

Research Excellence Framework 2014

Code of Practice on the Selection of Staff

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1. Introduction

The Research Excellence Framework (REF) is the peer review process by which the quality of research taking place in higher education institutions (HEIs) in the UK is assessed. The assessment outcomes will be used by the four higher education funding bodies for the selective allocation of their grant for research to the HEIs from 2015-16.

The next assessment of research excellence will take place in 2014. The deadline for submissions is 29 November 2013. The results will be published in December 2014.

It is a requirement of the REF 2014 that the University develops and applies a Code of Practice on the fair and transparent selection of staff. HEFCE has provided guidance to assist HEIs in drawing up the code of practice. This will help to shape their decision-making processes in relation to the REF 2014 in the context of the principles of equalities and diversity.

This Code of Practice will adhere to the public sector equality duty of the Equality Act 2010, which requires the University to:

- Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act.
- Advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it.
- Foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

In addition, the Code of Practice will ensure compliance with regulations associated with employees on fixed-term contracts of employment and those working on a part-time basis.

2. The Legislative Context

The Code of Practice acknowledges the legislative context relevant to the selection of individuals for submission to the REF. A summary of the equality legislation with which institutions have to comply generally, and which have to be taken into account is shown in Appendix 1.

3. Basic Principles

The principles upon which this Code of Practice has been created are as follows:

3.1. Transparency

- All processes for staff inclusion will be transparent.
- The Code of Practice will be made available in an easily accessible format and publicised to all academic staff, including on the staff intranet and the University web-pages.
- The Code of Practice will be drawn to the attention of those absent from work. The University's Human Resources Department will issue a copy of this document by post to their home address.
- There will be a programme of communication activity to disseminate the Code of Practice and explain the processes for selection. A series of workshops will be held at different sites across the University during March-May 2012. A central contact name will be given for the queries relating to any aspect of the REF.

3.2. Consistency

- The Code of Practice will be applied consistently across the University and implemented uniformly.
- All decisions made at each stage of the staff selection process at all levels within the University will be based on the principles of fairness and equality.

3.3. Accountability

- Responsibilities within the selection process will be clearly defined, with individuals or groups being clearly identified by name or role.
- The training on equality and diversity has been provided following the introduction of the Equality Act 2010 and tailored to REF processes.
- Operating criteria and terms of reference for the decision-makers (individuals, groups and other bodies) will be made readily available to all. This must include the rationale for their role and how it fits within the University's management structure.
- Information on a committee or committees with designated REF responsibilities and their mode of operation will be clearly stated.

3.4. Inclusivity

- The Code of Practice will promote an inclusive environment enabling the University to identify all eligible staff who have produced excellent research.

4. Management of the REF submission process

The Code of Practice is required to document the procedures for identifying staff designated with REF-related roles and responsibilities, and the terms of reference for any committees that are involved in selecting staff for inclusion in REF2014. The following information defines the University's decision-making processes and the parties involved in these processes at a number of levels.

4.1. The Lead

The strategic responsibility for REF2014 falls within the remit of Professor Carsten Maple, PVC (Research & Enterprise). Professor Maple will lead the strategic decision making to ensure the maximum reputational and financial return to the University. He will report progress on the REF2014 submission process to the Corporate Management Team (CMT).

4.2. REF Management Group

The institutional strategy governing the University's submission to REF2014 will be overseen by the CMT and the REF2014 Management Group (MG). This group will have overall responsibility for the institutional submission to REF2014. The MG is ultimately responsible for the management of the submission of all UOAs to REF2014 as well as UOA composition, including the selection of staff. The core membership of the REF MG is listed below:

- Prof Carsten Maple, PVC (R&E), Chair
- Prof Angus Duncan, Head of RGS
- Heeren Parbhoo, Corporate HR Resourcing & Planning Manager
- Doreen Miller, Corporate OD & Talent Manager
- Marie Moyes, Management Accountant
- Paul Norris, Planning Officer
- Marcus Whooley, Deputy Director of Learning Resources
- Jo Myhill, Head of Academic Liaison

The REF MG may choose not to submit to a particular UOA on the grounds of lack of evidence indicating an appropriate research quality profile and the potential negative effect that a poor submission may have on the Institution's reputation. Information used to inform such decisions may include any one or a combination of the following: research outputs, draft impact case studies, research income, research students and other research staff, and lack of critical mass appropriate to the discipline. Such decisions will also take into account the wider impact of non-submission on a School, Faculty or the University.

4.3. REF Working Group

The aim of the REF Working Group (WG) is to facilitate and monitor progress, consider institution-wide issues and disseminate University and REF policy and information.

It is comprised of the Directors of the Research Institutes, Research Leaders for each Unit of Assessment, relevant members of professional staff and REF Research Officer.

The main responsibilities:

- Conduct the internal review to identify the Units of Assessment to which the University will submit
- Monitor and report the progress of the Units of Assessment

- Disseminate information
- Oversee the selection of individual staff members to ensure the principles of transparency, consistency and inclusivity are being complied with fairly and equitably.

4.4. UoA Leaders

Each UoA under consideration for submission will be co-ordinated by a member of academic staff who will have a crucial role in informing decision-making during the REF period (a full list of UOA co-ordinators appears at the end of this document). All appointments as UoA Leader have the approval of the Director of the Research Institute, as appropriate. This process ensured that UoA Leader is experienced researchers and familiar with the RAE/REF process and administrative processes associated with research with the University.

UoA Leaders are responsible for liaising with staff, preparing/editing the textual commentary for the submission, the impact template and case studies, appointment of external assessors and (with others) collating and checking of information appropriate to the planned submission (including finance data and postgraduate research student data).

UoA Leaders will be involved in discussions regarding the selection of research outputs to be included in a submission, but will not be responsible for decisions about individual staff (except where a Leader is also a member of the REF MG).

The Leader will also act as the main contact point between the UoA, the REF Officer, the PVC (R&E) and central administrative staff (Finance and Human Resources).

4.5. External Advisors, their role and responsibility

External Advisors will be appointed by the UOA Leaders to give an opinion on the quality of research outputs of each eligible member of staff.

The Leaders will approach Advisors who are highly regarded within their discipline and ideally have experience of Panel membership from a previous research assessment exercise. The names of External Advisors will be kept confidential to protect professional relationships that may exist between Advisors and individual staff.

We will endeavour to engage External Advisors from a diverse background. External Advisors will be provided with the REF 2014 Code of Practice and the Equality and Diversity requirements for fair and transparent selection of staff to aid the University in including all their staff eligible staff in submissions that are conducting excellent research, as well as promoting equality, complying with legislation and avoiding discrimination.

4.6. Staff training

The University's Organisational Development and Training Unit (ODTU) will provide training on equality and diversity. The training will be tailored to the REF2014 processes and includes case studies that support those staff involved in the selection process to explore the implications of dealing with personal circumstances. Furthermore the training will be delivered in the context of the Equality Act 2010 and incorporate content from the Equality Challenge Unit. (<http://www.ecu.ac.uk/documents/ref-materials/training-pack>)

This training is mandatory and all staff with responsibility for selecting individuals for inclusion in REF2014 will be required to attend, this includes REF MG and REF WG. Several training sessions will be provided with one to one training for those who cannot attend the workshops. Training will

be delivered from June 2012. Monitoring and evaluation will take place to ensure required staff have undertaken the training, and reports provided to REF MG.

4.7. Equality assessment

As required by the funding bodies, the University will conduct an equality assessment on the Code of Practice and on the procedures for selecting staff for submission to REF2014. The aim of the equality assessments will be to determine whether University's staff selection policy may have a differential impact on particular groups of staff; to highlight where changes to processes may need to be made; and to have a positive impact on the advancement of equality. The first assessment was undertaken in June 2012 and will be repeated at key stages of the selection process as submissions are prepared (Appendix 2).

5. Staff selection process

5.1. Selection criteria

5.1.1. The University is encouraging all eligible Category A staff to submit their excellent research. Eligible Category A staff will meet the following minimum criteria:

- In post with a contract of employment of 0.2FTE or greater and on the University payroll on the census date (31 October 2013) and whose primary employment function is to undertake either 'research only' or 'teaching and research'.
- Have up to four publicly available, assessable outputs of a quality that is recognised internationally with regard to originality, significance and rigour within the publication period (1 January 2008 and 31 December 2013) irrespective of individual circumstances.
- Have fewer than four outputs available if their circumstances have significantly constrained their ability to produce four outputs

5.1.2. Staff will be required to provide a full and accurate record of research outputs within the reporting period. The hard copies should be supplied where these are not available in electronic format. In the case of non-standard outputs, other evidence may be accepted.

The University's repository will be used to populate data for a mock REF exercise / external review in the autumn/winter of 2012, and for REF2014 itself. Staff should therefore familiarise themselves with this software: <http://uobrep.openrepository.com/uobrep/>

5.1.3. The selection of staff will be made according to the following criteria:

- The fit of their research with one of the Units of Assessment identified;
The quality of their research outputs (assessed on the basis of the three standard measures of quality put forward by HEFCE for REF2014, namely originality, significance and rigour);
- The number of outputs, as determined by their individual staff circumstances;
- Their involvement in the Research Environment or Impact Case Studies.

The quality thresholds will be set for each Unit of Assessment and the University will have to be sure that submitted outputs are at least of a quality that is recognised internationally i.e. 2*. In exceptional circumstances, the REF MG may consider submitting an individual's work which falls short of this threshold, but only where accompanied by outputs of the very highest level. The MG will explore the impact of this approach on the likely UOA and institutional quality profiles when considering such cases, and take into consideration the size of a potential submission and any individual staff circumstances.

5.1.4. The final decision on which outputs will be included in the submission will be made by the VC after guidance of the PVC. The final selection process will be communicated to staff by email. Submitted staff will be given an opportunity to comment upon the draft textual narratives of submissions.

5.2. Individual Staff Circumstances

5.2.1. REF clearly defined circumstances under which eligible staff could be submitted with fewer outputs: they are listed in Table 1.

The number of outputs that may be reduced for Early Career Researchers and individuals with other clearly defined circumstances are provided in Tables 2, 3 and 4.

Circumstances that are more complex and require a judgement to be made about the appropriate number of outputs that can be reduced without penalty are listed in Table 5.

Table 1. Clearly defined circumstances

Qualifying as an Early career Researcher (ECR)	Staff starting their research career with a contract of employment (0.2 FTE or greater) on or after 1 August 2009 that includes a primary function of undertaking 'research' or 'teaching and research' and who undertook independent research, leading or acting as principal investigator (PI) or equivalent on a research grant or significant piece of research
Part-time working	Staff with the contract of employment is 0.2 FTE or greater
Maternity, paternity or adoption leave	This may involve related constraints on an individual's ability to conduct research in addition to the period of maternity leave itself. These cases can be returned as 'complex'
Secondments or career breaks	Outside of the higher education sector, and in which the individual did not undertake academic research

Table 2. Early career researchers and permitted reduction of outputs

Date at which the individual first met the REF definition of an ECR:	Number of outputs may be reduced by up to:
On or before 31 July 2009	0
Between 1 August 2009 and 31 July 2010 inclusive	1
Between 1 August 2010 and 31 July 2011 inclusive	2
On or after 1 August 2011	3

Table 3. Part-time working, secondments or career breaks: permitted reduction in outputs

Total months absent between 1 January 2008 and 31 October 2013:	Number of outputs may be reduced by up to:
0 - 11.99	0
12 - 27.99	1

28 - 45.99	2
46 or more	3

Table 4: Qualifying period of maternity, paternity or adoption leave

Between 1 January 2008 and 31 October 2013:	Number of outputs may be reduced by up to:
Statutory maternity leave or statutory adoption leave regardless of the length of the leave	1
Additional paternity or adoption leave lasting for four months or more	1

Table 5: More complex circumstances

Disability Ill health or injury Mental health conditions	Including but not limited to: - impairments caused by injury to the brain or body; - depression and eating disorders; - autistic spectrum disorders and dyslexia; - respiratory conditions and cardiovascular diseases; - motor neurone disease, muscular dystrophy, HIV and cancer; - rheumatoid arthritis and epilepsy; sensory impairments
Constraints related to pregnancy or maternity	These may include but are not limited to: - medical issues associated with pregnancy or maternity; - health and safety restrictions in laboratory or field work during pregnancy or breastfeeding; - constraints on the ability to travel to undertake fieldwork due to pregnancy or breastfeeding
Childcare and other caring responsibilities	Including but not limited to: - parents and adoptive parents of children aged 16 and under or disabled children under the age of 18; - those staff who have caring responsibilities for adult relatives
Gender reassignment	Staff who's ability to work productively has been constrained due to gender reassignment
Other circumstances	Related to the protected characteristics as defined by the Equality Act 2010 listed in Appendix 1

5.2.2. Where staff have clearly defined or complex circumstances leading to a submission of fewer than 4 outputs, the University will need to make a judgement on the appropriate reduction in the number of outputs submitted. The University will take a robust and proactive approach to declare and has put in place procedures to enable staff to disclose their circumstances in an appropriate and confidential manner.

- All staff eligible for selection will be asked to complete a form about their individual circumstances. In order to ensure the appropriate level of confidentiality, this process will be managed centrally. All forms should be returned to the Corporate OD and Talent Manager by 31 March 2013.
- Once the forms have been returned, they will be held confidentially, managed and stored according to Data Protection Act 1998, and be collated and presented to the REF MG.

- In the case of clearly defined circumstances, only the Corporate OD and Talent Manager and the REF Officer will know the circumstances for reduction. The REF Officer will communicate directly with the individual concerned regarding the appropriate number of outputs to be submitted. The Unit of Assessment Leader will be notified that clearly defined circumstances exist and the number of outputs to be submitted.
- The REF MG will consider all cases of complex circumstances in line with HEFCE guidance and determine the appropriate reduction in the number of outputs to be submitted.
- The REF Officer will communicate directly with the individual concerned regarding the appropriate number of outputs to be submitted. The Unit of Assessment Leader will be notified that complex circumstances exist and the number of outputs to be submitted.

These procedures will enable staff to disclose information in a confidential way and ensure consistent treatment of complex circumstances across REF2014. Information provided on the forms will only be used for the purpose of assessing REF submissions, will not be published at any time and will be destroyed on completion of the REF.

5.2.3. Examples of complex circumstances indicating the appropriate reduction in outputs are available at www.ecu.ac.uk/our-projects/REF.

Example of Individual staff circumstances disclosure form is included in Appendix 3.

5.3. Employees on Fixed-term Contract and Part-time staff

In line with the Fixed Term Employee Regulations the University recognises that employees on fixed-term contracts are treated no less favourably than comparable permanent employees, and, that in line with the Part-time Workers (Prevention of Less Favourable Treatment) Regulations 2000 that part-time workers have the right to be treated no less favourably than comparable full-timers. As such, all eligible fixed term and part-time staff will be considered for REF2014 regardless of contract length or employment status.

6. Compliance

To ensure that the University of Bedfordshire is complying with the requirements of the Equality Act 2010, equality impact assessments will be conducted on the University's policies for selecting staff for the REF. This ensures that all excellent researchers are submitted to the REF (in line with requirement set out in para 4.2), including those whose ability to produce 4 outputs or work throughout the assessment period has been constrained due to reasons covered by equality legislation. The assessments will be informed by an analysis of data on all eligible staff, in respect of all the protected characteristics for which data is available, and will be conducted whilst engaging with staff from protected groups. They will be performed by those people who can be objective and are also equality and diversity experts.

The assessments will take place at key stages of the selection process, such as:

- when identifying eligible staff who are likely to be selected
- when considering appeals
- when preparing the final submission
- at UoA level

The assessments should be published after the submissions have been made, as a matter of good practice.

7. Feedback and Appeals

7.1. Eligible academic staff not selected for submission in a particular UOA may request feedback from the UOA's Lead during spring 2013. Feedback will include discussion regarding the impact of the quality threshold on their inclusion, feedback from the External Reviewer, and other influencing factors as appropriate.

Wherever possible, this will be conducted on a one to one basis to allow staff the opportunity to discuss their inclusion and any support that may be given to ensure their inclusion.

All eligible staff will receive this feedback on their inclusion by 31st May 2013.

7.2. Eligible academic staff not selected for inclusion in a particular UOA may appeal against this decision after they have received feedback covering the reason/s for this decision.

The appeals process is in two stages, all appeals need to be in writing in line with the process and Stage 1 appeals submitted within 10 days of receiving feedback from the Unit of Assessment Leader. Appeals at Stage 2 of the process must be submitted by 31 July 2013.

The appeal process is included in Appendix 4.

8. Timetable

Details	Responsible person/s	Deadline
RIs draft submissions	DoRIs, UoAs Leads	31 March 2012
Repository training for all staff	DoRIs, UoAs Leads	31 May 2012
REF2014 workshops across the University	DoRIs, UoAs Leads	31 May 2012
Draft information from Finance and RGS	Finance, DoRIs, UoAs Leads	30 June 2012
Equality & Diversity training	MG	31 July 2012
Submit Code of Practice	PVC	31 July 2012
Complex circumstances forms (drafts)	HR, UoAs Leads	31 August 2012
Update research submissions	DoRIs, UoAs Leads	30 September 2012
UoAs selection for mock exercise	PVC, VC, DoRIs	15 November 2012
Complete REF mock exercise	PVC, Planning, DoRIs, UoAs Leads	20 December 2012
Complete survey of submissions intentions	PVC, Planning, DoRIs, UoAs Leads	20 December 2012
Provisional selection of staff	DoRIs, UoAs Leads	31 March 2013
Feedback on staff inclusion	UoAs	31 May 2013
Approve Statement of Intent for each UOA	PVC, DoRIs, UoAs Leads	1 June 2013
Update Individual Staff Circumstances forms	HR, UoAs Leads	30 June 2013
Final date for appeal against non-selection	PVC, DoRIs	1 July 2013
Completion of Appeals process	HR	30 September 2013
Final information from Finance and RGS	Finance, DoRIs, UoAs Leads	30 September 2013
Final date for University's submission	PVC	29 November 2013

9. Further information

Higher Education Funding Council for England (HEFCE) www.hefce.ac.uk

REF2014 <http://www.hefce.ac.uk/research/ref/>

Equality Challenge Unit <http://www.ecu.ac.uk/our-projects/REF>

Higher Education Statistics Agency (HESA) <http://www.hesa.ac.uk/>

10. Contact details

Research Officer (REF):

Marina Rowe, Marina.rowe@beds.ac.uk, 01582 743168

Proposed UoAs and names of the Leaders

UoA Number	UoA Name	UoA Leader / Deputy
A3	Allied Health Professions, Dentistry, Nursing and Pharmacy	Gurch Randhawa/Andy Guppy
A4	Psychology, Psychiatry and Neuroscience	Andy Guppy/Gail Kinman
A5	Biological Sciences	Jan Domin/John Reynolds
B7	Earth Systems and Environmental Sciences	Prasad Sreenivasaprasad/R. Stafford
B11	Computer Science and Informatics	Edmond Prakash/Gordon Clapworthy
C19	Business and Management Studies	Sonal Minocha/Yanqing Duan
C20	Law	Richard Lang/Silvia Borelli
C22	Social Work and Social Policy	Jenny Pearce/John Pitts
C25	Education	Uvanney Maylor/Giannandrea Poesio
C26	Sport and Exercise Sciences, Leisure and Tourism	David Kirk/Catherine Kerr, Andrew Holden/Nazia Ali
D29	English Language and Literature	Cyril Weir/Stephen Bax/Tony Green
D35	Music, Drama, Dance and Performing Arts	Helen Bailey/Colin Davies
D36	Communication, Cultural and Media Studies, Library and Information Management	Garry Whannel/Alexis Weedon

11. Approval

This Code of Practice was approved on

23 July 2012
(date and place)

Z. Ebdon

University of Bedfordshire
Park Square
Luton, LU1 3JU

Professor Les Ebdon
Vice-Chancellor

Appendix 1 - Statement of Compliance with Equality Legislation

The University recognises the changing nature of work and the workplace, and will wherever feasible, offer sympathetic consideration to members of staff who require alternative working arrangements or non-standard contracts including fixed-term and part-time contracts.

This is of particular benefit to staff with, for example, caring responsibilities, disabled staff who require alternative working arrangements as part of a reasonable adjustment, female staff returning to work following a period of pregnancy and maternity, and staff who have other personal circumstances the University needs to reasonably consider as part of our duty of care.

The University will endeavour to support staff through agreement, for example, on re-training, re-employment and / or alternative working arrangements or extended leave arrangements.

The University has a comprehensive suite of HR policies and procedures to support its staff in various circumstances, all of which are accessible from the University website:

- Fixed Term Contract Procedure;
- Special Leave and Time Off Policy & Procedure which includes:
 - Domestic/personal related:
 - Bereavement Leave
 - Compassionate Leave
 - Leave for Personal Relationship Difficulties
 - Leave for Family Emergencies
 - Time Off for Public Service
 - Holders of Public Office
 - Engagement in Political Activities
 - Jury Service
 - Attendance in Court as a Witness
 - Service in the Reserve Forces
 - Work-related
 - Career Break
 - Sabbatical
 - Study/examination leave);
- Maternity Provision;
- Paternity Leave Policy & Procedure;
- Annual Leave Guidelines;
- Early Retirement Policy;
- Parental Leave Policy;
- Managing Absence and Incapacity Procedures;
- Flexible Working Policy;
- Equality and Diversity Policy;
- Recruitment Policy & Guidelines.

In addition, the University has an Occupational Health service that supports managers and staff in dealing with medically related matters that support health and well being at the University.

Equality Impact Assessment (initial stage)

1. What is the policy/practice? (Name/description of the policy/practice)

Research Excellence Framework Staff Selection Process

2. What is the aim, objective or purpose of the policy/practise?

The aim of the Staff Selection Process is to set out the requirements for selection for all staff to ensure a fair and transparent approach in the arrangements for selection to the REF which eliminates discrimination and promotes equality of opportunity.

3. Who defines or defined the policy/practise and who implements it?

The strategic responsibility for REF 2014 falls within the remit of Professor Carsten Maple, PVC (Research & Enterprise). Professor Maple will report progress to the Corporate Management Team, which meets monthly and comprises the University's senior managers.

In addition, the University's strategy governing submission to REF2014 and all submissions will be overseen jointly by the CMT and the REF2014 Management Group. However, the management Group is ultimately responsible for the management of the submission of all UOAs to REF2014 as well as UOA composition, including the selection of staff.

The REF Management Group membership is as follows: Prof. Carsten Maple, PVC (R&E) Chair; Prof. Angus Duncan, Head of RGS; Heeren Parbhoo, Corporate HR Resourcing & Planning Manager; Doreen Miller, Corporate OD & Talent Manager; Marie Moyes, Management Accountant; Paul Norris, Planning Officer; Marcus Woolley, Deputy Director of Learning Resources and Jo Myhill, Head of Academic Liaison.

The REF Working Group have the responsibility to facilitate and manage progress, consider institution wide issues and disseminate University and REF policy and information. Composition of this Group include: Directors of the Research Institutes, Research Leaders for each Unit of Assessment, relevant members of professional staff and the REF Research Officer.

The REF WG responsibilities includes:

Conducting internal review to identify the Units of Assessment to which the University will submit; Monitor and report progress of the Units of Assessment; disseminate information; oversee the selection of staff members to ensure the principles of transparency, consistency and inclusivity are being complied with fairly and equitably.

UoA Leaders – Each Unit of Assessment under consideration for submission will be co-ordinated by a member of academic staff who will have a crucial role in informing –decision-making during the REF period.

All appointments as UoA leaders are approved by the Director of the Research Institute.

UoA Leaders liaise with staff; prepare/edit the textual commentary for the submission, the impact template and case studies, appointment of external assessors and collating and checking information appropriate to the planned submission including finance data and postgraduate research student data). They are also involved in discussions regarding the selection of research outputs to be included in a submission.

External Advisors will be provided with briefing pack on the REF E&D requirements to assist them in their role as critical friends.

4. Is the policy/practice applied uniformly throughout the university?

The Code of Practice will be implemented across the University and all relevant staff will receive E&D training to ensure consistency of approach and fairness in the process. Several workshops and presentations have been held to provide information and assistance to enable staff to implement the CoP uniformly throughout the University.

5. Who are the stakeholders in relation to this policy/practice?

Professor Carsten Maple, PVC (Research& Enterprise); the Corporate Management Team; the REF2014. Management Group and the REF Working Group.

All the staff members submitting research for consideration; Unit of Assessment Leaders; External Advisors.

6. What data are available to facilitate the screening of this policy/practice?

Data from the 2008 Research Excellence Exercise .The REF Assessment Framework and Guidance on Submissions and the Research Excellence Framework on Equality, Equality and diversity Training Materials.

Data on all submissions including monitoring information on selection rates for equality protected groups. There will also be training/briefing for all members of staff, external advisors and decision-making/management groups involved in the REF process.

7. Is there any evidence of higher or lower participation or uptake by the following characteristics?

	Yes	No	Not known*
Race			Not known at this stage
Disability			Not known at this stage
Gender			Not known at this stage
Age			Not known at this stage
Religion or Belief			Not known at this stage
Sexual orientation			Not known at this stage

Note: A broad interpretation should be taken of the word ‘evidence’. It should include anecdotal evidence and evidence derived from qualitative or quantitative analysis where available.

***Please comment:**

However lessons from Research Assessment Exercise 2008 suggest that lower selection rate for staff with a declared disability compared to staff without a disability; lower numbers of women compared to men and selection of staff from MBE lower than for staff from other ethnic groups. HEFCE 2009/09_34.

The University will be paying particular attention to the participation of the groups mentioned above in the REF2014 submissions.

8. Is there any evidence that different groups have different needs, experiences, issues and priorities in relation to this policy/practice?

	Yes	No	Not known*
Race			Not known at this stage
Disability			Not known at this stage
Gender			Not known at this stage
Age			Not known at this stage
Religion or Belief			Not known at this stage
Sexual orientation			Not known at this stage

Note: As Q.7

***Please comment:**

Disabled researchers or careers of disabled people will be eligible to submit reduced outputs and reasonable adjustments maybe required to assist disabled researchers to produce research outputs i.e. assistive software.

Researchers taking time out due to pregnancy, maternity, breastfeeding will be eligible to submit reduced number of research outputs. Also staff on paternity and adoption leave.

Age- early career researchers can come from a range of age groups. The use of Early Career Researcher in the REF is not limited to young people.

Staff with responsibilities for older dependants or children will be entitled to a reduction in outputs.

Researchers undergoing gender reassignment during the REF period will be eligible to submit reduced number of outputs- not all these staff will have medical evidence.

9. Have previous consultations with relevant groups, organisations or individuals indicated that policies/practices of this type create problems specific to them?

	Yes	No	Not known
Race			Not known
Disability			Not known
Gender			Not known
Age			Not known

Religion or Belief			Not known
Sexual orientation			Not known

Please comment:

No information available on this stage

10. Is there an opportunity to promote equality of opportunity or community relations more effectively by altering the policy, or by working with others? Yes

Please elaborate:

Although this is an internal exercise which does not affect the community at large or the student population there will be the opportunity to learn from the outcome of the 'mock exercises' which will be used to identify any barriers to participation and inform the ongoing review of the EIAs.

11. In the context of question 9 are there any relevant groups which you believe should be consulted? Yes

Please specify:

All staff groups likely to make submission. The general framework for assessment in the 2014 Research and Excellence Framework (REF) and guidance to UK higher education institutions has been used to develop the University's REF Code of Practice and Appeals process.

The University of Bedfordshire has also adopted and delivered the REF 2014 Equality and Diversity training material produced by the Equality Challenge Unit to all relevant staff /working groups/advisers /management committees.

12. What data are required in the future to ensure effective monitoring?

Representation by equality categories on all decision-making groups/committees.
 Data on all applications, submissions and appeals by equality categories.
 Data on number of reduced outputs by equality categories.
 Outcomes of appeals.

13. Please indicate whether a full impact assessment is recommended. No

Please elaborate:

Not required as Equality and Diversity issues have been taken into consideration in developing the REF Code of Practice and into the REF training/briefing arrangements and will be reviewed at key stages of the selection process including at level of Unit of Assessments, appeals and before final submission.

14. Any other comments on the policy and/or screening exercise?

No

Policy REF.01/12 Research Excellence Framework Staff Selection Process

1. On a scale of high, medium or low assess the policy in terms of priorities for impact assessment.

High	High
Medium	-
Low	-

2. Please indicate when you think this policy should be reviewed next:

Year 2013, January

Year 2013, December

3. Is the Policy affected by a strategy c planning document, for example Agenda for Action, Institutional Plan, Strategic Development Plan? No

Please elaborate:

University of Bedfordshire Research Strategy 2009-2014

4. Is the policy affected by the timetable established by other relevant public authorities or organisations in relation to common functions? Yes

Please elaborate:

REF2014 Timetable starting March 2010 and ending Spring 2015.

4. Are there any particular resource implications incurred by the policy?

E&D Training

Completed by the EIA Group:

Carsten Maple – PVC (R&E)
Valerie Grant – E&D Advisor
Angus Duncan - Head of RGS
Garry Whannel - Director of RIMAD
Uvanney Maylor – Director of IREd
Gordon Clapworthy – UoA Lead, IRAC
Marina Rowe – Research Officer (REF)

30 June 2012, Luton

Appendix 3



Individual staff circumstances disclosure form

I wish to make the University aware of the following circumstances which have constrained my ability to produce four outputs or work productively between 1 January 2008 and 31 October 2013.

- 1. Early career researcher:** (if you started your career as an independent researcher on or after 1 August 2009, please give details of your first research or research teaching appointment)

- 2. Part time working:** please indicate the proportion (usually expressed as a Full Time Equivalent (FTE) of your research or research and teaching contract over the assessment period:

- 3. Maternity, paternity or adoption leave:** maternity leave may involve related constraints on an individual's ability to conduct research in addition to the defined period of maternity leave itself. These constraints may include, but are not limited to: any medical issues associated with pregnancy or maternity, health and safety restriction in field work during pregnancy or breastfeeding; constraints on the ability to travel to undertake field work during pregnancy or breastfeeding.

For each period of leave state which type of leave was taken and the dates and duration in months

Please indicate the exact nature of the circumstance(s) and the period concerned:

- 4. Secondments or career breaks** outside of the higher education sector, during which you have not undertaken academic research.

Please indicate the exact nature of the circumstance(s) and the period concerned:

5. Disability. Under UK law a person is considered to be disabled if they have, or have had, a physical and/or mental condition which has 'a substantial and long term, adverse effect on their ability to carry out day to day activities'. Long term impairments include those that have lasted, or are likely to last at least 12 months. This definition includes specific learning differences (e.g. dyslexia or dyspraxia); developmental conditions (e.g. Asperger's Syndrome). Progressive or degenerative conditions (e.g. cancer, HIV/AIDS, multiple sclerosis) are disabilities from the point of diagnosis, even if they do not currently have an adverse effect on day to day activities, as well as the more visible mobility, dexterity and sensory impairments.

Please indicate the exact nature of the circumstance(s) and the period concerned:

6. Mental health conditions

Please indicate the exact nature of the circumstance(s) and the period concerned:

7. Ill health or injury

Please indicate the exact nature of the circumstance(s) and the period concerned:

8. Childcare and other caring responsibilities

Please indicate the exact nature of the circumstance(s) and the period concerned:

9. Gender reassignment

Please indicate the exact nature of the circumstance(s) and the period concerned:

10. Other exceptional and relevant reasons, relating to the characteristics protected by equality legislation, for example; age; marriage and civil partnership; political opinion; religion and belief including non-belief; sex and sexual orientation

Please indicate the exact nature of the circumstance(s) and the period concerned:

Please select as appropriate:

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 will be seen by the REF2014 Management Group and the Corporate OD and Talent Manager

I realise that it may be necessary to share information with the UK funding bodies' REF team.

Name	Signature
Faculty/School	Date
Unit of Assessment	

Appendix 4

Appeals procedure

In the event of an academic member of staff not being selected to submit their research to REF 2014, an appeals process has been developed which allows the staff member the opportunity to make an appeal against the decision. Appeals may only be made on the grounds of the intrinsic quality of their research or on equal opportunities issues related to protected characteristics defined in the Equality Act 2010.

Process of appeals

Stage one

Appeals made on the grounds of intrinsic quality or excellence should be made in the first instance in writing to the Director of the Research Institute (DoRI). The letter should set out your grounds for appeal, in particular identifying any new information or evidence that may not have been taken into account during the selection process. Appeals must be made within 10 working days of receipt of the letter advising of the decision to exclude the member of staff.

Appeals made on the grounds of equal opportunities issues should be made in writing to the Corporate Organisational Development and Talent Manager. The letter of appeal must clearly relate to one or more protected characteristics. The Corporate OD and Talent Manager will refer the appeal to the REF Management Group for consideration. Appeals must be made within 10 working days of receipt of the letter advising of the decision to exclude the member of staff.

The appellant will be notified by 30 June 2013 of the outcome of their appeal.

Stage 2

The HR Department will manage stage 2 of the appeal process, as it is independent of the REF MG.

Where resolution has not been possible at stage 1 of the process, an individual may then formally appeal to the Vice Chancellor. The Director of HR will request a written statement from the Director of the appealing members Research Institute (DoRI), which should give details of the grounds for recommending not to submit the staff member to the REF (this must be done within ten working days).

The Vice Chancellor and Director of HR will duly consider the DoRI's statement along with the staff members' appeal statement. The appellant will be notified with 20 working days of the appeal on the outcome of their appeal.

In all cases, it is expected that matters will be considered by written representation, although an appeal can be held in person if it is deemed appropriate. Should the University need to meet an individual, they may be accompanied by a work colleague or a trade union representative.

The Vice Chancellor and Director of HR may invite the DoRI or other appropriate expert(s) to appear before the panel.

The appellant will be notified by 30 September 2013 of the outcome of their appeal.

There will be no further right of appeal under the REF 2014 Appeals process against the decision taken by the Vice Chancellor.

All individuals involved in the appeals process will have received specific REF equality & diversity training relevant to the REF submission process.