

Canterbury Christ Church University

Research Excellence Framework 2014

Code of Practice on the Selection of Staff

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1. Introduction

1.1 The Research Excellence Framework (REF)

The Research Excellence Framework (REF) is the new system for assessing the quality of research in Higher Education Institutions (HEIs) in the UK, and replaces the Research Assessment Exercise (RAE), last conducted in 2008. It uses a process of expert review and its stated guiding principles are:

- i. Equity: all types of research and all forms of research output across all disciplines will be assessed on a fair and equal basis.
- ii. Equality: all excellent researchers within HEIs should be submitted with proper consideration of issues of equality and diversity.
- iii. Transparency: the criteria processes through which decisions are made and outcomes will be published.

Institutions are required to submit staff in particular subject areas known as Units of Assessment (UoA) of which there are 36. There are four national main REF panels and expert sub-panels for each UoA which will rate the outputs (weighted at 65%), the impact (weighted at 20%) and the environment (weighted at 15%) of each UoA submission.

Research published or entering the public domain (for example by performance) between 1st January 2008 and 31st December 2013 is eligible for submission. The outcomes for each UoA submission will be publically reported at the end of 2014, including the number of staff submitted and the percentage of the UoA's work rated as world leading (4*), internationally excellent (3*), internationally recognised (2*) nationally recognised (1*) and unclassified. Only research rated 3* and above will form the basis of future funding.

All Canterbury Christ Church University (CCCU) members of staff who wish to be considered for submission are strongly urged to familiarise themselves with the national guidance relating to the REF, in particular the *Assessment Framework and Guidance on Submissions* and the *Panel Criteria and Working Methods* for their UoA. These documents are available on the CCCU REF Blackboard and the Higher Education Funding Council for England (HEFCE) website. Staff are also strongly urged to read this Code of Practice in full.

The national and institutional timeframes for the REF 2014 submission are summarised in appendices 1 and 2.

1.2 CCCU's Approach to Research and Knowledge Exchange

As expressed in the University's Strategic Plan, the pursuit of knowledge and understanding and their impact on society, lies at the heart of research and knowledge exchange at our University. Renowned for our strong and established connections with public services, our research embraces many areas of society from Education and Health to Arts, Sports and Music.

Expanding our research and knowledge exchange activities for the cultural, social and economic prosperity of the region, as well as national and international communities, is one of our key priorities.

Our community of research-active staff is continually pushing the boundaries of new ideas, whilst actively shaping and informing regional, national and international policy and practice. Expertise ranges from Olympic legacy research, the benefits of arts on health, to dementia care and improving the lives of children, families and communities.

A key aspect of the ambition for research and knowledge exchange activity is derived from the University's values. This particularly concerns the importance placed on making a contribution to the public good and ensuring that ethical and social justice issues are taken into account in the delivery of our research and knowledge exchange activities.

In order to ensure the coherence of our activities with our values, the University is committed to the aim that our research and knowledge exchange work is conducted ethically and with due consideration to equality and diversity issues. The values will thus be evident in the governance arrangements, the actions of staff and the outcomes of our research and knowledge exchange.

1.3 CCCU's Approach to the REF

The University made previous submissions to Research Assessment Exercises. Seven UoAs were submitted by the University to the RAE 2008. In two of these, Education and Music, some of the research was rated as world leading and in the remaining five, Allied Health Professions and Studies, English, History, Sport Related Studies and Theology, Divinity and Religious Studies, a proportion of the research was rated as internationally excellent.

As a result the University receives funding from HEFCE to support research activity across the University. In its Strategic Plan 2011-15 the University cites an ambition to increase the number of UoAs and improve the quality of research submitted to the forthcoming REF in comparison with the previous RAE. This reflects the University's strategy to further develop the infrastructure that supports staff to engage in research and knowledge exchange whilst nurturing 'beacon areas' of demonstrable excellence.

2. Purpose of the Code and how it has been developed

As set out in its [Equality and Diversity Policy Statement](#), CCCU is committed to providing a fair environment in which everyone is treated with dignity and respect. This Code of Practice has been developed in line with these principles with regard to all staff including fixed term, part-time and contract research staff.

The Code of Practice ensures that all eligible staff who have conducted excellent research in a UoA, with sufficient staff for submission and in the designated timeframe, are included in the University's submission to the REF 2014. The Code has been through Stage 1 of the University's Equality Impact Assessment procedure (see section 12) and the initial assessment has informed the Code itself and the REF Equality and Diversity training sessions (see section 4).

The Code is based on the following principles:

- i. **Accountability** - this Code of Practice sets out the roles and responsibilities of all decision makers in the REF submission and provides clear lines of accountability for all involved.
- ii. **Confidentiality** - all personal data will be treated confidentially and will only be seen by those authorised to have access to it as set out in this Code of Practice.
- iii. **Consistency** - the procedures set out in this Code of Practice will be strictly adhered to and applied consistently across the institution.
- iv. **Fairness** – this Code of Practice has been developed to ensure that all staff are treated fairly and sets out a clear appeals process if staff believe they have been treated unfairly.
- v. **Inclusivity** – the University has taken a range of steps (laid out in this Code of Practice) to ensure that all staff who wish to, have the opportunity to be considered for inclusion in the REF submission.
- vi. **Quality** – the University has developed the procedures in this Code of Practice to ensure that staff are selected on the grounds of the quality of their research alone, taking into account individual circumstances with regards to the number of outputs.
- vii. **Transparency** – The University has established a range of mechanisms (set out in this Code of Practice) to ensure that all processes and procedures are clearly documented and this information is accessible to all staff.

The Code of Practice covers all stages of the staff selection process for the REF 2014 submission. When the University's submission is made, the Vice Chancellor will confirm that the University has adhered to the Code. The timetable for the development of the Code of Practice can be found at Appendix 2. The Code has been reviewed and approved by the following groups:

- i. CCCU REF Steering Committee
- ii. CCCU Governing Body Equality and Diversity Committee
- iii. CCCU Research and Knowledge Exchange Committee
- iv. CCCU Senior Management Team
- v. CCCU Academic Board
- vi. CCCU Governing Body

3. Responsibilities

The responsibilities for implementing the Code of Practice are as follows:

1. Pro Vice-Chancellor Research and Knowledge Exchange
2. CCCU Research and Knowledge Exchange Committee
3. REF Steering Committee
4. UoA Coordinators and UoA Steering Committees
5. Individual Circumstances Panel

The Terms of Reference and Membership for the REF Steering Committee (Appendix 3), the Individual Circumstances Panel (Appendix 4) and the UoA Steering Committees (Appendix 5) are attached as appendices. All Terms of Reference include a justification of how panel and/or committee members have been selected/appointed.

4. Equality Training Strategy

All individuals involved in the selection of staff, the consideration of individual staff circumstances or the appeals process are required to participate in Equality and Diversity training, which has been tailored to the specific requirements of the REF 2014. The training has been shaped by guidance provided by the Equality Challenge Unit (ECU) and by Stage 1 of the Equality Impact Assessment of the University's REF submission (see section 12). It ensures that all those involved in preparing the University's submission are informed about the University's moral, ethical and legal responsibilities regarding Equality and Diversity in the REF 2014 process. The training has and will continue to be delivered by the University's Equality and Diversity Manager.

5. Communication Strategy

Information about the REF 2014 submission and the Code of Practice will be disseminated via the following means:

1. Communications and Briefings from UoA Coordinators/Faculty Directors of Research
2. REF Blackboard
3. The University Website
4. Regular REF Briefings
5. StaffNet notice
6. Email to all eligible staff including staff currently away from work.

6. Disclosure of Personal Circumstances

CCCU is keen that all eligible staff who have conducted excellent research in the relevant timeframe are included in the University's submission to the REF 2014. For this reason we strongly encourage staff to disclose, in confidence, any circumstances which may have limited the number of outputs they were able to produce in the relevant timeframe. All academic staff have been sent an email requesting that they complete the Expression of Interest and Individual Circumstances Disclosure Form (see Appendix 6) if they wish to be considered for submission in the REF 2014.

The *REF Assessment Framework and Guidance on Submissions and Panel Criteria and Working Methods* provide clear guidance on the types of circumstances the University is permitted to take into account and the reduction in outputs permitted for specific circumstances (for example, pregnancy).

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

- i. Early career researcher (started career as an independent researcher on or after 1 August 2009 and held a relevant contract of 0.2 FTE or more)
- ii. Part time employment
- iii. Career break or secondment outside of the higher education sector in which the individual did not undertake academic research
- iv. Maternity leave, statutory adoption leave, and additional paternity leave (taken by partners of new mothers or co-adopters)
- v. Disability (including conditions such as cancer and chronic fatigue)
- vi. Ill health or injury
- vii. Mental health conditions
- viii. 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.
- ix. Other caring responsibilities (including caring for an elderly or disabled relative)
- x. Gender reassignment

If research outputs are affected by other circumstances, not including teaching and administration that are not listed above, staff have been asked to detail them on the disclosure form.

The information returned for individual circumstances must be based on verifiable evidence. Where this is not already held by HR, staff will be asked to attach / submit evidence to support their case. This evidence will be made available to the Individual Circumstances Panel. The name, department and UoA will only be known to the Deputy Director of the Research and Enterprise Development Centre (RED) and the HR advisor where evidence requires verification.

7. Data Protection and Confidentiality

The University has a robust and confidential procedure for gathering and assessing information. The information disclosed will only be used for the purposes outlined on the disclosure form unless the University is otherwise directed by the member of staff concerned (for example to use the information to make adjustments with regard to disability).

The way in which data will be processed and disclosed is clearly outlined on the Expression of Interest and Personal Circumstances Disclosure form. All data will be stored in accordance with the REF Assessment Framework and Guidance on Submissions and the Data Protection Act 1998.

8. Unit of Assessment (UoA) Selection

The UoAs which the University submits to the REF 2014 will be identified according to the following criteria:

- A critical mass of research active academic staff, each with the requisite number of excellent research outputs;
- The ability to produce the required number of case studies that demonstrate the impact of research conducted within that UoA;
- A vibrant and sustainable research environment.

9. Staff Selection Process

Staff eligible for consideration for submission to the REF 2014 are clearly defined in Part 3 of the *Assessment Framework and Guidance on Submissions*, available on the CCCU Blackboard and the HEFCE website. The categories eligible are:

- Category A: Academic staff with a research-only or teaching and research contract of 0.2FTE or more on the 31st October 2013;
- Category C: Individuals employed by an organisation other than an HEI, whose role includes the undertaking of research, and whose research is primarily focussed within the remit of the submitting unit on the 31st October 2013.

Eligible staff will be selected for submission according to the following criteria:

- The fit of their research with one of the UoAs (see Table 1). This may mean that some staff are submitted to UoAs outside of their department if there is a better fit elsewhere;
- The quality of their research outputs, as determined by rigorous review and the quality thresholds set out in Appendix 7;
- The requisite number of outputs, as determined by their individual staff circumstances.

The inclusion of individual staff members in the Outputs, Environment or Impact sections of the REF 2014 submission may not be consistent; a staff member may be included in one, all or a combination of sections so long as their research fits with one of the UoAs to which the University intends to submit.

10. Quality Thresholds

The University has elected to use a devolved approach to assessing quality of outputs for submission. This means that decisions about the quality of outputs and the subsequent inclusion of staff will be made at UoA level. All submitted outputs will be expected to meet the criteria set out in Appendix 7. These criteria have been agreed and approved by all UoAs and the University REF Steering Committee chaired by the Pro Vice-Chancellor Research and Knowledge Exchange.

Table 1: Proposed Units of Assessment

Unit of Assessment

Agriculture, Veterinary & Food
Science

Allied Health Professions, Dentistry,
Nursing and Pharmacy
Business & Management Studies

Education
English Language and Literature
History
Communication, Cultural & Media
Studies, Library & Information
Management

Music, Drama, Dance and Performing
Arts

Politics & International Studies

Sport & Exercise Sciences, Leisure
and Tourism

Theology and Religious Studies

11. Feedback and Appeals

All staff who have submitted an expression of interest will receive feedback in time for them to be able to discuss the decision with their UoA Coordinator, and if necessary appeal against it if they wish to do so. Staff who expressed an interest but were not included in the REF 2014 submission, will have the opportunity to

meet with the relevant Faculty Research Director to discuss what support can be put in place to assist potential inclusion in future REF submissions.

Records of the decisions and feedback will be kept by the UoA Coordinator and the Individual Circumstances Panel. Attention will be given to the requirements of the Data Protection Act 1998 and Freedom of Information in these records.

Any individual who feels that they have been unfairly excluded from any part of a UoA's submission or do not agree with the number of outputs they are required to submit, has the right to appeal.

An appeal is only appropriate if the University's published REF 2014 procedures have not been followed or if discrimination is believed to have occurred. Appeals against the academic judgements of the REF Steering Committee about quality of outputs and decisions of the Individual Circumstances Panel about number of outputs are not permitted. Appeals will be dealt with in timely fashion to ensure relevant staff are able to re-apply if appeals are upheld. This will involve reconsideration of the individual's outputs and/or circumstances.

In the first instance appeals must be addressed in writing to the Pro-Vice Chancellor (Academic) who is not directly involved in decisions about the inclusion of staff, with a copy sent to the Deputy Director (RED) for audit and procedural purposes. The appeal will be considered by the PVC (Academic) above and an impartial Faculty Director of Research.

The appellant and the UoA Coordinator will be invited to meet with the PVC (Academic) and Faculty Director of Research and present their cases within four weeks of receipt of the appeal. The final decision with an explanation will be communicated to the appellant before the REF submission deadline and within two weeks of the meeting. For practical reasons concerning the submission it will not be possible to consider appeals submitted after 31st July 2013.

12. Equality Impact Assessment

The University has an Equality Impact Assessment procedure which operates in two stages. The first stage makes an initial assessment of the likelihood of the differential impact on particular groups of people of the policy or process under consideration. If the likelihood is considered to be low, the policy is kept under review. If the likelihood is considered to be medium or high, the policy proceeds to the second stage which is an in-depth assessment of all the available evidence.

This Code of Practice has been through the first stage of the Equality Impact Assessment process. As no staff have been selected for submission to the REF 2014 at this time, the following data were used for the initial assessment:

1. University Equality Impact Assessment (EIA) data from the Research Assessment Exercise (RAE) 2008
2. University staff equality data reports
3. University staff survey (2008 and 2011) data
4. HEFCE reports of equality data analysis from the RAE 2001 and RAE 2008
5. Evidence presented by the REF Steering Committee and other interested parties
6. Training case studies provided by the Equality Challenge Unit (ECU).

The standard University report form for the first stage of the Equality Impact Assessment can be found in Appendix 8. A number of discrepancies are apparent from both national and institutional data relating to previous research assessment exercises. In light of these, the Code of Practice was assessed as medium risk. Due regard has been taken of the issues identified in the initial assessment in the drafting of this Code of Practice.

A full Stage 2 Equality Impact Assessment will be conducted following the University's mock submission exercise. A data set containing the available equality data for the group of eligible staff will be compared with an identical data set for the group of staff actually submitted for the mock submission. Both data sets will also be compared with data from the Equality Impact Assessment conducted on the University's submission to the RAE 2008 and with the other data sets outlined above. Staff will also be invited to provide feedback on their experience of the mock submission.

Any lessons from this analysis that can benefit staff and be applied within the framework of the Code of Practice, will be implemented prior to the University's final submission to the REF 2014. A further full Stage 2 Equality Impact Assessment, following the process detailed above, will be conducted following the University's final submission to REF 2014. The results of the Equality Impact Assessment, including any actions taken to prevent discrimination or promote equality, will be published on the University's website.

Appendix 1

REF NATIONAL TIMETABLE

2010	
March 2010	Publication of ' Initial decisions ' by the funding bodies on the conduct of the REF (HEFCE Circular letter 04/2010)
July 2010	Publication of ' Units of assessment and recruitment of expert panels ' (REF 01.2010)
November 2010	Publication of reports on the REF impact pilot exercise
2011	
February 2011	Panel membership announced
March 2011	Publication of ' Decisions on assessing research impact ' (REF 01.2011)
July 2011	Publication of ' Assessment framework and guidance on submissions ' (REF 02.2011)
End of July 2011	Publication of draft panel criteria and working methods (REF 03.2011) for consultation
5 October 2011	Close of consultation on panel criteria and working methods
2012	
January 2012	Publication of ' Panel criteria and working methods ' (REF 01.2012)
March - December 2012	Higher Education Institutions (HEIs) can request multiple submissions and impact case studies requiring security clearance
27 April 2012	First (optional) deadline for HEIs to submit their codes of practice on the selection of staff
May 2012	HESA data for academic years 2008-09 to 2010-11 provided to HEIs
31 July 2012	Final deadline for HEIs to submit their codes of practice on the selection of staff
September 2012	Pilot of the submissions system and publication of submission system user guidance
October - December 2012	Survey of submissions intentions
2013	
January 2013	Launch of submissions system
March - June 2013	Appointment of additional assessors to panels
April 2013	HESA data for academic years 2008-09 to 2011-12 provided to HEIs
31 July 2013	End of assessment period (for research impacts, the research environment and data about research income and research doctoral degrees awarded)

31 October 2013		Census date for staff eligible for selection
29 November 2013	Closing date for submissions	
31 December 2013	End of publication period (cut-off point for publication of research outputs, and for outputs underpinning impact case studies)	
2014		
Throughout 2014	Panels assess submissions	
December 2014	Publication of outcomes	
2015		
Spring 2015	Publication of submissions, panel overview reports and sub-profiles	

<http://www.ref.ac.uk/timetable/>

20/07/2012

Appendix 2

UNIVERSITY CODE OF PRACTICE and REF SUBMISSION SCHEDULE

UNIVERSITY REF CODE OF PRACTICE ON THE FAIR AND TRANSPARENT SELECTION OF STAFF TIMETABLE

24 February 2012	Draft REF Code of Practice to REF Steering Committee
25 April 2012	Draft REF Code of Practice to Equality & Diversity Committee
2 May 2012	Draft REF Code of Practice to Research & KE Committee
29 May 2012	Final draft of REF Code of Practice to SMT
June 2012	Final draft of REF Code of Practice to REF Steering Committee
26 June 2012	Final version of REF Code of Practice to Governing Body
27 June 2012	Final version of REF Code of Practice to Academic Board
31 July 2012	Code of Practice signed off by Vice-Chancellor to HEFCE

UNIVERSITY REF SUBMISSION TIMETABLE

DATE	SUBMISSION	OUTCOMES
28 June 2012	Mock submission Phase 1	Staff & outputs: Firm & conditional Impact case study – one per UoA Income identified Doctorates completed identified
20 December 2012	Mock submission Phase 2	Staff & outputs: Firm & conditional Two impact case studies All environment sections completed
8 February 2013	Complete analysis of Mock Phase 2	Stage 2 Equality Impact Assessment of mock submission
28 June 2013	Draft submissions	Staff & outputs: Firm finalised Impact case studies completed Environment sections completed
30 June 2013	Expressions of Interest Deadline	Forms received and processed
31 July 2013	Final Appeal Deadline	Appeals received and processed
31 October 2013	Final draft submission	
31 October – 20 November 2013	Fine-tuning submissions	
29 November 2013	Final date for submission	
January 2014	Equality Impact Assessment	Final Equality Impact Assessment of full submission and full report

Appendix 3

CANTERBURY CHRIST CHURCH UNIVERSITY RESEARCH EXCELLENCE FRAMEWORK (REF) STEERING COMMITTEE TERMS OF REFERENCE

1. PURPOSE AND ACCOUNTABILITY

The REF Steering Committee's role is to oversee and coordinate all aspects of the University's submission to the 2014 Research Excellence Framework. The Committee is accountable to the Research & Knowledge Exchange Committee.

2. MEMBERSHIP

The membership of the REF Steering Committee has been determined by the roles of the individual members. The process for recommending UoA Coordinators is outlined in each UoA Panel Terms of Reference.

- Pro-Vice Chancellor (Research & Knowledge Exchange) – Chair
 - Faculty Directors of Research
 - Unit of Assessment (UoA) Coordinators
 - Equality and Diversity Manager
 - Academic Research Lead (Research and Enterprise Development Centre - RED)
 - Deputy Director (Research and Enterprise Development Centre - RED)
 - Human Resources Advisor
- In attendance: REF and Research Coordinator

3. TERMS OF REFERENCE

- To oversee and manage the University's submission to REF 2014.
- To select UoAs to be submitted
- To appoint UoA coordinators, nominated by Deans
- To develop and implement the University's REF Code of Practice.
- To advise on and approve individual UoA submission strategies and oversee their implementation.
- To ensure that the processes for the submission to each UoA are transparent and equitable.
- To ensure all staff involved in decision making participate in Equality and Diversity training.
- To report progress to the Research and Knowledge Exchange Committee.
- To maintain and monitor the REF risk register.
- To convene smaller working groups as appropriate to undertake specialist work (e.g. developing the Code of Practice, evaluating individual staff circumstances).
- To advise on and evaluate impact statements and case studies.
- To oversee and manage the University's mock submission prior to the final REF submission.

- To oversee the Equality Impact Assessment of the REF submission
- To co-opt appropriate members of the University when particular issues are under discussion.

4. QUORUM

- Pro-Vice Chancellor (Research & Knowledge Exchange) or delegated Deputy Chair.
- Seventy five per cent of UoA coordinators or their delegated alternate.
- One member of the Research and Enterprise Development Centre.

5. FREQUENCY

The Group will meet at least four times a year with additional meetings as required.

Appendix 4

CANTERBURY CHRIST CHURCH UNIVERSITY RESEARCH EXCELLENCE FRAMEWORK INDIVIDUAL CIRCUMSTANCES PANEL - TERMS OF REFERENCE

1. PURPOSE AND ACCOUNTABILITY

The role of the Individual Circumstances Panel is to review requests for reduced outputs from staff wishing to be included in the REF submission and to approve or disallow the requests. The Panel is accountable to the REF Steering Committee.

2. MEMBERSHIP

The membership of the Individual Circumstances Panel has been determined by the roles of the individual members.

- Pro-Vice Chancellor (Research & Knowledge Exchange) – Chair
 - Equality and Diversity Manager
 - Deputy Director (Research and Enterprise Development Centre - RED)
 - Human Resources Advisor
 - Disability Manager (co-opted as necessary)
- In attendance: REF and Research Co-ordinator

All members of the Individual Staff Circumstances Panel will undertake specific REF Equality and Diversity training.

3. TERMS OF REFERENCE

The Individual Staff Circumstances Panel will:

- i. Develop and implement the process for the consideration of individual staff circumstances for the REF submission in line with the University's Code of Practice.
- ii. Consider clearly defined staff circumstances for the REF submission and determine reductions in outputs where appropriate, in line with the HEFCE assessment criteria and working methods.
- iii. Consider in detail complex staff circumstances for the REF submission and determine reductions in outputs where appropriate, in line with the HEFCE assessment criteria and working methods.
- iv. Review evidence provided about individual circumstances.
- v. Comply in full with all relevant legislation, including Equality and Diversity and Data Protection laws.

4. FREQUENCY

The Individual Circumstances Panel will meet as required throughout the preparation for the REF submission. The first meeting of the Panel will be during the mock submission at which time working methods will be decided.

Appendix 5

UNIT OF ASSESSMENT (UoA) STEERING COMMITTEE TERMS OF REFERENCE

1. PURPOSE AND ACCOUNTABILITY

The UoA Steering Committee's role is to oversee and coordinate the UOA's submission to the 2014 Research Excellence Framework. The Committee will ensure that the UOA submission is of the highest quality and is achieved in a fair and transparent way in accordance with the institutional Code of Practice. The Committee is accountable to the CCCU REF 2014 Steering Committee.

2. TERMS OF REFERENCE

- To communicate effectively to the Faculty and Department about the REF and engage staff in the process
- To establish a clear timeline of activities and targets
- To consult with appropriate 'critical friends'
- To agree UoA criteria and objectives
- To agree a process of collation and assessment of research outputs, evaluated against the UoA criteria and objectives, and evaluation decisions about inclusion of staff
- To review and recommend staff and publications to be submitted
- To review and agree the case studies to be included and their content
- To review and agree the impact template and the environment template
- To provide feedback to staff with regard to their selection
- To ensure that the processes for the selection of staff and of case studies are transparent and equitable in accordance with the institutional Code of Practice
- To report progress to the REF Steering Committee.
- To oversee and assist in preparing the UoA's input into the University's mock submission and the final REF submission.

3. MEMBERSHIP

- UOA Coordinator – Chair (Nominated by the Faculty Dean with advice from the Faculty Director of Research and Pro-Vice Chancellor (Research and Knowledge Exchange))
- Faculty Research Director or nominee
- Dean or nominee
- Two (minimum) to four (maximum) additional academic staff (approved by the Faculty Research Director, or Dean if s/he is the UoA Co-ordinator)
- UoA Coordinator from another UoA (optional additional member).

4. QUORUM

- UoA Coordinator
- Faculty Research Director (or nominee), or Dean (or nominee)
- Minimum of four members in total.

Appendix 6

EXPRESSION OF INTEREST AND STAFF DISCLOSURE FORM AND COVERING NOTE

All staff are asked to read the text below before completing the Expression of Interest and Individual Circumstances Disclosure form

The Research Excellence Framework (REF) is the new system for assessing the quality of research in Higher Education Institutions (HEIs) in the UK, and replaces the Research Assessment Exercise (RAE), last conducted in 2008.

Institutions are required to submit staff in particular subject areas known as Units of Assessment (UoA) of which there are 36. There are four national main REF panels and expert sub-panels for each UoA which will rate the outputs (weighted at 65%), the impact (weighted at 20%) and the environment (weighted at 15%) of each UoA submission.

Research conducted between 1st January 2008 and 31st December 2013 is eligible for submission. The outcomes for each UoA submission will be publically reported at the end of 2014, including the number of staff submitted and the percentage of the unit's work rated as world leading (4*), internationally excellent (3*), internationally recognised (2*) nationally recognised (1*) and unclassified. Only research rated 3* and above will form the basis of future funding.

The University made submissions to the RAE in 1996, 2001 and again in 2008 - when seven UoAs were submitted. In two of these, Education and Music, some of the research was rated as world leading and in the remaining five, Allied Health Professions and Studies, English, History, Sport Related Studies and Theology, Divinity and Religious Studies, a proportion of the research was rated as internationally excellent.

As a result the University receives funding from HEFCE to support research activity across the University. In its Strategic Plan 2011-15 the University cites an ambition to increase the number of UoAs submitted to the forthcoming REF in comparison with the previous RAE.

It is currently proposed the University will submit the following UoAs:

Agriculture, Veterinary & Food Science
Allied Health Professions, Dentistry, Nursing and Pharmacy
Business & Management Studies
Education
English Language and Literature
History
Communication, Cultural & Media Studies, Library & Information Management
Music, Drama, Dance and Performing Arts
Politics & International Studies
Sport & Exercise Sciences, Leisure and Tourism
Theology and Religious Studies

Canterbury Christ Church University is committed to ensuring that decisions about selecting staff for the Research Excellence Framework (REF) are made in a fair, transparent and consistent manner. Information on how eligible staff will be selected for submission to the REF can be found in the University's REF Code of Practice which can be found on the CCCU REF webpages.

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

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

- Early career researcher (started career as an independent researcher on or after 1 August 2009 and held a relevant contract of 0.2 FTE or more)
- Part-time employment
- Career break or secondment outside of the higher education sector in which the individual did not undertake academic research
- Maternity leave, statutory adoption leave, and additional paternity leave (taken by partners of new mothers or co-adopters)
- Disability (including conditions such as cancer and chronic fatigue)
- Ill health or injury
- Mental health conditions
- Constraints relating to pregnancy, maternity, breastfeeding, adoption, paternity or childcare **in addition to** periods of maternity, statutory adoption or additional paternity leave taken. This could include for example, pregnancy related illness and health and safety restrictions in laboratory and field work.
- Other caring responsibilities (including caring for an elderly or disabled relative)
- Gender reassignment

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

In determining the number of outputs staff are required to submit, the institution will observe the definitions of individual staff circumstances provided in the published REF 'Panel criteria and working methods' (January 2012) available at www.ref.ac.uk under 'Publications'.

What action do I need to take?

If you are eligible and wish to be considered for inclusion in REF 2014, you are required to complete the REF 2014 Expression of Interest and Individual Circumstances Disclosure form.

If further information is required about any circumstances disclosed, you will be contacted by the Deputy Director of the Research and Enterprise Development Centre (RED).

Who will see the information that I provide?

Within the University, the information that you provide will only be seen by the Individual Circumstances Panel if a reduction in outputs is requested. The name, department and UoA will only be known to the Deputy Director (RED) and the HR advisor where evidence requires verification. The Terms of Reference and Membership of the Panel are listed in the University's Code of Practice which can be found on the CCCU REF webpages.

Members of the Individual Circumstances Panel handling individual staff circumstances will observe confidentiality and all information will be processed and stored in accordance with the REF Assessment Framework and Guidance on Submissions and the Data Protection Act 1998.

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

- **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 Panel, the REF Main Panel Chairs and the UK funding bodies' REF team. This will be information to explain the impact on your research of circumstances such as disability, ill health, injury, mental health conditions, gender reassignment, caring responsibilities or constraints relating to pregnancy, maternity, breastfeeding, adoption and paternity (in addition to the period of leave taken). This information will **not** be seen by the REF sub-panel.

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

What if my circumstances change?

The University 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 form from the CCCU REF webpages.

Please see over....

Canterbury Christ Church University

REF 2014 Expression of Interest and Individual circumstances disclosure form

By completing this form you are registering your request to be considered for submission to the REF 2014. Please return the form to Nick Williamson.

Name	
Department	
Unit of Assessment (if known)	

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 REF

No further information required. Your contact details will be passed to the relevant UoA Coordinator or Director of Research who will be in touch.

- 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 – this information will only be seen by the Deputy Director (RED) unless you subsequently request a reduction in outputs. Your contact details only will be passed to the relevant UoA Coordinator or Director of Research who will be in touch.

- In completing this form I am seeking a reduction in research outputs.

Please complete sections two and three. This information will be shared with the Individual Circumstances Panel. The name, department and UoA will only be known to the Deputy Director of the Research and Enterprise Development Centre (RED) and the HR advisor where evidence requires verification. The decision of the panel will be communicated to the relevant UoA Coordinator but not the information contained in Sections 2 and 3 of this form. Your contact details only will be passed to the relevant UoA Coordinator or Director of Research who will be in touch.

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 available.

My contact details for this purpose are:

Email	
Telephone	
Preferred method of communication	

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

Please see over....

Section three

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

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

Circumstance	Information required
Early career researcher (see Code of Practice for definition)	Date on which you became an early career researcher
Information	
Part-time employee	FTE, dates and duration in months
Information	
Career break or secondment outside of the HE sector	Dates and duration in months
Information	
Maternity leave, statutory adoption leave, or additional paternity leave (taken by partners of new mothers or co-adopters)	For each period of leave state which type of leave was taken and the dates and duration in months
Information	
Disability (including conditions such as cancer and chronic fatigue)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Dates and duration in months
Information	
Mental health condition	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Dates and duration in months
Information	

Ill health or injury	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Dates and duration in months
Information	
Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare <i>in addition to</i> periods of maternity, adoption or additional paternity leave taken.	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Dates and duration in months
Information	
Other caring responsibilities (including caring for an elderly or disabled relative)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Dates and duration in months
Information	
Gender reassignment	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Dates and duration in months
Information	
Other exceptional and relevant reasons, not including teaching or administrative work	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Dates and duration in months
Information	

Please see over.....

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 Individual 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. (Where permission is not provided Canterbury Christ Church University will be limited in the action it can take).

Signature: Date:

(Staff member)

Canterbury Christ Church University

For official use only

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

- 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.

If [name of staff member] wishes to appeal against the process by which this decision was arrived at, s/he will need to do so by [insert date] and details of the appeals process can be found at [insert web address].

Signature:Date:

(Professor Tony Lavender, Pro-Vice Chancellor Research and KE)

Signature:Date:

(Mr Nick Williamson, Deputy Director Research and Enterprise Development Centre)

Appendix 7

UNIT OF ASSESSMENT CRITERIA FOR THE SELECTION OF STAFF IN RELATION TO OUTPUTS FOR REF 2014

GENERAL REF CRITERIA FOR INCLUSION OF RESEARCH OUTPUTS

Submissions must include up to four items of research output listed against each staff member included in the submission. Staff are eligible to submit less than four outputs if they meet the individual circumstances criteria. 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 Annex C of 'Assessment framework and guidance on submissions'.)
- 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.
- c. Produced or authored solely, or co-produced or co-authored, by the member of staff against whom the output is listed, regardless of where the member of staff was employed at the time they produced that output.

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. An underpinning principle of the REF is that all forms of research output will be assessed on a fair and equal basis. Sub-panels will not regard any particular form of output as of greater or lesser quality than another per se. Reviews, textbooks or edited works (including editions of texts and translations) may be included if they embody research as defined in Annex C.

QUALITY CRITERIA: ALL UNITS OF ASSESSMENT

For academic staff to be included in the REF, individual staff output profiles must meet the criteria above as well as having:

- An output profile with a potential mean of 2* quality
or
- A mean output profile of less than 2* where there is the potential for one or more outputs to achieve 3*/4* rating.

Equality Impact Assessment: Stage One

All fields are mandatory

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

Research Excellence Framework (REF) 2014 Code of Practice on the Selection of Staff

2. Who creates the policy and who implements it?

Develops:

Pro-Vice Chancellor Research and Knowledge Exchange, Equality and Diversity Manager, Deputy Director Research and Enterprise Development Centre (RED)

Approves:

REF Steering Committee, Equality and Diversity Committee, Research and Knowledge Exchange Committee, Senior Management Team, Academic Board, Governing Body.

Implements:

REF Unit of Assessment (UoA) Coordinators and Steering Committees, REF Steering Committee, Faculty Deans, Senior Management Team, Individual Circumstances Panel.

Monitors:

REF Steering Committee, Research and Knowledge Exchange Committee, Academic Board, Equality and Diversity Committee.

3. Who is conducting this initial assessment (if different from above)?

Equality and Diversity Manager, Pro-Vice Chancellor Research and Knowledge Exchange, Deputy Director RED.

4. What is the aim, objective or purpose of the policy?

To ensure that all eligible staff, who have conducted excellent research in a UoA with sufficient staff for submission and in the designated timeframe, are included in the University's submission to the REF 2014. To ensure that the process of selection is conducted fairly and transparently and that all staff are treated with dignity and respect.

5. Who are the main stakeholders or people affected by the policy?

All academic staff with a contract of employment of 0.2 FTE or greater on the University's payroll on 31st October 2013 and whose primary employment function is to undertake either research only or teaching and research (category A staff as defined by HEFCE).

Staff employed elsewhere but whose role (as defined by their employer) includes research primarily focussed in one of the University's UoA's (category C staff as defined by HEFCE).

6. Is the policy applied uniformly throughout the university?

If no state why not

The Code of Practice will be applied uniformly across all UoA's in the University (though not all academic departments may be involved in a UoA).

7. What data are available to facilitate the screening of this policy? (e.g. numbers and profiles of people affected by the policy)

Data available to aid this screening include:

- I. University Equality Impact Assessment (EIA) data from the Research Assessment Exercise (RAE) 2008.
- II. University staff equality data reports.
- III. University staff survey (2008 and 2011) data.
- IV. HEFCE reports of equality data analysis from the RAE 2001 and RAE 2008.
- V. Evidence presented by the REF Steering Committee and other parties.
- VI. Training case studies provided by the Equality Challenge Unit (ECU).

8. Beside each of the protected characteristics below please outline any evidence that the group has different needs, higher or lower participation, uptake or exclusion in relation to this policy.

N.B: A broad interpretation should be taken of the word 'evidence', including anecdotal evidence and evidence from qualitative or quantitative analysis where available. Please outline what the existing evidence is.

Age:

The University EIA data from the RAE 2008 does not contain any age related discrepancies. However the case studies provided by the ECU indicate the potential for age related discrimination within the selection process. This has been addressed in training sessions provided to all staff with responsibility for selecting staff for submission. There is an age related component to gender discrepancies identified in the national data set and this is discussed under Gender below.

Disability:

At a national level, fewer disabled staff were selected for the RAE 2001 and 2008

than non-disabled staff. However modelling indicated that other factors (such as subject area) may explain the differences more readily than disability status. At University level, for the RAE 2008, the numbers of disabled staff both in the academic population as a whole and amongst submitted staff, were too small for meaningful analysis. However there has been a significant increase in disability disclosure in recent years (from 1.3% in 2008 to 7.1% in 2011) so more meaningful analysis should be possible for the REF 2014.

Ethnicity:

At a national level, for the RAE 2001 and 2008, the selection rates were similar for all ethnic groups except staff in the Black ethnic group whose selection rate was lower. The lower selection rate was not explained when other factors were taken into account. Despite this, the HEFCE report says: "bibliometric evidence suggests that the differences may be due to a weakness in the proxies for research output quality included in the quantitative analysis rather than an unjustifiable bias in selection." (Selection of Staff for Inclusion in RAE 2008, HEFCE, 2009).

At University level, for the RAE 2008, the numbers of Black and Minority Ethnic (BME) staff both in the academic population as a whole and amongst submitted staff, were too small for meaningful analysis. The data analysis for Stage 2 of this Equality Impact Assessment will be designed to take this issue into account.

Faith or Belief:

There is no data available for this protected characteristic at national or institutional level and it did not feature in any of the case studies provided by the ECU. It is however possible that discrimination can occur on the grounds of faith or belief and this has been addressed in training sessions provided to all staff with responsibility for selecting staff for submission.

Gender:

At a national level in both the RAE 2001 and the RAE 2008 there was a difference in the selection rates for men and women. For example in the RAE 2008 67% of men and 48% of women were selected. When age is considered in combination with gender, the differences are most apparent in 30-50 age range. The HEFCE report suggests that bibliometric evidence for 2001 indicates that the lower selection of women in this age band is due to their research record rather than bias in the selection process, which in turn could reflect deeply rooted inequalities in the research careers of men and women.

At an institutional level, the EIA data from the RAE 2008 indicated that the selection rates for women were lower than for men. However, in considering the cause of this, other factors were taken into account, for example, the high number of female staff on courses with particularly heavy teaching loads (reflecting broader occupational segregation). Such contextual data will be required for the analysis of the REF 2014 submission data.

Part-time:

No data analysis for this category is available at national or institutional level for the RAE 2008. However it will be incorporated into the EIA of the REF 2014.

Sexual orientation:

There is no data available for this protected characteristic at national or institutional level and it did not feature in any of the case studies provided by the ECU. It is however possible that discrimination can occur on the grounds of sexual orientation and this has been addressed in training sessions provided to all staff with responsibility for selecting staff for submission.

Other (please state):

There are a number of other circumstances which could impact adversely on a staff member's ability to participate in the REF 2014, for example caring responsibilities or gender reassignment. There is no evidence from the RAE 2008 at a national or institutional level about the impact of such circumstances.

Although the University does not routinely monitor and analyse staff data for these types of categories, the data for staff submitted to the REF 2014 will be compared where possible to data relating to these categories from the University staff surveys (2008 and 2011).

9. Considering the evidence available, the relevance and proportionality of the policy within the University, what do you consider to be the potential risk of differential impact on one or more groups (please tick one box)?

Low

Medium X

High

If the risk is Low, please note who will review the policy and when:

n/a

If the risk is Medium or High, please progress to Stage 2.

N.B. You will now need to forward this form to the Equality and Diversity Manager and update the University's Policy Register