four outputs in the REF period.
31. As part of the Dress Rehearsal, an Individual Staff Circumstances Review Panel, comprising the original panel members and two additional members of academic staff, will convene. This Panel will review cases:
 - a. Where an individual not recommended for submission has registered individual staff circumstances affecting their research volume, the individual staff circumstances and relevant guidance will be reviewed to ensure that the correct decision has been reached with regard to research volume. This is to ensure that no individual is excluded from submission unfairly owing to a mistake about the volume of research required.

¹ A detailed timetable will be available for staff from summer 2012.

- b. For each individual recommended for submission with a reduced volume of outputs, the individual staff circumstances and relevant guidance will be reviewed to ensure that the correct decision has been reached with regard to research volume. This is to ensure that no individual is submitted with a lower volume of research than that anticipated to be required by the REF panel.
32. The Dress Rehearsal will form the basis for recommendations for the selection of individuals for submission. The recommendations will be considered and final decisions taken by the relevant committees and groups as described in paragraph 20 above.
33. Following the Dress Rehearsal the University's REF submission will be revised in an ongoing process to take account of any and all new information.
34. Eligible staff not selected for submission during the REF Dress Rehearsal will receive feedback from their Head of Department or School (or designated alternate). Feedback will be provided on a pro-forma by **24 June 2013**, with reference to the University's selection criteria listed at paragraphs 13 to 18 above. See paragraphs 51 to 72 below for details of the appeals process.
35. The final allocation of staff to UoAs will be confirmed by the Vice-Chancellor immediately prior to submission, taking account of any revisions since the Dress Rehearsal and the outcome of any appeals.

Disclosure of individual staff circumstances

36. The University procedures are aimed at ensuring that staff are able to disclose their circumstances with an appropriate degree of confidentiality. To enable individuals to disclose circumstances in confidence, we will manage this process centrally, through the specially established Individual Staff Circumstances Panel, with review as appropriate by the Individual Staff Circumstances Review Panel.
37. Strict confidentiality will be maintained at all times regarding information about individual circumstances. These will be known only to Human Resources, members of the Individual Staff Circumstances Panel and the Review Panel and handled in accordance with the Data Protection Act 1998.
38. Members of the Individual Staff Circumstances Panel and Review Panel will receive appropriate training, as set out in Annex 1: Staff and Committees - roles and responsibilities.
39. The Individual Staff Circumstances Panel and Review Panel will keep records to evidence decisions and actions.
40. The Executive Assistant Research, secretary to the Individual Staff Circumstances Panel, and the Human Resources Department will contact all eligible staff asking the completion of a form requesting information about their individual circumstances affecting the volume of research produced during the assessment period. The form is based on the template provided by the Equality Challenge Unit (ECU) for this purpose (Annex 2: Cover letter and form for disclosure of individual staff circumstances).

41. For the purpose of disclosure of individual staff circumstances, the census date for identifying eligible staff is **31 May 2012**. The form will be sent out on **18 July 2012**, to be returned to the Executive Assistant Research, by **1 October 2012**, with reminders between those two dates. If individual circumstances change, the form can be completed or revised and resubmitted at any time.
42. All new members of staff eligible for REF who join the University between 31 May 2012 and 31 October 2013 will be contacted by the Executive Assistant, Research. The Executive Assistant, Research, can also be contacted to obtain the form via e-mail on m.wells@bath.ac.uk, or the form can be downloaded from the REF internal website at <http://www.bath.ac.uk/rds0/staff.bho/ref/index.html>.
43. The Individual Staff Circumstances Panel will collect the information, review the received forms and will consider each case and the relevant HEFCE guidance. The Panel will assess:
 - a. whether there are individual circumstances that have constrained an individual's ability to produce four outputs or work productively throughout the assessment period, drawing on paragraphs 64 to 91 of part 1 of [REF 01.2012](#).
 - b. the appropriate reduction in the number of outputs submitted on a consistent basis across all UoAs, drawing on advice and tables provided in [REF 01.2012](#) as above, and the examples published by the Equality Challenge Unit (ECU) at www.ecu.ac.uk/our-projects/REF.
44. The assessments of the Individual Staff Circumstances Panel will be communicated to the individuals concerned by **15 November 2012** and the information about the recommended maximum reduction in volume will normally be communicated to the UoA Leaders on the same day. In any case where a possible reduction in the number of outputs to be submitted is identified, a recommendation about the actual volume of work to be submitted in connection with an individual will be developed by the UoA leader as specified in paragraph 15 above.
45. The Pro-Vice-Chancellor (Research) will formally monitor the process for identifying individuals whose circumstances might need special consideration.

Guidance on individual staff circumstances

46. Guidance on how the REF panels will deal with individual circumstances that have constrained an individual's ability to produce four outputs or work productively throughout the assessment period are available in the Panel criteria and working methods, REF 01.2012, <http://www.ref.ac.uk/pubs/2012-01/>.
47. The guidance on "clearly defined circumstances" specifies: qualifying as an early career researcher, absence from work due to working part-time, secondments or career breaks; qualifying periods of maternity, paternity or adoption leave; category A staff who are junior clinical academics; category C staff who are employed primarily as clinical, health or veterinary professionals (see REF 01.2012, <http://www.ref.ac.uk/pubs/2012-01/> Part 1, para 69a).
48. The guidance on "complex circumstances" specifies: disability; ill health or injury; mental health conditions; constraints relating to pregnancy, maternity, paternity, adoption or childcare beyond those clearly defined circumstances; other caring responsibilities (such as caring for an elderly or

disabled family member); gender reassignment; other circumstances relating to the protected characteristics which are set out in the Equality Act 2010 (see REF 01.2012, <http://www.ref.ac.uk/pubs/2012-01/> Part 1, para 69b).

49. Where an individual has a combination of circumstances with a clearly defined reduction in outputs **and** complex circumstances, these will be treated as 'complex' so that a single judgement can be made about any appropriate reduction in outputs, taking into account all the circumstances.
50. Further examples of complex individual staff circumstances are available on the ECU web-site <http://www.ecu.ac.uk/documents/ref-materials/complex-circumstances-examples>, indicating the appropriate reduction in outputs for particular circumstances.

Appeals

51. Eligible staff not selected for submission may appeal decisions. Appeals are limited to members of academic staff employed by the University and eligible for submission to REF2014 in staff Category A.
52. Formal appeals will be considered by an Appeals Panel chaired by a Pro-Vice-Chancellor (Learning and Teaching), and including two senior academics. Members of the Appeals Panel will not have a direct connection with the department or school in which the appellant is based.
53. Appeals may be made where due process is believed not to have been followed during the Dress Rehearsal. Only the following grounds for appeal may be cited:
 - a. The extent of the individual's research activity was not made known to the Internal Assessment Panel during the Dress Rehearsal exercise.
 - b. The volume of research activity was affected by Individual Staff circumstances not adequately considered by the Individual Staff Circumstances Panel.
 - c. Any other failure of due process occurred during the Dress Rehearsal.
54. The Appeals Panel cannot challenge academic assessments made by the Internal Assessment Panels. In each case, the University's original decisions may either be upheld, or reopened. The appeals panel members do not have access to individual staff circumstances forms, and will have information on the decisions made on the reduction of outputs only.
55. Appeals will be considered in a two stage process as outlined below. It is the responsibility of the individual to ensure their availability so that the prescribed time limits can be met and to keep their Head of Department (or designated alternate) and the Research Information Manager informed of changes in their contact details.

Stage One

56. Stage one involves a discussion between the appellant and the Head of Department and other relevant colleagues to attempt to resolve the appeal informally.
57. To initiate stage one, the appellant should outline their grounds for appeal in writing, using the stage one template form provided on the University's REF web pages

(<http://www.bath.ac.uk/rdso/staff.bho/ref/index.html>). The form should be completed electronically and forwarded by email to the Head of Department (or designated alternate) and copied to the Research Information Manager (k.e.mcken@bath.ac.uk).

58. Stage one appeal forms must be lodged within 10 working days of the date of the written feedback (see paragraph 34) on the outcomes of the Dress Rehearsal being received from the Head of Department (or designated alternate) and no later than **8 July 2013**.
59. The Head of Department (or designated alternate) will invite the appellant to attend an informal meeting to discuss the case. At the appellant's request the relevant UoA leader(s) and the Research Information Manager can be present during the meeting.
60. The outcome of the meeting should be logged on the stage one appeal form and signed by the appellant and Head of Department (or designated alternate). A hard copy of the signed form must then be forwarded to the Research Information Manager.
61. If at the conclusion of stage one the individual is satisfied with the University's decision that he or she is not to be submitted no further action will be taken.

Stage Two

62. Stage two is the formal stage of the appeal process. The purpose of the formal appeal is to establish whether there has been a failure of due process in the course of the selection process. A formal appeal is lodged when the signed hard copy stage one appeal form is submitted to the Research Information Manager requesting to proceed to a full appeal.
63. The deadline for submitting formal appeal requests is **22 July 2013**. No new appeals will be considered after that date.
64. Upon receiving a hard copy appeal form indicating that an individual wishes to proceed to a full appeal the Research Information Manager will email the Chair of the Appeals Panel, the Head of Department (or designated alternate), the relevant UoA Leader(s) and the appellant to confirm that a formal appeal has been lodged. Responsibility for coordinating the appeals process from that point will fall to the Chair of the Appeals Panel, with appropriate support.
65. The appellant will be invited to submit a statement reiterating the grounds for their appeal and to present any relevant evidence. The statement should be submitted to the Chair of the Appeals Panel by e-mail within 5 working days of the formal appeal being lodged.
66. The Appeals Panel will consider the written statement supplied by the appellant and will at its discretion call on advice from the relevant Heads of Department or School, UoA Leader(s) Internal Assessment Panel members, Individual Staff Circumstances Panel members and the University Equalities and Diversity Manager. No interviews or hearings will be conducted as part of the REF Appeals process. The Chair of the Appeals Panel has complete discretion as to how the appeals are considered.
67. Should the Appeals Panel find that due process was not followed during the REF Dress Rehearsal, it may request that an Internal Assessment Panel convene to reconsider the strength of the individual's research activity in the context of the provisional submission.

68. Membership of Internal Assessment Panels convened in the context of the appeals process will be at the discretion of the Chair of the Appeals process. Membership will normally comprise the original panel members, or a subset thereof. An additional member may be nominated by the Chair of the Appeals Panel at his discretion
69. Outcomes of the Internal Assessment Panel meeting will be in the form of a recommendation to the Appeals Panel and will provide the basis for a final ruling by the Chair.
70. The Chair of the Appeals Panel will notify the appellant of the outcome as soon as a final ruling is reached. This would normally be within 15 working days of the formal appeal being lodged.
71. The decision of the Appeals Panel will be final and there will be no further review under this Code after the decision of the Appeals Panel. If a member of staff feels they have a grievance related to the REF process, this can be raised through the University's Staff Grievance Policy and Procedure.
72. The appeals process will be completed before a final selection of staff for REF2014 is made.

Equality impact assessment

73. The University will conduct an on-going equality impact assessment of our preparations for the REF. This will comprise a thorough and systematic analysis to determine whether our REF procedure could have a differential impact on particular groups of eligible staff.
74. The funding council has advised that the aim of the equality impact assessment is to enable the University to identify where discrimination may inadvertently occur within our REF processes and to respond by providing justification for the policy or practice within the constraints of the law or by taking actions to change the policy or practice. Equality impact assessment will also be used to identify where a particular policy or practice has a positive impact on the advancement of equality and apply as appropriate to other areas.
75. The equality impact assessment will include an analysis of data on staff eligible for selection in respect of all the protected characteristics for which data are available. Consultation with staff will be included as part of the process, as will information from previous Research Assessment Exercises.
76. An initial equality impact assessment has informed the development of this Code of Practice. The equality impact assessment will be updated and reviewed by the REF Steering Group at key stages of the REF preparation process, to ensure that any necessary changes to prevent discrimination or to promote equality are taken prior to the submission deadline. Any agreed action points which might emerge from an equality impact assessment will be taken into account in future stages of the process. The latest versions will be made available to academic staff on the REF intranet site.
77. The equality impact assessment will be published externally after the submission has been made.

Annex 1: Staff and Committees - roles and responsibilities

Name of Committee/ Group	Established	Membership	Role/TOR	Equality & Diversity training ²
University Executive³	Established by the Vice-Chancellor as an advisory committee to oversee the executive management of the University.	Vice-Chancellor, Deputy Vice-Chancellor, Pro-Vice-Chancellor (Learning & Teaching) ⁴ , Pro-Vice-Chancellor (Research), Pro-Vice-Chancellor (Internationalisation), Deans (4), University Secretary, Librarian, Director of Finance, Director of Policy and Planning, Director of Estates, Director of Human Resources, Director of Marketing & Communications	<p>To advise on key decisions on preparations for REF, including:</p> <ul style="list-style-type: none"> • The broad lines of the project approach and timescales. • The selection of UoAs in which to make submissions. • The form and content of individual submissions • Key documents relating to staff selection and risk management. <p>It will receive recommendations from the University Research Committee for discussion and endorsement.</p>	T1 T2 T3

² T1: Equalities Act 2010 briefings

T2: Online 'Diversity in Workplace' module

T3: Face to face training specifically tailored for REF purposes, including E & D legislation

T4: Training on how to calculate reductions based on individual staff circumstances

T5: Training on REF module on PURE.

³ The full terms of reference for the University Executive Committee and the University Research Committee are available on the University website

(<http://www.bath.ac.uk/internal/committees/>)

⁴ The Pro-Vice-Chancellor(Learning and Teaching) will chair the Appeals Panel and will therefore absent himself from any discussions relating to REF selection.

Name of Committee/ Group	Established	Membership	Role/TOR	Equality & Diversity training ²
University Research Committee	An established committee of the University. The Research Committee is responsible to Senate for the development of strategies to assist the University in meeting its research objectives.	Pro-Vice-Chancellor (Research), Deputy Vice-Chancellor, Associate Deans (4), Director of Finance, Director of RDSO, Research Information Manager, up to 6 members with significant research expertise appointed by Senate	To advise the Pro-Vice-Chancellor (Research) on strategic aspects of the work including recommendations to the Executive Committee.	T2 T3
REF Steering Group	Appointed by the University Research Committee and University Executive, February 2011.	Pro-Vice-Chancellor, Research (Chair), Deans (4), UoA leader, Member of URC Impact Group and UoA leader, Head of RDSO, Deputy Director of OPP, Research Information Manager	The REF Steering Group will oversee the development of the REF submission and advise the PVC Research and University Research Committee.	T1 T2 T3 T5

Name of Committee/ Group	Established	Membership	Role/TOR	Equality & Diversity training ²
UoA leaders	Appointed by the University Research Committee and University Executive, February 2011.	A member of senior academic staff with significant research experience for each UoA	To oversee preparations in relation to an individual submission by: <ul style="list-style-type: none"> • acting as a first point of contact for all work related to the UoA • interpreting discipline-specific guidance and requirements • collating, analysing and providing commentary on all relevant forms of qualitative and quantitative data considered for inclusion in a submission • oversee the review and grading of outputs proposed for submission • leading the drafting of textual parts of submissions and detailed decisions regarding their form and content, including recommendations relating to the submitted staff cohort 	T1 T2 T3 T5
Faculty REF Advisory Groups	Appointed by the Deans, summer 2012.	Dean, Associate Deans (Research), Heads of Department, UoA Leaders	To advise the Dean on faculty-wide issues relating to REF submissions	T1 T2 T3 T5
School of Management REF Advisory Group	Appointed by the Dean, summer 2012	Dean, Deputy Dean, Associate Dean, Research, and two academic members	To advise the Dean on school-wide issues relating to REF submissions	T1 T2 T3 T5

Name of Committee/ Group	Established	Membership	Role/TOR	Equality & Diversity training ²
Internal Assessment panels	Appointed by the University Research Committee and University Executive, February 2011 (with revisions autumn 2012).	The Chair of the University Research Committee, One additional academic member of the URC, the relevant UoA Leader and associate(s), Associate Dean, Research, One other UoA Leader, the relevant Dean.	To advise on the submissions <ul style="list-style-type: none"> • recommendations on UoAs for submission • recommendations on individuals for submission • recommendations on which Impact Case Studies should be worked up in full • comment on the Environment & Impact Statements. 	T1 T2 T3 T5
URC Impact group	Sub-group of URC, established in November 2009.	Pro-Vice-Chancellor Research (chair), Director of Marketing and Communications, Director of RDSO, Head of Innovation Services, Knowledge Transfer Manager, Research Information Manager, 5 Academic members	To lead work in relation to understanding, enhancing and documenting the impact of research across the University	T2
REF data working group	Appointed by the University Research Committee and University Executive, February 2011.	Research Information Manager, Research Publication Librarian, Research Accountant, Senior Assistant Registrar, HR Manager (Management information)	To ensure that data in central systems is accurate and can be uploaded to the HEFCE submission software	T2 T5

Name of Committee/ Group	Established	Membership	Role/TOR	Equality & Diversity training ²
Individual Staff Circumstances Panel	Appointed by the University Research Committee and University Executive June 2012.	Two professors (one to chair), Head of Researcher Development Unit, Director of Human Resources, Equality and Diversity Manager, Executive Assistant Research (secretary)	To collect and review information on individual staff circumstances, to assess whether there are individual circumstances that have constrained an individual's ability to produce four outputs or work productively throughout the assessment period, to recommend the appropriate reduction in the number of outputs submitted	T1 T2 T3 T4
Individual Staff Circumstances Review Panel	Appointed by the University Research Committee and University Executive autumn 2012.	As Individual Staff Circumstances Panel plus two senior academics, Executive Assistant, Research (secretary)	Prior to final, to apply additional types of checks on individual staff circumstances.	T1 T2 T3 T4
Appeals panel	Chair appointed by the University Research Committee and University Executive June 2012.	Pro-Vice-Chancellor, Teaching & Learning (Chair), 2 professors, to be nominated by Chair, OPP (secretary)	To hear formal appeals and decide whether the University's original decisions should be upheld or reopened.	T1 T2 T3

Other individuals responsible for REF preparations

	Role	Equality & Diversity training
Vice-Chancellor	The Vice-Chancellor will confirm the REF2014 submission, having regard to the advice of the Deans and the Pro-Vice-Chancellor (Research) as presented to the Executive Committee.	T1 T2 T3
Pro-Vice-Chancellor Research	To chair the REF Project Steering Group and lead the University's REF submission, providing specific advice on interpreting and applying the Code of Practice as needed.	T1 T2 T3 T4 T5
Deans & Associate Deans Research	Coordinate work at Faculty level	T1 T2 T3
Heads of Department	<ul style="list-style-type: none"> validating data from central systems at a departmental level (e.g. lists of eligible staff) working with UoA Leaders to ensure that all eligible staff are considered for submission to the UoA providing feedback from the Dry Run exercise 	T1 T2
Research Information Manager	To assist in the preparation of submissions: <ul style="list-style-type: none"> To project manage the REF submission To chair the data working group and offer information and advice on submission construction To design and deliver appropriate training 	T1 T2 T3 T4 T5
Executive Assistant Research	<ul style="list-style-type: none"> To draft and update Code of Practice To support REF Steering Group To support Individual Staff Circumstances Panel and Review Panel 	T1 T2 T3 T4 T5

Annex 2: Cover letter and form for disclosure of individual staff circumstances



To: All members of staff eligible for return in REF2014

From: Professor Jane Millar, Pro-Vice-Chancellor, Research

Subject: REF2014, consideration of individual staff circumstances

Date:

Introduction

The University of Bath is committed to ensuring that decisions about selecting staff for the Research Excellence Framework (REF) are made in a fair, transparent and consistent manner. Information on how eligible staff will be selected for submission to the REF can be found in our Code of Practice which can be found at <http://www.bath.ac.uk/rdso/staff.bho/ref/index.html>

To ensure that REF processes are fair, the University of Bath is collecting data on individual circumstances from all staff eligible for submission. The data will be used to identify which staff are eligible for submission with fewer than four outputs. Summary level data collected may also inform the University's monitoring of staff selection procedures at the institutional level.

What action do I need to take?

If you are eligible for REF submission please complete the attached form and return it by **1 October 2012** to m.wells@bath.ac.uk via e-mail or in hardcopy (to Dr Maria Wells, Executive Assistant, Research, Vice Chancellor's Office). Please mark the envelope 'Confidential'.

You can also state that you have no individual staff circumstances you wish to report by e-mailing m.wells@bath.ac.uk.

If further information is required about any circumstances disclosed, you will be contacted by the Human Resources team.

What circumstances can be taken into account?

In determining whether eligible staff may be submitted to the REF with fewer than four research outputs, the University of Bath's Individual Staff Circumstances panel will take the following circumstances into consideration (see REF 01.2012, Panel Criteria and Working Methods at <http://www.ref.ac.uk/pubs/2012-01/>, paragraphs 63 to 91:

- Early career researcher (started career as an independent researcher on or after 1 August 2009; see REF 02.2011, Assessment Framework and Guidance to Submissions, paras 85-86 for definition, <http://www.ref.ac.uk/pubs/2011-02/>)
- Part time employment
- Career break or secondment outside of the higher education sector in which the individual did not undertake academic research
- Maternity leave, statutory adoption leave, and additional paternity leave (taken by partners of new mothers or co-adopters)
- Disability (including conditions such as cancer and chronic fatigue)
- Ill health or injury
- Mental health conditions
- Constraints relating to pregnancy, maternity, breastfeeding, adoption, paternity or childcare **in addition to** periods of maternity, statutory adoption or additional paternity leave taken. This could include for example, pregnancy related illness and health and safety restrictions in laboratory and field work.
- Other caring responsibilities (including caring for an elderly or disabled relative)
- Gender reassignment

If your research output has been affected by other circumstances, (not including teaching and administration), that are not listed above, please detail them on this form as they may be considered.

In determining the number of outputs staff are required to submit, the institution will observe the definitions of individual staff circumstances provided in the published REF 'Panel criteria and working methods' REF 01.2012, at <http://www.ref.ac.uk/pubs/2012-01/>, paragraphs 63 to 91.

Who will see the information that I provide?

The REF Assessment Framework and Guidance on Submissions www.hefce.ac.uk/research/ref/pubs/2011/02_11/, requires all higher education institutions participating in the REF to ensure appropriate confidentiality in handling individual staff circumstances.

Within the University of Bath, the information that you provide will only be seen by members of the Individual Staff Circumstances Panel & Review Panel and Human Resources.

Members of the Panels handling individual staff circumstances will observe confidentiality and information will be stored securely, and protected under the Data Protection Act.

Information provided on the form may be shared externally for the purposes of evidencing any reduction in the number of research outputs:

- For **circumstances with a clearly defined reduction in outputs**, information will be seen by the relevant REF sub-panel, the REF panel secretariat and the UK funding bodies' REF team. This will be information about early career researcher status, part-time working, career breaks or secondments, and periods of maternity, additional paternity or adoption leave taken.
- For **more complex circumstances**, information will be seen only by the REF Equality and Diversity Advisory Panel, the REF Main Panel Chairs and the UK funding bodies' REF team. This will be information to explain the impact on your research of circumstances such as disability, ill health, injury, mental health conditions, gender reassignment, caring responsibilities or constraints relating to pregnancy, maternity, breastfeeding, adoption and paternity (in addition to the period of leave taken). This information will **not** be seen by the REF sub-panel.

All REF panel members, chairs and secretaries are bound by confidentiality requirements, and acceptance of the confidentiality requirements is a condition of their appointment to the role. No information relating to identifiable individuals' circumstances will be published by the funding bodies REF Team. All data collected, stored and processed by the UK funding bodies REF Team will be handled in accordance with the Data Protection Act 1998.

What if my circumstances change?

The University of Bath recognises that staff circumstances may change between 1 January 2008 and 31 October 2013. If your circumstances change or you have started at the University as a new member of REF eligible staff since 31 May 2012, you can download a copy of the attached form at <http://www.bath.ac.uk/rdso/staff.bho/ref/index.html>, or by contacting the Executive Assistant, Research, on m.wells@bath.ac.uk.



REF2014 Individual staff circumstances disclosure form

Name	
Department	
Unit of Assessment	

Section One: Clearly Defined Circumstances ([REF 01: 2012, Part 1, para 69a.](#))

Please provide details of any 'clearly defined circumstances' during the REF period 1st Jan 2008 to 31st October 2013, that have significantly constrained your ability to produce four outputs or to work productively throughout the assessment period.

This information may be validated by the Human Resources Department.

Tick box(es) as appropriate. If none, go to section 2

Please provide information required on relevant circumstance/s. If further information is required, you will be contacted in due course.

Tick Box	Circumstance	Information required for each: relevant start & end dates, duration, and brief details
	Qualifying as an early career researcher (started career as an independent researcher on or after 1 August 2009)	See REF 02.2011 , <i>Assessment framework and guidance on submissions, para 85-86</i>
	Absence from work due to: working part-time, secondments or career breaks.	<i>For each period of absence state which type of absence and the dates and duration in months Please indicate the total period of absence between 1st January 2008 and 31st October 2013</i>
	Qualifying periods of maternity, paternity or adoption leave	<i>For each period of leave state which type of leave was taken and the dates and duration in months. Please indicate the total period of leave between 1st January 2008 and 31st October 2013</i>

Section Two: Complex Circumstances ([REF 01: 2012](#), Part 1, para 69b.)

Please provide details of any 'complex circumstances' during the REF period 1st Jan 2008 to 31st October 2013, that have significantly constrained your ability to produce four outputs or to work productively throughout the assessment period.

Tick box(es) as appropriate

Please provide information required on relevant circumstance/s. If further information is required, you will be contacted in due course.

Tick Box	Circumstance	Information required for each: <i>Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months</i>
	Disability (including conditions such as cancer and chronic fatigue)	
	Mental health condition	
	Ill health or injury	

	Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare in addition to the period of maternity, adoption or additional paternity leave taken.	
	Other caring responsibilities (including caring for an elderly or disabled relative)	
	Gender reassignment	
	Other exceptional and relevant reasons, not including teaching or administrative work	

Human Resources

I would like to be contacted by a member of human resources staff to discuss my circumstances and requirements and/or the support provided by the University of Bath. My contact details for this purpose are:

Email	
Telephone	
Preferred method of communication	

I do **not** wish to be contacted by a member of human resources staff

Please sign and date the form to confirm:

1. I confirm that the information provided is a true and accurate description of my circumstances.
2. I acknowledge that the information provided will be used for REF purposes and will be seen by the University of Bath Individual Staff Circumstances Panel and Review Panel and Human Resources.
3. I acknowledge that it may be necessary to share specific items of information with the UK funding bodies' REF team, who may make the information available to REF panel chairs, members and secretaries and/or the Equality and Diversity Advisory Panel.

Signature: Date:
(Staff member)

For official use only

Following consideration of the personal circumstances described above, the Individual Staff Circumstances panel:

- Recommends reduction in research outputs of maximum [*insert number*]. Rationale:

- Requires further information as follows:

- Does not consider this case meets the criteria outlined within the REF 'Panel criteria and working methods' for a reduction in outputs. The reason(s) for this decision are:

If [*insert name of staff member*] wishes to appeal against the decision of the Individual Staff Circumstances panel, they will need to do so by [*insert date*]. Details of the appeals process can be found at <http://www.bath.ac.uk/rdso/staff.bho/ref/uob.html>.

Signature: Date:

(Chair of the Individual Staff Circumstances Panel)