



### **Introduction**

1. The University of Bolton is a ground-breaking and innovative University committed to excellence in teaching, research and knowledge transfer. It seeks to enhance the quantity, quality and usefulness of its research, focussing its application on improving practice, shaping change, informing public policy and solving problems. Consequently, the University's policy is to present the very best of the research and scholarly activity conducted by its staff in the Research Excellence Framework in 2014. It wishes to ensure that there are no obstacles to this goal based on lack of awareness, oversight, preconception or prejudice.
2. The University is committed to equality of opportunity, the pursuit of diversity amongst its staff and student population and a supportive environment for all members of our community. It expects that all staff and students alike will contribute to and actively support the University in working towards:
  - the elimination of discrimination, harassment, victimisation and any other conduct that is prohibited under the Equality Act;
  - the advancement of equality of opportunity and foster good relations between persons who share a relevant protected characteristic and persons who do not share it.
3. Protected characteristics under the Equality Act are age, disability, sex, gender reassignment, pregnancy, maternity, race (which includes colour, nationality and ethnic or national origins), sexual orientation, religion or belief, or because someone is married or in a civil partnership.
4. Under the Fixed-term employee and Part time workers Regulations, fixed term employee and part time workers have the right not to be treated less favourably than a comparable employee who works on an open contract or full time.

### **Policy Statement**

5. Accordingly, the University wishes to ensure that all staff have the opportunity to present their research to be considered for inclusion in a submission for Research Excellence Framework (REF) 2014 subject to them fulfilling the appropriate criteria. No member of staff will be excluded or less favourably treated due to any protected characteristic.
6. This policy has been reviewed in response to and in accordance with the Equality Act 2010.
7. This Code of Practice will apply to all those involved in the selection and submission of the University's REF 2014.

## **Code of Practice for the Preparation of Submissions for the Research Excellence Framework 2014**

8. Implementation of this policy will be by:

- Publicising the policy throughout the University of Bolton.
- Publishing on the Research pages of the University website.
- Publishing on the Diversity pages of the University website.
- Providing specialist training for Selection Panels to raise awareness on equality and diversity issues relating to submissions.

### **Responsibilities of the Director of Research and Innovation**

- Chairs the Research and Innovation Committee.
- Hears any appeal by members of staff notified that they will not be included in the proposed submission, in the first instance.
- May require the selection panel to alter their recommendation if necessary after the appeal.
- Notify the REF Management Group of all complaints and appeals and their outcomes to enable them to report to the Academic Senate via the Research and Innovation Committee.

### **Responsibilities of REF Management Group**

- This group will be responsible to the Academic Senate through the Research and Innovation Committee for the initiation, ongoing management and integrity of the process of preparing those research submissions which the University will return in REF 2014.
- The REF Management Group will consist of Faculty/Institute/Centre research coordinators/leaders, Head of Central Academic and Business Support, Manager of Postgraduate School, Equality and Diversity Officer, and the REF administrators.
- Where a Unit of Assessment (UoA) covers more than one Faculty/Centre research area, the REF Management Group will determine which Faculty/Centre Research acts as “host”.
- The Management Group will invite Faculty/Institute/Centre Research Committees whose submissions show equality profiles markedly different from the University’s profile either to revise the submission or to produce commentary which explains the apparent discrepancy. The Management Group will report on the outcomes of this exercise to the Academic Senate via the Research and Innovation Committee.

### **Responsibilities of Faculty/Institute/Centre Research Committee**

- Production of an equality profile based on those staff selected for inclusion in the UoA(s) for which it is responsible.
- Preparation of the submission(s) and the selection of staff for inclusion in the UoAs in its subject area.
- Participation in REF related training.
- Participation in any interim assessment (mock exercise) to provide feedback on the REF process.
- Notifying the Management Group of the responsible staff and processes by which they plan to achieve this and, in particular:

## **Code of Practice for the Preparation of Submissions for the Research Excellence Framework 2014**

- a. the composition of the internal panel which the Faculty/Institute/Centre will task with selecting staff and preparing the submission
  - b. the training and experience of those involved (admissions and selection, Professional Communications - equality and diversity, harassment and bullying in the workplace staff development);
  - c. the process and procedures which the panel will use to select staff for inclusion;
  - d. the methods by which this panel will feed back to relevant staff;
  - e. the way in which its deliberations and decisions will be recorded;
  - f. any involvement of external advisers.
- Members of the appropriate Faculty/Institute/Centre Research Committee handling individual staff circumstances will observe confidentiality and information will be stored securely in Personnel Services.

### **Process**

9. Any member of staff of the University identified as Category A or C will be free to submit for consideration for inclusion in a relevant UoA their research profile by 12 October 2012.
10. Any member of staff who is absent due to sickness; maternity, paternity or adoption leave; or secondment during the period that they are required to submit documentation related to their research submission, will be notified from Personnel Services by correspondence sent direct to their home address. All such correspondence will be recorded as sent including the date it was sent. If the member of staff is unable to provide this documentation within the deadline periods specified, the deadline(s) will be extended by agreement with the Equality and Diversity Officer to ensure the member of staff is able to submit documentation without their submission being penalised.
11. Category A staff are defined as academic staff with a contract of employment of 0.2 FTE or greater and who are on the payroll on the census date of 31 October 2013, and whose employment function is to undertake either "research only" or "teaching or research".
12. Category C staff are defined as individuals employed by an organisation other than the University, whose contract of job role includes the undertaking of research, and whose research is primarily focussed in the submitting unit on the census date of 31 October 2013.
13. All such submissions will be considered in full and the process will be transparent and fully documented.
14. Selection for inclusion will be based on research quality as defined by the relevant main and sub panel(s) published guidance (Appendix 1).

## **Code of Practice for the Preparation of Submissions for the Research Excellence Framework 2014**

15. All staff potentially eligible to submit for inclusion are requested to complete an Individual Circumstances Form for record purposes. These forms will be held securely in Personnel Services and used to monitor the process for identifying individuals whose circumstances might need special consideration to evidence decisions and actions. The form is attached - Appendix 2.
16. Up to four research outputs must be listed against each member of staff included in the submission for REF 2014.
17. As a key measure to support equality and diversity in research careers, individuals may be returned with fewer than four outputs without penalty in the assessment, where their circumstances have significantly constrained their ability to produce four outputs or to work productively throughout the assessment period. These are set out in paragraph 22 to 25.
18. The University will publicise the names of staff who may be submitted to REF 2014 by 31 January 2013.
19. Staff who have not been submitted and wish to appeal against the decision have until 30 April 2013 to do so. The appeals procedure is detailed below in point 39.

### **Interim Assessment Process**

20. It is anticipated that an Interim Assessment will take place in Spring/Summer 2012 as a form of mock exercise to determine the robustness of the submission process. The purpose is to ensure a fair process for the selection of staff including those identified as having individual circumstances preventing them from submitting four research outputs.
21. Issues raised as a result of this process will feedback into the Equality Impact Assessment (EIA) and any subsequent amendments to this Code of Practice, prior to its submission to the REF team, will be made. All staff will be notified of any changes. The EIA will continue throughout the submission process.

### **Individual Staff Circumstances – Clearly defined**

22. Any individual circumstances that occurred during the period 1 January 2008 to 31 July 2013, will be reviewed in accordance with the REF 2014 guidance for any of the following **clearly defined** circumstances:
  - a. qualifying as an early career researcher (see paragraph 23 and 24)
  - b. absence from work due to working part-time, secondments or career breaks (see paragraph 25)
  - c. qualifying periods of maternity, paternity or adoption leave (see paragraph 27)
  - d. other circumstances that apply to UoA 1-6.

## Code of Practice for the Preparation of Submissions for the Research Excellence Framework 2014

23. An early career researcher is defined as a member of staff who meets the criteria to be selected as Category A or C staff on the census date, **and** who started their careers as independent researchers on or after 1 August 2009. For the purposes of REF, an individual is deemed to have started their career as an independent researcher from the point at which:

- a. they held a contract of employment of 0.2 FTE or greater, which included a primary function of undertaking “research” or “teaching or research” with any HEI or other organisation, whether in the UK or overseas, **and**
- b. they undertook independent research, leading or acting as principal investigator or equivalent on a research grant or significant piece of research work (a member of staff is not deemed to have undertaken independent research purely on the basis that he or she is named on one or more research outputs).

24. An early career researcher will be permitted reduction in outputs as shown in Table 1 below:

Date at which the individual first met the REF definition of an early career researcher:	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 1 - Early career researchers; permitted reduction in outputs

25. Table 2 sets out the permitted reduction in outputs for those who were absent from work due to:

- a. Part-time working;
- b. secondments or career breaks outside of the higher education sector, and in which the individual did not undertake academic research.

Total months absent between 1 January 2008 and 31 October 2013 due to working part-time, secondment or career break:	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 2 – Part time working, secondments or career breaks: permitted reduction in outputs

## Code of Practice for the Preparation of Submissions for the Research Excellence Framework 2014

26. The allowances in Table 2 are based on the length of the individual's absence or time away from working in higher education. They are defined in terms of total months absent from work. For part-time working, the equivalent "total months absent" should be calculated by multiplying the number of months worked part time by the full-time equivalent (FTE) **not** worked during those months.
- a. For example, an individual worked part-time for 30 months at 0.6 FTE. The number of equivalent months absent =  $30 \times 0.4 = 12$
27. Individuals who have had qualifying periods of maternity, paternity or adoption leave reduce the number of outputs by one for each discrete period of:
- a. statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2008 to 31 October 2013, regardless of the length of leave;
  - b. additional paternity or adoption leave lasting for four months or more, taken substantially during the period 1 January 2008 to 31 October 2013.
28. While the clearly defined reduction of outputs due to additional paternity or adoption leave is subject to a minimum period of four months, shorter periods of such leave can be taken into account as follows:
- by seeking a reduction in outputs under the provision for complex circumstances, for example where the period of leave had an impact in combination with other factors such as ongoing childcare responsibilities;
  - by combining the number of months for shorter periods of such leave in combination with other clearly defined circumstances according to Table 2.
29. Any periods of maternity, adoption or paternity leave that qualify for the reduction of an output in paragraph 27 above may in individual cases be associated with prolonged constraints on work that justify the reduction in more than one output. In such cases, the circumstances should be explained using the arrangement for complex circumstances

### **Combining clearly defined circumstances**

30. Where individuals have had a combination of circumstances with clearly defined reductions in outputs, these may be accumulated up to a maximum reduction of three outputs. For each circumstance, the relevant reduction should be applied and added together to calculate the total maximum reduction.
31. Where Table 1 is combined with Table 2, the period of time since 1 January 2008 up until the individual met the definition of an early career researcher should be calculated in months, and Table 2 should be applied.

## **Code of Practice for the Preparation of Submissions for the Research Excellence Framework 2014**

32. When combining circumstances, only one circumstance should then be taken into account for any period of time during which they took place simultaneously. For example:

An individual worked part-time throughout the assessment period and first met the definition of an early career researcher on 1 September 2009.

In this case the number of months 'absent' due to part-time working should be calculated from 1 September 2009 onwards, and combined with the reduction due to qualifying as an early career researcher, as indicated in paragraph 24 above.

33. Where an individual has a combination of circumstances with a clearly defined reduction in outputs and complex circumstances, the University will submit these collectively as 'complex' so that a single judgement can be made about the appropriate reduction in outputs, taking into account all the circumstances. Those circumstances with a clearly defined reduction in outputs will be calculated according to the guidance above (paragraphs 24-29).

### **Individual Staff Circumstance - Complex**

34. Any individual circumstances that occurred during the period 1 January 2008 to 31 July 2013 will be reviewed in line with REF 2014 guidance where this guidance has identified them as more complex circumstances. These include:
- a. disability including conditions such as cancer and chronic fatigue;
  - b. ill health or injury;
  - c. mental health conditions;
  - d. constraints related to pregnancy, maternity, paternity, adoption or childcare that fall outside of paragraphs 27-29;
  - e. other caring responsibilities e.g. caring for an elderly or disabled relative;
  - f. gender re-assignment;
  - g. other circumstances relating to the protected characteristics identified in paragraph 3 or relating to activities protected by employment protection.
35. All staff will be invited to submit their individual circumstances by 12 October 2012 to be considered for submission to REF 2014. The REF Management Group will consider submissions and publish names of staff who may be submitted by 31 January 2013.
36. Staff who wish to appeal against a panel decision not to be included in the University submission due to their individual circumstances have until 30 April 2013 to do so. The appeals procedure is detailed below – see point 39.

## **Code of Practice for the Preparation of Submissions for the Research Excellence Framework 2014**

37. Where staff have had one or more complex circumstances – including in combination with any circumstances with a clearly defined reduction in outputs – the University will need to make a judgement on the appropriate reduction in the number of outputs submitted, and provide a rationale for this judgement based on criteria detailed above.
38. To enable individuals to disclose the information in a confidential manner, information submitted about individuals' complex circumstances will be kept confidential to the REF Management Group, the Equality and Diversity Advisory Panel (EDAP) and main panel chairs, and will be destroyed on completion of the REF.

### **Complaints and Appeals**

39. Any member of staff who wishes to appeal against a decision not to include them in a proposed submission may do so no later than 30 April 2013.
40. In the first instance the appeal will be heard by the Director of Research and Innovation who will reach a decision as to whether, in their judgement, the decision was made fairly and in accordance with appropriate criteria and evidence. The Director of Research and Innovation can require the internal panel to alter their recommendation if necessary.
41. If the complainant does not agree with the Director of Research and Innovation's decision, then the complaint will be referred to the Pro Vice Chancellor. The Pro Vice Chancellor will convene and chair a panel to consist of one Research Coordinator not involved in the original process and one member of the Research and Innovation Committee to consider the complaint. If upheld, the Pro Vice Chancellor will require the panel to alter its recommendation.
42. All complaints and appeals and their outcomes will be notified to the REF Management Group who will, in turn, report to the Academic Senate via the Research and Innovation Committee.

### **Equality Impact Assessment**

43. An Equality Impact Assessment (EIA) has been completed on this policy.
44. The Interim Assessment Process described in paragraph 20 is intended to provide feedback to the EIA output.
45. An EIA report will be published on the University web pages once the submission has been made in line with University good practice.



## Code of Practice for the Preparation of Submissions for the Research Excellence Framework 2014

46. The University of Bolton is committed to the promotion of equality, diversity and a supportive environment for all members of our community. Our commitment to equality and diversity means that this policy has been screened in relation to the use of plain English, the promotion of the positive duty in relation to the protected characteristics of race, sex, disability, age, sexual orientation, religion or belief, gender reassignment, marriage and civil partnership, pregnancy and maternity.

47. All University policies are subject to periodic review under the Equality Impact Assessment process.

### Monitoring and Review

48. This policy will be monitored to judge its effectiveness and updated in accordance with changes in the law via the Organisational Development, Equality and Diversity Committee.

### Other Policies and Procedures

- Equal Opportunities Policy
- Diversity Charter
- Staff Development Policy

### Dissemination of and Access to the Policy

49. This policy will be published on the University of Bolton's Research website and the Diversity web pages.

<b>Code of Practice for the Preparation of Submissions for the Research Excellence Framework 2014</b>	
Procedure Ref	
Version Number	Version 5.7
Version Date	October 2012 – version 5.7
Name of Developer/Reviewer	Shirley Silcock – Equality and Diversity Officer
Procedure ((School/Centre/Unit) Owner	Research and Innovation
Person responsible for implementation (postholder)	Director of Research and Innovation
Approving Committee/Board	Academic Senate
Date approved	18/06/2012
Effective from	01/07/2012
Dissemination Method (e.g. website)	Research web pages and Diversity web pages–
Review Frequency	New Research Excellence Framework period
Reviewing Committee	Organisational Development, Equality and Diversity Committee
Document History (e.g. rationale for and dates of previous amendments)	To update the code to reflect the guidance on Research Excellence Framework 2014 and changes in the Equality Act

# Code of Practice for the Preparation of Submissions for the Research Excellence Framework 2014

Appendix 1

## Research Outputs Guidance – extracts from HEFCE Guidance – REF 2014 “Assessment framework for and guidance on submissions”

### Definition of research for the REF

1. For the purposes of the REF, research is defined as a process of investigation leading to new insights, effectively shared.
2. It **includes** work of direct relevance to the needs of commerce, industry, and to the public and voluntary sectors; scholarship<sup>1</sup>; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It **excludes** routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of new analytical techniques. It also **excludes** the development of teaching materials that do not embody original research.
3. It **includes** research that is published, disseminated or made publicly available in the form of assessable research outputs, and confidential reports (as defined at paragraph 15).

### Eligibility definitions for research outputs

4. Submissions must include up to four items of research output listed in the submission. Each output must be:
  - a. The product of research, briefly defined as a process of investigation leading to new insights, effectively shared (the full definition of research for the purposes of the REF is in paragraphs 1 - 3).
  - b. First brought into the public domain during the publication period, 1 January 2008 to 31 December 2013 or, if a confidential report, lodged with the body to whom it is confidential during this same period (see paragraphs 11-13).
  - c. Produced or authored solely, or co-produced or co-authored, by the member of staff against whom the output is listed, regardless

---

<sup>1</sup> Scholarship for the REF is defined as the creation, development and maintenance of the intellectual infrastructure of subjects and disciplines, in forms such as dictionaries, scholarly editions, catalogues and contributions to major research databases.

## Code of Practice for the Preparation of Submissions for the Research Excellence Framework 2014

of where the member of staff was employed at the time they produced that output.

5. In addition to printed academic work, research outputs may include, but are not limited to: new materials, devices, images, artefacts, products and buildings; confidential or technical reports; intellectual property, whether in patents or other forms; performances, exhibits or events; work published in non-print media.
6. Reviews, textbooks or edited works (including editions of texts and translations) may be included if they embody research as defined in paragraphs 1-3. Editorships of journals and other activities associated with the dissemination of research findings should not be listed as output.
7. Where two or more research outputs listed against an individual in a submission include significant material in common (for example, a journal article that also appears as a chapter in a book) the sub-panel may decide to assess each of these outputs only in terms of the distinct material included in each, or judge that they should be treated as a single output if they do not contain sufficiently distinct material.
8. Theses, dissertations or other items submitted for a research degree including doctoral theses may not be listed. Other assessable published items based on research carried out for a research degree may be listed.
9. HEIs may not list as the output of a staff member any output produced by a research assistant or research student whom they supervised, unless the staff member co-authored or co-produced the output.

### *Timing of publication*

10. The relevant date for determining whether or not an output was produced within the publication period, and hence is eligible for submission, will be the date at which the submitted output first became publicly available (or, for confidential reports, was lodged with the relevant body). Where this is near to the start or the end of the publication period (1 January 2008 and 31 December 2013 respectively) and the actual date at which it became publicly available is not clear, we may require HEIs to submit evidence of the date it became publicly available. In particular:
  - a. Where the date of imprint on a publication lies outside the publication period but the actual date of appearance is within the publication period, evidence of the actual date of appearance

## Code of Practice for the Preparation of Submissions for the Research Excellence Framework 2014

will be required for data verification purposes, such as a letter from the publisher.

- b. Outputs expected to be made publicly available between the submission date and the end of the publication period (that is, between 29 November 2013 and 31 December 2013) should be flagged in submissions; where only some of the data requirements for those outputs can be supplied, we will require full details to be submitted by 31 January 2014. HEIs may have to physically submit any output so flagged for verification purposes. An item expected to be brought into the public domain after 31 December 2013 should not be submitted, even if it has been accepted for publication.
  - c. For web content and electronic corpora, HEIs will need to maintain proof of the date at which the item became publicly available and of its content at that date, for example a date-stamped scanned or physical printout or evidence derived from web-site archiving services.
  - d. For non-text outputs, such as performances, we will require evidence of when the output was disseminated in the public domain.
11. A research output published in one form during the REF publication period that was published **in full** in another form before 1 January 2008, is **not** eligible to be submitted to the REF (for example, an 'online first' article that subsequently appeared in print).
12. An output published during the REF publication period that includes significant material in common with an output published prior to 1 January 2008 **is** eligible if it incorporates significant new material (for example, where a working paper or a preliminary version of the research results were published, followed by the publication of the revised, definitive version). In these cases:
- a. The panel may take the view that not all of the work reported in the listed output should be considered as having been issued within the publication period; and if the previously published output was submitted to the 2008 RAE, the panel will assess **only** the distinct content of the output submitted to the REF.
  - b. Submissions should explain where necessary how far any work published earlier was revised to incorporate new material.

## **Code of Practice for the Preparation of Submissions for the Research Excellence Framework 2014**

13. If an HEI cannot make available a requested output or provide evidence of its publication within the publication period that item will be removed from the submission and the 'missing' output awarded a grade of Unclassified. There will be no opportunity to submit a substitute item.

### ***Confidential reports***

14. Confidential reports include any item produced for and lodged, in the publication period, with a company, government body or other research sponsor(s), but which has not been published because of its commercial or other sensitivity. A confidential report may only be submitted if the HEI has prior permission from the sponsoring organisation that the output may be made available for assessment. HEIs will confirm permission has been secured when they make submissions. If the REF team requests a confidential report for assessment the HEI must make it available.
15. All panel members, advisers, observers and others involved in the assessment process are bound by a confidentiality agreement. Therefore, it is possible for HEIs to submit confidential reports without compromising any duty of confidentiality upon them. There may be main or sub-panel members who HEIs believe would have a commercial conflict of interest in assessing confidential reports. HEIs will be required to name such individuals when making submissions.
16. Outputs identified by institutions as confidential will not be listed as part of the published submissions.

## Code of Practice for the Preparation of Submissions for the Research Excellence Framework 2014

### Staff disclosure form – staff eligible for submission to REF 2014 return

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

From: Dr George Holmes – Vice Chancellor

Subject: REF 2014, consideration of individual staff circumstances

---

The University of Bolton 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 University of Bolton's Code of Practice which can be found at <http://www.bolton.ac.uk/Diversity/StaffMatters/REF-2014.aspx>

To ensure that REF processes are fair, the University of Bolton 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. Some data collected may also inform the University of Bolton's staff monitoring statistics e.g. HESA returns.

In determining whether eligible staff may be submitted to the REF with fewer than four research outputs, the University of Bolton and the REF Management Group 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

## Code of Practice for the Preparation of Submissions for the Research Excellence Framework 2014

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 University 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](http://www.ref.ac.uk) under 'Publications'. These are reproduced in the University's Code of Practice in paragraphs 21 - 37.**

### What action do I need to take?

*If you are eligible and wish to be considered for REF submission, irrespective of any individual staff circumstances, you are required to complete the attached form. If further information is required about any circumstances disclosed, you will be contacted by the Equality and Diversity Officer.*

### Who will see the information that I provide?

Within the University of Bolton, the information that you provide will be seen in the first instance by the Equality and Diversity Officer. This information will also be viewed by the REF Management Group should you declare a staff circumstance that will make you eligible to receive a reduction in research outputs. If you do not wish a member of the REF Management Group to view your personal information you should tick the appropriate tick box against the name of the REF Management Group member who you do not wish to view your personal details in section three of the form.

Where permission is not provided the University of Bolton will be limited in the action it can take.

This information may be shared with the appropriate Faculty/Institute/Centre Research Committee for research output reduction purposes in exceptional circumstances. Members of the appropriate Faculty/Institute/Centre Research Committee handling individual staff circumstances will observe confidentiality.

Information will be stored securely in Personnel Services.

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,

## **Code of Practice for the Preparation of Submissions for the Research Excellence Framework 2014**

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). In these circumstances, information submitted will preserve the individual's anonymity. 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/](http://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.

### **When do I need to return the form?**

The deadline for submitting the staff disclosure form is Friday 12 October 2012. All forms should be returned to Personnel Services.

### **What if my circumstances change?**

The University of Bolton recognises that staff circumstances may change between 1 January 2008 and 31 October 2013. If your circumstances change once you have submitted your staff disclosure form on 12 October 2012 you can complete another staff disclosure form to be returned to Personnel Services.

Forms can be downloaded from:  
<http://www.bolton.ac.uk/Diversity/StaffMatters/REF-2014.aspx>



# Code of Practice for the Preparation of Submissions for the Research Excellence Framework 2014

## Appendix 2

### Individual staff circumstances disclosure form

<b>Name</b>	
<b>Faculty/Institute/Centre Research</b>	
<b>Unit of Assessment</b>	

#### 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 the Equality and Diversity Officer to discuss my circumstances and requirements and/or the support provided by the University of Bolton. My contact details for this purpose are:

<b>Email</b>	
<b>Telephone</b>	
<b>Preferred method of communication</b>	

- I do **not** wish to be contacted by the Equality and Diversity Officer

#### Section three

*\*Please note that if you declare a disability or mental health condition on this form and have not informed the University of Bolton on any other disclosure form, you will be contacted by the Equality and Diversity Officer to enable you to access appropriate reasonable adjustments, support and guidance in accordance with the Equality Act 2010.*

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

**Code of Practice for the Preparation of Submissions for the Research Excellence Framework 2014**

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

<b>Circumstance</b>	<b>Information required</b>
Early career researcher (started career as an independent researcher on or after 1 August 2009)	Date on which you became an early career researcher
<b>Information</b>	
Part time employee	FTE and duration in months
<b>Information</b>	
Career break or secondment outside of the higher education sector	Dates and duration in months during the REF period where applicable
<b>Information</b>	
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 during the REF period where applicable
<b>Information</b>	
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 during the REF period where applicable
<b>Information</b>	
Mental health condition*	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months during the REF period where applicable
<b>Information</b>	
Ill health or injury	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months during the REF period where applicable
<b>Information</b>	

## Code of Practice for the Preparation of Submissions for the Research Excellence Framework 2014

Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare <b>in addition to</b> the period of maternity, adoption or additional paternity leave taken.	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months during the REF period where applicable
<b>Information</b>	
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 during the REF period where applicable
<b>Information</b>	
Gender reassignment	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months during the REF period where applicable
<b>Information</b>	
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
<b>Information</b>	

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 REF Management Group panel members.

I do not wish the following REF Management Group panel members to see my individual staff circumstances:

- |  |  |  |  |
|--|--|--|--|
| <input type="checkbox"/> Andy Alderson   | <input type="checkbox"/> Paul Birkett    | <input type="checkbox"/> Hilary Birtwistle | <input type="checkbox"/> Tara Brabazon |
| <input type="checkbox"/> John Charlton   | <input type="checkbox"/> Dai Griffiths   | <input type="checkbox"/> Peter Myler       | <input type="checkbox"/> David Rudd    |
| <input type="checkbox"/> Margaret Nelson | <input type="checkbox"/> William Olivier | <input type="checkbox"/> Elias Siores      | <input type="checkbox"/> Bob Snape     |
| <input type="checkbox"/> Carole Truman   | <input type="checkbox"/> Jerome Carson   | <input type="checkbox"/> Stephen Hardy     |  |

**Code of Practice for the Preparation of Submissions for the Research Excellence Framework 2014**

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 on the understanding that my anonymity will be preserved.

Where permission is not provided the University of Bolton will be limited in the action it can take.

Signature: ..... Date: .....  
(Staff member)

## Code of Practice for the Preparation of Submissions for the Research Excellence Framework 2014

### For official use only

Following consideration of the personal circumstances described above, the REF Management Group:

- Will progress the staff member's inclusion in the REF submission with [insert number] of research outputs. Subject to specified University criteria set out in the Code of Practice. 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 **30 April 2013** and details of the appeals process can be found at [insert web address].

Signature: ..... Date: .....  
([insert name of person responsible for decision])

Signature: ..... Date: .....  
(REF Manager)