

REF2014

Code of Practice
on the selection of staff for
submissions to REF2014



University of Brighton



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1 Introduction

- 1.1 This document has been prepared for the benefit of all academic and research colleagues at the University of Brighton. Its purpose is to explain how the University will prepare its submission to the Research Excellence Framework 2014 (REF2014) and how colleagues will be selected for this.
- 1.2 The information has been presented so it is most useful to those colleagues wishing to understand the process. It can also be found on the Research Office website where in addition to this policy, the information is presented through a series of interactive diagrams.
- 1.3 The REF2014 (which replaces the previous Research Assessment Exercise [RAE]) is a national exercise managed by the Higher Education Funding Council for England (HEFCE). This exercise, which happens once every five to six years judges both the perceived quality of all research undertaken by UK Higher Education Institutions and the subsequent volume of money received for this research. It is important to the institution therefore in terms of both its reputation and funding.
- 1.4 REF2014 has three components in which colleagues can be included. These are: Research Outputs; Impact Case Studies and the Research Environment. Respectively, they are weighted at 65%, 20% and 15% of the assessment. This Code describes the process for selecting colleagues for inclusion in the Research Outputs element of the REF (the full process is in diagrammatic form at appendix a).
- 1.5 In this context, the University recognises that colleagues contribute in many different ways to the work of the institution across learning and teaching, social and economic engagement as well as in research. It is recognised therefore that whereas all colleagues contribute to the University's goals overall, not all will be expected to be included in the University's submission to REF2014.
- 1.6 Where a colleague is not included in the REF submission, this will not affect their career opportunities within the University. We aim to develop the full potential of all colleagues across all areas of work and the University will continue to support actively the development and research activity of all colleagues irrespective of whether they have or have not been included in REF2014.
- 1.7 This document also explains how colleagues who have not been selected for inclusion in REF2014 may appeal such a decision and the grounds for this (see section 10 below). It also explains how confidentiality will be maintained over all these proceedings. In order to make an effective REF submission, there may be occasions where highly personal and sensitive information relating to individuals will be of material relevance. This process has been designed therefore to ensure that sensitive data are kept confidential, are seen by only those who need access to it in order to inform decisions, and that where possible such matters are anonymised before consideration in order to ensure a dignified process that maintains confidentiality and the confidence of all those involved. Further details can be found in section 7.

1.8 This document therefore constitutes a Code of Practice that sets out the processes and principles of decision-making that the University will follow when selecting outputs for submission to REF2014 in order to ensure that the University responds positively to the HEFCE Assessment Framework and Guidance on Submissions and to Equality legislation. Also that there is a fair and transparent selection of colleagues that will assist us in including ‘all eligible staff in the submission who are conducting excellent research, as well as promoting equality, complying with legislation and avoiding discrimination’.¹

2 Context

2.1 The University’s Equality and Diversity Policy states that ‘The University of Brighton is committed to creating a stimulating and supportive learning and working environment based on mutual respect and trust. The policy is informed by law. However, the university also seeks to encourage and promote equality of opportunity amongst those groups and individuals within society who may experience discrimination and/or disadvantage on the basis of particular social circumstances and who are not covered by existing legislation. We recognise the link between equality and high quality performance and we understand that ensuring equality of opportunity is essential for the successful and innovative development of the university and its community’.²

2.2 The University of Brighton has been developing its research portfolio throughout the last twenty years, with the ambition to produce work of the highest quality. It is within our overall mission, as a new University, to provide a research-informed learning and teaching environment of the highest standard. In this respect, the outcome of the Research Assessment Exercise 2008 demonstrated the University of Brighton’s commitment to develop and promote high-quality research and scholarship. Since 2008 the university has pursued its mission to enhance the environment within which research is conducted in addition to building its research infrastructure, and the volume and quality of research produced. The University therefore in its submission to REF2014 is pursuing a finely balanced strategy between the number of researchers submitted and the perceived quality of their research.

2.3 The University has decided therefore to aim for a REF2014 submission that in terms of quality will be either equal to or better than that achieved in the submission to RAE2008. To this effect, the quality thresholds deriving from RAE2008 will be applied to each respective Unit of Assessment to which the University will submit in REF2014.

2.4 REF2014 will not form quality judgements of individual researchers. It will however judge the combined quality of all of the outputs submitted by those researchers included in a submission. In this respect, the University of Brighton will not apply a quality threshold to individual researchers but will instead judge how their outputs, collectively, help to achieve the overall objective of meeting the minimum quality threshold set for each Unit of Assessment as described in 2.3 above.

¹ A summary of relevant legislation is attached at appendix c

² The full text of the Equality and Diversity policy can be found at appendix d

2.5 This Code of Practice affirms the four principles of transparency, consistency, accountability and inclusivity as set out in the *HEFCE Assessment Framework and Guidance on Submissions*. The university's interpretations of these are as follows:

- i. **Transparency:** All processes for the selection of staff for inclusion in REF submissions will be transparent. This Code of Practice will be available on the Research Office website, on staffcentral, published on the University website and circulated to all colleagues in the institution including those absent from work. Briefing sessions on this Code will be held to explain the processes for staff selection for submission. A diagram of the process of staff selection is at *appendix a* and a communications plan attached at appendix e.
- ii. **Consistency:** The process of staff selection will be consistent across the institution and the structures, roles and responsibilities created to support the REF2014 submission have been designed to ensure that this Code of Practice is implemented uniformly. The REF Manager working with each of the Units of Assessment (UoA) Development Groups will oversee the consistent application of this process and will ensure that a uniform process for consideration and recording decisions is adopted. Training will be provided for all colleagues involved in selection. The judgement on the number of outputs required for each individual will be conducted entirely separately from the quality judgement about outputs.
- iii. **Accountability:** Roles and responsibilities relating to the selection of staff are outlined in point 3 below, and individuals involved in selecting staff for REF2014 submissions are identified by name on the Research Office website. Detail of training for colleagues involved in selecting staff is contained in this Code. Terms of reference for individuals, committees, advisory groups and other bodies concerned with staff selection are included in *appendix f* of this Code and memberships will be available on the Research Office website.
- iv. **Inclusivity:** The code is designed to promote an inclusive environment, and aims to enable the University to identify all eligible staff who have produced excellent research for submission to the REF2014.

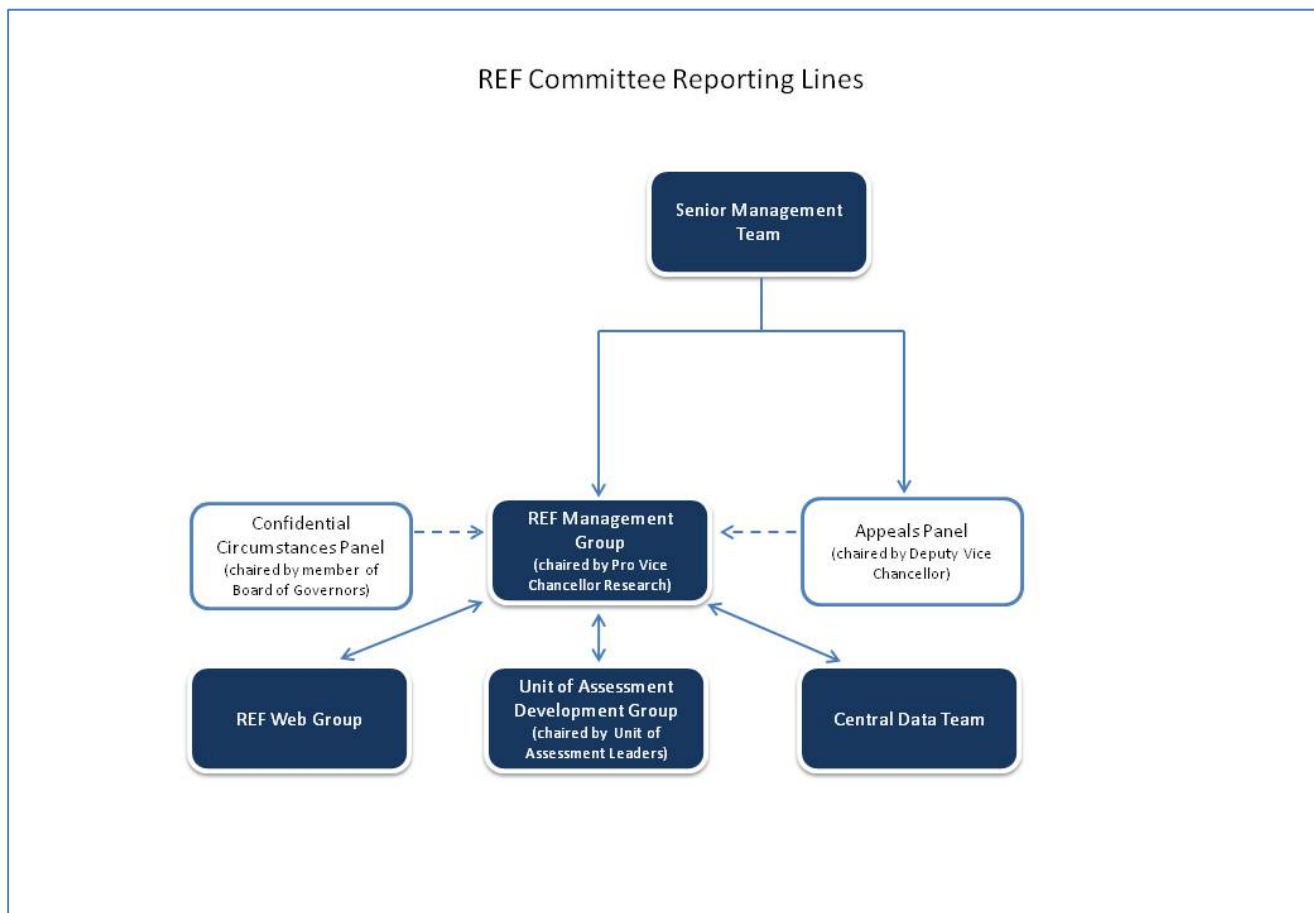
3 Development of this Code

3.1 Over the last three years, the University has worked to develop an internal process of Annual Research Monitoring through which it considers the research profile and activity of all academic and research staff in the institution. This annual process has enabled an understanding of research strengths and weaknesses within the institution, greater competency at quality evaluation and the development of systems designed to collect and manage accurate information. This process, which records activity at an individual level was developed in consultation with the recognised Trade Unions.

3.2 So this Code is built on the experience gained from assessing and monitoring research activity on an annual basis. It has been produced by the REF Manager in conjunction with the University's Equality and Diversity Advisor. It has also been reviewed by the Lecturers Common Interest Group (representatives of the recognised Trade Unions), the REF Unit of Assessment Development Groups, the REF Management Group, the University Management Group and the Board of Governors. It has been approved by the University's Senior Management Team.

4 Roles and Responsibilities

- 4.1 Roles and responsibilities of Committees and their members are outlined in full at *appendix f* and the names of the individuals concerned are available on the Research Office website. A structure chart to illustrate lines of authority is also available at *appendix g*.
- 4.2 Executive responsibility for approving the balance of the university's REF submission overall rests with the Vice-Chancellor on advice received from the Pro-Vice-Chancellor (Research).
- 4.3 Executive responsibility for determining who may or may not be included in the submission rests with the REF Management Group chaired by the Pro-Vice-Chancellor (Research).
- 4.4 The REF Management Group, in turn, receives recommendations from each of its individual Unit of Assessment Development Groups as chaired by a Dean of Faculty or a senior researcher.
- 4.5 Each Unit of Assessment Development Group will receive advice from a Confidential Circumstances Panel (section 7.5 refers). This will judge whether or not sensitive and confidential circumstances may have had any material effect on a researcher's ability to produce the required number of research outputs. The Panel's membership will include people having no involvement in the submission process including an expert in human resource management drawn from the University's Board of Governors. Cases submitted to this process will be anonymised.
- 4.6 Executive responsibility for determining the outcomes of appeals against non-inclusion in the submission rests with the Deputy Vice-Chancellor who otherwise has no involvement in any aspect of the submission process overall. In this capacity, the Deputy Vice-Chancellor chairs the Appeals Panel (section 10 refers).
- 4.7 The process overall will be managed from within the Research Office by the Head of Research (REF Manager). The Research Office team will provide the secretariat for the REF Management Group and the UoA Development Groups.



5 External assessment

- 5.1 In addition to its internal process, the University will call upon a series of external assessors. They will be drawn from people having senior experience of peer review through a variety of processes that may include work for the Research Councils (at home or abroad), earlier RAE exercises or their equivalent.
- 5.2 External assessors will be recommended by Unit of Assessment Development Groups and appointed by the REF Management Group to advise on aspects of the submission and to provide an external benchmark for internal judgements. External reviewers will not be involved in the selection of staff or in the recommendations thereof and decisions about inclusion in the submission will rest within the institution.

6 Training of those involved in the selection of staff

- 6.1 Irrespective of the REF process, and as a matter of course, all staff at the University of Brighton are required to undertake Equality and Diversity training via an on-line course or an equivalent face-to-face session as part of their overall duties.

- 6.2 Individuals involved in the REF selection process will only be permitted to participate if they undergo REF-specific training in equalities and diversity legislation and the consideration of personal circumstances. Therefore all members of UoA Development Group, the REF Management Group, the Confidential Circumstances Panel and the Appeals Panel will undergo training prior to the first round of staff selection in Autumn 2012. The training will cover the legislative context and will involve working through materials provided by HEFCE including case studies considering personal circumstances. This will be organised and delivered by the University's Equality and Diversity Advisor and the REF Manager.
- 6.3 Members of the Research Office (who are the secretariat for the Development Groups and the Management Group) will be given specific training in addition to that outlined above. This will include good practices in record storage, the recording of decisions and any related issues of confidentiality.

7 Consideration of Personal Circumstances

- 7.1 All colleagues eligible for submission will be asked whether there are personal circumstances that might have had a material effect on the number of outputs they were reasonably able to produce during the assessment period. The University is aware that some, but not all, personal circumstances are highly sensitive and of a confidential nature. Therefore all colleagues wishing to be considered for inclusion in the submission will be expected to complete a disclosure form even if there are no specific circumstances to be considered. This is to ensure the confidentiality of the process where it is appropriate.
- 7.2 Such circumstances could include, for example, ongoing medical conditions or other life issues. The University will follow the HEFCE guidance contained in the *Panel Criteria and Working Methods* with regards to the treatment of these circumstances (the relevant excerpt is contained at *appendix h*). The University will also follow the Equality Challenge Unit's Guidance on encouraging colleagues to disclose individual circumstances, and will use the ECU's templates for the individual staff circumstances disclosure forms and covering note (included at *appendix i*). The decision about a reduction in the *number* of permissible outputs will be taken completely separately from that about the *quality* of those outputs.
- 7.3 **Non-confidential, clearly defined circumstances** are based on the HEFCE tariff system where the number of outputs may be reduced in specific circumstances. These are:
- i. Qualifying as an early career researcher;
 - ii. Absence from work due to working part-time, secondments or career breaks;
 - iii. Qualifying periods of maternity, paternity or adoption leave;
 - iv. Other circumstances that apply in UoAs 1-6 as outlined in the criteria.

These circumstances are not confidential and therefore the tariffs presented by HEFCE will be applied by UoA Development Groups on advice from the REF Manager and the REF Officers following confirmation from the Human Resources Department.

7.4 **Confidential, Complex Circumstances** are more complex and do not lend themselves to calculation by the tariff system. Because these circumstances are often highly sensitive and confidential, they will be handled by a Confidential Circumstances Panel whose members will be independent of all other process. They will, for example, have no role in the assessment of output quality or in recommending or approving the selection of staff nor will they be personnel involved in the recruitment, management or disciplinary process of academic or research staff. The circumstances, referred to by HEFCE as Complex Circumstances, could include, but are not restricted to:

- i. Disability;
- ii. Ill health or injury;
- iii. Mental health conditions;
- iv. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – clearly defined circumstances outlined above;
- v. Other caring responsibilities (such as caring for an elderly or disabled family member);
- vi. Gender reassignment;
- vii. Other circumstances relating to the protected characteristics listed at paragraph 190 of ‘guidance of submissions’ or relating to activities protected by employment legislation.

7.5 Colleagues wishing to understand in more detail the types of circumstances which can be considered can refer to a series of helpful case studies published by the HEFCE’s Equalities Challenge Unit <http://www.ecu.ac.uk/our-projects/REF>.

7.6 Applications for consideration of complex circumstances will be anonymised by the Equality and Diversity Advisor (Student Experience) who otherwise will have no involvement in the selection process.

7.7 Once anonymised, applications will then be considered by the Confidential Circumstances Panel. This will be chaired by an external member of the Board of Governors having expertise in human resource management. Its membership will also include, the Equality and Diversity Advisor (Staff) and a representative of the University and College Union.

7.8 The panel will consider the impact of the circumstances on the ability to produce work throughout the assessment period and will determine an appropriate reduction for the number of outputs required for submission. This panel will be trained in the process using the HEFCE worked examples and will report the outcome of its deliberations to the Unit Development Group in which the individual may be submitted. Should a reduction of outputs be agreed and the member of staff be consequently selected for inclusion, the circumstances will be disclosed to the REF Manager and two Officers responsible for the submission. At this stage the circumstances will not be anonymised. They will not be disclosed more widely.

8 Part-time and fixed term staff

- 8.1 The University will consistently apply the tariff on the reduction of outputs as outlined in section 7.3 above to all colleagues who are employed on a *part-time contract*. Whether or not colleagues hold full-time or part-time contracts, the decisions on inclusion will be consistent for all staff provided that they are eligible for submission (as outlined in the *REF Assessment Framework and Guidance on Submissions* (paragraph 75 refers)).
- 8.2 Should any colleague hold a *fixed-term* contract, this will not affect the decision on whether or not to submit them, as long as they are eligible to be submitted A as outlined in the *REF Assessment Framework and Guidance on Submissions* (paragraph 78 refers). The decision on inclusion will be made on academic grounds alone, irrespective of the length of contract with the University.
- 8.3 The University Equality Impact Assessments (outlined in section 11) will monitor the impact of this Code on both fixed-term and part-time staff.

9 Process for selection of staff

This process is presented as a diagram at appendix a.

- 9.1 In October 2012, all staff, including those absent from work, who are eligible for submission will be asked by the REF Manager to declare if they wish to be considered for submission. They will be asked to indicate up to 6 research outputs for consideration and the preferred UoAs for which they wish to be considered. Colleagues will only be able to request consideration by the UoAs which the University has approved for development³. Colleagues will also be asked to identify whether there are personal circumstances that should be taken into account, (the process for consideration of these is found at point 7).

9.2 Judgements on the quantity of outputs

In preparation for the selection process, the following information on the number of outputs will be determined:

- a tariff from the Research Office that represents the number of research outputs that may be reduced based on non-confidential clearly defined circumstances;
- a tariff from the Confidential Circumstances Panel representing the number of research outputs that may be reduced based on their consideration of the confidential complex circumstances.

9.3 Judgements on the quality of outputs

In preparation for the selection process, a quality assessment grade of each output will be provided through the following means:

³ Decisions taken on which Units of Assessment to develop were taken by the University REF Management Group in 2011 based on evidence of critical mass obtained during the University's 2011 and 2012 Annual Research Monitoring processes.

- UoA Development Groups will nominate up to two internal readers having disciplinary expertise to assess each output selected for consideration;
- in exceptional circumstances, Development Groups may, with approval from the REF Management Group, seek further advice either from external or other internal sources;
- readers for panels A3, B7, B11 and B12 will have access to citation data that may be used to inform the judgement on the significance of an output⁴;
- readers will agree on an indicative grade for each output using the REF panel criteria definitions as outlined in the *Panel Criteria and Working Methods*.

9.4 Once the UoA Development Groups have received the information described in paragraphs 9.2 and 9.3 above, they will convene to consider quality profiles for the submissions. The University has decided not to apply a threshold when considering the inclusion of individual members of staff, but will consider the profile of each submission as a whole and the impact of an individual's inclusion within it. It will take into account the potential significance of:

- early-career researchers (as an indicator of the sustainability of research);
- the ways in which the work of each researcher contributes or contributes to impact case studies;
- extreme variations in grades across the four outputs;
- the strategic profile of the submission.

9.5 UoA Development Groups will consider every member of staff who has requested that they be considered for inclusion. They will, in the first instance recommend submission, non-submission or that they will defer the decision until all information has been received. All recommendations will be recorded on a pro-forma and forwarded to the REF Management Group. A rationale should be provided for each member of staff where the recommendation is that they should not be included. The recommendation not to include a colleague within a Unit of Assessment they have identified may be made on one or both of the following grounds: i) work does not help achieve the threshold quality expected for the Unit of Assessment; ii) work does not fit within the remit of the Unit of Assessment.

9.6 The University reserves the right to submit the outputs of all staff who hold an employment contract with the University.

9.7 In December 2012, the REF Management Group (whose membership includes all of the Unit of Assessment Leaders) will confirm or reject these recommendations and will inform staff accordingly. Where a colleague has been considered for more than one Unit of Assessment, the REF Management Group will decide on their location based upon the most appropriate strategic

⁴ Readers will continue to rely on expert review as the primary means of assessing outputs, in order to reach rounded judgements about the full range of assessment criteria ('originality, significance and rigour'). They will also recognise the significance of outputs beyond academia wherever appropriate, and will assess all outputs on an equal basis, regardless of whether or not citation data is available for them. They will recognise the limited value of citation data for recently published outputs, the variable citation patterns for different fields of research, the possibility of 'negative citations', and the limitations of such data for outputs in languages other than English. Readers will have due regard to the potential equality implications of using citation data as additional information.

outcome for the University. They will also consider whether staff whose work has been judged as not fitting within the remit of the UoA which they applied to, could be considered elsewhere.

9.8 Notification of the decision not to submit a colleague will be accompanied by a reminder of the appeals process (outlined in section 10). They will also be advised to approach research leaders or Heads of School for support and development in their research careers.

9.9 This process will be revisited in Spring 2013, when all staff for whom the decision was deferred and any newly appointed staff will be considered. The final confirmation of staff for selection will take place in Autumn 2013, at which point staff will either be selected for submission or not. All selection processes will be conducted with sufficient time for appeals on non-selection and any reconsideration of staff inclusion to be undertaken before the deadline for submission. A diagram outlining the process is attached at *appendix a*.

10 Procedure for appealing decisions regarding inclusion in the University submission to REF2014

A diagram of the appeals process can be found at appendix j

10.1 Staff not selected for inclusion will be entitled to appeal against the decision.

10.2 Academic judgement is not considered as grounds for an appeal. Appeals can be made on the following procedural grounds only:

- i) unfair treatment of an individual in the selection process;
- ii) information that should have been taken into account such as absence, illness or stage of career was not properly considered.

10.3 Staff should appeal within three weeks of receiving notice from the REF Management Group that they will not be included in the submission. They should apply in writing to the Registrar and Secretary, specifying on which grounds they are appealing. The constitution and terms of reference of the Appeals Panel is outlined in *appendix f*. The membership of the panel has been designed to ensure independence and integrity when considering the decisions. The Deputy Vice-Chancellor and the Registrar and Secretary will have had no previous involvement with selection recommendations or decisions. The two Unit of Assessment Leaders will not be drawn from the Faculty to which the appellant belongs or from that in which they are claiming exclusion, thereby assuring a degree of independence. In addition, Unit of Assessment Leaders have been appointed by the Vice-Chancellor as individuals who have an appropriate level of experience and integrity in managing a sensitive process.

10.4 The Appeal Panel will meet within two months of each of the three rounds of selection to consider each case. The panel will meet in sufficient time for a reconsideration of each case prior to the final submission. Because the third round of selection will happen close to the submission deadline, the timescale for this stage of the process will be shortened to ensure sufficient time for all cases to be resolved.

10.5 The Appeal Panel will consider the evidence presented and either decide that there is no case to be heard or will ask the REF Management Group to reconsider the decision. The Appeals panel may make recommendations to the appellant's line manager with regards to future career development or support. The appellant will be informed of the decision in writing by the Registrar and Secretary within one week of the panel meeting. The decision of the appeals panel will be final.

10.6 Should the REF Management Group be asked to reconsider their decision, they will do so in light of the revised circumstances that were presented to the appeals panel. Following this reconsideration, there shall be no further right of appeal unless additional work is published.

11 Equality Impact Assessment (EIA)

11.1 Equality impact assessment is a systematic review of an area of policy or practice in order to ensure that it does not inadvertently disadvantage one group of people compared with others (eg. in relation to age, disability, race, sex, etc). If adverse impact for a particular group or groups is identified, the impact assessment will then consider how it can be mitigated. For example, through changing the policy or practice, providing training to those involved in implementing the policy area or putting in place specific programmes to help create a 'level playing field' (such as mentoring schemes).

11.2 The Equality and Diversity Advisor in conjunction with the Research Office will conduct an Equality Impact Assessment (EIA) covering both institutional and UoA level considering all staff who are eligible for submission. An EIA has been carried out as part of the development of this Code of Practice, and this will be reviewed at a number of key stages of the REF development as outlined below:

- i) following the three rounds of staff selection articulated in section 9 above;
- ii) following the outcomes of any appeals made against submission decisions;
- iii) following the university's final REF submission in 2013.

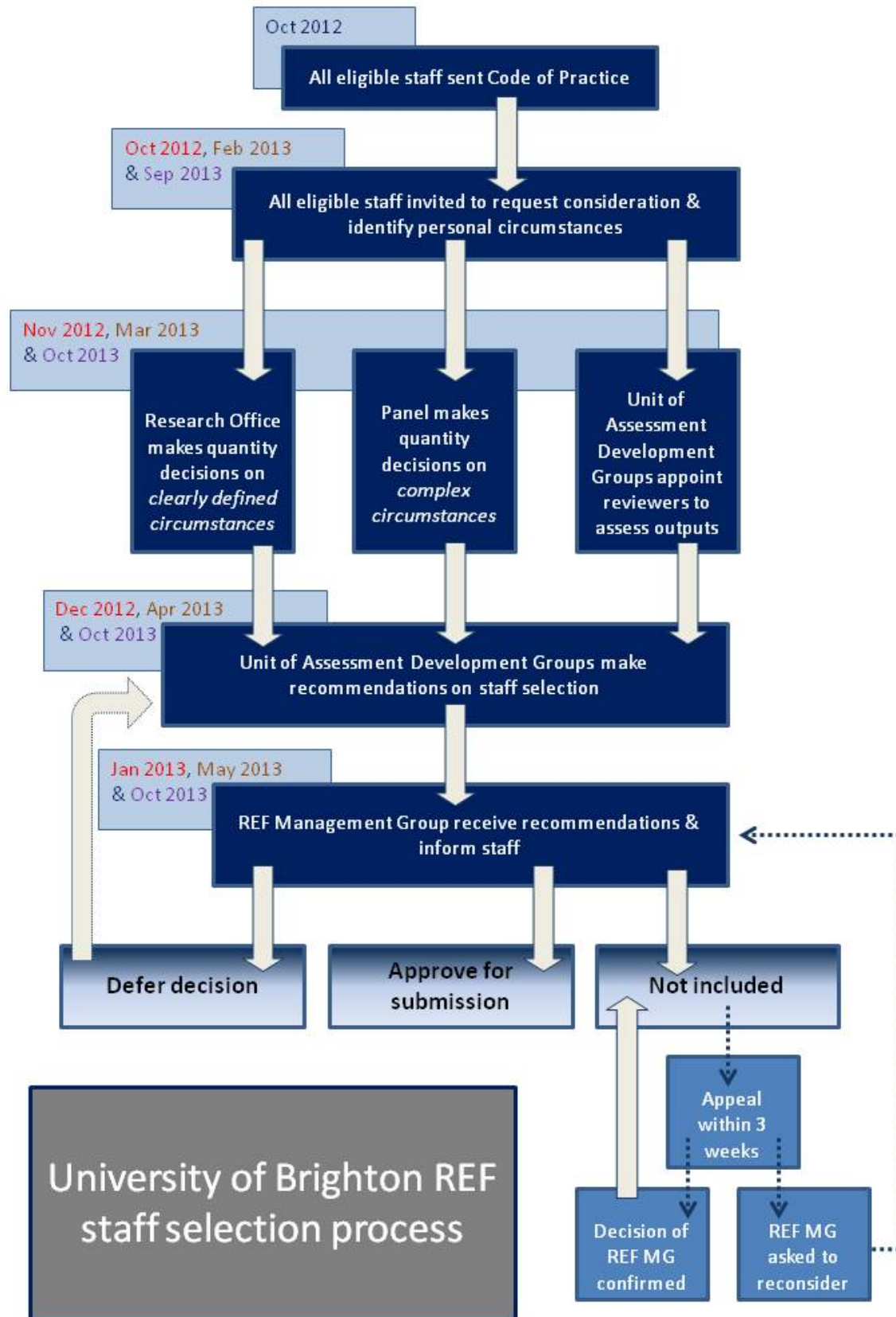
11.3 The EIA will be considered to be a 'live' document that is expected to inform and evolve throughout the lifecycle of the REF submission. It will be published on the university's equality and diversity and Research Office websites alongside this Code of Practice, and will be updated following each of the key stages identified above. Any sensitive data that may identify individual staff members will be removed prior to publication.

11.4 EIAs will be conducted according to the university's standard process, as published on the university's equality and diversity website. Quantitative data relating to the age, disability, gender (including pregnancy and maternity), race, working pattern and contract type of submitted and non-submitted staff will be used as the basis for analysis of the 'dry run', appeals and final submission, and a comparison with national data will also be included. The university does not currently collect data for their staff on marriage/civil partnership, sexual orientation,

religion and belief or gender reassignment, although the impact assessment will include consideration of collection of such data in the future.

11.5 This EIA process will be explained to staff at open meetings on staff selection and the Code of Practice held in October 2012. Members of staff will be advised at these meetings, on the website and when they are sent the Code of Practice that they can feedback on equalities issues either to the Equality and Diversity Advisor or via their Union representative.

11.6 If equalities and diversity issues are identified in any of the EIAs, an action plan detailing how these issues will be investigated, mitigated and addressed. They will be considered by the Finance and Employment Committee, which reports to the Board of Governors. EIAs and action plans will also be considered by the University's Research Strategy Committee and the Lecturer's Common Interest Group.



Glossary and definition of terms

HEFCE	Higher Education Funding Council for England	
REF	Research Excellence Framework	
REFM	REF Manager	Responsible for managing the process for submission including the selection processes
REFMG	REF Management Group	Formally constituted group responsible for the submission and the decisions on staff selection
PVC (R)	Pro-Vice-Chancellor (Research)	Responsible for the University of Brighton's REF submission
UCU	University and College Union	Union for academic staff
UoA	Unit of Assessment	Unit of submission to the REF
UoADG	Unit of Assessment Development Group	Formally constituted group responsible for developing a UoA and for recommending staff for selection
UoAL	Unit of Assessment Leader	Appointed by the VC to lead the development of the UoA
VC	Vice-Chancellor	

Legislation relevant to this Code

Excerpt from *HEFCE's Assessment Framework and guidance on submissions*

Summary of legislation

201 A summary of the equality legislation with which institutions have to comply generally, and which they should take into account when preparing REF2014 submissions is included in Table 2. Panel chairs, members and secretaries have received a briefing about this legislation (see 'Equality briefing for REF panels' available at www.ref.ac.uk under 'Publications'). The briefing instructs them to develop working methods and assessment criteria that encourage HEIs to submit the work of all of their excellent researchers, including those whose ability to produce four outputs or work productively throughout the assessment period had been constrained for reasons covered by equality legislation.

Table 2: Summary of equality legislation

Age	<p>All employees within the higher education sector are protected from unlawful age discrimination in employment under the Equality Act 2010 and the Employment Equality (Age) Regulations (Northern Ireland) 2006. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group. (These provisions in the Equality Act 2010 are partially in force, but should be fully in place by April 2012.)</p> <p>Age discrimination can occur when people of a particular age group are treated less favourably than people in other age groups. An age group could be for example, people of the same age, the under 30s or people aged 45-50. A person can belong to a number of different age groups.</p> <p>Age discrimination will not be unlawful if it is a proportionate means of achieving a legitimate aim. However, in the context of the REF, the view of the funding bodies is that if a researcher produces excellent research an HEI will not be able to justify not submitting them because of the their age group.</p> <p>It is important to note that early career researchers are likely to come from a range of age groups. The definition of early career researcher used in the REF (see paragraph 85) is not limited to young people.</p> <p>HEIs should also note that given developments in equalities law in the UK and Europe, the default retirement age will be abolished from 1 October 2011 in England, Scotland, Wales and Northern Ireland.</p>
Disability	<p>The Equality Act 2010, the Disability Discrimination Act (1995) (Northern Ireland only) and the Disability Discrimination (Northern Ireland) Order 2006 prevent unlawful discrimination relating to disability. Individuals are also protected if they are perceived to have a disability or if they are associated with a person who is disabled, for example, if they are responsible for caring for a disabled family</p>

	<p>member.</p> <p>A person is considered to be disabled if they have or have had a physical and/or mental impairment which has ‘a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities’. Long-term impairments include those that last or are likely to last for at least 12 months.</p> <p>Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities.</p> <p>The definition of disability is different in Northern Ireland in that a list of day-to-day activities is referred to. There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people, not individuals, carry out on a daily or frequent basis.</p> <p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p> <ul style="list-style-type: none"> • sensory impairments • impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy • progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer • organ-specific impairments, including respiratory conditions and cardiovascular diseases • developmental impairments, such as autistic spectrum disorders and dyslexia • mental health conditions such as depression and eating disorders • impairments caused by injury to the body or brain. <p>It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.</p> <p>Equality law requires HEIs to anticipate the needs of disabled people and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a disabled researcher’s impairment has affected the quantity of their research outputs, they may be submitted with a reduced number of outputs (see paragraphs 90-100 and the panel criteria).</p>
Gender reassignment	<p>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect from discrimination trans people who have proposed, started or completed a process to change their sex. Staff in HE do not have to be under medical supervision to be afforded protection because of gender reassignment and staff are protected if they are perceived to be undergoing or have undergone</p>

	<p>gender reassignment. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.</p> <p>Trans people who undergo gender reassignment will need to take time off for appointments and in some cases, for medical assistance. The transition process is lengthy, often taking several years and it is likely to be a difficult period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole.</p> <p>The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a transsexual may commit a criminal offence if they pass the information to a third party without consent.</p> <p>Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care.</p> <p>Staff whose ability to work productively throughout the REF assessment period has been constrained due to gender reassignment may be submitted with a reduced number of research outputs (see paragraphs 90-100, and the panel criteria). Information about the member of staff will be kept confidential as described in paragraph 98.</p>
Marriage and civil partnership	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 as amended, individuals are protected from unlawful discrimination on the grounds of marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and treatment in employment. The protection from discrimination does not apply to single people.</p> <p>In relation to the REF HEIs must ensure that their processes for selecting staff do not inadvertently discriminate against staff who are married or in civil partnerships.</p>
Political opinion	<p>The Fair Employment and Treatment (Northern Ireland) Order 1998 protects staff from unlawful discrimination on the grounds of political opinion.</p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their political opinion.</p>
Pregnancy and maternity	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 women are protected from unlawful discrimination related to pregnancy and maternity.</p>

	<p>Consequently researchers who have taken time out of work or whose ability to work productively throughout the assessment period because of pregnancy and/or maternity, may be submitted with a reduced number of research outputs, as set out in paragraphs 90-100 and in the panel criteria documents.</p> <p>In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process.</p> <p>For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.</p>
Race	<p>The Equality Act 2010 and the Race Relations (Northern Ireland) Order 1997 protect HEI staff from unlawful discrimination connected to race. The definition of race includes colour, ethnic or national origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race.</p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their race or assumed race (for example, based on their name).</p>
Religion and belief including non-belief	<p>The Equality Act 2010 and the Fair Employment and Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination to do with religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief.</p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their actual or perceived religion or belief, including non-belief. 'Belief' includes any structured philosophical belief with clear values that has an effect on how its adherents conduct their lives.</p>
Sex (including breastfeeding and additional paternity and adoption leave)	<p>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect HEI staff from unlawful discrimination to do with sex. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex.</p> <p>The sex discrimination provisions of the Equality Act explicitly protect women from less favourable treatment because they are breastfeeding. Consequently the impact of breastfeeding on a women's ability to work productively will be taken into account, as set out in paragraph 90-100 and the panel criteria documents.</p> <p>From 3 April 2011, partners of new mothers and secondary adopters will be entitled to up to 26 weeks of additional paternity and adoption leave. People who take additional paternity or adoption leave will have similar entitlements to women on maternity leave and barriers that exist to taking the leave, or as a result of having</p>

	<p>taken it, could constitute unlawful sex discrimination. Consequently researchers who have taken additional paternity and adoption leave may be submitted with a reduced number of outputs, as set out in paragraphs 90-100 and in the panel criteria documents.</p> <p>HEIs need to be wary of selecting researchers by any criterion that it would be easier for men to comply with than women, or vice versa. There are many cases where a requirement to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women.</p>
Sexual orientation	<p>The Equality Act 2010 and the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003 protect HEI staff from unlawful discrimination to do with sexual orientation. Individuals are also protected if they are perceived to be or are associated with someone who is of a particular sexual orientation.</p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their actual or perceived sexual orientation.</p>
Welsh Language	<p>The Welsh Language Act 1993 places a duty on public bodies in Wales to treat Welsh and English on an equal basis. This is reinforced by the provisions of the Welsh Language (Wales) Measure 2011.</p> <p>The arrangements for the assessment of outputs in the medium of Welsh by the REF panels are set out in paragraphs 128-130.</p>

University of Brighton

Equality and Diversity Policy

Statement of Intent

The University of Brighton is committed to creating a stimulating and supportive learning and working environment based on mutual respect and trust. We will continue to celebrate and value diversity within the community of staff and students, to promote equality of opportunity and to challenge and strive to eliminate unlawful discrimination.

This policy is informed by law. However, the university also seeks to encourage and promote equality of opportunity amongst those groups and individuals within society who experience discrimination and disadvantage on the basis of particular social circumstances and who are not covered by existing legislation.

The university is committed to the fair treatment of all people, be they staff, students, visitors, or those applying for employment or study, regardless of disability, gender, sexual identity, marital status, family or caring responsibilities, race, colour, ethnic origin, sexual orientation, gender identity, age, national origin, nationality, trade union membership and activity, political or religious beliefs, work or study pattern or contractual status.

The university acknowledges the duty of higher education in promoting equality of opportunity and furthering social inclusion. We recognise the link between equality and high quality performance and we understand that ensuring equality of opportunity is essential for the successful and innovative development of the university and its community.

The university's commitment to equality and diversity is made explicit throughout its Corporate Plan which declares a 'shared value' to "value the different contributions and experiences of all who make up our community; promoting equal treatment, mutual respect and understanding; respecting freedom of thought and its appropriate expression". Specifically the Plan commits the university "to provide an experience of higher education that is challenging and enjoyable for its students and staff; that embodies equality of treatment; and that equips its students to be socially purposeful professionals and citizens."

Purpose

The overall purpose of the policy is to provide:

- a statement of commitment to equality and diversity within the university;
- the overarching commitments and the framework that will guide the university's agenda on diversity and equality; and

- an outline of the rights and responsibilities to which all members of the university community are expected to adhere.

Roles and Responsibilities

The Board of Governors has ultimate responsibility for ensuring that the university meets the commitments detailed within this policy.

The Equal Opportunities Steering Group has responsibility for steering and monitoring action on equality and diversity in order to support achievement of the commitments set out within this policy.

Relevant committees have responsibility for monitoring progress on the implementation of equality and diversity in their areas.

Deans, Heads of Schools and Departments and managers are responsible for ensuring that staff and students are aware of their responsibilities, understand and apply this policy. They are also responsible for promoting equality and diversity throughout the activities in their area.

University schools offering or arranging student placements are responsible for familiarising themselves with the university's placement policies and supporting guidance.

All staff and students have rights and responsibilities in relation to the promotion of equality, and must ensure that their behaviour and actions do not discriminate unlawfully and that they are not harassing or bullying others.

Staff who have concerns about unlawful discrimination, harassment or bullying are advised to contact a member of the Harassment Contacts Network, their line manager, a member of the Personnel Department or a trade union representative.

Students who have concerns about unlawful discrimination, harassment or bullying are advised to consult the Student Handbook and contact a member of the Harassment Contacts Network, the Students' Union, Student Services, their Course Tutor, Personal Tutor, Student Support Guidance Tutor or Head of School.

Staff with responsibility for teaching, support and welfare of students and those who manage others have a responsibility to identify, value and respond appropriately to varying needs and perspectives. In addition, all teaching staff are responsible for:

- promoting equality and diversity through their teaching programmes and through relations with students, staff and the wider community;
- ensuring that the curriculum covers the knowledge, skills and values which students need to tackle discrimination when they meet it and to help them to understand and value diversity; and

- ensuring that materials used to deliver the curriculum are accessible to a diverse range of students and adjusted to meet specific needs, and that they are free from sexist, racist and other discriminatory assumptions, images and languages, unless they are being studied as examples of such.

Staff with responsibility for research governance are responsible for ensuring that research undertaken by the university does not contravene this policy.

The Manager of Purchasing Services is responsible for ensuring that contractors and suppliers are aware of, and are committed to this policy.

This policy applies to all visitors to the university and representatives from other organisations attending the university.

Commitments

In order to translate the above policy into action, the university will:

- a. Communicate its commitment to equality and diversity to all members and prospective members of the university community, promote equality of opportunity and inform all staff and students of their rights and responsibilities in maintaining and promoting equality.
- b. Provide and promote a development programme for university staff, in order to equip them to welcome diversity and respect the rights and contributions of others.
- c. Communicate and consult with interested groups and individuals (both internal and external to the university).
- d. Monitor, review and impact assess university policies and activities and set objectives for progress and development.
- e. Ensure that its commitment to equality of opportunity and diversity is made explicit in contacts and partnerships with outside organisations.
- f. Ensure that an appropriate infrastructure and sufficient resources are made available to support and implement equality and diversity policies, schemes, plans and procedures.
- g. Ensure that students and staff know where to access information and support regarding equality, diversity, harassment and bullying issues.

The actions the university will take to implement these commitments are articulated in its [Single Equality Scheme](#).

Monitoring and Review

This policy will be reviewed on a regular basis by the Equal Opportunities Steering Group to ensure its effectiveness in achieving equality of opportunity. Monitoring and review activity will include:

- collecting, analysing and publishing monitoring information for both staff and students;
- publishing annual reports detailing progress towards the actions set out in the university's single equality action plan;
- conducting and publishing equality impact assessments; and
- consulting with staff and students about equality and diversity issues at the university.

REF Communications Plan

1 General principles

- 1.1 All information for staff concerning the University's submission to REF2014 will be available on the Research Office website. This includes all terms of reference and membership of associated committees and groups, project plans and training materials.
- 1.2 The University recognises that different types of contract of employment require consideration regarding methods of communication and therefore all correspondence relating to decisions will be sent to both personal email addresses and hard copy in sealed envelopes marked confidential.
- 1.3 For advice and guidance on any aspect of the REF, members of staff can contact the REF Manager, Ingrid Pugh at I.Pugh@brighton.ac.uk . Staff may also wish to consult their line manager, Head of School or Dean with regards to any aspect of personal research planning or opportunities to develop their career. Advice on issues relating to Equality and Diversity should be addressed to the University's Equality and Diversity Advisor, Helen Tatch at ht1@brighton.ac.uk .

2 Prior to staff selection

- 2.1 During the week commencing 15 October, all members of staff who are eligible for submission to REF2014 will be written to by email and by letter, this includes all staff currently absent from work or who are working at distance. They will be sent the Code of Practice and will be invited to request consideration for inclusion in the REF.
- 2.2 During October 2012 the REF Manager and the Equality and Diversity Advisor will be presenting the Code of Practice and the staff selection process at a series of open meetings to be held on each site. Copies of the presentation, any frequently asked questions and all other information pertinent to the process will also be available on the Research Office website.

3 Informing staff decisions relating to the quantity of research submitted

- 3.1 Following consideration of complex and clearly defined circumstances (section x of the Code of Practice for the selection of staff), staff who have applied for a reduction in the number of outputs which they are permitted to submitted will be informed of the outcome of the decision relating to quantity prior to the meeting of the Development Group which recommends staff selection.

4 Informing staff of selection outcomes

- 4.1 Following the staff selection decisions made by the REF Management Group on staff selection in December 2012, May 2013 and October 2013. Members of staff will be written to confidentially by the REF Manager to inform them of the decision.
- 4.2 Staff for whom the decision has been deferred will be informed of the date of the next selection process and given the opportunity to update their request for consideration, in other words, to add details of research outputs or to indicate some mitigating circumstances.
- 4.3 Staff for whom the decision has been that they should not be included, will be given the reason why, and will be sent details of the appeals process as outlined in section x of the Code of Practice on the selection of staff.

5 Informing staff the outcomes of the appeals process

- 5.1 Staff who have appealed the decision of the REF Management Group will be informed in writing of the outcome of the appeal within one week of the appeal hearing.

University of Brighton roles, responsibilities, terms of reference and membership

1 Ex-officio Responsibilities

1.1 Vice-Chancellor (VC)

- Responsible for approving all aspects of the University's submission to REF2014 including with the appointment of REF Unit of Assessment leaders on recommendations from the Pro-Vice-Chancellor (Research).

1.2 Pro-Vice-Chancellor (Research)(PVCR)

- Responsible for advising and briefing the VC on the university's REF submission along with its final form.

2 Operational roles and their responsibilities

2.1 Pro-Vice-Chancellor (Research)

- Responsible for leading the university's preparation and submission to REF including its external presentation;
- providing regular updates to the Board of Governors, Senior Management Team and the Management Group;
- chairing the REF Management Group.

2.2 REF Manager

Reporting to the PVC (Research) — to organise, support and advise the REF Management Group with particular responsibility for:

- co-ordinating the submission including planning over the submission period;
- ensuring compliance with HEFCE regulations;
- development of institutional systems to provide effective data and enable clear judgements about the submission;
- training and development of staff on HEFCE requirements;
- co-ordination and facilitation of workshops or other activities designed to develop the submission;
- drafting the Code of Practice on submissions;
- management of monitoring or other assessment (including external review) of submissions;
- reviewing the quality of research materials on the University's website and recommending actions for improvements;
- drafting of institutional texts to support submissions;
- conducting audits of impact arising from research.

2.3 REF Officers

Reporting to the REF Manager—responsible for co-ordinating, managing and validating the data collection and evidence contained within the submissions including:

- working with UoA Leaders and the Central Data Team to ensure that accurate data is compiled for the submission;
- quality control for information provided on the REF submission website;
- managing (electronic) collection of outputs and other evidence associated with outputs for internal scrutiny to aid judgements on the final submission;
- advising on HEFCE submission requirements;
- advising on and sourcing evidence for use within impact case studies;
- providing training and guidance to users of the submission system.

2.4 Unit of Assessment Leaders

Appointed by the Vice-Chancellor and reporting to the PVC (Research) to:

- co-ordinate the development of the UoA submission including organising for the assessment of outputs in order to make recommendations about staff inclusion, co-ordinating the drafting process, working with the REF Officers to identify and eliminate data errors;
- ensuring the accuracy and precision of all descriptive accounts of research materials;
- Working with the PVC (Research) to prepare Impact Case Studies and returns for the Research Environment;
- identifying and recommending external reviewers for research outputs and making material available for review;
- reviewing and approving the public availability of REF-related research materials related to the university's web presence;
- member of the UoA Development Group;
- member of REF Management Group.

2.5 Research Development Directors

Three Professors, in the areas of Science, Social Science and Arts and Humanities, appointed by, and reporting to, the Pro-Vice-Chancellor (Research) to:

- advise on the structure and content of REF submissions in including impact case studies;
- member of relevant Development Groups;
- member of the REF Management Group.

3 Terms of reference and membership of Groups and Committees

3.1 REF Management Group

This Group reports to the University's Senior Management Team and provides regular updates to the University Management Group.

Membership:

PVC (Research) – Chair

Two Deans nominated by the Deans Group

All UoA Leaders

REF Manager
 Research Development Directors
 Members co-opted by the Chair as appropriate

Terms of reference:

To oversee the University of Brighton submission to the REF2014 with responsibility for *approving*:

- i) the UoAs to be included in the submission;
- ii) membership of UoA Development Groups;
- iii) external reviewers;
- iv) the Code of Practice on submissions;
- v) inclusion of staff in the REF2014;
- vi) impact case studies for development;
- vii) the final submission.

The Group will also have a responsibility for the *development* of:

- viii) the external representation and presence of the University, particularly in relation to staff and projects/work submitted;
- ix) the development of standard text in relation to sections of the environment that are centrally provided: (eg Research Office, Repository, Doctoral College, IPR and impact strategies).

3.2 UoA Development Groups

Appointed by and reporting to REF Management Group.

Membership

A Dean of Faculty and/or senior researcher (Chair)

UoA Leader

REF Manager

Deans whose staff are included in the submission

Heads of School whose staff are included in the submission

Research Leaders

Members co-opted by the Chair as appropriate

Officers from the departments for 'Economic and Social Engagement' and 'Marketing and Communications' with specific expertise will also be included. These staff will have no role to play in advising on the selection of staff to be submitted but may advise on other aspects of the submission, including for example, impact case studies or the University's web/external presence.

The Secretariat will be from the Research Office

Terms of reference:

- i) to develop the REF2014 submission including impact case studies for approval by the Management Group;
- ii) to make recommendations regarding inclusion of staff to the REF Management Group;
- iii) to consider and prepare the external presence of research in the Schools represented;

- iv) to engage with University systems designed to collect data;
- v) to be responsible for preparing draft submissions for external and internal review;
- vi) to nominate external reviewers.

3.3 Central Data Team

Membership

REF Manager (Chair)

REF Officer

Representatives from Finance, Personnel, Doctoral College and Information Services

Terms of reference:

- i) to supply accurate and timely data for the submission;
- ii) to advise on data contained in external submissions which may be considered by HEFCE panels.

3.4 Confidential Circumstances Panel

Membership

External member of the Board of Governors (Chair)

Equality and Diversity Advisor

University and College Union representative

Terms of reference:

- i) to consider anonymised cases of complex circumstances with regards to determining whether a reduction in the number of outputs is permitted.

3.5 Appeals Panel

Membership

Deputy Vice-Chancellor (Chair)

Registrar and Secretary

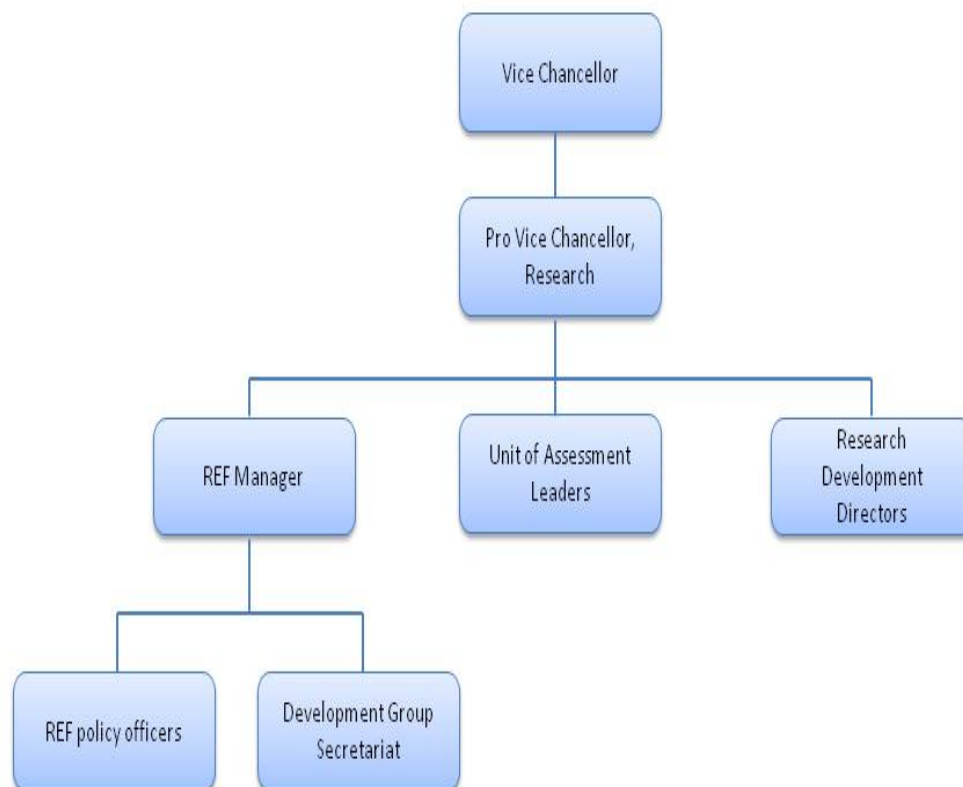
Two Unit of Assessment Leaders from a Faculty other than that to which the appellant belongs and from that in which the appellant is claiming exclusion.

The secretariat will be provided by the Research Office

Terms of reference

- i) to consider appeal cases submitted by staff who have not been selected for inclusion;
- ii) to determine whether the cases presented demonstrate procedural irregularity and, if that this the case, to ask the REF Management Group to reconsider its decision;
- iii) to make recommendations relating to individual career development or support to the appellants line manager.

REF Key Personnel Reporting Lines



HEFCE guidance on clearly defined and complex circumstances

Excerpt from the *REF Panel Criteria and Working Methods*

Clearly defined circumstances

70. Where an individual has one or more circumstances with a clearly defined reduction in outputs, the number of outputs that may be reduced should be determined according to the tables and guidance in paragraphs 72-86 below. All sub-panels will accept a reduction in outputs according to this guidance and will assess the remaining number of submitted outputs without any penalty.
71. In REF1b, submissions must include sufficient details of the individual's circumstances to show that these criteria have been applied correctly. The panel secretariat will examine the information in the first instance and advise the sub-panels on whether sufficient information has been provided and the guidance applied correctly. The panel secretariat will be trained to provide such advice, on a consistent basis across all UOAs. Where the sub-panel judges that the criteria have not been met, the 'missing' output(s) will be recorded as unclassified. (For example, an individual became an early career researcher in January 2011 but only one output is submitted rather than two. In this case the submitted output will be assessed, and the 'missing' output recorded as unclassified.)

Early career researchers

72. Early career researchers are defined in paragraphs 85-86 of 'guidance on submissions'. Table 1 sets out the permitted reduction in outputs without penalty in the assessment for early career researchers who meet this definition.

Table 1 Early career researchers: permitted reduction in outputs

Date at which the individual first met the REF definition of an 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

Absence from work due to part-time working, secondments or career breaks

73. Table 2 sets out the permitted reduction in outputs without penalty in the assessment for absence 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.

Table 2 Part-time working, secondments or career breaks: permitted reduction in outputs

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

74. 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. For example, an individual worked part-time for 30 months at 0.6 FTE. The number of equivalent months absent = $30 \times 0.4 = 12$.

Qualifying periods of maternity, paternity or adoption leave

75. Individuals may 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 the leave.
- b. Additional paternity or adoption leave⁵ lasting for four months or more, taken substantially during the period 1 January 2008 to 31 October 2013.

76. The approach to these circumstances is based on the funding bodies' considered judgement that the impact of such a period of leave and the arrival of a new child into a family is generally sufficiently disruptive of an individual's research work to justify the reduction of an output. This judgement was informed by the consultation on draft panel criteria, in which an overwhelming majority of respondents supported such an approach.

77. The funding bodies' decision not to have a minimum qualifying period for maternity leave was informed by the sector's clear support for this approach in the consultation; recognition of the potential physical implications of pregnancy and childbirth; and the intention to remove any artificial barriers to the inclusion of women in submissions, given that women were significantly less likely to be selected in former RAE exercises.

78. The funding bodies consider it appropriate to make the same provision for those regarded as the 'primary adopter' of a child (that is, a person who takes statutory adoption leave), as the

⁵ 'Additional paternity or adoption leave' refers to leave of up to 26 weeks which is taken to care for a child where the person's spouse, partner or civil partner was entitled to statutory maternity leave or statutory adoption leave, and has since returned to work. The term 'additional paternity leave' is often used to describe this type of leave although it may be taken by parents of either gender. For the purposes of the REF we refer to this leave as 'additional paternity or adoption leave'.

adoption of a child and taking of statutory adoption leave is generally likely to have a comparable impact on a researcher's work to that of taking maternity leave.

79. As regards additional paternity or adoption leave, researchers who take such leave will also have been away from work and acting as the primary carer of a new child within a family. The funding bodies consider that where researchers take such leave over a significant period (four months or more), this is likely to have an impact on their ability to work productively on research that is comparable to the impact on those taking maternity or statutory adoption leave.

80. 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:

- a. 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.
- b. By combining the number of months for shorter periods of such leave in combination with other clearly defined circumstances, according to Table 2.

81. Any period of maternity, adoption or paternity leave that qualifies for the reduction of an output under the provisions in paragraph 75 above may in individual cases be associated with prolonged constraints on work that justify the reduction of more than one output. In such cases, the circumstances should be explained using the arrangements for complex circumstances.

Combining clearly defined circumstances

82. 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.

83. 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.

84. When combining circumstances, only one circumstance should 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 83 above.)

85. Where an individual has a combination of circumstances with a clearly defined reduction in outputs **and** complex circumstances, the institution should 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 should be calculated according to the guidance above (paragraphs 72-84).

Other circumstances that apply in UOAs 1-6

86. In UOAs 1-6, the number of outputs may be reduced by up to two, without penalty in the assessment, for the following:

- a. Category A staff who are junior clinical academics. These are defined as clinically qualified academics who are still completing their clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or its equivalent prior to 31 October 2013.
- b. Category C staff who are employed primarily as clinical, health or veterinary professionals (for example by the NHS), and whose research is primarily focused in the submitting unit.

87. These allowances are made on the basis that the staff concerned are normally significantly constrained in the time they have available to undertake research during the assessment period. The reduction of two outputs takes account of significant constraints on research work, and is normally sufficient to also take account of additional circumstances that may have affected the individual's research work. Where the individual meets the criteria at paragraph 86, and has had significant additional circumstances – for any of the reasons at paragraph 69 – the institution may return the circumstances as 'complex' with a reduction of three outputs, and provide a justification for this

Guidance notes on staff disclosure forms

The University of Brighton 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 Brighton's Code of Practice which can be found at <http://staffcentral.brighton.ac.uk/ro/REF2014cop.html>.

To ensure that REF processes are fair, the University of Brighton is collecting data on individual circumstances from all staff eligible for submission. The data will be used to identify which staff are eligible for submission with fewer than four outputs. Summary level data collected may also inform the University of Brighton'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)
- = Junior clinical academic staff who have not gained a Certificate of Completion of Training by 31 October 2013 ***[Delete as appropriate: applies to specific units of assessment within Panel A]***
- = 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

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 forms. If further information is required about any circumstances disclosed, you will be contacted by [insert details].

Who will see the information that I provide?

Within the institutions, the information that you provide will be seen by [state name of central committee or individuals within the institution who will see the information]. [Members of the [insert name] committee or individuals] handling individual staff circumstances will observe confidentiality and information will be stored securely. [Further information can be included here on the institutions arrangements for confidentiality].

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

Circumstances are split into 2 categories and there are separate forms for each category:

- = **Form A** 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.
- = **Form B** 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. [Delete is not applicable: Where joint submissions are made it may be necessary to share the information provided with another institution.]

What if my circumstances change?

The University of Brighton recognises that staff circumstances may change between 1 January 2008 and 31 October 2013. If your circumstances change you can download a copy of the attached forms at <http://staffcentral.brighton.ac.uk/ro/REF2014cop.html>.

Individual staff circumstances disclosure form A - Circumstances with a clearly defined reduction in outputs

(to be returned to Hilary Ougham, The Research Office, Mezzanine Floor, Cockcroft Building, Moulsecoomb BN2 4GJ by 2nd November 2012)

Name	
Department	
Unit of Assessment	

Section one:

Please select one of the following:

- I have no individual standard circumstances with a clearly defined reduction in outputs that I wish to be taken into consideration for the purposes of the Research Excellence Framework (REF).
- I have individual standard 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 [institution name]. My contact details for this purpose are:

Email	
Telephone	
Preferred method of communication	Email / Telephone (please circle)

- 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 on 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	
Junior clinical academic staff who have not gained Certificate of Completion of Training by 31 October 2013 [Delete as appropriate: applies to specific units of assessment within Panel A]	Please place a tick in this box if the circumstance applies:
Part time employee	<i>FTE and duration in months</i>
Information	
Career break or secondment outside of the higher education sector	<i>Dates and duration in months</i>
Information	
Maternity leave, statutory adoption leave, or additional paternity leave (taken by partners of new mothers or co-adopters)	<i>For each period of leave state which type of leave was taken and the dates and duration in months</i>
Information	

Please confirm that you have read and accept the following statements in relation to this submission:

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 members of the Confidential Circumstances Panel.

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. I recognise that if a joint submission is made, information may be shared with another institution. Where permission is not provided University of Brighton 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 Research Office

- Will progress the staff member's inclusion in the REF submission with [insert number] of research outputs. [Subject to specified institutional criteria]. 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.

Signature: Date:
([insert name of person/chair of committee responsible for decision])

Signature: Date:
(REF Manager)

Individual staff circumstances disclosure Form B – Complex Circumstances

To be returned by 2nd November to Annie Carroll, Equality and Diversity Adviser (Student Experience), Student Services, Manor House, Moulsecomb, BN2 4GA)

Section one:

Name	
Department	
Unit of Assessment	
Email	
Telephone	
Contact address	
Preferred method of communication	Email / Telephone/ Letter

For office use only

Form ID

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 the University of Brighton.
- I do **not** wish to be contacted by a member of human resources staff

For office use only: FormID

Section three

I wish to make the University aware of the following circumstance(s) which have had an impact on my ability to produce four outputs or work productively between 1 January 2008 and 31 October 2013. (Please note that complex circumstances will be considered in relation to how they have affected the quantity rather than the quality of your research output):

Please select as appropriate:

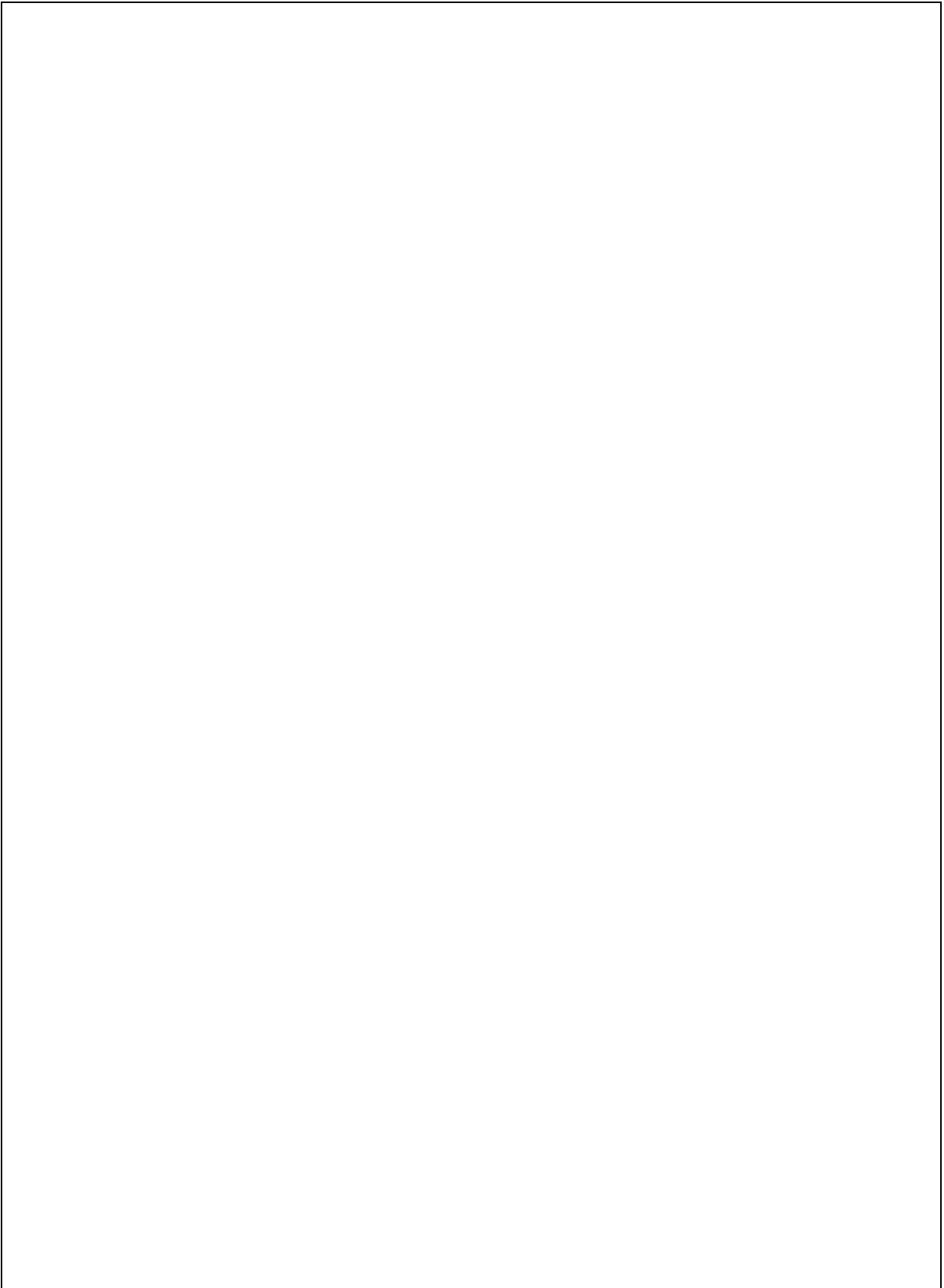
- Disability (including conditions such as cancer and chronic fatigue)
- Mental health condition
- Ill health or injury
- Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare **in addition to** the period of maternity, adoption or additional paternity leave taken.
- Other caring responsibilities (including caring for an elderly or disabled relative)
- Gender reassignment
- Other exceptional and relevant reasons, not including teaching or administrative work.

For each of the circumstances described above, please provide more information below.

You may like to consider the following points:

- *The nature of your circumstance(s)*
- *The timescales of this circumstance and duration (in months) for which it has affected your research output*
- *The impact this has had on the time available to you for carrying out research activities*
- *Any supporting evidence of the circumstance and its impact on you (if appropriate)*
- *Any other relevant information that you feel would assist the panel when considering your application.*

Further information (please continue on a separate sheet if necessary)



For office use only: FormID

Please confirm that you have read and accept the following statements in relation to this submission:

- 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 university's Confidential Circumstances Panel.*

- 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. I recognise that if a joint submission is made, information may be shared with another institution. Where permission is not provided University of Brighton will be limited in the action it can take.*

Signature: Date:
(Staff member)

University of Brighton REF appeals process

