

RESEARCH EXCELLENCE FRAMEWORK 2014: CODE OF PRACTICE FOR SELECTION OF STAFF

1. Purpose and Aim

- 1.1 The Research Excellence Framework 2014 will include all academic staff for the Environment and Impact components of the return. The purpose of this Code is to set out the processes by which the University will select eligible University of Exeter staff for the outputs component of the return by including the maximum number of eligible staff to the REF 2014 consistent with achieving the quality objectives at University and individual Unit of Assessment level as set out in its REF Strategy (<http://www.exeter.ac.uk/refcop>). The University expects that the majority of eligible staff will be included in the outputs return with the requisite number of outputs depending on individual staff circumstances.
- 1.2 The aim of this Code of Practice is to promote an inclusive environment, enabling the University to identify all eligible staff who have produced excellent research consistent with the University's REF strategy and include them in the outputs component of the REF.
- 1.3 The University is committed to a policy of equality of opportunity. The purpose of this Code of Practice is to ensure fairness in REF processes and is based on the principles of transparency, consistency, accountability and inclusivity as highlighted in HEFCE's Assessment framework and guidance on submissions (details available at <http://www.hefce.ac.uk/Research/ref>). This Code of Practice will be implemented uniformly and sets out the principles to be applied to all aspects and stages of the process at all levels within the University where decisions will be made.
- 1.4 This Code of Practice will guide decisions made regarding the inclusion of outputs for REF 2014 so that the submission includes staff who are conducting excellent research consistent with the quality objectives of the University's REF Strategy and agreed by the REF Review Group, whose volume of research output may have been limited by individual circumstances outlined in paragraphs 63-91 of Part 1 of the *Panel Criteria and Working Methods*.¹
- 1.5 Definitive decisions about the inclusion/non-inclusion of outputs from eligible staff will not be made until after the 2013 Research Monitoring meeting.
- 1.6 Eligible members of staff with fewer than four research outputs will not be included in the outputs component of a Unit of Assessment (UoA) submission unless either the Funding Bodies' definition of Early Career Researcher applies (REF 01.2012) (see appendix C) or the University's REF Equality and Diversity Mitigation Panel (see 4.3 below) considers that this Code of Practice applies – provided that the outputs are consistent with the quality objectives of the University's REF Strategy and agreed by

¹ *Panel Criteria and Working Methods* REF 01.2012. Higher Education Funding Council for England.

the REF Review Group. Relevant equalities legislation underpinning this Code is specified in Appendix B.

- 1.7 The Code has been informed by guidance from the Equality Challenge Unit on drawing up a code of practice, and the equal opportunities statements and guidance the panel and sub panel statements of criteria and working methods.
- 1.8 The Code has been endorsed by the Research and Knowledge Transfer Management Group, the Vice-Chancellor's Executive Group and the Council of the University following consultation with representatives of the University and College Union.
- 1.9 The Code was subject to an Equality Impact Assessment in line with the University's Equality Impact Assessment process, and detailed advice was provided throughout by the Equality and Diversity department.
- 1.10 The REF definition of eligible staff is given in Appendix A.

2. Principles for decision making

Advice, recommendations and decisions regarding the University's submission for REF 2014 will be:

- made in the context of this Code of Practice and the University REF Strategy;
- transparent;
- consistent across the University, but sensitive to differences between academic disciplines;
- made by officers and groups who have endorsed this Code of Practice and who have received appropriate equalities training; (See 2.1 below and Appendix B)
- made by officers and groups whose membership, roles and responsibilities are defined within this Code of Practice;
- monitored by age, disability, ethnicity, gender, pregnancy and maternity, part-time status and fixed-term status, by Unit of Assessment, College and across the whole University;
- informed by any declared personal circumstances observing appropriate standards of confidentiality.

2.1 Equalities Training

The University will ensure that all members of staff involved in the University REF processes participate in a specific training programme based on the provisions of the Equality Act 2010 during 2012. This will include Research Monitoring panel members, REF Review Group members, Equality and Diversity Mitigation Panel members, REF 2014 Appeals Panel members, and any other staff who may reasonably be expected to make a contribution. Details of the training are given in Appendix B.

3. Relevant Committees, Groups and Processes

This section provides information on the Committees/groups and associated processes involved in preparing submissions.

3.1 Vice Chancellor's Executive Group (VCEG)

VCEG meets weekly during term time and advises the Vice-Chancellor on matters relating to the management of the University. It also has the power to award degrees, diplomas and certificates and to confer degrees, diplomas and certificates in absentia on behalf of Senate. Once a month the Deans of the Academic Colleges of the University join VCEG to discuss academic-related issues and College matters:

The members are:

- Vice-Chancellor and Chief Executive (Chair)
- Registrar and Deputy Chief Executive (Deputy Chair)
- Senior Deputy Vice-Chancellor
- Deputy Vice-Chancellor (Education)
- Deputy Vice-Chancellor (External Affairs)
- Deputy Vice-Chancellor (Research and Knowledge Transfer)
- Director of Finance
- Director of Human Resources
- Director of Campus Services
- Deputy Registrar and Director of Academic Services

Under the University's Dual Assurance (See Appendix I) and Dual Engagement system of governance, members of VCEG are responsible for the management and development of policy in key areas of University business, for which they are accountable to a lay member of Council, knowledgeable in the same area, who provides assurance to Council that this activity is well-managed.

3.2 Dual Assurance for Research and Knowledge Transfer

Responsibility for Dual Assurance for Research & Knowledge Transfer lies with the DVC (Research & Knowledge Transfer) who is the Management Lead, and the Council Lay Lead.

3.3 Research and Knowledge Transfer Management Group

The Research and Knowledge Transfer Management Group complements the work of Dual Assurance for Research. The Group has the following membership:

- Chair: Deputy Vice-Chancellor (Research and Knowledge Transfer),
- Other members: College Associate Deans - Research, Director and Deputy Director of Research and Knowledge Transfer, Policy, Impact and Performance Manager, Assistant Director (Library and Research Support), and Dean of Graduate Studies
- In attendance, lay member of Council who is the lay Dual Assurance lead for RKT and Research Performance Analyst.

The role of the Research and Knowledge Transfer Management Group in relation to the University's submission for REF 2014 is to recommend to VCEG the overall strategy for the University, including advising which Units of Assessment will be submitted, and review the progress of Colleges through reports of the Research Monitoring process. VCEG will then make a final recommendation of the strategy for approval by Council.

Research and Knowledge Transfer Management Group and VCEG will also monitor the equality impact of REF decisions by gender, ethnicity, disability, part-time status and fixed-term status.

3.4 College Associate Deans - Research and Research Committees (or equivalent)

Each College has an Associate Dean - Research, appointed by the Dean of College. The Associate Dean - Research is supported by a College Research Committee or equivalent. The names of each Associate Dean - Research and membership of the College Research Committee are obtainable from the College Manager.

With regard to the REF, the role of the Associate Dean - Research/UoA co-ordinator/College Research Committee is to:

- ensure that the Research Monitoring process includes all eligible staff
- submit reasons to the RM panel if no outputs are submitted for eligible staff
- submit reasons to the Research Monitoring panel if the 2013 Research Monitoring process does not detail the appropriate number of outputs for each individual. (In such cases, the reasons must be discussed with the member of staff, who will be given the opportunity to make their own written comment)
- oversee the development of the REF submission for each UoA in the College.

3.5 Research Monitoring Panel

There is a Research Monitoring Panel for each College. Members of the Research Monitoring Panel are appointed by the Vice-Chancellor. The panel is chaired by the Deputy Vice-Chancellor (Research and Knowledge Transfer). Other officers involved by virtue of their roles:

- Line managing Deputy Vice Chancellor
- Dean of Graduate Studies
- Dean of College
- College Associate Dean – Research
- Unit of Assessment Director of Research (for the relevant part of the meeting)
- College Manager
- College's H R Business Partner
- Director of Research and Knowledge Transfer
- Policy, Impact and Performance Manager
- The Lay Council lead for Research, Registrar and Deputy Chief Executive and Executive Officer to the Vice Chancellor are invited to attend as observers.

The annual Research Monitoring process was established in 2002/3.

- All staff who meet the Category A eligibility criteria for the REF are required to nominate outputs for consideration at Research Monitoring through the Symplectic system.
- The Outputs, Impact and Environment components of the Research Monitoring meetings are prepared by the College's Associate Dean - Research and Unit of Assessment Directors of Research and forwarded, with the College's preliminary judgements on individual outputs, to the Research and Knowledge Transfer team (RKT).

- The role of RKT is: (a) to summarise the outputs selected for inclusion in the REF submission for the panel to record their judgements; and (b) to summarise the judgements at UoA level after the Research Monitoring meeting for consideration by Research and Knowledge Transfer Management Group and communicate feedback.
- Research Monitoring takes place annually in the Spring Term.
- The role of the annual Research Monitoring meetings is to review Unit of Assessment level preparedness for the REF in terms of Outputs, Impact and Environment, including the research outputs of each member of staff in the College and to confirm or revise the initial judgements on the quality of each output and offer formative advice for REF preparations.
- Aggregate assessments for each Unit of Assessment will be reported to the Research and Knowledge Transfer Management Group.
- The Deputy Vice Chancellor (Research & Knowledge Transfer) will feedback Research Monitoring Panel judgements to individual members of staff
- The 2013 Research Monitoring meetings will make final recommendations to the REF Review Group on which staff should be included in the REF submission for the outputs component of the REF return in each Unit of Assessment. This information will be based on known definite outputs within the REF census period (evidence may be sought from publishers on items to be published before 31 December 2013) and the Research Monitoring panel's judgement of the quality of each output (informed, where appropriate, by external assessors – see below).

3.6 Inclusion Criteria

- The University has developed an institutional REF Strategy to optimise performance in each UoA and ensure sufficient critical mass of Category A staff to ensure that the vitality and sustainability of each UoA is optimised. Acknowledging the fact that all academic staff are included in the REF for the Environment and Impact elements of the REF, the aim of the strategy is to include all outputs from eligible staff which meet a quality threshold which takes into account HEFCE's non-linear funding model. This strategy was developed by the RKT Management Group, and approved by VCEG, following consultation in autumn term 2011 with all academic staff and UCU. The consultation provided significant support to both target reputational advances in the REF and take account of the funding incentives provided by HEFCE in the current model.
- The precise quality thresholds for the inclusion of outputs and therefore eligible individuals as Category A members of staff are 'commercial in confidence' and set out in the REF Strategy. The Strategy has been developed through a process by which UoAs have proposed target quality profiles which take into account the desire to optimise performance and take account of feedback from the REF Pilot external assessors. Specifically all UoA level strategies will aim to optimise performance across the Environment, Impact and Outputs components. UoA Strategies also take account of both REF Pilot assessments and RM discussions and how they relate to national comparators in an achievable manner. Individual UoA strategies will also consider the relationship between reputational and QR dividends which will be specific to each UoA. For these reasons, UoA thresholds for the inclusion of outputs may differ between UoAs.
- The RKT Management Group then considered these strategies before making a recommendation to VCEG. In turn VCEG then proposed the REF Strategy to Council who approved it at their meeting in April/May.

3.7 REF Review Group

The University will establish a REF Review Group. The role of the Group will be to consider recommendations from the 2013 Research Monitoring panels and to make a decision on which staff will be included in the outputs return as Category A members of staff.

The Group will be chaired by the Vice Chancellor and include the other Line-Managing DVCs. The REF Review Group will be serviced by the Policy, Impact and Performance Manager.

Where the REF Review Group decides not to include a member of staff in the outputs return, they will be notified in writing and be advised of the procedures for appeal (see 6 below)

3.8 Equality and Diversity Mitigation Panel

The University will establish an Equality and Diversity Mitigation Panel to consider cases of Clearly Defined or Complex circumstances as submitted on the Individual staff circumstances disclosure form (Annex H) and will make a decision on which staff may submit a reduced number of outputs.

The Panel may defer a decision to allow time for further evidence to be acquired, for example from the Occupational Health Service or to access further guidance, for example from the Equality Challenge Unit.

The Panel will be chaired by the Deputy Vice Chancellor (Research and Knowledge Transfer) and include:

- Equality and Diversity Manager
- Human Resources Business Partner (College of Social Sciences and International Studies)
- Two Associate Deans – Research one from a Humanities and Social Sciences college and the other from a Science, Technology, Engineering and Mathematics college

The Equality and Diversity Mitigation Panel will be serviced by the Policy, Impact and Performance Manager.

Where the Equality and Diversity Mitigation Panel decides that the Clearly Defined or Complex Circumstances described on the Individual staff circumstances disclosure form are such that the number of outputs required should not be reduced, the individual will be notified in writing and be advised of the procedures for appeal (see 6 below)

3.9 External Assessors

- The University may appoint one or more external assessors for each Unit of Assessment to provide advice to the University on a strictly confidential basis in terms of the quality of outputs, Impact Case Studies, Impact and Environment Templates.
- External assessors will be appointed by the Vice Chancellor's Executive Group.

- The role of the external assessor is to contribute to the preparation of the University's submission by validating/calibrating the preliminary judgements made by the Research Monitoring panel about quality of each output and the overall quality assessment for the UoA.

4. Individual Staff Circumstances

- 4.1 A list of the Individual Staff Circumstances which may warrant a reduction in the number of required outputs covered by HEFCE's Guidance on Submissions (REF 02.2011) and Panel Criteria and Working Methods (REF 01.2012) is given in Appendix C.
- 4.2 To enable the University to meet its equality responsibilities with regard to the REF, members of staff may be required to disclose confidential information about their personal circumstances, including their health/disability. Where necessary, the University may refer the member of staff to the Occupational Health Service for additional information.
- 4.3 Normally only the Equality and Diversity Mitigation Panel, the College HR Business Partner and the Occupational Health Service will be made aware of these personal circumstances. However, where a decision is made to include the member of staff in the outputs submission (ie where their volume of research output has been limited for reasons covered by HEFCE guidelines), it will be necessary for the University to include limited information about their personal circumstances in support of a submission.
- 4.4 Where a member of staff appeals against their exclusion from the outputs component of a submission on equal opportunities grounds, information about their personal circumstances will be considered by the REF 2014 Appeals Panel (see 6 Below).
- 4.5 Members of staff who consider that any of the circumstances detailed in Appendix C may currently apply to them, or may have applied to them at any time during the period 1 January 2008 to 31 October 2013, are required to submit details of their personal circumstances for consideration, on a confidential basis (subject to 5.3 below) to the Equality and Diversity Mitigation Panel using the form at Appendix H (see section 3.8 above)
- 4.6 The University supports academic staff employed on a part-time or fixed-term basis through the Professional Development Programme (Appendix D).
- 4.7 Contract Research Staff are supported through a variety of measures which have been introduced under the Research Careers Initiative (Appendix E).

5. Notification to Staff

To ensure that all staff are aware of the University's standard and procedures with regard to REF 2014, this Code of Practice was sent to all eligible staff in May 2012. The Code has been published on the University intranet where additional information regarding individual circumstances is available, including the worked examples provided by the Equality Challenge Unit. The Code has been disseminated through the RKT Management Group and University branch of the UCU, and all members of staff who are eligible for the REF will be contacted directly to provide their individual

staff circumstances forms in strict confidence which they are invited to submit by e-mail to REF2014@exeter.ac.uk, or by hard copy to: REF2014, Research & Knowledge Transfer, Innovation Centre, Rennes Drive, University of Exeter, EX4 4RN.

Reasonable steps will be taken to ensure that staff absent due to maternity, ill health, secondment, study leave, etc receive a copy.

This Code of Practice will be made available in alternative formats on request.

6. Appeals

- 6.1 A member of staff (who meets the REF eligibility criteria) who is excluded from the outputs component of the University's REF return by the REF Review Group due to the UoA strategy may appeal against this decision on the grounds that the quality of their outputs has been incorrectly assessed by the Research Monitoring Panel.
- 6.2 A member of staff (who meets the REF eligibility criteria) who has not had his or her required number of outputs reduced for the outputs component of the University's REF return by Equality and Diversity Mitigation Panel may appeal against this decision on the grounds that their individual staff circumstances relating to the minimum number of required outputs has been incorrectly assessed terms of the HEFCE guidelines.
- 6.3 A member of staff (who meets the REF eligibility criteria) who is excluded from the outputs component of the University's REF return by the REF Review Group and who has not had his or her required number of outputs reduced for the outputs component of the University's REF return by Equality and Diversity Mitigation Panel may appeal against both these decisions on the grounds that their individual staff circumstances relating to the minimum number of required outputs has been incorrectly assessed by the REF Mitigation Panel in terms of the HEFCE guidelines, and/or that the quality of their outputs has been incorrectly assessed by the Research Monitoring Panel.
- 6.4 Following a decision by the REF Review Group to exclude a member of staff from the outputs return or a decision by the Equality and Diversity Mitigation Panel to maintain the required number of outputs, the employee will be notified in writing and be advised of the procedures for appeal, including the time limit for lodging an appeal, to whom an appeal should be addressed and the procedure which will be followed at the appeal hearing.
- 6.5 The REF 2014 Appeal Panel will be chaired by the Deputy Vice Chancellor (External Affairs) who is also the Management Lead for Dual Assurance in respect of Equality and Diversity. The Panel membership will be:
 - Director of Human Resources
 - Associate Dean - Education (College of Social Sciences and International Studies)
 - Associate Dean – Education (from a Science, Technology, Engineering and Mathematics College)
 - Equality and Diversity lead on Council or an alternative appropriate Council member
 - another senior Professor not previously involved in the decision making processes

- 6.6 The REF 2014 Appeal Panel will be advised by the Equality and Diversity Manager.
- 6.7 The member of staff may appear in person and may be accompanied by a trade union representative or fellow worker.
- 6.8 The REF 2014 Appeal Panel will be serviced by the Policy, Impact and Performance Manager.
- 6.9 The decision of the 2014 REF Appeal Panel will be final within the procedures of the University and all appeals will be concluded before the REF submission deadline.
- 6.10 The selective nature of the REF means that outputs from staff may be omitted from the outputs return for tactical reasons rather than because of a negative view of their quality. Non inclusion in the outputs component of the REF will not in itself cause any detriment to staff and the University will continue to use its established processes to deal with cases of academic promotion and of research performance.

7. Link with other policies and procedures

Decisions will be made consistent with the following University of Exeter Equality & Diversity Policy Statement (appendix F)

Appendices

- A Definition of eligible staff
- B Details of Equalities training provided to relevant staff
- C Personal circumstances and Equalities Legislation covered by this Code of Practice
- D Arrangements for supporting eligible staff employed on a part-time and fixed-term basis
- E Arrangements for supporting Contract Research Staff
- F University of Exeter Equality & Diversity Policy Statement
- G Personal circumstances communication to staff
- H Form for submission of personal circumstances
- I Dual Assurance
- J Flowchart illustrating decision making process

Appendix A

Definition of Eligible Staff

The following paragraphs are extracts from REF 02.2011 Assessment Framework and Guidance on submissions (July 2011), and in particular from Part 3 Section 1.

Staff selected for submission must be listed in **one** of the two possible categories, A or C.

Category A staff

Category A staff are defined as academic staff with a contract of employment of 0.2 FTE or greater and on the payroll of the submitting HEI on the census date (31 October 2013), and whose primary employment function is to undertake either 'research only' or 'teaching and research'².

Regardless of their job title, all staff who satisfy the definition above, along with the supplementary criteria below, are eligible as Category A staff:

- a. Staff who hold institutional/NHS joint appointments **are** eligible to be returned as Category A. These staff should be returned with an FTE less than 1.0, reflecting their contract of employment with the institution.
- b. Pensioned staff who continue in salaried employment contracted to carry out research and meet the definition above **are** eligible to be returned as Category A staff.
- c. Academic staff who are on unpaid leave of absence or on secondment on the census date **and** are contracted to return to normal duties up to two years from the start of their period of absence or secondment are eligible to be returned as Category A, provided that any staff recruited specifically to cover their duties are not also listed as Category A.
- d. Academic staff who are employed by the submitting HEI and based in a discrete department or unit outside the UK are eligible **only** if the HEI demonstrates that the primary focus of their research activity on the census date is clearly and directly connected to the submitting unit based in the UK. Staff whose connection cannot be demonstrated to the satisfaction of the REF manager, as advised by the relevant panel, will be discounted from the assessment and removed from the REF database.
- e. Staff absent from their 'home' institution but working on secondment as contracted academic staff at another UK higher education institution on the census date, may be returned by either or both institutions. In such a case the individual and both institutions concerned should agree how the return is to be made. Their total FTE may not exceed their contracted FTE with their main employer.

² These are staff returned to the HESA Staff Collection with an activity code of 'Academic Professional' (currently identified as code '2a' in the ACT1, ACT2 or ACT3 fields) and an academic employment function of either 'Research only' or 'Teaching and research' (currently identified as codes '2' or '3' in the ACEMPFUN field). Revised guidance on the coding of these staff in HESA returns will be issued following the review of the HESA staff record, which is due to conclude in September 2011.

- f. Other than individuals on secondment on the terms described in sub-paragraph e, an individual may **only** be returned as Category A by more than one HEI if they have a contract with and receive a salary from more than one HEI. In such cases:
 - i. The two HEIs must ensure that the total FTE value of the individual sums to no more than the lower of 1.0 or the individual's total contracted FTE duties. If any individual is returned in submissions with a contracted FTE that sums to more than 1.0, the REF team will rectify this through verification, and will apportion the FTE to each HEI pro-rata to the individual's contracted FTE at each HEI.
 - ii. The same research outputs may, but need not be, listed in each submission.
- g. No individual may be returned in more than one submission, except as described at sub-paragraphs e and f. Where an individual holds a joint appointment across two or more submitting units within the same institution, the HEI must decide on one submission in which to return the individual.
- h. Staff whose salary is calculated on an hourly or daily basis are eligible **only** if they meet the definition at paragraph 78 **and** on the census date have a contract of employment of at least 0.2 FTE per year over the length of their contract.
- i. Staff who hold more than one contract for different functions within the HEI, are eligible if one of those contracts satisfies the definition of Category A staff at paragraph 78. Such staff should be returned with an FTE that is no greater than that of the qualifying contract.

Research assistants

1. Research assistants are individuals who are on the payroll of and hold a contract of employment with the institution. They are academic staff whose primary employment function is defined as 'research only'. They are employed to carry out another individual's research programme rather than as independent researchers in their own right (except in the circumstances described in the paragraph below). They are usually funded from research grants or contracts from Research Councils, charities, the European Union (EU) or other overseas sources, industry, or other commercial enterprises, but they may also be funded from the institution's own funds. Individuals who meet this definition may be described in HEIs' grading structures as something other than research assistant (for example Associate Research Fellow, Research Fellow, Senior Research Fellow).
2. Research assistants, as defined in the paragraph above, are **not** eligible to be returned to the REF unless, exceptionally, they are named as principal investigator or equivalent on a research grant or significant piece of research work on the census date **and** satisfy the definition of Category A staff above. Research assistants must not be listed as Category A staff purely on the basis that they are named on one or more research outputs.

Category C staff

Category C staff are defined as individuals employed by an organisation other than an HEI, whose contract or job role (as documented by their employer) includes the

undertaking of research, and whose research is primarily focused in the submitting unit on the census date (31 October 2013).

Category C staff may be employed by the NHS, a Research Council unit, a charity or other organisation except for an HEI. Submitted outputs by Category C staff will inform the quality profiles awarded to submissions, but these staff will not contribute to the volume measure for funding purposes. For clarity, the following are **not** eligible to be returned as Category C staff:

- a. Any staff employed by the HEI, including vice-chancellors or heads of HEIs; HEI staff on non-academic contracts, including those working in university museums and libraries; or retired staff who are still active in research. (Where they satisfy the definition at paragraph 79i or, for retired staff, paragraph 79b, these staff are eligible to be returned as Category A staff.)
- b. Visiting professors, fellows and lecturers employed by other HEIs.

Appendix B

Equalities Training

Who should attend

All members of staff involved in the University REF processes are required to participate in a specific training programme based on the provisions of the Equality Act 2010 during 2012, including Research Monitoring panel members, REF Review Group members, Equality and Diversity Mitigation Panel members, REF 2014 Appeals Panel members, and any other staff who may reasonably be expected to make a contribution.

Course Pre-requisites

There is an expectation that all relevant staff will have completed the University mandatory Equality and Diversity Training Course (or equivalent with a previous employer).

The aims of this training are to:

- recognise how unacceptable and damaging any sort of prejudice or discrimination is (which will include discrimination around race, gender, disability, age, pregnancy and maternity, marriage and civil partnerships, sexual orientation, gender reassignment and religion and belief).
- understand what all our responsibilities are under current anti discriminatory legislation.
- be aware of what we have a right to expect under different University Equality and Diversity policies (eg Protection of Dignity at Work and Study Policy).
- explore personal beliefs and assumptions and to perhaps question any possible prejudices held.
- gain a better understanding about current debates and issues around Equality and Diversity.
- understand that in order to do your job well you must include an awareness of Equality and Diversity.

Aims and Outcomes

This additional training has been designed for the specific purpose of preparing all relevant staff for their roles in the University's REF preparation. This training will ensure that these staff will have:

- a comprehensive understanding of how equality legislation has changed and been extended since the RAE 2008 to cover nine protected characteristics under the Equality Act 2010;
- a detailed appreciation of the range of equality and diversity related reasons which constitute both clearly defined and complex individual circumstances that may impact on the number of outputs staff have produced over the REF 2014 census period;
- experience of working through detailed case studies and using guidance for calculating permitted reductions in outputs
- An understanding the University's rationale for accepting or rejecting the number of outputs submitted.

Appendix C

Individual Staff Circumstances covered by this Code of Practice

The following paragraphs are extracts from REF 02.2011 Assessment Framework and Guidance on submissions (July 2011), and in particular from Part 3 Section 1 and REF 01.2012 Panel Criteria and Working Methods, and in particular from Part 1.

The University will take account of the following circumstances where the University is satisfied that they have had an effect on the volume of research output during the REF census period (ie 1 January 2008 to 31 October 2013), provided that there are outputs for inclusion in the submission, judged by the University to be of the requisite quality to achieve the objectives of the University's Research Strategy.

Clearly defined circumstances:

Clearly defined circumstances, which are:

1. Qualifying as an Early Career Researcher (as defined below).
2. Part-time working.
3. Maternity, paternity or adoption leave. (Note that maternity leave may involve related constraints on an individual's ability to conduct research in addition to the defined period of maternity leave itself. These cases can be returned as 'complex' as described at below, so that the full range of circumstances can be taken into account in making a judgement about the appropriate number of outputs that may be reduced without penalty).
4. Secondments or career breaks outside of the higher education sector, and in which the individual did not undertake academic research.

Where an individual has one or more circumstances with a clearly defined reduction in outputs, the number of outputs that may be reduced should be determined according to the tables and guidance below. All sub-panels will accept a reduction in outputs according to this guidance and will assess the remaining number of submitted outputs without any penalty.

1. Qualifying as an Early Career Researcher (ECR) (on the basis set out below)

- 1.1 Early career researchers are defined as members of staff who meet the criteria to be selected as Category A or Category C staff on the census date, **and** who started their careers as independent researchers on or after 1 August 2009. For the purposes of the REF, an individual is deemed to have started their career as an independent researcher from the point at which:
 - a. They held a contract of employment of 0.2 FTE or greater, which included a primary employment function of undertaking 'research' or 'teaching and research', with any HEI or other organisation, whether in the UK or overseas, **and**
 - b. They undertook independent research, leading or acting as principal investigator or equivalent on a research grant or significant piece of research work. (A member

of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs.)

1.2 The following do **not** meet the definition of an ECR (this list is not exhaustive):

- a. Staff who first acted as an independent researcher while at a previous employer – whether another HEI, business or other organisation in the UK or elsewhere – before 1 August 2009, with a contract of 0.2 FTE or greater.
- b. Staff who first acted as an independent researcher before 1 August 2009 and have since had a career outside of research or an extended break from their research career, before returning to research work. Such staff may reduce the number of outputs submitted according to section 4 (career breaks).
- c. Research assistants who are ineligible to be returned to the REF, as defined in Appendix A above.

1.3 Early career researchers are defined in paragraphs 1.1 and 1.2 above. Table 1 sets out the permitted reduction in outputs without penalty in the assessment for early career researchers who meet this definition.

Table 1 Early career researchers: permitted reduction in outputs

Date at which the individual first met the REF definition of an early career researcher:	Number of outputs may be reduced by up to:
On or before 31 July 2009	0
Between 1 August 2009 and 31 July 2010 inclusive	1
Between 1 August 2010 and 31 July 2011 inclusive	2
On or after 1 August 2011	3

2. Absence from work due to part-time working, secondments or career breaks (on the basis set out below)

Table 2 sets out the permitted reduction in outputs without penalty in the assessment for absence from work due to:

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

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

Total months absent between 1	Number of outputs
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January 2008 and 31 October 2013 due to working part-time, secondment or career break:	may be reduced by up to:
0-11.99	0
12-27.99	1
28-45.99	2
46 or more	3

The allowances in Table 2 are based on the length of the individual's absence or time away from working in higher education. They are defined in terms of total months absent from work. For part-time working, the equivalent 'total months absent' should be calculated by multiplying the number of months worked part-time by the full-time equivalent (FTE) **not** worked during those months. For example, an individual worked part-time for 30 months at 0.6 FTE. The number of equivalent months absent = $30 \times 0.4 = 12$.

3. Qualifying periods of maternity, paternity or adoption leave (on the basis set out below)

3.1 Individuals may reduce the number of outputs by one, for each discrete period of:

- a. Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2008 to 31 October 2013, regardless of the length of the leave.
- b. Additional paternity or adoption leave³ lasting for four months or more, taken substantially during the period 1 January 2008 to 31 October 2013.

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

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

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

³ 'Additional paternity or adoption leave' refers to leave of up to 26 weeks which is taken to care for a child where the person's spouse, partner or civil partner was entitled to statutory maternity leave or statutory adoption leave, and has since returned to work. The term 'additional paternity leave' is often used to describe this type of leave although it may be taken by parents of either gender. For the purposes of the REF we refer to this leave as 'additional paternity or adoption leave'.

generally likely to have a comparable impact on a researcher's work to that of taking maternity leave.

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

While the clearly defined reduction of outputs due to additional paternity or adoption leave is subject to a minimum period of four months, shorter periods of such leave can be taken into account as follows:

- a. By seeking a reduction in outputs under the provision for complex circumstances, for example where the period of leave had an impact in combination with other factors such as ongoing childcare responsibilities.
- b. By combining the number of months for shorter periods of such leave in combination with other clearly defined circumstances, according to Table 2.

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

4. Combining clearly defined circumstances

4.1 Where individuals have had a combination of circumstances with clearly defined reductions in outputs, these may be accumulated up to a maximum reduction of three outputs. For each circumstance, the relevant reduction should be applied and added together to calculate the total maximum reduction.

4.2 Where Table 1 is combined with Table 2, the period of time since 1 January 2008 up until the individual met the definition of an early career researcher should be calculated in months, and Table 2 should be applied.

4.3 When combining circumstances, only one circumstance should be taken into account for any period of time during which they took place simultaneously. (For example, an individual worked part-time throughout the assessment period and first met the definition of an early career researcher on 1 September 2009. In this case the number of months 'absent' due to part-time working should be calculated from 1 September 2009 onwards, and combined with the reduction due to qualifying as an early career researcher, as indicated in 4.2 above.)

4.4 Where an individual has a combination of circumstances with a clearly defined reduction in outputs **and** complex circumstances, the institution should submit these collectively as 'complex' so that a single judgement can be made about the appropriate reduction in outputs, taking into account all the circumstances. Those circumstances with a clearly defined reduction in outputs should be calculated according to the guidance above.

5. Other circumstances that apply in UoAs 1-6 as defined below

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

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

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

Circumstances that are more complex and require a judgement about the appropriate number of outputs that can be reduced without penalty.

These circumstances are:

1. Disability. ill-health and injury, including any disability to which the Equality Act 2010 applies, including both permanent disabilities and any temporary disability with a duration of 12 months or more and absence from work on the advice of a registered medical'.
2. Constraints related to pregnancy or maternity, in addition to a clearly defined period of maternity leave. (These may include but are not limited to: medical issues associated with pregnancy or maternity; health and safety restrictions in laboratory or field work during pregnancy or breastfeeding; constraints on the ability to travel to undertake fieldwork due to pregnancy or breast-feeding.)
3. Childcare or other caring responsibilities.
4. Gender reassignment.
5. Other circumstances relating to the protected characteristics under the Equality Act 2010.

Where staff have had one or more complex circumstances – including in combination with any circumstances with a clearly defined reduction in outputs – the institution will need to make a judgement on the appropriate reduction in the number of outputs submitted, and provide a rationale for this judgement

Where an individual wishes to include a combination of clearly defined and more complex circumstances for consideration these will be considered as 'complex' so that a single judgement can be made about the appropriate reduction in outputs, taking into account all the circumstances.

Decisions will be made in accordance with the Equality Act 2010.

Appendix D

Arrangements for supporting eligible staff employed on a part-time and fixed-term basis

In 2002, the University introduced the Professional Development Programme (PDP) for new Lecturing (Education and Research) staff. New Lecturers are appointed onto a five year PDP, with performance targets to be achieved after three and five years. New staff are appointed an Academic Lead to support them in their research and they are included in the annual Research Monitoring exercise. They are also expected to complete the Certificate in Academic Practice, or participate in the University's professional teaching programme, ASPIRE. For staff who are part-time, the quantity of targets to be achieved after three and five years may be modified following consultation between the new employee and their Dean of College, and this will be recorded. Staff may achieve their PDP targets earlier than the three and five years of the programme.

New Lecturers appointed on a fixed term basis are also appointed to the five year PDP with the same three year and five year performance targets as open-ended staff. They are also appointed an Academic Lead and are given the same opportunities and support as staff on open-ended contracts.

Appendix E

Arrangements for supporting Contract Research Staff

The University of Exeter supports the Concordat to Support the Career Development of Researchers (<http://www.exeter.ac.uk/staff/research/info/concordat>) on the career management of 'contract research staff' agreed between Universities and the principal funders of research in the UK.

There are a number of training and development opportunities within the University that research staff can take advantage of including The Researcher Development Programme which provides dedicated workshops, online provision and events aligned to the Researcher Development Framework in areas of Personal effectiveness, Research governance and organisation, and Engagement influence and impact. Workshops are arranged in progressive themes from starting a research degree through to postdoctoral career needs and continued professional development for the individual.

Research staff receive feedback on their performance and an assessment of their training needs through participation in the Performance and Development (PDR) scheme.

The University has agreed a Code of Good Practice for the Employment of Research Staff.

University Code of Practice on the employment of career research staff

The Research Committee of the University approved the following Code of Good Practice for the Employment of Research Staff in 2002. It was subsequently endorsed by the Senate and Council of the University. The Code of Good Practice is reviewed regularly.

1. Introduction

The University is committed to the principles of the 'Concordat to support the Career Development of Researchers' and to best personnel management and training practice for all staff, including those on fixed term contracts. The Concordat is a recommended code of best practice agreed by the Research Councils, the Royal Society, the British Academy, and Universities UK, Higher Education Funding Councils, Government departments and also includes others funders. It sets standards for the career management and conditions of employment of research staff in universities. For more information, please visit the [Concordat](#) web pages.

2. Code of Good Practice

In accordance with the requirements of the Concordat the University shall ensure that all research staff will:

- receive a contract of employment and defined terms and conditions which reflect the University's commitment to equal opportunities, fairness and non-discriminatory practices;
- participate in the induction process on arrival. Their supervisor will have primary responsibility for ensuring that research staff are assimilated into the research culture;
- have regular project reviews with their Supervisor which will provide the opportunity for feedback on performance;

- participate in the University's Performance and Development Review process; the Reviewer shall be the Head of School or his/her nominee who will not be the supervisor;
- be considered for appropriate recognition and reward in accordance with University practice;
- have their contributions to publications duly recognised in accordance with the requirements of the Code of Good Practice in the Conduct of Research;
- be eligible for financial support as appropriate from the School;
- be expected to participate in a programme of off-the-job training and have access to other training and development opportunities as appropriate;
- be able to participate in relevant College Committees;
- receive support and advice on career development from their supervisors and the Staff Learning and Development
- have a pre-end of contract review by their supervisor at least 6 months prior to the end of contract, to formally discuss future contracts or support in finding alternative employment.
- be requested to complete an exit survey at the end of their contract for tracking purposes and to enable the University to monitor effectiveness of policies and procedures.

3. Review

The RKT Management Group will review regularly the impact of this code and associated actions to ensure that the requirements of the Concordat continue to be met.

Appendix F

Equality and Diversity

The University has over a number of years built up a series of structures, clearly defined roles and different support mechanisms which work together to drive forward the Equality and Diversity Agenda. This is not to suggest that all the changes necessary within the University have already been achieved, but it is important to recognise the work already undertaken and the benefits of having in place visible and accessible resources, structures and individuals whose common goal is to ensure that Equality and Diversity lies at the heart of everything that we do

Management and Staff

The Management Lead under Dual Assurance is the DVC (External Affairs and the Lay Lead is a Council member. Dual Assurance provides a strategic overview of the work of the E&D team. It monitors and reviews priorities and actions, including the University targets relating to equality and diversity and the Equality Schemes for the various equality strands. It ensures compliance in terms of the University's legislative duties with regard to policies, procedures and action plans. And finally it advises and provides general support to the work of the E&D team.

Dual Assurance is supported by an Equality and Diversity Advisory Group which advises on policy, and by four Groups covering the main areas of Equality and Diversity activity: the Race and Religious Equality Group (RREG); the Disability Equality Group (DEG); the Gender Equality Group (GEG); the Age Equality Group (AEG) and the Lesbian, Gay, Bisexual and Transgender Equality Group (LGBTEG). The groups also ensure transparency and accountability and provide support for the work of E and D across the University. The Council Lay Lead receives all papers for the E and D Advisory Group, RREG, DEG, GEG, AEG and LGBTEG meetings and has the opportunity to attend meetings of all these groups.

Equality and Diversity Co-ordinators

The role of Equality and Diversity Co-ordinator was established in 2005 and Co-ordinators appointed within all areas of the University. With the move to the current College structure in August 2010, 'Lead' Equality and Diversity Coordinators were appointed to ensure a co-ordinated and consistent approach to equality and diversity activity on a College-wide basis. The Co-ordinator's role is to act as a first point of contact for equality and diversity issues within their College/Service; to attend meetings of the Equality and Diversity Advisory Group; to assist in the co-ordination of equality impact assessments within their College/Service and to disseminate information as necessary.

Equality Impact Assessments

The Equality Impact Assessment (EIA) process is a systematic review of all the University's new and existing policies and procedures within all Colleges and Services. Impact assessing highlights areas of equality and diversity best practice and enables us to pre-empt and discourage incidents of discrimination. Following the introduction of the Equality Act 2010, a comprehensive review of the existing EIA process has been completed and the process revised to encompass all 9 protected characteristics. As a matter of best practise we also assess policies on their potential impact upon international students as well. The review also took the opportunity to make improvements which resulted in a more streamlined and user-friendly EIA process. Although the new legislation does not expressly require Equality Impact Assessments, the Council of the University has

agreed to continue the EIA process as it demonstrates our commitment to complying with the public sector equality duties and enables us to actively promote equality of opportunity and maintain the excellent work, study and research environment for staff and students at the University of Exeter.

All associated documentation; guidance and completed assessments are available on the University's 'Equality Matters' website at <http://www.exeter.ac.uk/staff/equality/equalityimpactassessments/>

EQUALITY & DIVERSITY POLICY

Commitment

The University of Exeter values the diversity of its community because it believes this enriches employment, research, studying and learning experiences.

The University is committed to a policy of equality of opportunity and aims to provide a working, learning and social environment that is free from unfair discrimination. It aims to ensure that staff, students, visitors and all others associated with the University are treated with dignity, respect, and equity, regardless of inappropriate distinctions, such as age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation (as identified under the Equality Act 2010 as "protected characteristics"). In addition, the University will comply with all relevant legislation and aims to promote good practice in all aspects of the University.

Responsibility

The University Council and Deputy Vice-Chancellor (External Affairs) have responsibility for developing policy, monitoring its implementation and reviewing its effectiveness through the University's Dual Assurance Partnership for Equality and Diversity. The University recognises that all its staff, students, visitors and others associated with the University have a responsibility to ensure that their actions comply with both the requirements and the spirit of the policy.

Other relevant policies/procedures:

- Protection of Dignity at Work and Study and Network of Harassment Advisors
- Reporting Incidents of Discrimination
- Equality Impact Assessment process

(All available on the Equality & Diversity website at <http://www.exeter.ac.uk/staff/equality/>)

Appendix G

Statement of Personal Circumstances

Template covering note and staff disclosure form

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

From: Professor Nick Talbot

Subject: REF 2014, consideration of individual staff circumstances

The University of Exeter is committed to ensuring that decisions about selecting staff for the outputs component of the Research Excellence Framework (REF) are made in a fair, transparent and consistent manner. Information on how eligible staff will be selected for the outputs component of the REF can be found in the University of Exeter's Code of Practice which can be found at <http://www.exeter.ac.uk/refcop>

To ensure that REF processes are fair, the University of Exeter 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.

In determining whether eligible staff may be included in the outputs component of the REF with fewer than four research outputs, the University of Exeter 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
- Constraints relating to pregnancy, maternity, breastfeeding, adoption, paternity or childcare **in addition to** periods of maternity, statutory adoption or additional paternity leave taken. This could include for example, pregnancy related illness and health and safety restrictions in laboratory and field work.
- Other caring responsibilities (including caring for an elderly or disabled relative)
- Gender reassignment

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

In determining the number of outputs staff are required to submit, the institution will observe the definitions of individual staff circumstances provided in the published

REF 'Panel criteria and working methods' (January 2012) available at www.ref.ac.uk under 'Publications', these definitions and tariffs are also appended to this document (Appendix A).

What action do I need to take?

If you are eligible for REF submission you should complete the attached form in order that we can ensure that proper consideration is given to all staff circumstances. We will contact you if any further information is required about any circumstances disclosed

Who will see the information that I provide?

Within the University, the information that you provide will be seen by the REF Manager's office and your H R Business Partner and (where appropriate) the University's Occupational Health Service. The information will then be anonymised and seen by the REF Equality and Diversity Mitigation Panel, and in the event of an appeal, it would also be seen by the REF 2014 Appeal Panel. Members of these Groups and H R Business Partners handling individual staff circumstances will observe strict confidentiality and information will be stored securely.

If the University agrees that the individual circumstances justify a reduction in outputs then certain information will be included in the REF submission and handled by REF as follows:

- For **circumstances with a clearly defined reduction in outputs**, the information you provide will inform the University's submission which will then include (potentially) confidential and sensitive information which 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 conditions, gender reassignment, caring responsibilities or constraints relating to pregnancy, maternity, breastfeeding, adoption and paternity (in addition to the period of leave taken). This information will **not** be seen by the REF sub-panel.

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

The REF Assessment Framework and Guidance on Submissions www.hefce.ac.uk/research/ref/pubs/2011/02_11/, requires all higher education institutions participating in the REF to ensure appropriate confidentiality in handling individual staff circumstances. Where joint submissions are made it may be necessary to share the information provided with another institution in strict confidence.

You should note that if you don't give consent we may not be able to progress your case and you may not benefit from a reduction in the number of outputs required.

What if my circumstances change?

The University of Exeter 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://www.exeter.ac.uk/refcop>

Appendix A (REF 2014, consideration of individual staff circumstances)

Definitions of individual staff circumstances

3. Qualifying as an Early Career Researcher (ECR) (on the basis set out below)

- 1.1 Early career researchers are defined as members of staff who meet the criteria to be selected as Category A or Category C staff on the census date, **and** who started their careers as independent researchers on or after 1 August 2009. For the purposes of the REF, an individual is deemed to have started their career as an independent researcher from the point at which:
- c. They held a contract of employment of 0.2 FTE or greater, which included a primary employment function of undertaking 'research' or 'teaching and research', with any HEI or other organisation, whether in the UK or overseas, **and**
 - d. They undertook independent research, leading or acting as principal investigator or equivalent on a research grant or significant piece of research work. (A member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs.)
- 1.2 The following do **not** meet the definition of an ECR (this list is not exhaustive):
- a. Staff who first acted as an independent researcher while at a previous employer – whether another HEI, business or other organisation in the UK or elsewhere – before 1 August 2009, with a contract of 0.2 FTE or greater.
 - b. Staff who first acted as an independent researcher before 1 August 2009 and have since had a career outside of research or an extended break from their research career, before returning to research work. Such staff may reduce the number of outputs submitted according to section 2 below (career breaks).
 - c. Research assistants who are ineligible to be returned to the REF.
- 1.3 Early career researchers are defined in paragraphs 1.1 and 1.2 above. Table 1 sets out the permitted reduction in outputs without penalty in the assessment for early career researchers who meet this definition.

Table 1 Early career researchers: permitted reduction in outputs

Date at which the individual first met the REF definition of an early career researcher:	Number of outputs may be reduced by up to:
On or before 31 July 2009	0
Between 1 August 2009 and 31 July 2010 inclusive	1
Between 1 August 2010 and 31 July 2011 inclusive	2

On or after 1 August 2011	3
---------------------------	---

2. Absence from work due to part-time working, secondments or career breaks (on the basis set out below)

Table 2 sets out the permitted reduction in outputs without penalty in the assessment for absence from work due to:

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

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

Total months absent between 1 January 2008 and 31 October 2013 due to working part-time, secondment or career break:	Number of outputs may be reduced by up to:
0-11.99	0
12-27.99	1
28-45.99	2
46 or more	3

The allowances in Table 2 are based on the length of the individual's absence or time away from working in higher education. They are defined in terms of total months absent from work. For part-time working, the equivalent 'total months absent' should be calculated by multiplying the number of months worked part-time by the full-time equivalent (FTE) **not** worked during those months. For example, an individual worked part-time for 30 months at 0.6 FTE. The number of equivalent months absent = 30 x 0.4 = 12.

3. Qualifying periods of maternity, paternity or adoption leave (on the basis set out below)

3.1 Individuals may reduce the number of outputs by one, for each discrete period of:

- a. Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2008 to 31 October 2013, regardless of the length of the leave.
- b. Additional paternity or adoption leave⁴ 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

3.2 While the clearly defined reduction of outputs due to additional paternity or adoption leave is subject to a minimum period of four months, shorter periods of such leave can be taken into account as follows:

- a. By seeking a reduction in outputs under the provision for complex circumstances, for example where the period of leave had an impact in combination with other factors such as ongoing childcare responsibilities.
- b. By combining the number of months for shorter periods of such leave in combination with other clearly defined circumstances, according to Table 2.

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

4. Combining clearly defined circumstances

4.1 Where individuals have had a combination of circumstances with clearly defined reductions in outputs, these may be accumulated up to a maximum reduction of three outputs. For each circumstance, the relevant reduction should be applied and added together to calculate the total maximum reduction.

4.2 Where Table 1 is combined with Table 2, the period of time since 1 January 2008 up until the individual met the definition of an early career researcher should be calculated in months, and Table 2 should be applied.

4.3 When combining circumstances, only one circumstance should be taken into account for any period of time during which they took place simultaneously. (For example, an individual worked part-time throughout the assessment period and first met the definition of an early career researcher on 1 September 2009. In this case the number of months 'absent' due to part-time working should be calculated from 1 September 2009 onwards, and combined with the reduction due to qualifying as an early career researcher, as indicated in 4.2 above.)

4.4 Where an individual has a combination of circumstances with a clearly defined reduction in outputs **and** complex circumstances, the institution should submit these collectively as 'complex' so that a single judgement can be made about the appropriate reduction in outputs, taking into account all the circumstances. Those circumstances with a clearly defined reduction in outputs should be calculated according to the guidance above.

6. Other circumstances that apply in UoAs 1-6 as defined below

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

taken by parents of either gender. For the purposes of the REF we refer to this leave as 'additional paternity or adoption leave'.

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

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

Circumstances that are more complex and require a judgement about the appropriate number of outputs that can be reduced without penalty.

These circumstances are:

1. Disability, ill-health and injury, including any disability to which the Equality Act 2010 applies, including both permanent disabilities and any temporary disability with a duration of 12 months or more and absence from work on the advice of a registered medical'.
2. Constraints related to pregnancy or maternity, in addition to a clearly defined period of maternity leave. (These may include but are not limited to: medical issues associated with pregnancy or maternity; health and safety restrictions in laboratory or field work during pregnancy or breastfeeding; constraints on the ability to travel to undertake fieldwork due to pregnancy or breast-feeding.)
3. Childcare or other caring responsibilities.
4. Gender reassignment.
5. Other circumstances relating to the protected characteristics under the Equality Act 2010.

Where an individual wishes to include a combination of clearly defined and more complex circumstances for consideration these will be considered as 'complex' so that a single judgement can be made about the appropriate reduction in outputs, taking into account all the circumstances.

Decisions will be made in accordance with the Equality Act 2010.

Appendix H

Individual staff circumstances disclosure form

Name	
Employee Number	
College	
Unit of Assessment	

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 be taken into consideration for the purposes of the Research Excellence Framework (REF). (Please complete sections two and three)
- I believe that I meet the criteria for qualifying as an Early Career Researcher. (Please complete sections two and three)

Section two:

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 [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	

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

Section three:

Please select as appropriate:

- I confirm that the information provided is a true and accurate description of my circumstances.
- I recognise that the information provided will be used for REF purposes and will be seen by the REF Manager's office and my HR Business Partner and (where appropriate) the University's Occupational Health Service. The information will then be anonymised and seen by the REF Equality and Diversity Mitigation Panel, and in the event of an appeal, by the REF 2014 Appeals Panel.
- I consent to the University sharing 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. [Delete if not applicable: I recognise that if a joint submission is made, information may be shared with another institution.] Where permission is not provided the University of Exeter will be limited in the action it can take.

Signature: Date:
(Staff member)

For official use only

Following consideration of the personal circumstances described above, the REF Committee:

- Will progress the staff member's inclusion in the REF submission with [insert number] of research outputs. Subject to specified institutional criteria. Rationale for the proposed number of outputs is attached
e.g. this decision is based on the tariffs outlined in the panel criteria.
- Requires further information of the circumstances as described on the attached page:
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 as attached.
e.g. circumstances detailed are not recognised within the assessment framework and guidance on submissions.

If [insert name of staff member] wishes to appeal against the decision of the REF Committee he / she will need to do so by [insert date] and details of the appeals process can be found at [insert web address].

Signature: Date:
Deputy Vice Chancellor (Research and Knowledge Transfer)

Signature: Date:
(Policy, Impact and Performance Manager)

Appendix I

Dual Assurance

Since 2007/08 various areas of the University's business which had been governed by a committee in previous years (including Research & Knowledge Transfer and Equality & Diversity) have been governed through a new mechanism known as dual assurance.

As its name suggests, this model involves two people (except in the case of Dual Assurance for Research where it involves three). The first is a member of the Vice-Chancellor's Executive Group, who takes responsibility for the management and development of policy in a particular area of business. The second member of the dual assurance partnership is a lay member of Council, knowledgeable in the same area, who provides assurance to Council that this activity is well-managed and that decisions have been reached following due process and appropriate consultation.

Further information on dual assurance is available on the University website at www.exeter.ac.uk/about/organisation/dualassurance

Appendix J

Decision Making Process

