



Code of Practice

on the selection of staff for the Research Excellence Framework 2014

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Part 1: Introduction, Purpose and Guiding Principles

Introduction

1. The University's Equality and Diversity Statement 2011 (Appendix 1) www.napier.ac.uk/diversity clearly sets out the institution's commitment to eradicating discrimination and promoting equality of opportunity for all staff, students and visitors. This Code of Practice builds on and replaces the code of practice used for the purposes of the Research Assessment Exercise (RAE) 2008 and is consistent with the University's broader values and mission statement as outlined in its Strategy 2009-15.
2. This Code is not produced in isolation but is consistent with and complements the University's normal recruitment and staff development policies and practices, all of which have been subject to equality impact assessment and can also be found either on the diversity web pages cited above or on the staff intranet at <http://staff.napier.ac.uk/services/hr/hrdocuments/Pages/Documents.aspx>
3. Non-submission to the Research Excellence Framework (REF2014) should not be viewed by staff as reflecting upon the value placed upon their input to the organisation. REF is only one aspect of a diverse University research and knowledge exchange portfolio and the different important and positive contributions of staff across a wide range of activities contributing to that portfolio are all highly valued.

Purpose of the Code of Practice

4. It is a requirement of REF2014 that each institution intending to submit develops a code of practice on selecting staff for submission. This code of practice must be based on the principles of transparency, consistency, accountability and inclusivity and adhere to all relevant equality and employment legislation. The funding bodies require this to be submitted to the HEFCE REF team by 31st July 2012.
5. While the code of practice required for REF2014 applies many of the basic principles of its predecessor for RAE2008, there are several key differences. Edinburgh Napier University already has comprehensive recruitment, selection and workplace policies which comply with the Equality Act 2010 and its REF2014 Code of Practice is designed to complement existing policy and practice.

Guiding Principles Underpinning the Code of Practice

6. In order to meet the ultimate goal of ensuring fairness for all aspiring to be considered for submission to the REF2014, the University's Code of Practice is based on the following four principles:
 - a) **Transparency:** this Code will be accessible to all relevant staff and its existence and content will be communicated widely by utilising methods of dissemination familiar to staff. This will include the University's web pages and staff intranet, as well as relevant staff or committee meetings. All efforts will be made to publicise this Code to staff on leave (including sick leave and maternity/paternity leave);
 - b) **Consistency:** this Code will be implemented across the University in order to ensure that there is a consistent and fair approach to selection. Decision makers will ensure that individual staff circumstances are considered within the process;
 - c) **Inclusivity:** this Code will complement the University's wider commitment to fair recruitment and selection policy and practice by producing and publicising the criteria employed in the decision-making process;
 - d) **Accountability:** this Code identifies those staff with responsibility for REF processes and decision-making, and includes details of the equality and diversity training which they have undertaken. Details are provided of groups and individuals with REF responsibilities; and the criteria employed for staff selection are outlined, as are arrangements for providing feedback and for lodging an appeal.

Part 2: Management of the University's REF2014 Submission

REF Management Structure

- 7 A REF Planning Group, re-established from the earlier RAE Steering Group, was set up in June 2009 and agreed at the University's Research & Knowledge Exchange Committee (RKEC). Its remit, to coordinate the REF2014 submission, was minuted in the RKEC record submitted to Academic Board in July 2009. This REF Planning Group is chaired by the University Director of Research Strategy and comprises a senior representative from each of the University's three faculties plus appropriate central support as required (see Paragraph 8). Following the first meeting of the REF Planning Group, a process was put in place to engage appropriate staff for designated REF responsibilities.

REF Planning Group

- 8 The University's REF Planning Group will play a key part in coordinating the University's submission process and will be chaired by the University Director of Research Strategy. Its remit will be to support the Vice-Principal (Academic) in providing REF-related activity management, coordination and leadership across the University. It will also act as the main forum for REF discussions. Membership of the REF Planning Group is as follows:

- Director of Research Strategy (Chair, Office of the Vice-Principal [Academic]) (OVP);
- PA to Director of Research Strategy (Clerk);
- REF Officer (OVP, providing operational coordination and support to the Director of Research Strategy);
- Diversity Partner (Human Resources);
- Faculty Assistant Dean or Faculty Director of Research (3 members);
- Head of Academic Practice (OVP, to represent cross-faculty pedagogic research);
- Head of Research Support (Finance).

Additional input will be provided by:

- VP (Academic) in attendance at specific meetings;
- Head of Planning and Intelligence;
- Head of Learning and Research Services;
- Project Management Accountants (2 members).

REF Unit of Assessment Champions

- 9 Each potential Unit of Assessment (UOA) for submission is led by a nominated subject expert. These UOA Champions were recruited from staff who self-nominated for selection for the role. The role of the Champion is to oversee and coordinate the submission of UOAs to REF2014. The UOA Champions will work closely with and report to the relevant senior faculty representative on the REF Planning Group, and will take responsibility for their assigned UOA. Champions will play a lead role in identifying and recommending excellent research for UOA submissions. All individuals involved in REF2014 have been recruited on the basis of their research assessment experience, local knowledge of research outputs and interest in being involved in the project.

REF Faculty Administrative Teams

- 10 Each of the three faculties will have a REF Faculty Administrative Team to provide operational support to UOA Champions and the Assistant Deans/Faculty Director of Research in exercise of their REF responsibilities. These teams consist of:
 - Assistant Dean or Faculty Director of Research (Chair);
 - Unit of Assessment Champions;
 - REF Administrative Support from Schools & Research Institutes.

It is anticipated that additional input will be required from representatives from Information Services, Student and Academic Services and Human Resources & Development. Operational support for the Head of Academic Practice (in dealing with non-faculty based staff) will be provided by the OVP.

University Senior Management Context

- 11 The University's Principal & Vice-Chancellor is Chair of Academic Board (AB). AB is an established element of the overall governance and deliberative structure of Edinburgh Napier University. The Board is the primary academic body of the University with delegated authority from the University Court to oversee the overall planning, co-ordination, development and supervision of the academic work of the University.
- 12 Acting in this capacity, the Principal & Vice-Chancellor will take responsibility for the final decision on the REF2014 submission.

In doing so, she will take account of advice from the Vice-Principal (Academic) – who reports to the Principal and Vice-Chancellor – and also from the Director of Research Strategy in her capacity as Chair of the REF Planning Group – who reports to the Vice-Principal (Academic).

Part 3: Mitigation

Process for Disclosure of Individual Staff Circumstances

- 13 Detailed guidance produced by the funding councils on how REF panels should deal with constraints that have limited the ability of staff to produce the required outputs will be adhered to. How such circumstances are dealt with is consistent with the way in which the University delivers its overall commitments contained within its Equality and Diversity Statement 2011 and are covered, in large part, in the Equality Act 2010 or other relevant employment legislation. Decision makers involved in selection of staff for inclusion in REF2014 must familiarise themselves with the guidance (www.ecu.ac.uk/documents/ref-materials) and apply the guidance consistently.
- 14 The *Individual Staff Circumstances Disclosure Form* (Appendix 4) will be circulated to all eligible staff. It is not mandatory for staff to complete this form, but, if it has been completed, and a member of staff has disclosed personal sensitive data, it will be seen initially only by the REF Officer, who will be collecting and collating all data, the Faculty Assistant Dean/Faculty Director of Research and the Diversity Partner. It must be remembered at all times that personal sensitive data is subject to the Data Protection Act 1998 and must be treated in confidence.
- 15 In clearly defined cases the Diversity Partner will advise the Faculty Assistant Dean/Faculty Director of Research and the REF Officer on appropriate ‘tariffs’ to be applied in specific cases. Tariffs, in this context, are taken to mean “tariffs to determine the number of outputs” (see Paragraph 93 of the HEFCE 02.2011 *REF Submission Guidance* <http://www.ref.ac.uk/pubs/2011-02/>). This will be recorded by the REF Officer and taken to the Equality, Diversity & Complex Circumstances Group (EDCC Group) for ratification. The membership of that group is given in Paragraph 18 and it should be noted that at this stage the sensitive disclosures will require to be made available to the Vice-Principal (Academic) and the Director of Research Strategy. In the case of complex circumstances, the Diversity Partner and the Assistant Dean/Faculty Director of Research will undertake the necessary investigations to inform a later decision of the EDCC Group.
- 16 It is imperative that decision makers understand and take into consideration the circumstances of staff who may not meet the required outputs because their ability to do so has been affected by any of the circumstances outlined in the guidance. Failure to do so may result in a challenge under the Equality Act 2010 or other relevant legislation and consequent reputational damage to the University.

REF Equality, Diversity & Complex Circumstances Group

17 The Edinburgh Napier University EDCC Group exists in order to assure fairness and equity in relation to REF processes. In the discharge of this role, the EDCC Group will ensure that the University's processes for REF2014 are subject to Equality Analysis (previously known as Equality Impact Assessment). The EDCC Group will also provide specialist advice on the application of the University Code and highlight any relevant employment legislation that must inform decisions regarding staff inclusion in the University's REF2014 submission. This is particularly the case where there is doubt as to an individual's entitlement to reduced outputs.

18 As well as its general role in assuring fairness and equity, the EDCC Group has two specific responsibilities in respect of applying mitigation in those cases where staff have disclosed individual circumstances: firstly, it is responsible for ratifying the decisions of the Diversity Officer on tariffs to be applied in clearly defined circumstances; secondly, it will consider and decide upon reductions in outputs in cases of complex circumstances (see Paragraphs 93 and 94 of the *REF Submission Guidance*). The Group consists of:

- Vice Principal (Academic)
- Director of Research Strategy
- Diversity Partner
- REF Officer (Clerk)

It should be noted that the EDCC Group will not make recommendations on whether or not an individual is included in the University's REF submission; rather, as indicated above, it will ratify recommendations and/or make judgements on appropriate reductions in the number of outputs submitted.

Part 4: Equality Training

19 All staff involved in the process of selecting staff for submission have attended bespoke equality and diversity training delivered by the Diversity Partner in February, March and April 2012. The relevant staff roles include (but are not limited to):

- Unit of Assessment Champions
- Heads of School and/or Research Institute Directors
- Assistant Deans (or Faculty Director of Research)
- Deans of Faculty
- REF Officer
- Director of Research Strategy
- Vice Principal (Academic)
- Principal & Vice-Chancellor

20 The training will complement the equality & diversity/CPD programme of courses and workshops already offered to all staff by providing further information on the rapidly changing equalities context. It will focus on the following key areas:

- The context within which the training operates
- The importance of equality within the REF
- The main provisions of the Equality Act 2010 and its interface with employment legislation
- Understanding and differentiating between 'clearly defined circumstances' and 'complex circumstances'
- Working out and applying tariffs
- Advising, briefing and debriefing staff

21 A list of all staff who have attended training workshops (and any new staff arrivals requiring training) will be kept by the REF Officer and retained for future reference. Corporate Learning and Development will be asked to update each participant's personal training log as they complete the training. It is the University's policy that only those staff who have attended a training session will be allowed to undertake any decision-making tasks or make recommendations which inform such decisions.

22 Critical Friends (including any other External Assessors who may be employed) will be asked to comment upon the quality of an individual's research and not upon the individual. No formal equality & diversity training is required for Critical Friends and external assessors; however, they will be made suitably aware of the University's Code of Practice.

Part 5: Equality Analyses and Monitoring

23 It is good practice to equality impact assess all relevant University policies and procedures and an established equality impact assessment process and template have been in use at the University for several years. The Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012 introduced new terminology and replaced 'equality impact assessment' with 'equality analysis' (EA). The University is now obliged to analyse its policies and practice for their impact on the General Duty (to promote equality).

The General Duty has a threefold objective, namely to:

- eliminate unlawful discrimination, harassment and victimisation;
- advance equality of opportunity between different groups;
- foster good relations between different groups.

24 In order to meet this obligation the selection process will be equality-proofed from the outset by the Diversity Partner and an analysis of eligible academic staff compared with those who are successful in being selected will be undertaken. Periodic reviews of the EAs will be conducted at pressure points, as for example when staff selection meetings take place (see Paragraph 32) to ensure both fair and equitable processes, and, that individuals whose circumstances may need special attention are given the necessary consideration in the light of all relevant evidence. As is established practice within Edinburgh Napier, the impact analyses will be published on the University's dedicated web pages www.napier.ac.uk/diversity.

25 These analyses will be undertaken by the Diversity Partner and reviewed by the EDCC Group. In the first instance, baseline data from the RAE2008 will be sought from Human Resources and Development and compared with the most up-to-date diversity profile of the University's academic staff. Thereafter, in order to provide a more accurate picture, comparisons will be made at pre- and post-selection stages between populations of selected staff and the population of eligible staff.

26 The ultimate aim of this monitoring exercise will be to identify anomalies that may merit further investigation and, where confirmed, will be drawn to the attention of the appropriate authorities, as for example, the relevant Dean of Faculty, the Director of Human Resources and/or the Vice-Principal (Strategy, Resources and External Relations).

Part 6: Quality Criteria for Staff Selection

27 The criteria that will be applied at each level of the decision-making process for the identification of those staff who will be selected for submission to REF2014 are:

- eligibility for submission as defined in the REF2014 guidance;
- the quality of an individual's research outputs as compared with the Unit of Assessment threshold within the context of any specific UOA;
- the quantity of their research, taking 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.

Selection of staff will take place by assessing the quality of their outputs and their alignment with the overall university research strategy and REF submission. It is likely that only those staff with a majority of outputs judged by the University to be world-leading or to demonstrate international excellence – employing the University process as described in paragraphs 28 – 32 below – will be included in the REF submission. There will be a degree of flexibility in the case of Early Career Researchers (ECRs).

28 All eligible staff will be invited to express an interest in being considered for submission (see Appendices 2 and 3). Staff will be asked to submit a list of their proposed outputs to the relevant UOA Champion. Outputs will be subject to the following quality assessments:

- self-assessment ;
- internal assessment (conducted by Assistant Dean and/or Faculty Director of Research plus Unit of Assessment Champion);
- external assessment (conducted by 'Critical Friends' recruited from outwith the institution).

29 When the UOA Champions have assembled all the relevant information, they will – together with the Assistant Dean/Faculty Director of Research (i.e. the senior Faculty representative on the REF Planning Group) – present the assessment data and their recommendations to the REF Planning Group. The REF Planning Group will make a final decision on the quality of staff outputs based on all three assessment outcomes mentioned above. The Planning Group will have access to all the relevant information to inform their decision. Where there are significant discrepancies between assessment outcomes, further evaluation will be sought.

- 30 Specific attention will be paid by the REF Planning Group to those boundary cases where there is particular concern regarding fit and quality of output(s) viewed in the context of paragraph 27 above. Where a member of staff may be considered for more than one UOA, their outputs will be considered within the context of relevant eligible units and a decision taken by the REF Planning Group. This decision will be made on the basis of the scenario which is going to be of most benefit overall to the University. As well as advising on quality of outputs, the University's Critical Friends will – where this is required – be invited to provide an independent view as to where they see the output best fits the overall submission at a strategic level.
- 31 Selection of staff for UOAs involving joint submissions will be made in the context of the entire UOA submission. A common set of criteria which adheres to the principles of both institutions' Code of Practice for selection will be agreed.
- 32 Selection meetings will be held from September 2012. These meetings of the REF Planning Group, with the Vice-Principal in attendance, will have two objectives. Firstly, they will decide on YES, NO and POSSIBLE submissions. Secondly, they will model the various permutations of UOAs and staff within those UOAs which are possible for submission to REF. Those staff not selected for submission will be given feedback by two equality-and-diversity-trained staff within one month of the relevant decision meeting. Furthermore, those staff members who are not submitted on strategic rather than quality grounds will receive a letter explaining the circumstances of their non-submission. This letter will make clear that the recipient demonstrated sufficient quality in terms of REF selection criteria but did not provide a good enough fit with any of the UOAs being submitted by the University. The likely timetable will be as follows:
- September/October 2012** – those staff not being submitted will be sifted out and feedback provided
- January/February 2013** – a decision will be made on 'possible' staff and staff identified at this stage as not being submitted will be offered feedback
- August/September 2013** – a final decision will be made on which staff will be submitted into which UOA and any staff unsuccessful at this late stage will be provided with feedback which is sensitive to the necessarily late timing of this decision.
- 33 There will be two possibilities for non-submission at this stage, namely:
- a) Strategic (see Paragraph 32 above);

- b) Where a member of staff is no longer able to achieve the required publications by the recommended date*.

* Staff will be given as much time as is practicable for fourth/final outputs to appear in the public domain, but where this has not happened by early November 2013, clearly there is not time, nor any reasonable grounds, for an appeal.

Part 7: Appeals

Grounds for Appeal

34 Edinburgh Napier University has established a REF-specific appeals process. Grounds for appeal are expected to fall within two categories, as follows:

- a) Appeals against the process used for submission to REF2014;
- b) Appeals against the level of entitlement to a reduction in outputs for individual staff circumstances, whether clearly defined or complex).

The Appeals Process

35 Staff with concerns, whether about the process employed to arrive at the decision on their inclusion in REF2014, or about the level of entitlement to a reduction in outputs to reflect individual staff circumstances, should, in the first instance, raise these concerns informally with their UOA Champion.

36 If still dissatisfied, staff have the right to appeal directly, in writing, to the University Director of Research Strategy who will arrange for the REF Appeals Panel to be convened. The REF Appeals Panel will consist of:

- Vice-Principal (Strategy, Resources and External Relations) (Chair)
- REF Officer (Clerk)
- Director of Human Resources
- Assistant Dean or Faculty Director of Research from a different faculty from that of the appellant

In attendance:

- Relevant Unit of Assessment Champion and/or Assistant Dean (to describe application of process or advise on clearly defined staff circumstances, as appropriate)
- Director of Research Strategy (to advise on regulatory matters)
- Diversity Partner (to advise specifically on output reductions and generally on matters of equality and diversity)

37 The REF Appeals Panel will consider the evidence in support of the appeal and offer the individual the opportunity of a meeting with the Panel at which the staff member may be accompanied by someone of his/her choice. After hearing all the evidence, the Panel will invite the appellant and those in attendance to leave the meeting. The Panel will then make its decision in closed session. This will be communicated to the appellant and to the Chair of the REF Planning Group. The latter will brief the relevant Assistant Dean/Faculty Director of Research for purposes of providing feedback to the appellant.

38 This process is intended to be simple, speedy and effective. The majority of cases will be dealt with within 30 days of the lodging of an appeal, allowing time for submission to REF2014, or an amended submission, if upheld. If a member of staff is still dissatisfied, s/he has the right to use a more formal process as outlined in the University's Grievance Procedure 2010 which is available at <http://staff.napier.ac.uk/services/hr/hrdocuments/Pages/Documents.aspx>

Part 8: Confidentiality

- 39 Information provided by staff for the purposes of REF2014 will be treated in the strictest confidence. Where the selection status or special circumstances of named individuals are discussed, meetings of all Groups, Boards and Committees identified in this Code of Practice will keep formal confidential 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 all the facts relating to the individual.
- 40 Individual staff circumstances will be reported, as appropriate, to the REF Planning Group using confidential Staff disclosure form (Appendix 4). The REF Planning Group requires 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 their Head of School/Institute and advice may be sought from the REF Equality, Diversity and Complex Circumstances Group.
- 41 Information submitted in the staff disclosure form will be kept confidential to the UK REF Team and the UK REF Panel members (for clearly defined circumstances) and the UK REF Equality and Diversity Advisory Panel and main panel chairs (for complex circumstances), who are all subject to confidentiality undertakings in respect of all information contained in the submission. 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.
- 42 Information submitted in the Staff disclosure form 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 REF2014.

Appendices

| | |
|------------|---|
| Appendix 1 | Edinburgh Napier University Equality and Diversity Statement 2011 |
| Appendix 2 | Research Excellence Framework 2014 Data Survey |
| Appendix 3 | Call for expression in being submitted to REF2014 |
| Appendix 4 | Research Excellence Framework 2014 Staff disclosure form |



Appendix 1

EDINBURGH NAPIER UNIVERSITY EQUALITY AND DIVERSITY STATEMENT 2011

Edinburgh Napier University is opposed to all forms of unlawful discrimination. The principles of this statement apply mainly to staff and students within the University. Visitors and contractors should also be aware of our ethos and be expected to abide by these standards.

We believe that creating equality of opportunity for all our staff and students, current or potential, will assist us in achieving our strategic aims. As an institution we are committed to widening access to higher education and encouraging enthusiasm for learning throughout life. In order to realise this, we are committed to effectively implementing and monitoring the policies and procedures we have in place designed to ensure that no-one is unfairly treated.

The minimum standards we will apply in all areas of staff and student recruitment, progression and retention are clearly set out in various policies and procedures. More specific equality and diversity related information, including annual progress reports, can be found on our dedicated pages at www.napier.ac.uk/diversity.

It is our intention to provide employment or a study place based solely on merit. This means we aim to always recruit and select staff and students without reference to irrelevant characteristics such as:

- gender
- ethnicity (including colour, ethnic or national origin or race)
- disability
- age
- sexual orientation
- marital or civil partnership status
- gender reassignment
- religious or political beliefs (or none)
- socio-economic background
- trade union membership
- family circumstances

The University's responsibility for successfully implementing this statement is a shared one and can only be achieved if everyone within the university 'community'-- staff, students, visitors and contractors-- individually applies its principles. In return the University is committed to encouraging everyone to:

- treat others with respect at all times
- challenge discriminatory behaviour, attitudes or practices whenever they occur
- participate in training and learning opportunities that would enable them to consider their own prejudices and adopt good practice
- publicise and raise awareness of this statement and its supporting policies among staff and students (including visitors and contractors where relevant)
- operate a fair, open and transparent procedure for the recruitment of staff and students
- provide fair and accessible opportunities for training and promotion for staff
- operate fair and transparent procedures for student assessment, progression, attainment of awards and involvement in other University activities
- promote the use of inclusive language and avoid the use of words or phrases which are discriminatory or exclusive in all University publications and correspondence
- introduce new and update existing policies and procedures which support our equality and diversity programme
- ensure that all other University policies, procedures, functions, activities, strategy and decisions, take account of our aims for promoting and achieving equality and diversity

Edinburgh Napier University's Equality Plan

In addition to this general statement we have set out in our Equality Scheme and Action Plan 2010-13 how we will work towards achieving equality for all protected characteristics. Annual reports will be produced every year to show the progress against objectives. The University's Equality and Diversity Committee will continue to monitor progress on behalf of Court.

All activity (past and current) can be viewed at www.napier.ac.uk/diversity

Complaints

Anyone who believes they have suffered from any form of discrimination, harassment or victimisation is entitled to raise the matter through the University's agreed procedures.

- For students, further information is available under the Student Affairs section of the intranet or by contacting

The Complaints and Conduct Officer on 0131 455 2396 or at complaints@napier.ac.uk

- Staff should consult the Human Resources section of the intranet at <http://staff.napier.ac.uk/Services/HR>

If you have any questions or comments about equality and diversity at Edinburgh Napier University, you can contact Mohammed Hameed, the University's Diversity Partner, on m.hameed@napier.ac.uk or by telephone on 0131 455 3340.

Appendix 2

Edinburgh Napier University

Faculty/Department

Research Excellence Framework (REF) 2014 Data Survey

| | |
|-----------------|--|
| Name: | |
| Role/Job Title: | |
| School: | |

Publications:

Please indicate below the **peer-reviewed** publications that you believe would best represent you, if you were to be entered into REF2014. These should be placed in order of importance. Normally, staff who are submitted will need four refereed publications, but fewer may be required in certain circumstances, such as part-time staff, have caring responsibilities, or if you have been on maternity leave. This information will not be used to decide whose work will be submitted; this is merely an information-gathering exercise designed to establish who may be eligible, and the areas of work in which they are involved.

For each publication, please include a brief (approximately 100-word) statement that indicates its significance, and your role in the research (i.e. you performed the experiments, you wrote the paper, you generated the research funding, etc.). Do **not** list review articles if you are a member of the School of Life, Sport and Social Sciences. Staff in the School of Nursing, Midwifery and Social Care may list Cochrane reviews, etc.

If you have papers which are not yet published, you may include them but you must clearly mark them:

- i. Accepted but not yet published and a likely publication date
- ii. Submitted but not yet published and a likely publication date

Many journals will now be reluctant to commit to publishing ahead of the REF2014 closing date of 31 December 2013.

For all outputs please supply full bibliographical details e.g. year of publication, ISSN or ISBN, DOI (for most journal articles), volume number, page number, co-authors etc.

| | | |
|---|-----------------|--|
| 1 | <i>Details:</i> | |
|---|-----------------|--|

| | | |
|---|-------------------|--|
| | <i>Statement:</i> | |
| 2 | <i>Details:</i> | |
| | <i>Statement:</i> | |
| 3 | <i>Details:</i> | |
| | <i>Statement:</i> | |
| 4 | <i>Details:</i> | |
| | <i>Statement:</i> | |
| 5 | <i>Details:</i> | |
| | <i>Statement:</i> | |
| 6 | <i>Details:</i> | |
| | <i>Statement:</i> | |

Now, with reference to the above list of outputs, please indicate, for each output, a quality assessment on the HEFCE REF scale of 1*, 2*, 3* and 4*. To assist you, you may wish to refer to Page 43 of the HEFCE REF Guidance on Submissions, available at www.ref.ac.uk.

| Output Quality | | |
|-----------------------|---------------------|----------------------|
| Self-Assessment | Internal Assessment | External Assessment |
| 1 | | (please leave blank) |
| 2 | | |
| 3 | | |
| 4 | | |
| 5 | | |
| 6 | | |

PhD completions

It would be helpful if you can supply information on PhD student completions, including DBA completions. Please name all of your students who have completed their PhD studies, at Edinburgh Napier University, since January 2008, and those who you expect to complete by December 2013. Indicate with an "X" whether you acted as Director of Studies (D) or were a member of the supervisory team (S). Please also indicate the expected completion date for those students who you believe will complete their studies before December 2013.

| <i>Student Name</i> | <i>Your Role</i> | | | | <i>Names of Other Supervisors</i> | <i>Expected Completion Date</i> |
|---------------------|------------------|--|---|--|-----------------------------------|---------------------------------|
| | D | | S | | | |
| | D | | S | | | |
| | D | | S | | | |
| | D | | S | | | |
| | D | | S | | | |
| | D | | S | | | |

Appendix 3

Email sent to all staff by Vice Principal (Strategy and Resources)

EDINBURGH NAPIER UNIVERSITY

RESEARCH EXCELLENCE FRAMEWORK (REF)

CALL FOR EXPRESSION OF INTEREST IN BEING SUBMITTED TO REF

Name: _____

School/Department: _____

| | | Yes/No |
|---|---|--------|
| 1 | Have you been made aware of REF? If not, you may wish to visit www.ref.ac.uk | |
| 2 | Are you aware that, depending upon your individual circumstances, it is possible to be submitted to REF with a reduced number of outputs (i.e. fewer than 4)? Please see paragraphs 64-91 of the following document http://www.hefce.ac.uk/research/ref/pubs/2012/01_12/ | |
| 3 | Taking account of questions 1 and 2, do you wish to be considered for submission to REF? | |

If no response is received by 30 March 2012, it will be assumed you do not wish to be considered for submission.

The REF is concerned with research excellence in UK HEIs. Expression of interest in being submitted to REF does not therefore guarantee automatic submission.

However, all members of staff are guaranteed a fair and equal opportunity to be considered for submission. All staff subsequently selected for submission will have met the required quality and number of outputs. Their work will also demonstrate clear alignment with one of the Units of Assessment (UOAs) being submitted by Edinburgh Napier University.

Further information on staff eligibility and output tariffs can be found at www.ref.ac.uk. As part of the University's drive towards fair and transparent selection of staff for submission to REF, all members of staff are asked to answer the three questions above. Please return this form to Alex Turnbull, REF Officer, (a.turnbull@napier.ac.uk) by 30 March 2012.

Appendix 4

Research Excellence Framework 2014 Staff disclosure form

To: All members of staff eligible for return in REF2014

From: Edinburgh Napier University

Subject: REF2014, consideration of individual staff circumstances

Edinburgh Napier 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 Edinburgh Napier University's Code of Practice which can be found at

<http://staff.napier.ac.uk/services/academicdevelopment/research/REF/Pages/REFframework.aspx>

To ensure that REF processes are fair, the University is collecting data on individual circumstances from all staff eligible for submission. The data will be used to identify which staff are eligible for submission with fewer than four outputs. Summary level data collected may also inform the University'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 **(HEFCE) REF Equality and Diversity Panel** will take the following circumstances into consideration:

- Early career researcher (started career as an independent researcher on or after 1 August 2009)
 - Junior clinical academic staff who have not gained a Certificate of Completion of Training by 31 October 2013
 - 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
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- 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, Edinburgh Napier University will observe the definitions of individual staff circumstances provided in the published REF 'Panel criteria and working methods' (January 2012) available at www.ref.ac.uk under 'Publications'.

What action do I need to take?

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

If further information is required about any circumstances disclosed, you will be contacted by **Alex Turnbull, REF Officer**

Who will see the information that I provide?

Within the institutions, the information that you provide will be seen by the REF Officer, Assistant Dean/Faculty Director of Research and, in cases requiring further input, **the REF Equality, Diversity & Complex Circumstances Panel.**

Members of the **REF Equality, Diversity & Complex Circumstances Panel** or individuals handling individual staff circumstances will observe confidentiality and information will be stored securely.

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

- = For **circumstances with a clearly defined reduction in outputs**, information will be seen by the relevant REF sub-panel, the REF panel secretariat and the UK funding bodies' REF team. This will be information about early career researcher status, part-time working, career breaks or secondments, and periods of maternity, additional paternity or adoption leave taken.
 - = For **more complex circumstances**, information will be seen only by the REF Equality and Diversity Advisory Panel, the REF Main Panel Chairs and the UK funding bodies' REF team. This will be information to explain the impact on your research of circumstances such as disability, ill health, injury, mental health
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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 attached form at

<http://staff.napier.ac.uk/services/academicdevelopment/research/REF/Pages/REFframework.aspx>

Individual staff circumstances disclosure form

| | |
|--|--|
| Name | |
| Department | |
| Preferred Unit of Assessment (this cannot be guaranteed) | 1 st Choice 2 nd Choice |

Section one:

Please select one of the following:

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

Section two:

Please select as appropriate:

- I would like to be contacted by a member of human resources staff to discuss my circumstances and requirements and/or the support provided by Edinburgh Napier University. My contact details for this purpose are:

| | |
|-----------------------------------|--|
| Email | |
| Telephone | |
| Preferred method of communication | |

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

Section three

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

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

| Circumstance | Information required |
|--|--|
| Early career researcher (started career as an independent researcher on or after 1 August 2009) | Date on which you became an early career research |
| Information | |
| Junior clinical academic staff who have not gained Certificate of Completion of Training by 31 October 2013 [Delete as appropriate: applies to specific units of assessment within Panel A] | Please place a tick in this box if the circumstance applies: |
| Part time employee | FTE and duration in months |
| Information | |
| Career break or secondment outside of the higher education sector | Dates and duration in months |
| Information | |
| Maternity leave, statutory adoption leave, or additional paternity leave (taken by partners of new mothers or co-adopters) | For each period of leave state which type of leave was taken and the dates and duration in months |
| Information | |
| Disability (including conditions such as cancer and chronic fatigue) | Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months |
| Information | |

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

Please select as appropriate:

I confirm that the information provided is a true and accurate description of my circumstances.

I recognise that the information provided will be used for REF2014 purposes only and will be seen by, but limited to, those staff making decisions on submissions to REF2014.

I realise that it may be necessary to share information with the UK funding bodies' REF team, who may make the information available to REF panel chairs, members and secretaries and/or the Equality and Diversity Advisory Panel. I recognise that if a joint submission is made, information may be shared in confidence with another institution. Where permission is not provided Edinburgh Napier University will be limited in the action it can take.

Signature: Date:

(Staff member)

Please return this form in confidence to Alex Turnbull, REF Officer
a.turnbull@napier.ac.uk

For official use only

Following consideration of the personal circumstances described above, the **Equality, Diversity & Complex Circumstances Group**:

- Will progress the staff member's inclusion in the REF submission with 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 wishes to appeal against the decision of the **Equality, Diversity & Complex Circumstances Group** they will need to do so by and details of the appeals process can be found at **www.napier.ac.uk/diversity**

Signature: Date:

Alistair Sambell, Vice Principal (Academic)

Signature: Date:

Alison McCleery, Director of Research Strategy and Chair of REF Planning Group