

## REF2014: Code of Practice for Selection of Staff

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# The University of Glasgow

## REF2014: Code of Practice for Selection of Staff

### 1.0 Summary

This Code of Practice describes the principles and procedures that we will follow when selecting staff for submission to the Research Excellence Framework 2014 (REF2014).

The Code addresses all aspects of selection including the assessment of academic quality and the fair consideration of circumstances where an individual's research output may have been reduced by factors covered by the Equality Act 2010 or other personal circumstances such as part-time working or early career status. The Code also describes the procedures that the University will follow in making selection decisions, including the individuals and committees involved in the decision-making process.

This Code was developed by the Office of the Vice Principal (Research and Enterprise) and the Equality and Diversity Unit within Human Resources in consultation with colleagues from across the University community. Those who contributed to its development include the REF Working Group, the Research Planning and Strategy Committee, the Equality & Diversity Strategy Committee, the HR Committee and the Glasgow branch of UCU. The Code was considered by Senate on 2<sup>nd</sup> February and approved by the University's Senior Management Group and Court on 19<sup>th</sup> March and 18<sup>th</sup> April respectively.

The Code of Practice was approved externally by the HEFCE REF2014 Equality and Diversity Advisory Panel (EDAP) in July 2012.

### 2.0 Context

The Research Excellence Framework 2014 (REF2014) is the fifth in a series of exercises undertaken since 1992 at a UK national level to assess the quality of research in Higher Education Institutions (HEIs). The exercise is important because its outcomes will:

- Inform the selective distribution of public funds for research by the four UK higher education funding bodies, with effect from 2015/16;
- Provide benchmarking information and establish reputational yardsticks for: use within the higher education sector, for public information and to inform student decisions about choice of institution; and
- Provide accountability for public investment in research and produce evidence of the benefits of this investment.

Any HEI in the UK that is eligible to receive research funding from one of the four funding bodies can participate in the exercise. REF2014 defines four Main Panels consisting of the chairs of 36 Sub-Panels, one for each "Unit of Assessment" (UoA)<sup>1</sup>. Participation involves the submission of research to discipline-based UoAs as defined by REF2014. The assessment process is based on discipline-relevant expert review which, in some UoAs, will be augmented with appropriate quantitative indicators as determined by each Sub-Panel. Ultimately, REF2014 will produce a quality profile for each UoA submission made by an institution: it is these quality profiles that will inform funding.

As the assessment is based on a peer review process, the judgement on all aspects of the submission, including the treatment of parts of submissions affected by circumstances covered by equal opportunities considerations, rests with each Main Panel or Sub-Panel based on the information submitted and the generic and panel-specific criteria and working methods published for the exercise<sup>2</sup>.

### 3.0 Principles

This Code of Practice is underpinned by the four key principles of transparency, consistency, accountability and inclusivity as outlined below<sup>3</sup>.

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<sup>1</sup> Reference paragraph 20 in the Guidance on Submissions at [http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/02\\_11.pdf](http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/02_11.pdf)

<sup>2</sup> The final Panel Criteria and Working Methods can be found at [http://www.ref.ac.uk/media/ref/content/pub/panelcriteriaandworkingmethods/01\\_12.pdf](http://www.ref.ac.uk/media/ref/content/pub/panelcriteriaandworkingmethods/01_12.pdf)

<sup>3</sup> Reference paragraph 204 in the Guidance on Submissions at [http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/02\\_11.pdf](http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/02_11.pdf)

**Transparency:** The University will work to ensure that all processes for selection of staff for inclusion in REF submissions are transparent.

Please see Section 11.0 for details of how the University will ensure all eligible staff have access to this Code.

**Consistency:** The University will ensure that the processes used to select staff are consistent across the institution and that this code is implemented uniformly.

All staff with an involvement in the REF decision-making process are responsible for adhering to this Code of Practice and will be expected to apply its principles in all stages of the REF. All eligible staff are responsible for familiarising themselves with this Code and will be expected to act in accordance with the principles of the Code. The Vice Principal (Research & Enterprise), with the authority of the Principal, has ultimate responsibility for ensuring the University effectively implements this Code and, in accordance with the Equality Act 2010 that it monitors and evaluates the impact upon people from protected characteristic groups.

**Accountability:** The University will take steps to ensure that the responsibilities of those involved in making selection decisions are clearly defined and readily available to all individuals and groups concerned.

The staff and committees involved in making selection decisions are outlined in Section 6.0 alongside details of where terms of reference can be sourced. The training provided to these individuals is described in Section 10.0.

**Inclusivity:** The University is committed to promoting an inclusive environment, enabling all eligible staff who have produced work of the required standard to be considered for submission.

The University's processes for considering staff with clearly defined or complex personal circumstances are outlined in Section 7.0.

#### **4.0 Legal Framework**

The Equality Act 2010 harmonised and streamlined previous equality legislation (a summary of the legislation is provided in the REF Guidance on Submissions<sup>4</sup>). The Act covers nine protected characteristics, namely:

- Age
- Disability
- Gender Reassignment
- Marriage and Civil partnership
- Pregnancy and maternity
- Race
- Religion or belief
- Sex
- Sexual orientation

Public authorities, such as the University of Glasgow, must adhere to the Public Sector Equality Duty when carrying out their functions. This requires due regard to the following:

- The elimination of discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act.
- The advancement of equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it.
- The fostering of good relations between persons who share a relevant protected characteristic and persons who do not share it.

The University of Glasgow has outlined its commitment to inclusion and equality in its strategy *Glasgow 2020: A Global Vision*, which states one of the values of the organisation as:

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<sup>4</sup> Reference Part 4 of the Guidance on Submissions at [http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/02\\_11.pdf](http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/02_11.pdf)

*Openness: Our inclusiveness embraces diversity by valuing and respecting the perspectives and contributions of all our colleagues and students.*

All eligible academic staff who have produced research outputs of the required quality will have an equal opportunity to be submitted to the REF. The processes for selecting staff for inclusion will be free from bias or discrimination relating to the nine protected characteristics. This Code of Practice outlines how the University of Glasgow will ensure the selection procedures are transparent and fair, and adhere to the four principals of transparency, consistency, accountability and inclusivity.

## 5.0 Eligibility

Institutions compile their submissions by considering the research activities of eligible staff. Staff are eligible for inclusion if their primary employment function is either “research only” or “research & teaching”; they have a contract of employment of 0.2FTE or greater; and are on the payroll of the submitting HEI on the census date (31<sup>st</sup> October 2013).

Whilst staff on “research only” contracts are eligible, the exercise explicitly excludes Research Assistants and other staff that are employed to carry out another individual’s research programme, unless, exceptionally, they are named as Principal Investigator on a research grant or significant piece of research work on the census date (REF2014 Assessment Framework and Guidance on Submissions, paragraphs 80 and 81) and the University can evidence this for audit purposes.

## 6.0 Roles: Staff and Committees

In reaching decisions, the University draws on its existing committee structures for the management of research, together with REF-specific committees and individuals appointed to have certain responsibilities for REF matters.

All committees are constituted in line with the University’s Equal Opportunities policies<sup>5</sup>, which includes an aim to achieve a 70:30 (m:f) or better gender balance. Committees may use their professional judgment in choosing to seek advice from others, both internal and external to the university. Individuals taking REF-specific responsibilities are appointed by University management on the basis of relevant knowledge and experience.

Committees and staff involved are summarised in the table below and further details, including remits and memberships, are available through the University’s REF web pages (<http://www.gla.ac.uk/staff/ref/refcommittees/>).

Committee	Existing or REF	Role in REF2014
<b>UoA Champions</b>	REF	Responsibility for the overall co-ordination and management of the submission for a UoA.
<b>College Assessment Panels (CAPs)</b>	REF	<p>Responsibility for the College’s REF preparations with oversight of the individual UoA plans including considering proposals to set alternative quality thresholds for some UoAs before making recommendations to RPSC.</p> <p>Provision of advice to REF Champions and reporting to College R&amp;KT Committee and College Management Group as required.</p> <p>Preparation, implementation and monitoring of action plans leading up to submission.</p> <p>Responsibility for selection decisions (attended by a representative from the E&amp;D Unit and / or HR Manager for these discussions).</p>
<b>College Research &amp; Knowledge Transfer (R&amp;KT) Committees</b>	Existing	<p>Receiving regular reports from CAPs and reporting regularly to College Management Group.</p> <p>Advising CAPs and UoA Champions on REF matters.</p>

<sup>5</sup> The University’s Equality and Diversity Policy can be found at <http://www.gla.ac.uk/services/equalitydiversity/equalitydiversitypolicy/>

		Reviewing and providing formal approval for the College's REF submission.
<b>University Equality &amp; Diversity Committee</b>	REF	To consider individual complex personal circumstances in accordance with published guidance and to provide CAPs with an assessment of any reduction in volume that should be applied.
<b>REF Working Group</b>	REF	Advice and regular reporting to RPSC. Advising RPSC about the overall principles and structure of the process. Responsibility for the selection decisions appeals process.
<b>Research Planning and Strategy Committee (RPSC)</b>	Existing	Oversight of REF preparations as part of its wider responsibilities for institutional research strategy and planning. Its key responsibilities are: <ul style="list-style-type: none"> <li>• Recommending policy and strategy to SMG including where alternative quality thresholds are proposed for some UoAs</li> <li>• Approving the constitution and membership for College Assessment Panels</li> <li>• Overseeing the administration of the exercise</li> <li>• Monitoring progress</li> </ul>
<b>Senior Management Group (SMG)</b>	Existing	Overall responsibility for strategic decisions relating to the progression and shape of the submission, for example, the institutional approach to selection.

## 7.0 Selection Criteria and Process

REF2014 guidance states clearly that the primary selection criterion for inclusion in the exercise is the excellence of the research being undertaken by an individual. However, the University can choose to structure its submission in whatever way it thinks most appropriate and potentially beneficial to the institution. This includes: setting a research excellence quality threshold for the submission at institutional level; deciding if a UoA can set a different threshold; deciding in which UoAs to make submissions; and determining the UoAs in which individual university staff are returned. Overall responsibility for decisions about the shape of the University's submission will rest with the University's Senior Management Group and the Vice-Principal (Research and Enterprise), advised by the individuals and committees described in Section 6.0.

In order to ensure all eligible staff are considered equally, the University will implement a two-stage selection process:

### Stage 1: Determining the University's quality threshold(s) for REF2014

The University's Global Vision for 2020<sup>6</sup> sets the aim for the institution in research for the period up to 2020 and beyond:

*"To enhance our standing as a community of world-leading researchers by promoting excellence within disciplines and inter-disciplinary teams tackling global challenges – providing cultural enrichment and benefiting society".*

The University's performance in REF2014 will be a key measure of the progress towards achieving its stated ambitions for research. Equally, our strategic ambition will be a factor in determining the optimum shape of submission at institutional and UoA levels. Consistent with this aim, the University will determine a minimum quality threshold to be applied to the selection of staff for submission to REF2014.

This threshold will be determined by the University's Senior Management Group following advice from the Committees outlined in Section 6.0.

<sup>6</sup> Glasgow 2020 – A Global Vision at [http://www.gla.ac.uk/media/media\\_180610\\_en.pdf](http://www.gla.ac.uk/media/media_180610_en.pdf)

Whilst there will be an institutional quality threshold, some UoAs may determine that a different selection strategy is more appropriate. For example:

- Where there is particular strength and the UoA wishes to demonstrate the world leading nature of its research.
- Where there are discipline-specific considerations either sector-wide or specific to the University.
- Where it has been agreed to make a submission jointly with one or more other institutions. The University will normally not agree to such a submission if the proposed quality threshold is lower than the University's minimum threshold.

Any proposal to vary the quality threshold selection criteria will be reviewed and approved by the University's Senior Management Group as outlined. Where the selection criteria vary for a UoA, this will be communicated to all relevant eligible staff and will be applied in a consistent manner at the UoA level.

The University aims to provide Court with details of all quality thresholds for formal ratification by 20<sup>th</sup> June 2012 and will communicate these thresholds to all eligible staff from 1<sup>st</sup> July 2012 via an email notification with details appearing on the University's internal web-pages.

### **Stage 2: Selection of staff, including consideration of equal opportunity issues which may have affected volume of research in the assessment period**

It is a fundamental aspect of these processes that no single person will make decisions about the selection of individuals for submission. For each UoA, the development of the submission is co-ordinated by the UoA Champion, with inputs from the College Assessment Panel, as appropriate, and the College Research & Knowledge Transfer Committee.

*The overall responsibility for decisions about selection rests with the appropriate College Assessment Panel subject to the appeals process described in Section 9.0 below.* To ensure consistency in approach across the University and to provide advice and guidance to the CAPs, a representative from the Equality and Diversity Unit and/or HR will attend the CAP meetings at which selection decisions are discussed.

Formal selection decisions will begin on 1<sup>st</sup> August 2012 with the intention that all staff will have been contacted about their submission status by 31<sup>st</sup> December 2012.

Our expectation is that four items of research output will be submitted for each individual selected for inclusion in the REF submission. Individuals with fewer than four outputs of the required quality will be considered for selection where their circumstances have significantly constrained their ability to produce four appropriate outputs. For REF2014, these circumstances have been categorised as follows (further details are provided in Appendix 1):

- *Clearly defined circumstances:* in these circumstances the REF2014 Guidance provides details of the reduction in outputs submitted that is permissible without penalty<sup>7</sup>.
- *Complex circumstances:* the University will need to make a judgement about the appropriate number of outputs that should be submitted.

Where fewer than four outputs are returned for an individual, the institution must provide supporting information as outlined in Appendix 2. This information will be kept confidential to the HEFCE REF Team and the Sub-Panel members (for clearly defined circumstances) and to the HEFCE Equality & Diversity Advisory Panel (EDAP) and Main Panel Chairs (for complex circumstances).

It should be noted that acceptance by a REF2014 Panel of a case for reduced outputs based on complex circumstances is not automatic. The EDAP and the Panel Chair will exercise their discretion in judging whether a valid case has been made and have the right to reject an individual's circumstances as a reason for reduced outputs if they feel that they do not merit consideration as outlined in the criteria. This could result in the missing outputs being classed as unclassified and would adversely affect the University's submission.

The University will therefore also review and approve cases on an individual basis prior to making a final selection decision. The process for this is outlined below.

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<sup>7</sup> Reference Part 1, paragraph 67 in the Panel Criteria and Working Methods at [http://www.ref.ac.uk/media/ref/content/pub/panelcriteriaandworkingmethods/01\\_12.pdf](http://www.ref.ac.uk/media/ref/content/pub/panelcriteriaandworkingmethods/01_12.pdf)



In order to allow for an informed decision about inclusion to be made, all eligible staff will be contacted and requested to provide details of any special circumstances (as defined by REF) which have impacted on their ability to produce four outputs of the required quality. This information will be requested electronically from 1<sup>st</sup> May 2012 and will be required in advance of the formal decision making round (see Appendix 2 for details including details about who will have access to this information and for how long it will be stored).

Staff who are absent from work will be contacted at their home address with details of how to provide the required data.

***A null return will be taken to indicate that no special circumstances need be considered.*** Should circumstances change following submission of the information, staff members will be able to access a version of the form to provide additional details.

Consideration of circumstances will be carried out as follows:

1. ***Clearly defined circumstances:*** the College HR Manager, in discussion with the UoA Champion, will identify if there are any clearly defined circumstances which may have impacted on the individual's ability to produce four appropriate outputs. In these circumstances, standard tariffs have been determined for REF2014 and the number of required outputs will be reduced as outlined in the REF2014 Guidance<sup>8</sup>. For these cases, the CAP will receive short details of the circumstance in line with those required by the REF2014 Panels (details in Appendix 2).
2. ***Complex circumstances:*** In these cases, the HEFCE EDAP will make an assessment of the circumstances to determine if they merit a reduction in output. Therefore, in order to inform the University's selection decision, the University Equality & Diversity Committee (UEDC) will receive more detailed information about the circumstances in line with REF requirements and will consider what, if any, reduction in outputs should be allowed. Decisions of this Committee will be reported to the relevant CAP and UoA Champion to inform selection decisions. All information will be treated as confidential. See Appendix 2 for details including a flowchart of the decision making process.

In reaching decisions on the submission according to the principles and the procedures outlined in this document, the University will be mindful of the REF2014 Panels' roles as ultimate judges of the eligibility of a submission. Overall, our objective in this complex decision-making process will be to achieve an appropriate balance of the needs and priorities of the institution and the rights of the individual.

**Feedback of decisions to staff:** The Dean of Research, or their representative, will feed back decisions about selection promptly to staff with all staff being informed of their selection status by 31<sup>st</sup> December 2012. Feedback will be given to staff individually.

**Selection of staff after 31<sup>st</sup> December 2012:** The selection status for staff who join the University after the formal decision making round; for those for whom a decision is "pending" based on the publication of additional outputs and for individuals whose personal circumstances have changed will be determined on a case-by-case basis by the process outlined above.

## **8.0 Statement about Impact of REF selection**

The REF exercise will have a major, strategic effect on all Universities in the UK. As a consequence, our criteria for the inclusion of individuals within the REF will be developed with a view to maximising the strategic benefit to the University and enhancing our research reputation both as a University, and within the different Disciplines/Units of Assessment to which we will be submitting. Inclusion or otherwise in the REF exercise will, therefore, not prejudice the future role or progression of an individual within the University.

## **9.0 Appeals**

*The deadline for appeals is 14 October 2013. Any staff who will be notified of their selection status close to, or after, this date will be able to appeal; however, these cases will be heard by exception and may be determined without a formal appeals hearing (as outlined below).*

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<sup>8</sup> Reference Part 1, paragraph 67 in the Panel Criteria and Working Methods at [http://www.ref.ac.uk/media/ref/content/pub/panelcriteriaandworkingmethods/01\\_12.pdf](http://www.ref.ac.uk/media/ref/content/pub/panelcriteriaandworkingmethods/01_12.pdf)

It is the intention of the University that all staff will have been notified of their submission status by 31st December 2012. Three outcomes are possible at this stage:

1. Selected for inclusion
2. Not selected for inclusion
3. A pending decision i.e. will not be selected for inclusion unless circumstances change significantly between now and the submission date. An example of such a change of circumstances might be if specified research outputs are published during the remainder of the publication period and are of suitable quality for inclusion in the submission.

A formal appeals process is available to eligible staff for whom the selection decision is either “not selected” or “pending” should they feel they have been unfairly treated at any stage of the selection process, specifically, in respect of the consideration of any special circumstances or the decision-making process as described in this document. Any complaint that involves wider issues than the REF selection process must be addressed using the University’s Grievance Procedures published on the HR web pages.

We aim to resolve any such issues informally and the first course of action for the staff member should be to contact the appropriate UoA Champion and Dean of Research to request information about how the decision was made and to ask for a review of the selection decision. Should this not lead to an agreed resolution, a staff member wishing to make a formal appeal should raise the issue in writing to the Convenor of the REF Working Group, Professor Steve Beaumont, Vice Principal for Research and Enterprise, setting out his/her grounds of appeal.

An Appeals Committee, comprising the Convenor and those members of the REF Working Group who have not previously been involved in the selection decision concerning the appellant will consider the appeal. If additional discipline-related expertise is required, the Convenor will invite up to two members of staff with relevant expertise but who have not been involved in the selection process to date to join the Appeals Committee.

It is the intention of the University that the appeal will be resolved as quickly as possible and to everyone’s satisfaction. However, the decision of the Appeals Committee will be final.

#### **Appeals Process and Deadlines**

1. Prior to making an appeal, the individual must have received written notification of his/her selection status. It is the aim of the University for all individuals to have been contacted before 31st December 2012.
2. Those wishing to appeal the decision should first contact the appropriate UoA Champion and Dean of Research to request information about how the decision was made and ask for a review of the selection decision. This should be done as soon as possible after receipt of the letter and no later than 25th January 2013.
3. Should this not lead to an agreed resolution, the staff member wishing to make a formal appeal should notify the Vice Principal (Research and Enterprise) of the intention to make an appeal. This must be in writing (email is acceptable) and made by 22nd March.
4. Appellants should then complete the appended form and provide supporting information identified on the form (Appendix 3). The grounds for the appeal, namely special circumstances or process, must be clearly identified and explained in the supporting case. The completed form and supporting information must be returned to the Vice Principal (Research and Enterprise) by 12th April 2013.
5. The Appeals Committee will meet to consider the appeal. The individual, and a representative if requested, will be invited to attend the Appeals Committee meeting. The UoA Champion or Dean of Research may be invited to provide evidence at the meeting.
6. It is the aim of the University to have resolved all appeals by 28th June 2013.
7. The decision of the Appeals Committee will be communicated to the appellant, CAP and UoA Champion.

**Appeals process for staff whose selection status was determined after 31<sup>st</sup> December 2012:** Staff should attempt to resolve concerns informally with the UoA Champion and Dean of Research before making a formal appeal. Wherever possible, staff must submit their appeal documentation in advance of the closure of the formal appeals process (the date for submission to the last Appeals Committee will be available from the Office of the Vice Principal (Research & Enterprise) - *updated: the deadline for receipt of paperwork is 14 October 2013*). Staff who wish to appeal after the final Appeals Committee has met



will have the opportunity to request a review of the decision and should contact the Convenor of the REFWG providing the information outlined above. The Convenor will seek advice from members of the REFWG (and discipline experts if required). The Convenor's decision will be final and will be communicated to the appellant, CAP and UoA Champion.

## 10.0 Training

To implement this Code effectively, all staff with involvement in making selection decisions for the REF will receive an appropriate level of training on how to apply equal opportunities principles in the selection of staff. This will include a wide range of staff including Vice Principals, Heads of College, Deans of Research, Research Convenors, UoA Champions, and members of: College Assessment Panels; Research & Knowledge Transfer Committees; REF Working Group and University Equality & Diversity Committee.

The learning objectives are to:

- Explore the role of those involved in REF selection with regard to equality and diversity
- Identify the key provisions of equal opportunities legislation and how it applies to the REF selection process
- Explore the different types of individual staff circumstances to be considered for the REF
- Identify the different processes for handling both clearly defined and complex staff circumstances

## 11.0 Communication of the Code

The Office of the VP(R&E) will make this Code easily accessible to all academic staff. It will be published on the University's web-pages. All staff eligible for selection will be sent an electronic copy and steps will be taken to ensure it is drawn to the attention of staff who are absent from work.

This Code of Practice will be communicated to staff as follows:

1. The draft code and its principles were discussed at Senate on 2 February 2012.
2. The REF web-pages<sup>9</sup> include the Code and also some FAQs to aid its interpretation.
3. All eligible staff will receive a copy of the Code of Practice via email alongside details of the timeframes for making selection decisions.
4. Staff who are absent from work will receive a hard-copy of the Code at their home address.

## 12.0 Equality Impact Assessment / Evaluation

An Equality Impact Assessment (EIA) of the impact of the REF selection process will be conducted, in line with the University's Policy and Guidance<sup>10</sup>. This is a live document which will be revised at key stages of the REF process, as outlined below:

- An initial EIA will be conducted of all academic staff eligible for selection;
- A second EIA will be conducted when academic staff have been selected for inclusion in the REF.
- A third EIA will be conducted of the staff who request an appeal against non selection within the REF.
- A final EIA will be conducted once the submission has been made.

This EIA will be available on the Equality and Diversity webpages<sup>11</sup>.

## 13.0 Useful Links

### External

REF2014 website	<a href="http://www.ref.ac.uk">www.ref.ac.uk</a>
REF2014 Guidance on Submissions	<a href="http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkorkandguidanceonsubmissions/02_11.pdf">http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkorkandguidanceonsubmissions/02_11.pdf</a>
REF2014 Panel Criteria and Working Methods	<a href="http://www.ref.ac.uk/media/ref/content/pub/panelcriteriaandworkingmethods/01_12.pdf">http://www.ref.ac.uk/media/ref/content/pub/panelcriteriaandworkingmethods/01_12.pdf</a>

<sup>9</sup> <http://www.gla.ac.uk/staff/ref/>

<sup>10</sup> Full EIA Policy and Guidance available - <http://www.gla.ac.uk/services/equalitydiversity/equalityimpactassessment/eiapolicyandguidance/>

<sup>11</sup> <http://www.gla.ac.uk/services/equalitydiversity/>

REF2014 Addendum to Guidance on Submissions	<a href="http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/02_11add.doc">http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/02_11add.doc</a>
REF2014 Equality Briefing for Panels	<a href="http://www.ref.ac.uk/media/ref/content/pub/equalitybriefingforpanels/REF_equality.pdf">http://www.ref.ac.uk/media/ref/content/pub/equalitybriefingforpanels/REF_equality.pdf</a>
Equality Challenge Unit	<a href="http://www.ecu.ac.uk/our-projects/REF">http://www.ecu.ac.uk/our-projects/REF</a>

### **Internal**

University REF webpages	<a href="http://www.gla.ac.uk/staff/ref/">http://www.gla.ac.uk/staff/ref/</a>
University Equality & Diversity Policy	<a href="http://www.gla.ac.uk/services/equalitydiversity/equalitydiversitypolicy/">http://www.gla.ac.uk/services/equalitydiversity/equalitydiversitypolicy/</a>
Fixed Term Staff Policy	<a href="http://www.gla.ac.uk/services/humanresources/policies/a-g/openend/ftoepolicy/#d.en.33516">http://www.gla.ac.uk/services/humanresources/policies/a-g/openend/ftoepolicy/#d.en.33516</a>
Part Time Working Policy	<a href="http://www.gla.ac.uk/services/humanresources/policies/h-o/flexibleworking/">http://www.gla.ac.uk/services/humanresources/policies/h-o/flexibleworking/</a>

## APPENDIX 1: Special Circumstances as defined by REF2014

### Clearly defined circumstances:

- Qualifying as an early career researcher (as defined by the REF2014 Guidance<sup>12</sup>).
- Part-time working.
- Maternity, paternity or adoption leave.
- Secondments or career breaks outside of the higher education sector, and in which the individual did not undertake academic research.
- Those who are still completing their clinical training and are defined as “Junior Clinical Academics” as per the Panel Criteria and Working Methods (UoA 1-6 only)<sup>13</sup>.

In these circumstances, the Panel Criteria and Working Methods provide tariffs to determine the number of outputs that may be reduced without penalty in the assessment, depending on the duration of the circumstance (or combination thereof). Staff are advised to review Part 1, paragraphs 64-91 for full details<sup>14</sup>. In summary:

### Early Career Researchers:

<i>Date at which the individual first met the REF definition of an ECR</i>	<i>No of outputs may be reduced by up to:</i>
On or before 31 July 2009	0
1 August 2009 – 31 July 2010 inclusive	1
1 August 2010 – 31 July 2011 inclusive	2
On or after 1 August 2011	3

**Absence from work due to part-time working, secondments or career breaks:** The amounts in the table below are based on an individual’s absence or time away from work due to part-time working, secondments or career breaks outside academia in months (details of how this should be calculated are in Part 1, paragraphs 73-74 in the Panel Criteria and Working Methods<sup>15</sup>).

<i>Total months absent between 1 January 2008 and 31 October 2013</i>	<i>No of outputs may be reduced by up to:</i>
0-11.99	0
12-27.99	1
28-45.99	2
46 or more	3

**Periods of maternity, paternity or adoption leave:** Individuals may reduce outputs by one, for each discrete period of:

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

**Junior Clinical Academics:** In UoAs 1-6, the number of outputs may be reduced by up to two, without penalty in the assessment, for 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.

**Complex circumstances:** more complex and require a judgement about the appropriate number of outputs that can be reduced without penalty. These circumstances are:

<sup>12</sup> Reference paragraph 85 in the Guidance on Submissions at [http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/02\\_11.pdf](http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/02_11.pdf)

<sup>13</sup> Reference Part 1, paragraph 86a in the Panel Criteria and Working Methods at [http://www.ref.ac.uk/media/ref/content/pub/panelcriteriaandworkingmethods/01\\_12.pdf](http://www.ref.ac.uk/media/ref/content/pub/panelcriteriaandworkingmethods/01_12.pdf)

<sup>14</sup> Reference Part 1, paragraphs 64-91 in the Panel Criteria and Working Methods at [http://www.ref.ac.uk/media/ref/content/pub/panelcriteriaandworkingmethods/01\\_12.pdf](http://www.ref.ac.uk/media/ref/content/pub/panelcriteriaandworkingmethods/01_12.pdf)

<sup>15</sup> Reference Part 1, paragraphs 73-74 in the Panel Criteria and Working Methods at [http://www.ref.ac.uk/media/ref/content/pub/panelcriteriaandworkingmethods/01\\_12.pdf](http://www.ref.ac.uk/media/ref/content/pub/panelcriteriaandworkingmethods/01_12.pdf)

- Disability. This is defined in the Guidance on Submissions in Part 4, Table 2 under 'Disability'<sup>16</sup>.
- Ill health or injury.
- Mental health conditions.
- Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances outlined in Part 1, paragraph 75 of the Panel Criteria and Working Methods<sup>17</sup>.
- Other caring responsibilities (such as caring for an elderly or disabled family member).
- Gender reassignment.
- Other circumstances relating to the protected characteristics listed at paragraph 190 of the Guidance on Submissions<sup>18</sup> or relating to activities protected by employment legislation.

For more complex circumstances, the University will need to make a judgement on the appropriate reduction in the number of outputs submitted, and the REF EDAP will consider these cases on a consistent basis across all UoAs.

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<sup>16</sup> Reference Part 4, Table 2 in the Guidance on Submissions at [http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/02\\_11.pdf](http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/02_11.pdf)

<sup>17</sup> Reference Part 1, paragraph 75 in the Panel Criteria and Working Methods at [http://www.ref.ac.uk/media/ref/content/pub/panelcriteriaandworkingmethods/01\\_12.pdf](http://www.ref.ac.uk/media/ref/content/pub/panelcriteriaandworkingmethods/01_12.pdf)

<sup>18</sup> Reference Part 1, paragraph 190 in the Guidance on Submissions at [http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/02\\_11.pdf](http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/02_11.pdf)

## APPENDIX 2: Individual staff circumstances data requirements, collection and review

### Data Requirements

For each member of staff returned with fewer than four outputs, submissions must include the following information<sup>19</sup>:

#### Staff with clearly defined circumstances (maximum 200 words):

- For ECRs: institutions must state the date at which the individual became an early career researcher (meeting the definition at paragraph 85); provide brief details of their research career history, specifically identifying the point at which they became an independent researcher, and the number of outputs returned.
- For other clearly defined circumstances: institutions must provide brief details about the nature of the circumstance(s), their timing and duration, a calculation of the total absence over the period 1 Jan 2008 to 31 Oct 2013, and the number of outputs returned.

#### Staff with complex circumstances (maximum 300 words): Institutions must:

- describe the nature and timing of the circumstances
- explain the effects on the individual's contracted working hours or ability to fulfil their contracted working hours
- explain any other effects on the individual's ability to work productively
- provide a calculation for the reduction in outputs and the number of outputs returned.

Worked Examples illustrating the information that HEFCE's EDAP and the University's Equality & Diversity Committee will need in order to make these decisions have been published by the Equality Challenge Unit and can be found at:

<http://www.ecu.ac.uk/documents/ref-materials/complex-circumstances-examples>

In all circumstances, the information returned by an institution must be based on verifiable evidence.

### Disclosure of individual circumstances

In order to allow for an informed decision about inclusion to be made, all eligible staff will be contacted and requested to provide details of any special circumstances which have impacted on their ability to produce four outputs of the required quality.

This information will be requested electronically from 1<sup>st</sup> May 2012 and will be required in advance of the formal decision making round. Staff who are absent from work will be contacted by letter to their home address and provided with details of how to provide this information, either electronically or via a paper copy of the form.

***A null return will be taken to indicate that no special circumstances need be considered.***

Should circumstances change following submission of the information, staff members will be able to access a version of the form to provide additional details.

### Access to sensitive personal information

#### Information disclosed to the University:

The information provided will be stored electronically within HR and will be considered confidential. Access to this information will be restricted as follows:

*Clearly defined circumstances:* the College HR Manager, in discussion with the UoA Champion, will identify if there are any clearly defined circumstances which may have impacted on the individual's ability to produce four appropriate outputs. For these cases, the CAP will receive short details of the circumstance in line with those required by the REF2014 Panels.

*Complex circumstances:* In these cases, the REF EDAP will make an assessment of the circumstances to determine if they merit a reduction in output. Therefore, in order to facilitate an informed decision by

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<sup>19</sup> Reference Part 3, Paragraph 96 in the Guidance on Submissions at [http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/02\\_11.pdf](http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/02_11.pdf)

the University, the University Equality & Diversity Committee (UEDC) will receive more detailed information about the circumstances in line with REF requirements. The UEDC will review each case using worked examples published by the Equality Challenge Unit as guidance<sup>20</sup> and will notify the relevant CAP and UoA Champion of any reduction in outputs agreed. All information will be treated as confidential.

The University will need to be able to provide evidence of special circumstances to support cases for reduced output and may be required to provide supplementary evidence as part of the REF2014 audit process, which will take place in the year following the date of submission. Relevant information will therefore be retained within HR for two years following submission to facilitate this process.

The University has a legal responsibility to ensure staff who declare a disability are appropriately supported in the work environment. If a disability is declared to the University for the first time during this process, this information will be transferred to the HR system and an HR Manager may contact the individual to ensure there can be a discussion about any reasonable adjustments which might be required.

**Information submitted to REF2014<sup>21</sup>:** Information provided may be shared externally for the purposes of evidencing any reduction in the number of research outputs.

All information provided for this purpose will be kept confidential to the REF team and the panel members (for clearly defined circumstances) and the EDAP and main panel chairs (for complex circumstances). 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.

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.

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

It is the responsibility of the HEI to ensure that the information is submitted in compliance with the Data Protection Act 1998 and all other legal obligations.

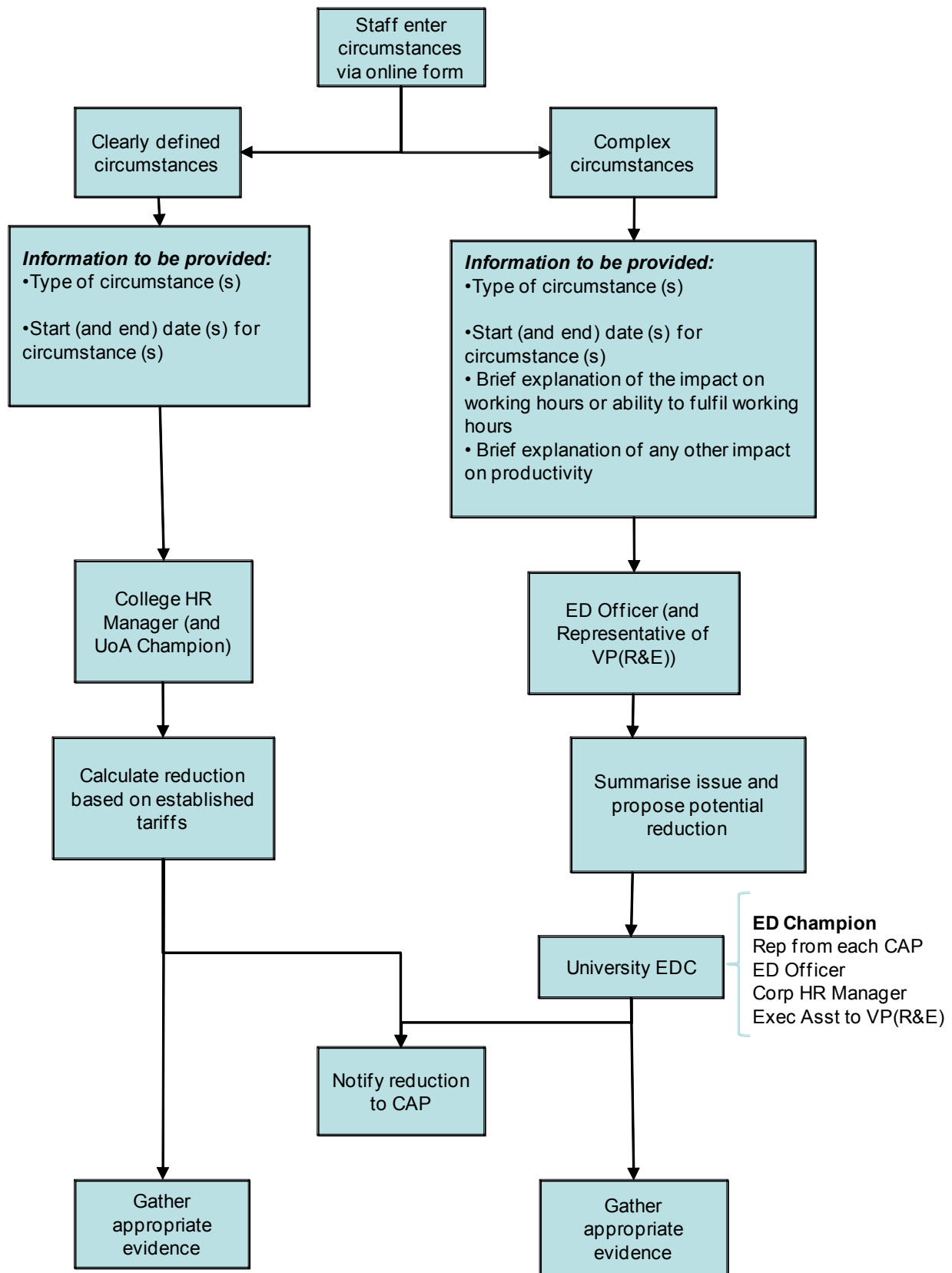
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<sup>20</sup>Worked examples of the information that will be reviewed by HEFCE and our UEDC can be found at: <http://www.ecu.ac.uk/documents/ref-materials/complex-circumstances-examples>

<sup>21</sup> Reference Paragraph 73 and Paragraphs 98 – 100 in the Guidance on Submissions at [http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/02\\_11.pdf](http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/02_11.pdf)



Summary flowchart indicating the process for assessing personal circumstances



### APPENDIX 3: Form for submitting a formal appeal

**University of Glasgow**  
**Selection of Staff for Submission to REF2014**  
**Case for Appeal**

Please return this form to Professor Steve Beaumont, Vice Principal (Research and Enterprise) by 12<sup>th</sup> April 2013. Please include copies of up to four research outputs (according to circumstances) which you would put forward for inclusion in the University's REF submission.

<b>Name:</b>		<b>Contact</b>	<b>Details</b>		
		(telephone and e-mail)			
<b>School / Research Institute</b>					
<b>Unit of Assessment</b> (number & description)					
<b>Selection Status</b> (not selected or pending)					
<b>Main Reason for Appeal</b> (select from list)	<b>Personal Circumstances:</b> Personal circumstances may apply which have not been adequately considered (please see Appendix 1 of the University's Code of Practice for Selection of Staff for REF2014 for circumstances which can be considered as part of the exercise)			<input type="checkbox"/>	
	<b>Selection Process:</b> selection process set out in University's Code of Practice has not been followed			<input type="checkbox"/>	
<b>Provide a summary of your appeal:</b>					
<b>Signature</b>				<b>Date</b>	