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Part 1: Overview, purpose and guiding principles

Overview

1. The Research Excellence Framework 2014, (hereafter referred to as REF2014), is the new system for assessing the quality of research in higher education institutions in the UK, and replaces the Research Assessment Exercise (RAE), last conducted in 2008. The purpose of the exercise is to assess the quality of UK research and inform the selective allocation of research grants to institutions by the four UK higher education funding bodies with effect from 2015-16.

A culture of inclusivity

2. REF2014 is governed by three overarching principles: equity, equality and transparency. The University of Edinburgh embraces these principles and in doing so we strive to build a culture which supports inclusion, celebrates difference, challenges prejudice and promotes fairness. We aim to create a university community where all individuals are able to develop to their full potential so that they can contribute to the success of the University as a world-leading centre of academic excellence. It is recognised that individuals contribute to the goals of the University in different ways and not all eligible staff will be expected to be included in the REF2014 submission. **There will be individuals performing roles which support fully the objectives of their College or School, whose primary focus will not be directly research-oriented, where non-inclusion in the REF2014 submission will not affect a person's career opportunities within the University. The University takes a long term and holistic view of the output of its research active staff; no decisions about an individual's career trajectory will be taken solely on the basis of any one research assessment cycle.**

The purpose of the Code of Practice

3. The REF2014 Assessment Framework and Guidance on Submissions (Guidance on Submissions) (REF02.2011) (<http://www.ref.ac.uk/pubs/2011-02/>) and Panel Criteria and Working Methods (REF01.2012) (<http://www.ref.ac.uk/pubs/2012-01/>) provide the basis for the detailed advice contained in this Code. The purpose of this Code of Practice is to ensure the fair, equitable and transparent selection of staff for inclusion in the REF2014 submission based on the excellence of their research. This Code will provide staff with clear guidance about the process through which individuals will be selected for inclusion in the University's REF submission and provide those staff involved in the decision-making process with clear guidance and advice about how to apply the selection criteria in terms of equality and diversity. This information will be supplemented by tailored development and briefing sessions for all staff involved in the selection process. To this end, it is the purpose of this Code to **promote the principles of equality and diversity, and to comply with all relevant employment legislation.**

4. The University will therefore ensure that the criteria, policies and procedures that support the REF2014 process will be subject to equality analysis¹ to test their fairness. The outcome of the University's final Equality Analysis will be made openly available along with the actions taken to address any issues that arise.

¹ The term 'equality analysis' will be used throughout the document in place of the term 'equality impact assessment'. This is to avoid any potential confusion with the wider concept of 'impact' with the REF process.

5. The Code has been developed in light of the published REF2014 Guidance on Submissions and Panel Criteria, and in consultation with the University's Staff Committee, Trades Unions, the Research Policy Group (RPG), the Principal's Strategy Group (PSG), the Central Management Group (CMG), and the University Court.

6. The University will submit its Code of Practice to the REF Team by 27 April 2012, as required. The Code of Practice will be published by the REF Team as part of the University's submission, after the conclusion of REF2014.

Guiding principles

7. This code is underpinned by five guiding principles:

(a) Transparency: All information governing the processes that will determine the selection of staff for inclusion in the REF submission will be available in an easily accessible format and publicised to all academic and other relevant staff across the institution. This information will be available on the University web-site and drawn to the attention of those staff who are absent from work. The processes setting out how staff will be selected for submission are set out in Part 3. The Code is supported by a clear programme of communication to explain the selection process, which is attached at Appendix B.

(b) Consistency: The University is committed to ensuring that its staff selection policy is consistent across the institution and that the Code of Practice is implemented uniformly. The Code therefore sets out the principles (Appendix C) and criteria (Appendix D) that will be applied at all stages of the process where decisions will be made.

(c) Accountability: Individuals and bodies appointed to make decisions with respect to the selection of staff for the REF submission will have clearly defined terms of reference and responsibilities. These are outlined in Appendices F and G.

Staff inclusion decisions, including any equality considerations, will be clearly recorded. These will not be published in the interests of confidentiality, but will be available to the individual staff members to whom the decision applies. All staff involved in the decision-making process will receive training and development in the use and application of the Code and related equalities legislation. The programme of development that all designated staff will undertake can be found at Appendix E.

(d) Inclusivity: The University is firmly committed to fostering and promoting an inclusive environment and will apply this code across all Units of Assessment (UoAs), enabling the University to identify all eligible² staff who have produced excellent research for submission to the REF.

(e) Application: The processes defined in this Code of Practice and the outcomes of selection decisions are only to be applied in the context of the REF. Being excluded from the REF submission will not in itself impact on status, pay or condition of service. The University stresses that submission to REF2014 is only one indication of the contribution made by that individual to the University of Edinburgh.

² Eligibility is as defined in the REF2014 Guidance on Submissions, Part 3, Section 1.

Part 2: Management and decision-making structures

Management of the University's REF2014 Submission : Designated Staff and Committees

8. The submission will be overseen by the Vice-Principal Planning, Resources and Research Policy, and will be managed by the Director of Planning, with support from the Governance and Strategic Planning team.

9. The Research Policy Group (RPG) will play a key role formulating the University's REF2014 submission strategy and policy. RPG will be the main forum for REF discussion and will make recommendations to the University's REF2014 Senior Management Group who will make the final decisions regarding the inclusion or exclusion of staff.

10. Each College and UoA have named Academic and Administrative Coordinators, who together are responsible for the management and administration of the REF2014 submission process in their area.

11. The College Administrative Coordinators group, chaired by the Director of Planning, has been established to oversee the administrative arrangements for REF2014. It will provide operational support to members of RPG in the exercise of their responsibilities.

University REF Equality & Diversity Review Group

12. The University has appointed a REF Equality & Diversity Review Group (E&D Review Group), to advise the University's REF2014 Senior Management Group, RPG, Heads of College and Heads of School on matters relating to equality and diversity. The Group comprises the Vice-Principal for Equality and Diversity, a representative from Human Resources, a representative from Governance and Strategic Planning, a College-appointed senior academic or professional manager from each of the Colleges of Humanities and Social Sciences, Science and Engineering, and Medicine and Veterinary Medicine, and the Honorary President of UCU Edinburgh, all of whom have been selected based on their experience and expertise of equality and diversity issues, as well as their knowledge of the REF2014 guidance. The E&D Review Group will:

- give particular advice on the application of this Code and highlight any relevant employment legislation that must inform decisions regarding staff inclusion in the University's REF2014 submission;
- review the University's REF2014 Equality Analysis at appropriate stages in the submission preparation process;
- consider anonymised individual circumstances submitted directly to Governance and Strategic Planning (see paragraphs 27 and 28);
- review anonymised complex individual staff circumstances to ensure that the appropriate tariffs are applied.

Part 3: The selection of staff for submission

Section 1: Decision-making levels

13. Decisions are made at three main levels and the timetable for the process is set out in Part 6:

- (i) UoA : decisions are made by the Head of School (or their nominee / equivalent) and/or UoA Academic Coordinator
- (ii) College : decisions are made by the Dean/Director of Research and/or Head of College
- (iii) University : decisions are made by the University's REF2014 Senior Management Group, upon the Research Policy Group's recommendations.

14. The **guiding principle** that will inform decisions regarding which staff will be submitted is that of **the quality of their research**. In making these assessments, the University will take due consideration of the REF2014 Guidance on Submissions (REF02.2011) and relevant Panel Criteria and Working Methods (REF01.2012).

15. The University's REF2014 Senior Management Group will make the final decisions about the Units of Assessment (UoAs) to which the University will submit, and the staff to be included, acting upon recommendations made by RPG. The decisions with respect to the selection of staff will be informed by the REF Equality & Diversity Review Group's recommendations.

16. The **criteria** that will be applied at each level (as defined above) of the decision-making process will be as follows:

- a) to consider the quality of an individual's research as the primary consideration
- b) then to consider the quantity of their research
- c) then to take into account any individual staff circumstances that may have affected the volume of a person's research or their ability to work productively during the assessment period.

17. At each level or stage of decision-making, panels, groups or individual senior officers (principally Heads of College, Heads of School (or nominees / equivalents) and Directors of Research, but also the Director of Planning, the Director of Human Resources and the Vice-Principal for Equality and Diversity, as appropriate), will inform their decisions by specific reference to the Guidance on Submissions; the relevant Panel Criteria and Working Methods; and this Code of Practice, with particular regard to the individual staff circumstances that will be taken into account under paragraph 16 (c) above. A full list of individual staff circumstances and the tariffs to be applied can be found in Part 3 : Section 5 and Appendix H, respectively.

18. **Recording decisions at each level or selection stage:** in the interests of consistency and in order to monitor the process effectively for identifying individuals whose circumstances might require special consideration, UoA Coordinators should use the relevant fields within the University's REF2014 submission preparation system (PURE) to evidence decisions and actions.

Section 2: The process by which submission quality thresholds will be set

19. Quality thresholds are proposed by Units of Assessment, agreed with the College, and approved by the University's REF2014 Senior Management Group based on the Research Policy Group's recommendations.

20. College Strategy and Planning Committees or equivalent will make decisions about threshold quality standards for the relevant UoA and these will be approved by the University's REF2014 Senior Management Group following consideration by RPG. Staff will be advised of the thresholds set via Heads of School (or nominees /equivalents) and Unit of Assessment Academic Coordinators.

Section 3: The process by which staff will be selected for submission

21. All meetings will keep formal records to show the purpose of the meeting, the decisions taken and the reasons for those decisions. When individual performance is discussed and the individual is absent, committees should be made aware of relevant facts relating to the individual, taking into account appropriate degrees of confidentiality relating to individual staff circumstances.

22. Heads of School (or their nominee / equivalent) and/or Unit of Assessment Academic Coordinators will make decisions with respect to the inclusion of individual staff based on the criteria set out in Paragraph 16. An individual's research must meet the UoA quality threshold set by the College Strategy and Planning Committee (or equivalent). Heads of College will exercise oversight of the process with respect to their College. In doing so, they will consider the recommendations of the UoA Academic Coordinators.

23. The University operates an Annual Review (AR) process which applies to all staff. This is a formal discussion in which each individual has the opportunity to discuss their performance, which is assessed against agreed objectives, as well as their development needs. The process supports an individual's career plans and, for academic staff, links their work to the overall strategic goals of their relevant School and College.

24. The AR discussion is normally conducted by an individual's line manager, but in some instances, particularly in large Schools, the Head of School may delegate this to another senior academic colleague, such as the Head of an Institute or Centre.

25. An individual's research performance and consideration of the quality of their research output will be discussed within this confidential meeting. These discussions may be complemented and informed by other related people management processes, such as probation for early career staff or promotion procedures. It is recognised that there are a number of people management policies that may be helpful in informing the decision-making process, e.g. academic re-grading or promotion and salary review, where applicable, all of which are evidence-based. By adopting this holistic approach, it is considered that as much relevant information about an individual's research record can be taken into account. The decision to include information in the AR meeting from other people management processes may be proposed by either the Head of School (or nominee / equivalent) or the individual member of staff.

26. All staff who are potentially eligible for selection to REF2014 are invited to complete a Staff Disclosure form to bring forward any individual circumstances covered by equality legislation that

s/he may wish to be taken into consideration. This can be undertaken within the AR discussion, or, where this has already taken place in 2012, outwith it. The Disclosure form is available from <https://www.wiki.ed.ac.uk/display/REF2014/Equality+and+Diversity>. This approach will ensure consistency of practice across the University by giving everyone eligible for consideration in the REF the opportunity to raise any individual circumstances that they consider to have had an impact on their ability to produce four outputs or work productively throughout the assessment period. The Head of School (or nominee / equivalent) may also take this opportunity to raise potentially applicable individual circumstances that have not been raised by the individual themselves.

27. In such circumstances, the University recognises the need to balance an individual's right to confidentiality with the need to ensure that those involved in making formal decisions are appropriately informed about requirements for special consideration. The University also recognises that the nature of some circumstances, perhaps especially those designated as 'complex' (see below), may be particularly sensitive. In such cases, staff will be afforded the opportunity to send this information directly to Governance and Strategic Planning³, stating how they wish this information to be used in the decision-making process (for example, whether the information may be shared with the Head of College or the College Director of Research).

28. Any details of individual staff circumstances sent directly to Governance and Strategic Planning will be considered anonymously by the E&D Review Group. The E&D Review Group will make a recommendation about the appropriate number of outputs that may be reduced without penalty to the Head of School (or their nominee / equivalent), without disclosing the nature of the circumstances themselves. In order to ensure that such recommendations are made in a timely fashion, the E&D Review Group will consider any such circumstances immediately upon receipt, and will provide a recommendation to the Head of School (or their nominee / equivalent) within 14 days.

Feedback and Review

29. Following consultation with the Head of College, Heads of School or their nominee / equivalent, will inform eligible staff who may not be included in the REF2014 submission of the reasons behind the decision in a confidential face-to-face meeting. These meetings should take place no later than the end of March 2013 and will include a review of any staff development issues arising as a result of these intentions.

30. Individuals who wish to make a case for inclusion in the REF submission, on the grounds of equality, should submit a written statement to his/her Head of School (or nominee / equivalent) no later than one week after this meeting.

31. Heads of Schools (or nominees / equivalents) are required to report the reasons for potential non-submission of any eligible individual member of staff to the University's REF Equality & Diversity Review Group in late April 2013. Heads of Schools (or nominees / equivalents) must:

- report the reasons for potential non-submission of any eligible individual
- include all Disclosure Forms completed by individual members of staff

³ REF2014@ed.ac.uk | REF Office, Governance and Strategic Planning, 212 Old College, South Bridge, Edinburgh EH8 9YL

- submit any written statements provided by individual staff which outline an individual's case for inclusion

An individual may be excluded from a submission for reasons either of the quality and/or volume of the work and Heads of Schools (or nominees / equivalents) are expected to report on these reasons. The E&D Review Group will meet in May 2013 and will consider each case in order to ensure that no member of staff is excluded from the submission on the grounds of circumstances that are covered by equalities legislation or any other relevant circumstances that may have significantly adversely affected his/her contribution to the submission (as per Part 3 : Section 5).

32. The E&D Review Group will communicate its findings and recommendations to the relevant Head of College for further discussion with the relevant Head of School (or nominee / equivalent). A member of staff who reported associated circumstances to his/her Head of School (or nominee / equivalent) and who submitted a case for inclusion in the REF submission, will be notified of the outcome by his/her Head of School (or nominee / equivalent) in writing by late June 2013.

Section 4: Appeals

33. The University has developed a bespoke appeals process to support the REF exercise in order to facilitate **equality-related appeals** to be dealt with expeditiously within the timeframe for the final REF submission.

Grounds for appeal

34. Any person who is dissatisfied, on the grounds of equality, with a decision that s/he may not be submitted may lodge an appeal to the Principal, care of the Director of Planning, setting out the grounds for appeal. The appeal must be evidence-based and refer to Part 3 : Section 5 below. All appeals must be lodged by mid-July 2013.

35. An appeal brought under this Code can only be on grounds of equality. Appeals regarding the **quality** of an individual's research will be considered under the University's normal Grievance Policy which may be found at <http://www.ed.ac.uk/schools-departments/human-resources/policies-guidance/discipline-grievance> and not under the terms of this Code.

36. A special University level group composed of senior officers with no previous involvement in the case, comprising a Vice-Principal, the Director of Human Resources and the Director of Planning, will be invited by the Principal to consider the case and make its recommendations to the Principal. The group will record the reasons for its recommendations.

37. The appellant and his/her Head of School (or nominee / equivalent) and Head of College will be notified of the outcome of his/her appeal in writing by August 2013.

38. The decision of the Principal is final.

Section 5: Individual staff circumstances

39. The Guidance on Submissions requires that up to four research outputs must be listed against each member of staff included in the institution's REF submission.

40. However, as a key measure to support equality and diversity in research careers, the Guidance permits individuals to be returned with fewer than four outputs without penalty in the assessment, where their circumstances have significantly constrained their ability to produce four outputs or to work productively throughout the assessment period. This measure is intended to encourage institutions to **submit all their eligible staff who have produced excellent research** and applies as follows:

- a) Circumstances with a **clearly defined** reduction in outputs, which are:
 - i. Qualifying as an early career researcher (on the basis set out in paragraph 72 of Part 1 of the Panel Criteria and Working Methods).
 - ii. Absence from work due to working part-time, secondments or career breaks (on the basis set out in paragraphs 73-74 of Part 1 of the Panel Criteria and Working Methods).
 - iii. Qualifying periods of maternity, paternity or adoption leave (on the basis set out in paragraphs 75-81 of the Panel Criteria and Working Methods).
 - iv. Other circumstances that apply in UoAs 1-6, as defined at paragraph 86 of the Panel Criteria and Working Methods.

- b) **Complex circumstances** that require a judgement about the appropriate reduction in outputs, which are:
 - i. Disability. This is defined in the Guidance on Submissions, Part 4, Table 2 under '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 – the allowances made in paragraph 75 of the Panel Criteria and Working Methods.
 - 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 the Guidance on Submissions or relating to activities protected by employment legislation.

41. For clearly defined circumstances, the University will refer to and be guided by Part 1 of the REF2014 Panel Criteria and Working Methods and other REF2014 guidance documents which

provide tariffs to determine the number of outputs that may be reduced without penalty in the assessment, depending on the duration of the circumstance (or combination thereof). The tariffs to be applied are provided in Appendix H.

42. For more complex circumstances, the University will make a judgement on the appropriate reduction in the number of outputs submitted, referring to and guided by REF2014 Panel Criteria and Working Methods and other REF2014 guidance documents (as per Appendix H). As far as is practicable, the impact of these circumstances on an individual's ability to work productively throughout the assessment period will be equated to the impact of clearly defined absences, and the number of outputs reduced in line with Table 2 of Appendix H. The University will also draw upon advice from the Equality Challenge Unit (ECU) who have provided worked examples of complex circumstances, indicating the appropriate reduction in outputs for a range of particular circumstances. These are available at www.ecu.ac.uk/our-projects/REF.

43. As per Part 1 of the Panel Criteria and Working Methods, where the University decides to include a combination of clearly defined and more complex circumstances relating to an individual, it will return these as 'complex' so that a single judgement can be made about the appropriate reduction in outputs, taking into account all the circumstances.

44. The University has developed this Code and its guidance on dealing with individual staff circumstances in accordance with REF2014 guidance published by the REF2014 Team and ECU.

Section 6: Confidentiality

45. Individual staff circumstances will be reported, as appropriate, to the REF2014 Assessment Panels using confidential Form REF1b. The REF2014 Panels require sufficient explicit information about how the circumstances have adversely affected an individual's contribution, but they do not require significant details about the circumstances. The information provided must be agreed upon by the individual and his/her UoA Academic Coordinator (or Governance and Strategic Planning, where the individual sent details of their circumstances directly to Governance and Strategic Planning).

46. Information submitted in form REF1b will be kept confidential to the REF Team and the Panel members (for clearly defined circumstances) and the Equality and Diversity Advisory Panel (EDAP) and main panel chairs (for complex circumstances), who are all subject to confidentiality undertakings in respect of all information contained in submission. Where complex circumstances have been submitted, the REF sub-panels will know that there are complex circumstances and will receive a decision about the appropriate number of outputs to reduce without penalty, but will not have access to further information about the circumstances. These arrangements will enable individuals to disclose the information in a confidential manner, and enable consistent treatment of complex circumstances across the exercise. The University will make use of Equality Challenge Unit REF1b templates in preparing these statements.

47. Information submitted in REF1b will be used only for the purposes of assessing the REF submission in which it is contained, will not be published at any time, and will be destroyed on completion of the REF.

Part 4: Monitoring arrangements

Equality Analysis

48. The University will conduct Equality Analyses (EAs) at critical points over the course of the REF2014 submission preparation period. These will provide a thorough and systematic analysis of the staff selection policy to determine whether this may have a differential impact on particular groups. The analysis will cover all eligible staff and will, where possible, engage and involve staff from protected groups to inform an EA. The EAs will analyse data on all the protected characteristics for which sufficient / reliable information is available. The findings from these exercises will be used to inform this Code of Practice to ensure that it is improved and enhanced, if required, as submissions are prepared.

49. The EA will be reviewed during the REF2014 submission preparation period to ensure that the University's decision-making processes are fair, transparent and equitable, specifically:

- (i) when the E&D Review Group meet to consider inclusion decisions
- (ii) when the Principal considers appeals
- (ii) when preparing the final submission.

50. The University will take appropriate action to address areas of potential discrimination and will also promote good practice more widely across other areas of REF work, where these have demonstrated a positive impact on equality.

51. The University will publish the final Equality Analysis conducted as part of this exercise after the submissions have been made, in keeping with good practice.

Monitoring

52. The Research Policy Group will monitor the processes described in this Code for identifying individuals whose circumstances might need special consideration. In accordance with the five principles of this Code, the University will ensure that its decisions are evidence-based and that its reasons and actions are recorded formally.

53. In order to assess the equity and fairness of decisions, the Equality & Diversity Monitoring and Research Committee (EDMARC) will prepare a report for RPG and the University's REF2014 Senior Management Group based on information and analysis derived from all Equality Analyses carried out so that they can be considered fully prior to any final decisions being made. A final report including any changes made to policies and processes will be prepared in December 2013 and will be made available on the University's REF website and to the REF team.

Part 5: Joint submissions

54. The University will share this Code of Practice with institutions with whom we make any joint submissions and will ensure that joint decision-making across institutions does not compromise adherence to the terms of this Code and its overriding principles.

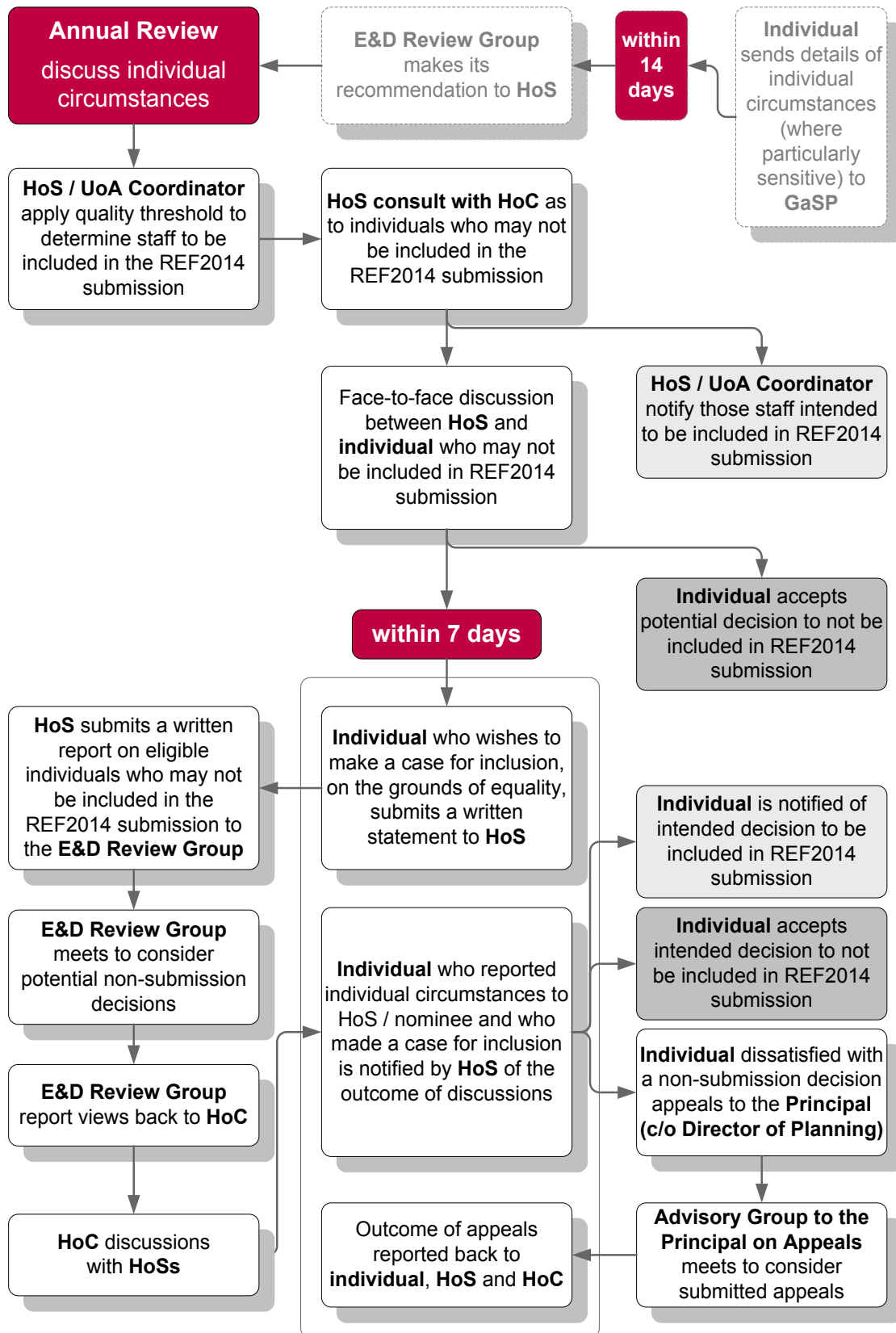
55. Selection of staff for Units of Assessment involving joint submissions will be made in the context of the entire submission. A common set of criteria for each joint submission and a joint selection process which adheres to the principles of both institutions' Codes of Practice will be agreed. For example, members of staff from the partner institution who are authorised to make selection decisions and other comparable individuals may be invited to hold joint selection approval meetings.

56. As part of the submission preparation process, appropriate members of staff from our joint submission partners will be made aware of the existence of individual staff circumstances and our internal assessment of the number of outputs to be returned without penalty, but they will not have access to any information about the circumstances.

Part 6: Timetable and process flow diagram

Item	Paragraph	Date
Introduction to REF2014 Seminars. Provide an overview of REF2014, and, among other topics, set out the aims, objectives and principles of the Equality and Diversity Code of Practice.		November 2011 to February 2012
Programme of seminars and briefing sessions to explain how the Code of Practice will work and the process for the selection of staff for submission. To cover methods to facilitate the confidential disclosure of relevant equality-related personal circumstances. Provide information on individual and institutional legal obligations regarding equality.	Appendix E	May 2012 through July 2012
Details of applicable individual circumstances (where these are particularly sensitive) sent directly to Governance and Strategic Planning	27	As soon as possible, and ongoing up to February 2013 [preferably at least 2 weeks prior to the scheduled Annual Review meeting with the Head of School (or nominee / equivalent)]
E&D Review Group makes its recommendation to the Head of School (or nominee / equivalent) where individual circumstances were sent directly to Governance and Strategic Planning	28	Up to 2 weeks after receipt
Individuals, through confidential discussions (Annual Review or otherwise) held with his/her Head of School (or nominee / equivalent), bring forward any individual circumstances that s/he may wish taken into consideration	23-26	As soon as possible, and ongoing up to March 2013
Following consultation with the Head of College, Heads of Schools (or nominee / equivalent) hold face-to-face discussions with eligible individual members of staff who may not be included in the REF2014 submission	29	Up to end March 2013
Individuals who wish to make a case for inclusion in the REF submission, on the grounds of equality, submit a written statement to his/her Head of School (or nominee / equivalent)	30	Up to 1 week after face-to-face discussion with HoS
Heads of Schools (or nominees / equivalents) submit written report on eligible individuals who may not be included in the REF2014 submission to E&D Review Group, and forward any written statements submitted by individuals	31	late April 2013
Preparation of interim EDMARC Report based on Equality Analysis conducted at key stages of the selection process	48-50	April / May 2013
E&D Review Group meets to consider potential non-submission decisions	31	May 2013
E&D Review Group report views back to Heads of Colleges	32	May 2013

Item	Paragraph	Date
Members of staff who reported associated circumstances to his/her Head of School (or nominee / equivalent) and who made a case for inclusion in the REF submission are notified by the Head of School (or nominee / equivalent) of the outcome of discussions between the Head of College and Head of School (or nominee / equivalent)	32	by late June 2013
Any individual dissatisfied with a non-submission decision may appeal to the Principal, c/o the Director of Planning	33-36	mid-July 2013
Outcome of appeals reported back to individual members of staff and to the relevant Head of School (or nominee / equivalent) and Head of College	37	August 2013
Preparation of final EDMARC Report	53	December 2013
REF Submission	-	29 November 2013
Publish the outcome of Equality Analysis and any actions taken avoid discrimination and to promote good practice	53	February 2014



HoS in the above diagram refers to the Head of School, or their nominee / equivalent.

Appendix A

University Equality & Diversity Policies

Equality & Diversity website

<http://www.ed.ac.uk/schools-departments/equality-diversity>

Equality & Diversity strategy

<http://www.ed.ac.uk/schools-departments/equality-diversity/about/strategy-action-plan>

Equality & Diversity policies

including details of how we support fixed term and part-time staff

<http://www.ed.ac.uk/schools-departments/equality-diversity/legislation-policies/policies>

Dignity and Respect policy

http://www.docs.csg.ed.ac.uk/HumanResources/Policy/Dignity_Respect.pdf

Appendix B

Programme of communication

The purpose of the communication plan is to disseminate the Code of Practice and explain the processes related to the selection of staff for submission.

Once the Code of Practice has been approved by the University Court, Heads of College will be asked to disseminate the Code to all eligible staff within their College, with the expectation that the Code will be discussed at Staff Meetings as part of normal REF2014 discussions.

Governance and Strategic Planning will place notices about the Code in the following internal publications:

- eBulletin
- Bulletin
- Staff News

The Code is available (in .pdf and .doc formats) on the University's REF2014 website:

<https://www.wiki.ed.ac.uk/display/REF2014/UoE+REF2014+Intranet>

The University's REF2014 seminar series will be used to raise awareness of the Code and its principles and policies.

The University will work to ensure that notification of the Code reaches all eligible staff currently away from the University (e.g. on maternity leave or prolonged sickness).

Appendix C

REF Overarching principles

Principles

The principles that will be applied at each level of decision-making will be as follows:

- a. Equity – All types of research and all forms of research output across all disciplines will be assessed on a fair and equal basis across the spectrum of applied, practice-based, basic and strategic research, wherever that research is conducted. The University will identify excellence in different forms of research endeavour including interdisciplinary and collaborative research, while attaching no greater weight to one form over another.
- b. Equality – The University is committed to submitting the work of all our excellent researchers. To enable this, the University will apply this Code of Practice on the fair and transparent selection of staff for inclusion in REF submissions.
- c. Transparency – The University will publish in full all principles, criteria and procedures that will be applied in the assessment. All decision-making processes will be explained openly and outcomes will be published in full. (N.B. No personal information will be published).

Appendix D

Criteria for the selection of staff

The criteria that will be applied at each level of decision-making will be:

- (a) to consider the quality of an individual's research as the primary consideration
- (b) then to consider the quantity of their research
- (c) then to take into account any individual staff circumstances that may have affected the volume of a person's research or their ability to work productively during the assessment period.

Appendix E

Development and training

Members of University Groups, Committees and panels, designated officers and staff involved in the selection of staff for REF2014 will be offered a range of REF focused development and training interventions designed to meet their needs with regard to equality and diversity and which enable them to understand their respective responsibilities in the process. This training will be mandatory for individuals making staff selection decisions.

The University sees particular benefit in designing and delivering provision that combines the expertise and insights of both academic and professional services colleagues from Human Resources and Governance and Strategic Planning to embed good practice across the institution in support of the REF.

UoA Academic Coordinators must offer external advisors appropriate briefing in the application of the Code when participating in University processes. In particular, guidance will be provided about the appropriate level of detailed comment by external advisors on individuals.

The programme will provide information about the Equality Act 2010 and explain the legal obligations that apply to individuals and organisations under the provisions of the Act.

Development will be delivered through a range of different approaches including workshops, seminars briefing sessions and on-line provision. Details of the programme will be made available from <https://www.wiki.ed.ac.uk/display/REF2014/UoE+REF2014+Intranet>.

Case studies will be used as an integral part of the development programme to offer staff the opportunity to practise implementation of the equality guidance.

Expert input and advice will be also accessed via the Equality Challenge Unit web-site at: www.ecu.ac.uk/our-projects/REF.

Appendix F

University and College level Groups and Committees

1. University committees

(a) University's REF2014 Senior Management Group

(to be made available from

<https://www.wiki.ed.ac.uk/display/REF2014/UoE+REF2014+Intranet>)

(b) Research Policy Group

<http://www.ed.ac.uk/schools-departments/governance-strategic-planning/research/rpg>

(c) Equality and Diversity Review Group

(to be made available from

<https://www.wiki.ed.ac.uk/display/REF2014/Equality+and+Diversity>)

(d) Advisory Group to the Principal on Appeals

(to be made available from

<https://www.wiki.ed.ac.uk/display/REF2014/Equality+and+Diversity>)

2. College committees

HSS College Planning & Resources Committee: <http://www.prc.hss.ed.ac.uk/>

MVM College Strategy Group <http://www.csg.mvm.ed.ac.uk/>

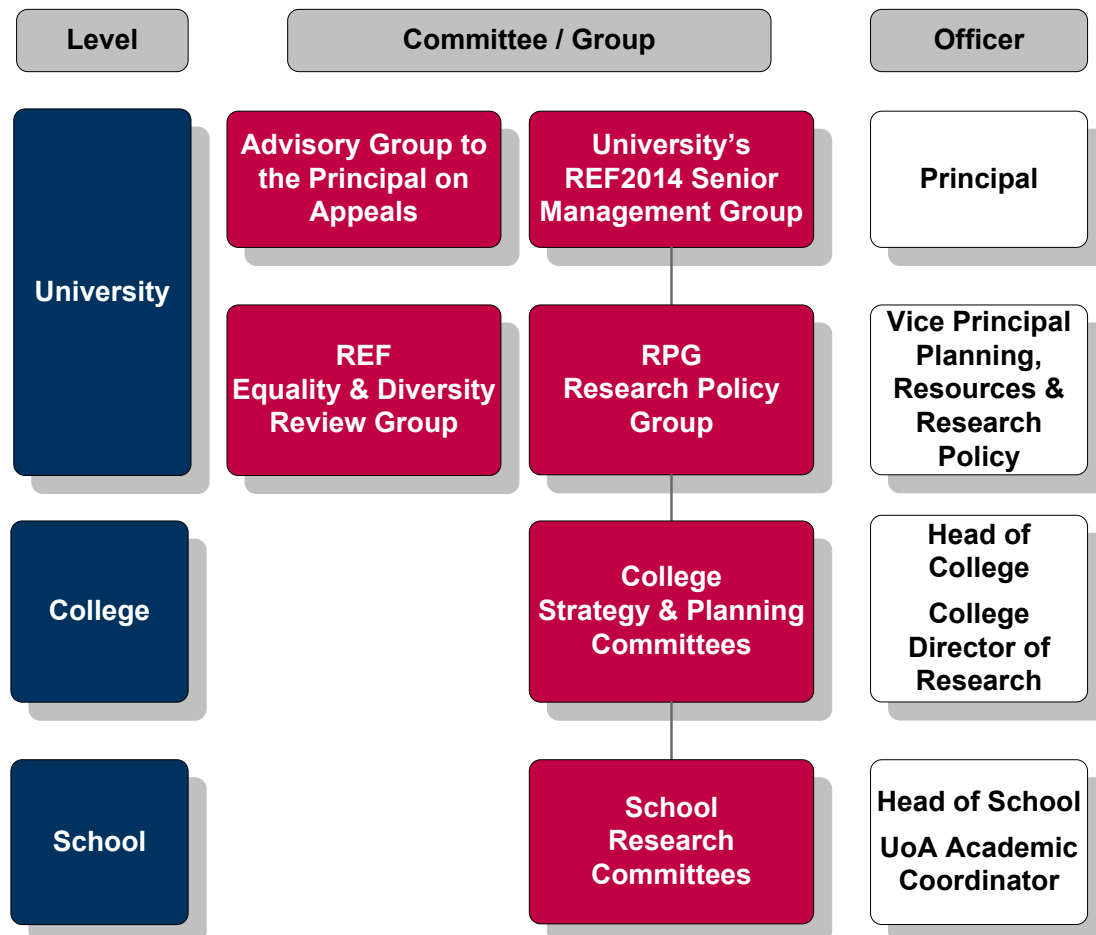
S&E College Strategy & Management Committee <http://www.csmc.scieng.ed.ac.uk/>

Appendix G

Designated officers, roles and responsibilities

1. Vice-Principal for Planning, Resources and Research Policy
2. Vice-Principal for Equality and Diversity
3. Heads of College
4. Directors of Research
5. Heads of School (or nominee / equivalent)
6. Unit of Assessment Academic Coordinators
7. Director of Planning
8. Director of Human Resources

All job descriptions for identified designated officers, roles, and responsibilities will be made available from <https://www.wiki.ed.ac.uk/display/REF2014/UoE+REF2014+Intranet>.



Head of School in the above diagram refers to the Head of School or their nominee / equivalent.

Appendix H

Tariffs to be applied

For clearly defined circumstances, as defined in 40(a), Tables 1-4 set out the indicative number of outputs that may be reduced without penalty in the assessment, depending on the duration of the circumstance (or combination thereof).

As far as is practicable, complex circumstances, as defined in 40(b), should be converted into an estimate – in terms of the equivalent number of months absent from work – of the impact of the circumstances on the individual’s ability to work productively throughout the assessment period. A reduction should be made according to Table 2.

Table 1: Early Career Researchers (ECRs) : Permitted reduction in outputs

Date at which the individual first met the REF definition of an ECR	Number of outputs may be <i>reduced</i> without penalty 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
After 1 August 2011	3

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 <i>reduced</i> without penalty by up to:
0 – 11.99	0
12 – 27.99	1
28 – 45.99	2
46 or more	3

Table 3: Qualifying periods of maternity, paternity or adoption leave

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 ⁴ or adoption leave lasting for four months or more, taken substantially during the period 1 January 2008 to 31 October 2013.

⁴ ‘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.

Table 4: Other circumstances that apply to UoAs 1-6

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 focussed in the submitting unit.