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Bishop Grosseteste University

Code of Practice on the Selection of Staff

Document Reference: Research – Staff Selection REF 2014 (Qa:L1)
Version: 0.05
Date: January 2013
Approved By: Academic Board (Chair's action)
Originator: Chair of the REF Working Group

Application to collaborative provision: N/A

Responsibilities:

Chair of REF Working Group
Head of Human Resources
REF Working Group
REF Appeals Panel
Centre for Educational Development and Research
Diversity and Equality Committee
Academic Board

Purpose and aim

The purpose of this Code is to address the institutional requirements for submitting to REF 2014 (*Assessment Framework and Guidance on Submissions REF 02.2011 and Panel Criteria and Working Methods REF 01.2012*).

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Introduction

1. The Code of Practice sets out the University approach to a fair and transparent procedure for the selection of staff in relation to REF submission. The Code seeks to address the principles of transparency, consistency, accountability and inclusivity in a lawful manner; avoiding discrimination against an individual in relation to protected characteristics according to the Equality Act 2010.
2. The Code has been developed to reflect the expectations of *Assessment Framework and Guidance on Submissions (REF 02.2011)* and *Panel Criteria and Working Methods (REF 01.2012)*.

Scope of the Code

3. The Code applies to all staff at all levels and positions who work within the University, their potential eligibility, the steps involved in selection, location (UoA) and decision-making, matters associated with the disclosure of individual staff circumstances, equality impact, and how to appeal as a result of inclusion or otherwise.

Communication

4. The Code outlining the institution's approach to the selection of staff in relation to REF 2014 will be communicated in different modes of delivery throughout the process to ensure all potentially eligible colleagues, including those absent from work (who will be informed by letter or in consultation with or acting through HR as appropriate), are included and kept aware of every stage of the process (to include the assessment of output, impact and environment, the selection of staff, and the decision-making process including the final submission).

In the first instance, and following approval, the Code will be made immediately available on the institution's intranet via the staff secure area (HR) and externally (publically) via the research pages of the institution's website. The Code, together with information concerning the REF, will also be distributed to all staff by e-mail via the weekly, electronic, staff Bulletin (Research news) at quarterly intervals (October, January, April, July) throughout the 2012-13 and 2013-14 academic years until the process comes to an end; thereby reaching all full-time, part-time, fixed-term and hourly paid staff including new appointments. The Code in relation to the REF will also be tabled once via the meeting structure of the institution's two academic Schools.

Implementation of the Code in relation to the REF will be monitored and progress reported to Diversity and Equality Committee and Academic Board. Members of the REF Working Group (see Section 5) and the REF Appeals Panel (see Section 10) will be provided with a copy of the Code and adhere to its parameters.

Further communication associated with the Code, including feedback to staff and finalisation of the submission, is detailed within the remit of the REF Working Group and REF Appeals Panel (see Sections 5 and 10).

The REF Working Group: membership and terms of reference

5. All matters concerning the REF and its associated processes, including equality impact, will be attended to by the REF Working Group established for the duration and purpose of the REF. In relation to the capacity of the institution and its anticipated submission, membership of the REF Working Group, as approved by Academic Board, is presented as follows:
 - Nominated University Professor from the Centre for Educational Development and Research (Chair)
 - The Head of Human Resources (advising on fairness, transparency, consistency, accountability and inclusivity, and personal disclosure)
 - Nominated representative from the School of Culture, Education and Innovation (research)
 - Nominated representative from the School of Teacher Development (research)

The REF Working Group will be convened as necessary and in accordance with timetable priorities set out in *REF 2014: Assessment Framework and Guidance on Submissions (REF 02.2011)* and the selection process of the institution (see Sections 7, 8 and 9).

Terms of reference of the REF Working Group are presented as follows:

- To invite and consider the research and other outputs of individual staff members for submission to REF 2014 in a timely manner
- To identify and select those staff meeting criteria for eligibility (see Section 7)
- To identify the location of staff within appropriate Units of Assessment (see Section 8)
- To monitor all procedural matters and report progress, outcomes, recommendations and decisions regularly and in a timely manner to Diversity and Equality Committee and Academic Board
- To act upon recommendations made to the REF Working Group by Diversity and Equality Committee and Academic Board
- To provide written feedback to all staff and their Deans of Schools who present work as appropriate whether submitted or otherwise by the earliest possible date
- To receive recommendations and amendments concerning the institution's submission on the basis of disclosures of personal circumstances (see Section 9) and appeals (see Section 10)
- To finalise the institution's submission to REF 2014 for the approval of Academic Board and by July, 2013, while remaining open to changing circumstances and new appointments

Appropriate equality and diversity training will be provided for the REF Working Group and in a timely manner by HR (see Section 6).

Training

6. The REF Working Group and REF Appeals Panel members will receive appropriate equality and diversity training tailored to their specific roles in the REF process and in a timely manner by the Head of HR (see also Sections 5 and 10). The training, post-Equality Act 2010 and delivered at a level of understanding of relevant issues and the institution's REF work, will include:

- Introduction, purpose and context
- The institution and the REF
- Why equality is important in the REF
- Issues to be aware of since RAE 2008
- Identifying clearly defined and complex staff circumstances and using tariffs
- Implications for staff responsible for selecting staff for submission to the REF
- Handling complex staff circumstances

Use will be made of the handbook, equality and diversity pack and case study materials provided by the Equality Challenge Unit (ECU) and developed specifically for REF purposes.

Eligibility

7. Eligibility for REF 2014 is determined by criteria and definitions surrounding research outputs, impact, environment and other matters as set out in the *Assessment Framework and Guidance on Submissions (REF 02.2011)* and the *Panel Criteria and Working Methods (REF 01.2012)*.

Eligibility criteria outlined in Main Panels C and D of *Panel Criteria and Working Methods (REF 01.2012)* will be circulated as indicated above (see Section 4).

Consideration of eligibility will extend to all full-time, part-time, fixed-term and hourly paid staff who may meet basic requirements of being in possession of up to four items of research output produced during the REF period as defined (1 January, 2008 to 31 December, 2013) or as qualified with personal disclosures of individual staff circumstances (see Section 9).

No minimum staff limit will be considered for any particular UoA provided outputs, impact and environment can be adequately addressed.

Selection, location (UoA) and the decision-making process

8. The eligibility and selection of staff for the REF will essentially build upon existing practices attached to the annual monitoring and recording of research which requires all staff to submit details of research outputs and other forms of research activity to the Dean of Students and Academic Engagement or their nominee on an annual basis. Communicating REF information as indicated (see Section 4) will ensure that no potentially eligible staff members, including those absent from work or newly appointed, are overlooked. Developing this starting point further:
 - All staff will be regularly informed of the REF, its timelines and its significance
 - All eligible staff identified as a result of the annual monitoring and recording process, including those who consider they have met the criteria for eligibility in the interim or who were not involved in the annual monitoring and recording process but may have become eligible subsequently, those absent from work and those newly appointed, will be invited to submit their outputs to the Chair of the REF Working Group in the first instance
 - Staff with personal disclosures of individual circumstances will be invited to make themselves known to the Head of Human Resource (see Section 9)
 - The REF Working Group will be convened to review submissions (quality and quantity) against published criteria and individual circumstances, to provide feedback to staff (and their Deans of School where appropriate), and to Diversity and Equality Committee and Academic Board as indicated (see Section 5)
 - The REF Working Group will consult with eligible staff over their location within any particular UoA
 - Excluded staff will be advised of their right to appeal the process (see Section 10)
 - Preparations for final submission will be overseen by the Chair of the REF Working Group with the approval of Academic Board

Personal disclosure of individual staff circumstances

9. All staff, having been informed about the REF and who may qualify for special consideration (constraints leading to the reduction in research outputs), will be invited to submit details to the Head of Human Resources in the first instance (see Annexes 1 and 2). Individual staff circumstances which allow only for the submission of fewer than four outputs without penalty are clearly specified in the *Assessment Framework and Guidance on Submissions (REF 02.2011)* and the *Panel Criteria and Working Methods (REF 01.2012)* and include:
 - Qualifying as an Early Career Researcher (ECR)
 - Part-time working
 - Secondments or career breaks during which no academic research was undertaken

- Maternity, statutory adoption leave or additional paternity leave (taken by partners of new mothers or co-adopters)
- Complex circumstances including disability, ill health, mental health conditions, pregnancy, maternity, childcare or other caring responsibilities, gender reassignment, and other caring circumstances related to the *Equality Act 2010* (e.g. religious observance)

The Head of Human Resources will liaise, where appropriate, with the Chair of the REF Working Group, observing confidences, to determine whether or not the circumstances leading to a reduction in outputs are valid under the terms of the Code and the REF.

REF appeals and the Appeals Panel: membership and terms of reference

10. Appeals at any point in the REF process will only be possible in the case of failure to adhere to the Code or exclusion from the REF and on the basis of ‘fairness’ or ‘personal disclosure’ or inclusion in a disputed UoA. In relation to the capacity of the institution and its anticipated submission, membership of the REF Appeals Panel, completely independent of the REF Working Group and as approved by Academic Board, is presented as follows:

- The Dean of Students and Academic Engagement (Chair)
- Nominated University Professor from the Centre for Educational Development and Research (not the Chair of the REF Working Group)
- Nominated advisor or panel expert (internal or external to BGU) as required

Terms of reference of the REF Appeals Panel are presented as follows:

- To meet in a timely manner to consider appeals from staff against decisions associated with their submission or otherwise
- To notify the Chair of the REF Working Group that an appeal has been lodged and to receive written comments in response
- To make aware and notify appellants in writing of appeal decisions relating to the selection of staff for the REF
- To report to and advise the Chair of the REF Working Group in writing on appeal decisions relating to the selection of staff for the REF

In the first instance, staff should direct enquiries clearly stating grounds for the appeal in writing to the Chair of the Appeals Panel who will convene the REF Appeals Panel in a timely manner as required. In all cases, appeals will be heard in advance of finalisation of the institution’s submission (approval by Academic Board July, 2013) and well in advance of the REF census date (31 October, 2013). Where a *prima facie* case of ‘unfairness’ has been demonstrated, staff will be entered into the REF normally and without prejudice.

Decisions of the REF Appeals Panel within its terms of reference are final. Staff may, if appropriate, take their case further and within the institution's grievance procedure as required.

Staff whose work is not entered for the REF remain eligible to apply for all forms of research and staff development support across the institution in the normal manner.

Appropriate equality and diversity training will be provided for the REF Appeals Panel in a timely manner by HR (see Section 6).

Data protection

11. The institution has an obligation to provide information as part of the REF which will be accessed by those individuals nominated above together with an REF administrator. All personal data relating to the REF will be processed fairly and lawfully and in accordance with the Data Protection Act 1998. Individuals have a right to check or amend the data held, to know what it is being collected for and how it will be used, and due care will be taken to ensure confidentiality. The data collected for the REF will only be used to inform the REF and to inform future research strategy.

Further reference

12. Any member of staff at Bishop Grosseteste University seeking further information, clarification or guidance surrounding eligibility and selection for REF 2014 are invited to contact the Chair of the REF Working Group or the Head of Human Resources in the first instance.

Other useful sources of information may be found at:

- HEFCE (2011) *REF 2014: Assessment Framework and Guidance on Submissions (REF 02.2011)*. [Available at: www.hefce.ac.uk/research/ref/]
- HEFCE (2012) *Panel Criteria and Working Methods (REF 01.2012)*. [Available at: www.hefce.ac.uk/research/ref/pubs/2012/01_12/]
- Bishop Grosseteste University (2012) Diversity and equality policy and annual reports. [Available at: www.bishopg.ac.uk/?_id=10101]
- Equality Challenge Unit (2012) REF 2014 materials. [Available at: www.ecu.ac.uk/documents/ref-materials]

The REF equality and diversity training pack may also be found at:

- ECU (2008) REF: equality and diversity training pack. [Available at: <http://www.ecu.ac.uk/documents/ref-materials/training-pack>]

Annexe 1

To: All members of staff eligible for return in REF 2014

From: Chair of REF Working Group

Subject: REF 2014 consideration of individual staff circumstances

Bishop Grosseteste University is committed to ensuring that decisions about selecting staff for the Research Excellence Framework (REF 2014) 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 the institution's Code of Practice as circulated and which can be found on the Diversity and Equality pages of the website.

To ensure that REF processes are fair, the institution 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 institution's monitoring of staff selection procedures at the institutional level.

In determining whether eligible staff may be submitted to the REF with fewer than four research outputs, the institution will take the following circumstances into consideration:

- = Early career researcher (started career as an independent researcher on or after 1 August 2009)
- = 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' (January 2012) available at www.ref.ac.uk under 'Publications'.

What action do I need to take?

If you are eligible for REF submission you are encouraged to complete the attached form.

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

Who will see the information that I provide?

Within the institutions, the information that you provide will be seen by the Head of Human Resources or, if appropriate, the Chair of the REF Working Group.

The Head of Human Resources handling individual staff circumstances will observe confidentiality and information will be stored securely.

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. 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.

What if my circumstances change?

The institution recognises that staff circumstances may change between 1 January 2008 and 31 October 2013. If your circumstances change you can obtain a copy of the relevant form from the Head of Human Resources.

Annexe 2

Research Excellence Framework 2014 Staff disclosure

Introduction

The four UK funding bodies recommend that higher education institutions (HEIs) submitting to the Research Excellence Framework (REF) develop robust procedures to enable staff to disclose, with an appropriate degree of confidentiality, individual circumstances that may impact on the number of research outputs that they have produced. It is also recommended within the Assessment Framework and Guidance on Submissions that HEIs take a proactive approach to encourage staff to disclose their circumstances. Therefore, all eligible staff should be asked to complete a form about their individual circumstances.

The form provided is designed to be adapted by HEIs submitting to the REF. HEIs can also find notable examples of staff disclosure templates used in the RAE at <http://www.ecu.ac.uk/inclusive-practice/research-assessment-exercise-2008-and-equality>.

Data protection and confidentiality

The Data Protection Act 1998 requires HEIs to comply with a number of important principles regarding privacy and disclosure when handling personal data. These principles include ensuring such data are processed and used for limited purposes, and that the data are accurate and up-to-date. The Data Protection Act categorises certain types of data, including some of the data that HEIs will need to collect for REF purposes on individual staff circumstances, as sensitive personal data. Sensitive personal data are subject to stricter forms of processing and HEIs may want to consult their human resources division or data manager on requirements for storing and handling such data. Further information can also be found on the website of the Information Commissioner's Office www.ico.gov.uk/

Most importantly, if a member of staff informs someone of their personal circumstances their permission must be sought before the information is passed on or stored. Where staff do not provide permission for information to be passed on or stored, HEIs may be limited in the actions they can take. Staff cannot be compelled to provide information about their circumstances or to give permission for it to be stored or passed on.

To encourage staff disclosure of individual circumstances that may be sensitive, HEIs can consider:

- 1. How will we reassure staff about the way in which the data will be stored?**
- 2. How will we communicate any safeguards that exist to protect staff members' confidentiality and privacy?**
- 3. How will we support staff who disclose individual circumstances that we were previously unaware of?**

Template covering note and staff disclosure form

To: All members of staff eligible for return in REF 2014

From: Head of Human Resources

Subject: REF 2014 consideration of individual staff circumstances

Bishop Grosseteste University 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 the institution's Code of Practice as circulated and which can be found on the Diversity and Equality pages of the website.

To ensure that REF processes are fair, the institution 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 institution's monitoring of staff selection procedures at the institutional level.

In determining whether eligible staff may be submitted to the REF with fewer than four research outputs, the [insert institution name and centralised committee name where appropriate] will take the following circumstances into consideration:

- = Early career researcher (started career as an independent researcher on or after 1 August 2009)
- = 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' (January 2012) available at www.ref.ac.uk under 'Publications'.

What action do I need to take?

If you are eligible for REF submission you are encouraged to complete the attached form.

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

Who will see the information that I provide?

Within the institutions, the information that you provide will be seen by the Head of Human Resources.

The Head of Human Resources handling individual staff circumstances will observe confidentiality and information will be stored securely.

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. 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.

What if my circumstances change?

The institution recognises that staff circumstances may change between 1 January 2008 and 31 October 2013. If your circumstances change you can obtain a copy of the relevant form from the Head of Human Resources.

Individual staff circumstances disclosure form

Name	
Department	
Unit of Assessment	

Section one:

Please select one of the following:

- I have no individual circumstances that I wish to be taken into consideration for the purposes of the Research Excellence Framework (REF).
- I have individual circumstances that I wish to make known but I am not seeking a reduction in outputs. (Please complete sections two and three)
- In completing this form I am seeking a reduction in research outputs. (Please complete sections two and three)

Section two:

Please select as appropriate:

- 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 Bishop Grosseteste. 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

Section three

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

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

Circumstance	Information required
Early career researcher (started career as an independent researcher on or after 1 August 2009)	Date on which you became an early career research
Information	
Career break or secondment outside of the higher education sector	Dates and duration in months
Information	
Maternity leave, statutory adoption leave, or additional paternity leave (taken by partners of new mothers or co-adopters)	For each period of leave state which type of leave was taken and the dates and duration in months
Information	
Disability (including conditions such as cancer and chronic fatigue)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
Mental health condition	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
Ill health or injury	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
Constraints relating to pregnancy,	Impact on ability to fulfil contractual hours and other

maternity, breastfeeding, paternity, adoption or childcare in addition to the period of maternity, adoption or additional paternity leave taken.	impacts on ability to undertake research. Duration in months
Information	
Other caring responsibilities (including caring for an elderly or disabled relative)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
Gender reassignment	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
Other exceptional and relevant reasons, not including teaching or administrative work	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	

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 Head of Human Resources in the first instance.

I realise that it may be necessary to share 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. Where permission is not provided the institution will be limited in the action it can take.

Signature: Date:

(Staff member)

For official use only

Following consideration of the personal circumstances described above, the Head of Human Resources and, where appropriate, in consultation with the Chair of the REF Working Group:

- Will progress the staff member's inclusion in the REF submission with [insert number] of research outputs. Rationale for the proposed number of outputs:

e.g. this decision is based on the tariffs outlined in the panel criteria.

- Requires further information of the circumstances described as follows:

e.g. please provide information from your occupational health assessment on the effectiveness of reasonable adjustments provided.

- Does not feel that the staff member meets the criteria outlined within the REF 'Panel criteria and working methods' for submitting fewer than four research outputs. The reason(s) for this decision are:

e.g. circumstances detailed are not recognised within the assessment framework and guidance on submissions.

If [insert name of staff member] wishes to appeal against the decision of the [insert name of the committee or individuals] they will need to do so by [insert date] and details of the appeals process can be found at [insert web address].

Signature: Date:

(Head of Human Resources)

Signature: Date:

(Chair of the REF Working Group)



BISHOP
GROSSETESTE
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Preliminary Equality Impact Assessment: REF 2014 Selection policy

1. This preliminary EIA is written to accompany the Code of Practice for the Selection of Staff at Bishop Grosseteste University (hereafter referred to as BGU) and complies with requirements set out in the document *Assessment Framework and Guidance on Submissions REF 02.2011*. The Code of Practice itself was prepared by the Head of Research and Doctoral Studies (University Professor and Chair of the REF Working Group at BGU) and amended following consultation with the Head of Human Resources, Head of Student Support and Head of Quality Assurance and Student Data. The Code has been approved by the Diversity and Equality Committee and Academic Board, the latter chaired by the Principal.
2. The EIA is considered a dynamic and evolving document which will be used to inform, and be informed by, enactment of the Code and processes leading up to and beyond staff selection and submission. The final EIA will be published as outlined in REF 02.2011: 218.
3. BGU is a small, higher education institution with approximately 80 academic staff. It employs no contract researchers or academic staff who work remotely or at a distance to the institution at this time. Eligibility for REF 2014 is determined by criteria outlined in the *Assessment Framework (02.2011)* and no other limitations are applied. Consideration is extended to all staff at all levels and positions, full time, part-time, fixed-term or hourly paid. All staff are informed of the selection criteria using internal management arrangements within BGU's two academic schools and the all-staff bulletin. Research matters including records of outputs are currently collated through the annual monitoring process and staff appraisal system. Staff new to BGU will be invited to meet with the Chair of the REF Working Group to review their research output. In the absence of a mock REF due to its small size and anticipated submission, initial analysis of staff data confirms that this will not have an adverse effect on any of the equality groups.
4. Provision for the consideration of individual circumstances is made for in the Code and all individuals wishing to be considered for eligibility are asked to complete the staff disclosure using the template supplied in the guidance and submit in

confidence to the Head of Human Resources. The disclosure form contains reassurance as to the circumstances in which the information will be stored and shared.

5. Summary data will be collected at the selection and appeals stages of the process. Outcomes will be reported to the Centre for Educational Development and Research, to the Diversity and Equality Committee, and to Academic Board as appropriate.
6. All members of the REF Working Group have completed mandatory equality and diversity training in relation to the Equality Act 2010. Appropriate additional training will be provided for the REF using the ECU materials developed for this purpose.

EIA prepared by Head of Human Resources and member of the REF Working Group at BGU.