

GLASGOW CALEDONIAN UNIVERSITY

EQUALITY AND DIVERSITY CODE OF PRACTICE FOR REF 2014

1. INTRODUCTION

Glasgow Caledonian University, in making a submission to the Research Excellence Framework (REF2014), is required to develop, document and apply a code of practice on selecting staff to include in our submissions.

This code of practice was submitted to the REF team for approval on 27th April 2012. The Equality and Diversity Advisory Panel and SFC provided feedback on this code of practice and this has been incorporated in the present document. The requirements are based on the Equality Act 2010 and relevant employment law which place additional responsibilities on HEIs. The University is also obliged to publish the code of practice once approved. The Head of the Institution will be required to confirm adherence to the code of practice when making the submission.

The code of practice has been independently assessed by the University's Equality and Diversity Advisor.

This document sets out a draft code of practice that closely follows the REF2014 guidance requirements in the document REF02 2011: "Assessment Framework and Guidance on Submissions".

See: <http://www.ref.ac.uk/pubs/2011-02/>

Reference should also be made to the REF Panel Criteria and Working Methods document published in January 2012 which also updates in part aspects of the REF "Assessment Framework and Guidance on Submissions" document referred to above.

See: <http://www.ref.ac.uk/pubs/2012-01/>

Reference has also been made in preparing this code of practice to the Equality Challenge Unit documentation on "Codes of Practice" and "Equality impact assessment and the research excellence framework" published in September 2011 and available at the link below:

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

2. REF REQUIREMENTS FOR A CODE OF PRACTICE+

2.1 *Submission requirements*

This code adheres to the REF assessment framework and guidance on submissions document published at:

¹ Original version issued October 2012, revisions March 2013 and April 2013. Full names redacted (appendix C) February 2014

<http://www.ref.ac.uk/pubs/2011-02/>

2.2 *Legislative context*

This code has been assessed for compliance with the requirement of the UK Equality Act 2010 and relevant employment law.

2.3 *Purpose and Principles*

This code has been developed to ensure that there are fair processes in place for the selection of staff to be returned in the submission to REF2014.

The code is based on the principles of transparency, consistency, accountability and inclusivity as set out in sections 2.3.1 to 2.3.4.

2.3.1 *Transparency*

This code of practice will be made accessible to all staff by:

Actively communicating to all staff (including those who are absent) that the code is publicly available and indicating where it is published. Provisions will be made to communicate to staff without email or web access and to those members of staff with particular communications needs.

University Research Website containing: GCU REF policy documents, GCU REF process document templates and FAQ; with web links to formal published REF guidance materials

GCU all email

Line management written and verbal communication through Schools and other academic units

University Research Committee and School Research Committee papers, discussion and minutes

Open University wide REF Communication and briefing events

REF Briefings for Academic Departments

2.3.2 *Consistency*

The principles that the University will use for staff selection for submission to REF2014 are set out below in section 3. These principles will be followed consistently in all the University groups and committees that contribute to the decision making process in relation to staff selection. These groups are listed in section 4 below. The code shall be implemented uniformly without exception across the University.

2.3.3 *Accountability*

The University requires that in preparation for REF2014, all responsibilities are clearly defined and that individuals involved in selecting staff are identified and their roles in the process made explicit.

Operating criteria and terms of reference for individuals, committees, advisory groups and external peer reviewers concerned with staff selection will be made readily available to all individuals and groups concerned.

Evidence relating to decision making processes in operation throughout the institution shall be gathered by the University in a format that will ensure compliance with this code.

The template software format for reporting evidence is set out in Appendix A to this document.

All of the evidence used in reaching decisions on submission of staff to REF shall be retained by the University in a secure environment to satisfy any subsequent audit requirements in respect of compliance. The data shall be retained for a minimum period of 2 years following the date of the University submission to REF.

2.3.4 Inclusivity.

The University will promote an inclusive environment for the selection of staff for submission to REF. In so doing, the University will ensure that it is able to identify all eligible staff that have produced excellent research for submission to the REF.

The University will collect all research activity data in the PURE Current Research Information System. All members of staff who are eligible for submission to REF will have a personal entry in this system and their research activity will be requested for inclusion.

The University will use the PURE current research information system REF module to prepare the submission to REF. The research activity status of all individuals will be recorded in this system and staff will be able to review their individual records for accuracy in the lead up to the REF submission. An example of the workflow for proposing outputs in PURE is provided in Appendix 1 to this paper.

The University will ensure that the presentation formats and media for communication and delivery of this code (and other information relevant to REF and associated institutional processes) facilitate accessibility for all staff.

3. PRINCIPLES APPLIED IN THE SELECTION OF STAFF FOR SUBMISSION TO REF2014.

The principles that will be applied in all stages of the staff selection process will be as follows:

3.1 Inclusivity

The University will promote an inclusive environment for the selection of staff for submission to REF. All relevant staff circumstances will be fully considered before reaching final

decisions about staff selection consistent with the REF assessment framework and guidance on submissions document published at:

<http://www.ref.ac.uk/pubs/2011-02/>

3.2 *Method of selection of staff*

Selection of staff for inclusion in the University's REF2014 submission will be made on the basis of an assessment of research quality, taking into account relevant staff circumstances as described in principle in section 3.1. Further details are also provided in sections 3.3-3.5

3.3 *Research Quality Assessment*

The research quality assessment process shall consist of an internal University peer review of research activities (as defined in section 3.4) informed as appropriate to the academic discipline by an additional independent external peer review process. The outcome of these peer review assessments shall be documented and submitted to and retained by the University REF Management Group. These documents shall be made available to inform the independent University Panel set up to consider any appeals in relation to decisions about staff selection (see section 4.8).

3.4 *Research activities to be assessed*

The following elements of staff research activity shall be considered in the peer review process:

- Strategic fit of research activity with Unit of Assessment descriptor and University Unit narrative.
- Quality of research publications or other REF eligible outputs
- Publication citations where relevant to specific REF Panel or REF unit assessment criteria (as minor indicators of research quality)
- Research Income
- Doctoral student supervision
- Research esteem
- Contribution to research impact

3.5 *Minimum research quality criteria for selection*

a) Selection of Units of Assessment

The University will wish to return as many staff as possible within REF Units of Assessment that it submits providing that their research meets the quality standard required. In selecting the units of assessment to be submitted the University will ensure that:

All staff selected must reach a minimum research quality threshold for inclusion in the Unit of Assessment

There should normally be a minimum of 8 staff (FTE) in the proposed Unit of Assessment submission to be supported by the University.

There must be a good strategic fit with the Unit of Assessment narrative for all staff proposed to be included in the submission

There are available an appropriate number of research impact case studies that are required for the size of the Unit of Assessment submission (in staff FTE).

b) Selection of Members of Staff for Units of Assessment

For each member of research active staff a quality profile relating to their research activity shall be prepared. Staff will be selected if

They have sufficient outputs at an appropriate quality level

They have other evidence of research activity and esteem at an appropriate level of quality

Their research fits with the University's proposed Unit of Assessment narrative

These criteria may be modified in relation to the selection of certain staff in line with the REF guidance:

<http://www.ref.ac.uk/pubs/2011-02/>

Please refer to paragraphs 88-95 and paragraphs 219-223 of the REF guidance document at the above link where consideration is given to individual staff circumstances.

4. UNIVERSITY STRUCTURES AND PROCESSES FOR REF SUBMISSION MANAGEMENT

The following section sets out the formal REF management structures that the University will use in the preparation of the submission and the selection of staff to be returned in Units of Assessment.

4.1 University Research Committee

The University Research Committee of Senate has primary responsibility for the oversight of the preparation of the REF2014 submission. The Committee is chaired by the Pro-Vice Chancellor (Research) who carries the responsibility for the Research portfolio at the University Executive Board and will make formal University decisions/recommendations prior to institutional sign off by the Principal.

4.1.1 University REF management groups

The University Research Committee has set up sub groups to deal with various aspects of the preparation of the REF submission. A diagram showing the organisational hierarchy for REF management processes is provided in Appendix B to this paper.

4.1.2 The REF Management Group

This group is responsible for reporting to the University Research Committee concerning progress made in the development of the REF submission. The group is chaired by the Pro-

Vice Chancellor (Research). The other members of the group are the Director, Academic Research Development, the Associate Deans (Research) for each School and the secretary to the University Research Committee. The REF Management Group is the body that will make decisions in relation to the Units of Assessment in which the University will make submissions and for the selection of staff for inclusion in these Units. The preliminary University submission intentions are set out in section 4.2.1.

The REF Management group shall publish and periodically update a timetable for the preparation of the University REF submission. This timetable shall be communicated to staff using the mechanisms set out in section 2.3.1. The current version is attached to this document as Appendix E.

4.1.3 The REF Data Group

The REF Data group is responsible for providing research information to support the activities of the University Research Committee, the REF Management Group and Schools and Units of Assessment in the preparation of the REF submission. The REF Data Group is chaired by the Director, Academic Research Development, with input from Human Resources, Finance Office, Research Innovation and Enterprise, School Research Administrators the Graduate School and the Secretary to the University Research Committee.

The group will oversee the use of the PURE current research information system in capturing data relevant to REF and the population of the PURE REF module. The group will have no input into decisions relating to selection of staff and will be charged purely with the provision of accurate and auditable information eligible for inclusion in the REF submission in compliance with REF guidelines.

The REF Data Group will report to the REF Management Group through the Director, Academic Research Development.

4.1.4 The REF Research Impact Group

The REF Research Impact group will oversee the production of REF impact case studies. The group will be chaired by the Director, Academic Research Development who will report to the REF Management Group concerning progress. Members of the group will include UoA representatives charged with the development of research impact case studies, staff from relevant central University functions involved with REF administration and support (Research Innovation and Enterprise, the Library, and Marketing and Communications) and the Secretary of the University Research Committee.

The group will ensure that proposed REF case studies adhere to REF guidance (REF 02 2011, Annex G p52) in terms of compliance with structure and content. The group will also provide further advice in relation to good practice in case study preparation to authors of individual case studies and resources to assist with finding supporting data. The group will pass possible research impact case studies to the University REF Management group for further consideration, once drafted, but will not make decisions concerning their inclusion in the final submission.

4.1.5 Research Leads in Research Institutes, Research Groups and Departments

Research area leads will ensure that staff in Institutes, Research Groups and Departments receive University communications about REF preparations. They will also advise staff of the University REF processes operating in Schools/non-Schools academic units. They will advise staff as to how they may put their activities forward for selection in the relevant units. Research leads will also be asked by the REF Management Group to provide quality assessments and strategic input in informing decisions about Unit submission intentions and staff selection, as set out in section 4.2.2.

4.1.6 *Subject area leads in Departments*

Subject area leads will ensure that staff in their discipline areas receive communications about REF. They will also advise staff in their areas about how staff may put their activities forward for selection in the relevant units.

4.2 *Units of Assessment*

4.2.1 *Selection of Units of Assessment*

The University Research Committee has, following a preliminary assessment in 2011, designated certain units of assessment as those most likely to form the basis of an institutional return to REF2014.

These are:

- UoA A3: Allied Health Professions, Dentistry, Nursing and Pharmacy
- UoA C19: Business and Management Studies
- UoA C22: Social Work and Social Policy
- UoA D30: History

And either:

- UoA B15: General Engineering

Or

- UoA B11 Computing and Informatics
- UoA B15: General Engineering
- UoA C16: Architecture, Built Environment and Planning

This is not a final decision on UoA selection because there is more time for research development before the submission deadline in November 2013 and submissions to UoA25 Education and UoA 36 Communication, Cultural and Media Studies, Library and Information Management, are being considered. This position highlights the distinct areas of strength that the University believes that it makes sense to submit in, but does not imply that any decisions have yet been made about individuals or to which units they will eventually be returned.

The REF process that the University has adopted will allow other Unit of Assessment options not included in the above list to be considered on the same basis as outlined in section 3 of this paper by the REF Management Group before a final decision is made (see section 4.11). In some cases cross referral of work to other units may be appropriate and this will also be formally considered by the REF Management Group prior to making the submission.

Reference should be made to the REF Panel Criteria and Working Methods document, published in January 2012 which provides details of how Panels will assess Unit of Assessment submissions that they receive.

http://www.hefce.ac.uk/research/ref/pubs/2012/01_12/

4.2.2 *Unit of Assessment and Research Group leads*

For each unit of assessment, a lead academic in that discipline has been nominated to oversee the preparation submission. In some larger units there will also be lead academics for research groups within that UoA discipline descriptor. The names of all the academic leads and the relevant Units of Assessment are provided in Appendix C to this paper.

The Unit of Assessment leads will be responsible for ensuring that anyone involved in making assessments of research quality will follow this code of practice. The lead for each UoA will report their assessment of research quality via the PURE research information system format (as specified in Appendix A of this paper) to the University REF Research Management group.

4.3 *Selection of designated staff responsible for University REF processes*

A list identifying the names and roles of all individuals carrying responsibilities in groups and committees in any way for the selection of staff to be returned in the REF submission and in decision making will be created and maintained by the REF Management Group. This list (provided here as Appendix C) will be formally approved by the University Research Committee and any changes reported to it with a formal justification by the REF Management Group subsequently.

4.4 *Guidelines for staff responsible for staff selection in Units of Assessment*

All staff responsible for influencing staff selection in Units of assessment must follow the requirements set out in this code of practice.

The published REF guidance materials will be available to those staff making selection decisions in hardcopy and these publications will also be accessible via links on the University REF website.

All University template assessment forms and guidance related to their use will be available to all staff involved in making selections, and will also be published on the University REF website.

4.5 *Equalities Training for staff members of groups and committees involved in selection for REF*

There is a requirement in the REF guidance to ensure that staff involved in the selection process will receive equalities training tailored to the REF processes.

The training will consist of two elements: firstly, staff will receive generic equality and diversity training, through an online course. This will help participants understand concepts, definitions and responsibilities in relation to the Equality Act 2010 in the context of Higher Education. Secondly, participants will be involved in an interactive session that will discuss and consider some potential scenarios that may arise in the REF 2014 process. The session

will use case studies to enable participants to practise implementing the Code of Practice, and help to facilitate a common understanding of how to deal with personal circumstances

The equality training that those staff received to enable them to carry out their role will be documented and retained by the University as part of the REF Management record.

The training provided by the University shall be delivered in a number of formats (both in physical sessions and on-line) depending on the roles of staff in the selection process.

4.6 *Communication to all staff about University REF Management processes*

Information on committees and groups with designated REF responsibilities and their modes of operation (including the criteria and timescales for selecting staff, providing feedback and mechanism for appeals) will be provided to all staff who may wish to be considered for selection. This information will be communicated to staff in a clear and accessible manner.

The communication provided in support of this objective will be documented and retained by the University as part of the REF Management record.

4.7. *Fixed term and part time staff and contract research staff*

The University is committed to fulfilling its legal obligations to fixed term and part-time staff, including contract research staff. The University strives to ensure that these staff are not treated less favourably in any aspect of their employment, including terms and conditions of employment, rates of pay, training opportunities and other entitlements.

The selection process for staff to be included in the REF 2014 submission will be determined on the basis of quality, and be underpinned by the principles outlined in section 2.3, and will not be based on any personal circumstance or characteristic. However, section 4.13 gives guidance in relation to situations where individual circumstances do need be taken into account.

4.8 *Feedback and appeals*

The University will put in place a process for informing staff that are not selected of the reasons behind the decisions. For clarity, it is the University expectation that staff will not be selected if:

- They have insufficient outputs at an appropriate quality level
- They have insufficient evidence of research esteem at an appropriate level of quality
- Their research does not fit with the University's proposed Unit of Assessment narrative

The University will use the following process to consider in a timely manner appeals made by staff in relation to decisions made in relation to the REF submission.

The University REF Appeals Panel will be chaired by the Vice Chancellor (or her nominee who has not been involved in the REF decision making process).

The Chair of the REF Appeals Panel will be assisted by appropriate independent members of the University Research Committee and senior academic staff with specific discipline expertise not named in this document as having responsibility for REF selection processes.

Decisions on REF selection will be made at least two months before the University REF submission is made.

All staff will be informed of these decisions by the member of the REF Management Group responsible for their Unit of Assessment.

Staff will be given a two weeks period to give notice of their intentions to appeal decisions about their selection.

In the event of any appeals for the reconsideration of decisions related to selection of staff, the Appeals Panel will be convened and the appeal considered. The Panel shall be provided with all of the evidence that the REF Management group used in reaching a decision about selection of the individual making the appeal. A decision will be made and communicated to the member of staff making the appeal within 2 weeks of the convening of the Panel.

The decision of the Appeals Panel in respect of any appeal concerning selection for the REF submission shall be final.

4.9 *Joint submissions to REF Units of Assessment*

The University does not have any definite plan to make joint submissions to REF with other institutions at the present time.

Staff wishing to make the case for a joint submission may put forward their rationale to the REF Management Group for consideration, via the member responsible for that Unit.

If it is agreed that a joint submission may add value to one of the University's selected Units of Assessment, the REF Management Group shall make arrangements for inter-institutional discussions to take place about joint selection processes. An agreement must be put in place to ensure that joint decision making across institutions carried out consistent with adherence to their respective codes of practice for the selection of staff.

The REF Management Group shall make the final decisions in relation to matters relating to joint submissions with other institutions.

4.10 *Multiple submissions to REF Units of Assessment*

REF Panels have indicated in their Criteria and Working Methods document published in January 2012 whether multiple submissions are anticipated for reasons related to the separate and distinct nature of the academic disciplines involved. Multiple submissions may only be made with the prior agreement of the UK REF Manager.

The University does not wish to make multiple submissions within any Unit of Assessment where it currently intends to make a return.

Staff wishing to make the case for a multiple submission may put forward their rationale to the REF Management Group for consideration, via the member responsible for that Unit.

The REF Management Group shall make the final decisions in relation to matters relating to multiple submissions.

4.11 *Alternative proposals for Unit of Assessment submissions to REF*

Staff wishing to make the case for a submission to another Unit of Assessment not currently under consideration by the University may put forward their rationale to the REF Management Group for consideration, via the member responsible for that Unit.

The REF management Group shall make the final decisions in relation to matters relating to Unit of Assessment submissions.

4.12 *Publication of the University Code of Practice*

The University will publish the final approved version of this code on the University REF website.

4.13 *Equality Impact Assessment*

The University will conduct equality impact assessments on policies and processes for selecting staff in REF. Such equality impact assessments will be used to inform the development of this code of practice as the submission is prepared.

The University carried out an initial “mock REF” exercise in October 2011. The purpose of this exercise was to establish a “direction of travel” in selecting Units of Assessment for development. An assessment of the procedures used in this initial mock REF exercise was carried out by the Equality and Diversity Advisor. No evaluation of individual staff for selection was carried out as part of that process and so a full Equality Impact Assessment was not carried out at the time. This code of practice has been developed with the full involvement of the University Equality and Diversity Advisor, and is based on the University’s established processes for handling equality and diversity issues. The University will carry out a second stage “mock REF” exercise in October 2012 and will carry out an equality impact assessment for this and the subsequent process up to and including the final REF submission.

The University has set up a REF Equality and Diversity Group which will independently ensure that the University in developing its submission, adheres to the REF guidance in relation to Equality and Diversity provisions, This group shall comprise the University Equality and Diversity Advisor, a member of the University Equality and Diversity Committee and an academic expert in the field of Equality Impact Assessment. The group shall be chaired by the member of the University Equality and Diversity Committee.

Specifically, the REF Equality and Diversity Group shall, independent of the REF Management Group, on behalf of the University:

- Carry out an Equality of Impact Assessment (EIA) on the processes for selecting staff
- Ensure that the EIA will be informed by an analysis of the data available on all eligible staff in respect of all the protected characteristics on which data is available (REF guidance document paragraph 213)
- Ensure that EIA will be reviewed at key stages of the selection procedure (REF guidance document paragraph 215).

- Ensure that the EIA will be published after submissions have been made (REF guidance document paragraph 218)

The REF Equality and Diversity Group will, by conducting an EIA, identify any potential discrimination that may have occurred during the REF process. If any such examples are identified, the Equality and Diversity Advisor shall report such instances on behalf of the Group to the Pro-Vice Chancellor (Research) who shall initiate a formal investigation. If any actions are necessary as a result of this investigation, the Pro-Vice Chancellor (Research) shall instruct that the selection of staff is revisited in a manner appropriate to removing the cause of the discrimination. The Equality and Diversity Group shall then carry out a further assessment to verify that the action taken was effective.

In order to ensure full independence from the REF Management Process, the Chair of the REF Equality and Diversity Group shall report its findings in relation to the proposed REF submission by July 2013 to the University Executive Board, and in particular to highlight any matters not resolved by the EIA process set out in this section. The formal presentation of this report to the University Executive Board will allow the Principal, as Head of the Institution to confirm adherence to the code of practice when making the submission.

For the avoidance of doubt, equality impact assessments for REF will be conducted by the University in line with the Equality Challenge Unit guidance published in September 2011 at:

<http://www.ecu.ac.uk/documents/ref-materials/equality-impact-assessment-and-the-ref>

4.14 *Equality Act: Protected Groups*

The Equality Act (2010) places requirements on the funding bodies as public sector organisations and on HEIs as public sector organisations and employers. Under the public sector equality duty the higher education funding bodies and HEIs in England Scotland and Wales in carrying out their functions must have due regard to the need to:

- Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by the Act
- Advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it
- Foster good relations between persons who share a relevant protected characteristic and persons who do not share it

In the context of REF a “relevant” protected characteristic is one other than marriage and civil partnership.

The UK Equality Act (2010) covers the protected characteristics of:

- Age
- Disability
- Gender reassignment
- Marriage and civil partnership (not relevant for REF)
- Pregnancy and maternity
- Race
- Religion or belief

- Sex
- Sexual orientation

The University shall conduct equality impact assessments appropriate to the evaluation of policy and processes in relation to these groups of staff.

4.15 *Disclosure of Individual staff circumstances.*

The University will establish robust procedures that enable staff to disclose, on a confidential basis, any individual circumstances that constrained their ability to work productively throughout the assessment period. This will be done using the Equality Challenge Unit Template form for the disclosure of Individual Staff Circumstances which has been designed for the REF exercise. This template form is provided as Appendix E to this document.

The form should be returned by individual staff to the University Equality and Diversity Advisor

The University will be proactive in ensuring that staff are aware of these processes for disclosure and the Equality and Diversity Advisor will formally monitor the process for identifying individuals whose circumstances might need special consideration and evidence decisions and actions. The process to allow staff to submit individual circumstances in relation to REF for consideration by the University will open in September 2012 and will run until final decisions are made concerning the REF submission.

The information contained on the form shall be evaluated by the Equality and Diversity Advisor to ensure that the individual circumstances disclosed fall within the definitions provided by REF. The Equality and Diversity Advisor shall then formally advise on the REF status of each disclosure to a Unit of Assessment specific committee chaired by the Pro-Vice Chancellor (Research). The membership of this committee shall consist of the Chair, the Equality and Diversity Advisor, and the Associate Dean (Research) for the relevant School. No other staff shall be allowed access to this information. Members of the Unit of Assessment Committees shall be trained in order that they are adequately informed and can appropriately discharge their own and the institution's legal obligations in request of equality of treatment in the assessment of such individual circumstances as set out in section 4.14 of this code.

Decisions on the reduction of the numbers of outputs appropriate to these circumstances shall be taken by the Pro-Vice Chancellor (Research) advised by the members of the relevant committee for each Unit of Assessment. The member of staff disclosing such individual circumstances shall be formally notified in writing of the decision made by the Committee

The REF Assessment Framework and Guidance on Submissions document [REF02 2011, paragraphs 85 to 100] provides descriptions of individual staff circumstances (including early career researchers) that may be relevant in this context:

See: http://www.hefce.ac.uk/research/ref/pubs/2011/02_11/

Examples of complex individual staff circumstances and relevant training materials are also available to review on the Equality Challenge Unit at:

<http://www.ecu.ac.uk/our-projects/REF>

5. REVIEW OF THIS CODE OF PRACTICE

This code of practice will be revised as the institutional REF process develops. The University shall review this document on a regular basis modifying it as appropriate to meet identified needs. The document shall therefore be issued as a controlled document and any revisions will be given prior approval by the REF Management Group followed by and the University Research Committee as the Senate Committee responsible for REF policy and procedures.

This Code of Practice shall be reviewed by the University Equality and Diversity Advisor. Prior to formal submission of this document to the REF team, the Code of Practice will be reviewed by the University Executive Board.

LIST OF APPENDICES

- A Template format for reporting evidence in the PURE research information system REF module
- B A diagram showing the University organisational hierarchy for REF management processes
- C A list identifying the names and roles of all individuals in the University carrying responsibilities in groups and committees in any way for the selection of staff to be returned in the REF submission
- D GCU timetable for the preparation of REF2014 submission
- E Equality Challenge Unit Template Form for disclosure of Individual Staff Circumstances
- F **Equality Impact Assessment of the Code of Practice carried out in October 2012.**

APPENDIX A:

Template format for reporting evidence in the PURE research information system REF module

Workflow for selection to REF2014

Selected for REF2014

Proposed Selected for review Selected for REF2014 Not selected for REF2014

Submitters reason for proposing and comments

Submitters reason for proposing

Submitters rank

2nd

Has this output arisen from interdisciplinary research?

Yes

No comments has been sent to the submitter

[Write a comment to the submitter](#)

Information to sub panel

Interdisciplinary research

Request for cross-referral

There are no associations



Workflow for selection to REF2014

Selected for REF2014

Proposed Selected for review Selected for REF2014 Not selected for REF2014

Predicted grade & peer comments

Peer Comments

Reviewer: CPO

Edit —

Predicted Grade: 3*

Modified: 13/04/12

Description: Good quality paper demonstrating originality significance and rigour

Reviewer: JMAR

Edit —

Predicted Grade: 4*

Modified: 13/04/12

Description: World leading research with huge impact potential across many applications

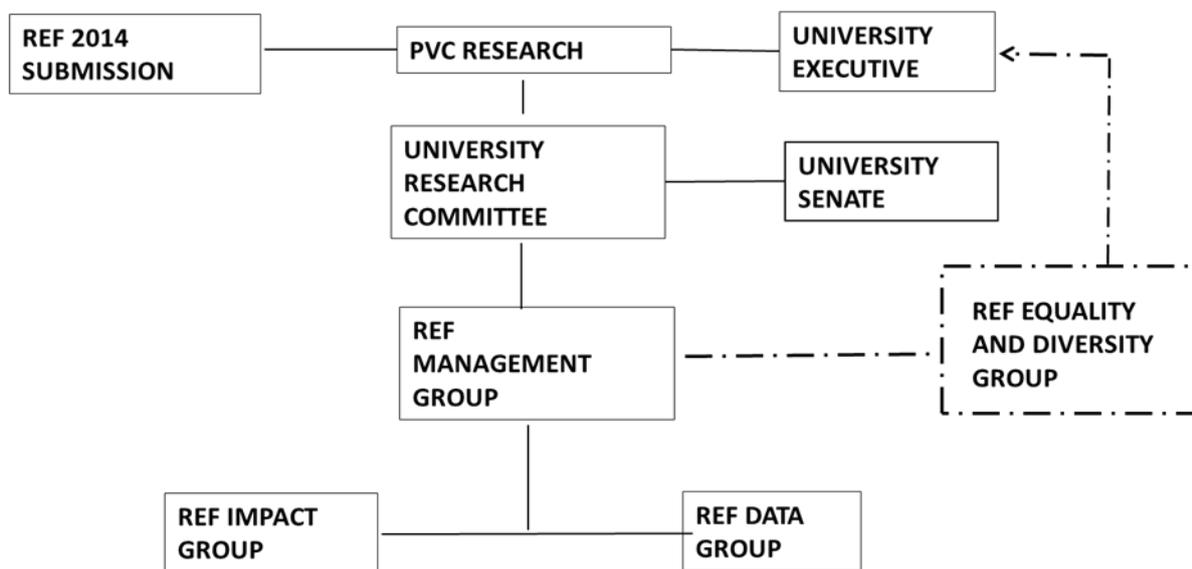
[Add peer comment](#)

Predicted Grade

n/g u/c 1* 2* 3* 4*

APPENDIX B:

University organisational hierarchy for REF management processes



APPENDIX C

A list identifying the roles of all individuals in the University carrying responsibilities in groups and committees in any way for the selection of staff to be returned in the REF submission including peer review feedback on research quality

University REF Management Group

Pro Vice Chancellor (Research)

Research Institute Directors

Director of Academic Research Development

Secretary (Department of Governance and Quality Enhancement)

Unit of Assessment Leads

UoA A3 Allied Health Professions, Dentistry, Nursing and Pharmacy

UoA B11 Computer Science and Informatics

UoA B15 General Engineering

UoA C16 Architecture, Built Environment and Planning

UoA C19 Business and Management Studies

UoA C22 Social Work and Social Policy

UoA C25 Education

UoA D30 History

UoA D36 Communication, Cultural and Media Studies, Library and Information Management

Glasgow School of Business and Society/Institute for Society and Social Justice

- Executive Dean
- Vice Dean
- Associate Dean for Research
- Institute Research Group Leads
- Departmental Research Leads
- Heads of Department
- Subject Area Leads

School of Engineering and Built Environment/Institute for Sustainable Engineering and Technology Research

- Executive-Dean
- Vice Dean
- Associate Dean for Research
- Departmental REF Leads
- Research Group Leads
- Heads of Department
- Subject Area Leads

School of Health and Life Sciences/Institute for Applied Health Research

- Executive Dean
- Vice Dean

- Associate Dean for Research
- Institute Research Group Leads and deputies
- Heads of Department
- Departmental Research Coordinators
- Subject Area Leads

APPENDIX D: GCU timetable for preparation of REF2014 submission

Date	GCU REF Activity
April 2012	Set-up of GCU PURE REF module UoA and current staff status
April 2012	Finalise GCU code of practice, quality thresholds, and supporting processes
26 April 2012	Possible REF Impact case studies formally tabled (100 word summaries)
27 April 2012	Submit code of practice to REF team (optional deadline)
27 April 2012	Submit request for multiple submissions (optional deadline)
27 April 2012	Submit request for impact case study requiring security clearance (optional deadline)
April 2012	Request breakdown of previous HESA returns from Finance, Graduate School
April 2012	Publication of finalised GCU REF code of practice
April 2012	First communication of GCU processes for staff inclusion in REF2014 submission
April- June 2012	REF2014 Equality and Diversity training roll out.
April –June 2012	PURE training roll out.
May 2012	Reconcile HESA supplied finance and student data with GCU internal data
April- June 2012	Request independent assessment of research quality by external assessors
Summer 2012	Prepare for REF Mock exercise in autumn, (including individual staff circumstances)
September 2012	PURE REF module data export testing with pilot version of REF software
Oct-Nov 2012	Full mock REF2012 exercise including: <ul style="list-style-type: none">• UoA submission scenarios and recommendations• Proposed selection of staff and allocation to UoAs (REF 1a, 1b, 1c)• Selection of proposed outputs for submission (REF2)• Output supporting narratives and data where required (REF2)• Research impact templates completed (describing the Unit's approach to supporting impact – REF3a)• Research impact case studies proposed for UoA submissions (REF 3b)• Environment data attributed to proposed UoA (HESA research spend, PhD students - REF4a, 4b)• Environment template (research environment narrative) completed for proposed UoAs (REF5)• UoA specific requirements for additional information• Equality impact assessment plans
December 2012	Provide GCU submission intentions (UoA and possible size of submission) to REF
2013	REF software population with live GCU data and revision of narratives and data submission.

Appendix E:

Individual staff circumstances disclosure form

Name	
Department	
Unit of Assessment	

Section one:

Please select one of the following:

- I have individual circumstances that I wish to make known but I am not seeking a reduction in outputs. (Please complete sections two and three)
- In completing this form I am seeking a reduction in research outputs. (Please complete sections two and three)

Section two:

Please select as appropriate:

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

Email	
Telephone	
Preferred method of communication	

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

Section three

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

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

Circumstance	Information required
Early career researcher (started career as an independent researcher on or after 1 August 2009)	Date on which you became an early career researcher
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	
Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in

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

Please select as appropriate:

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

I recognise that the information provided will be used for REF purposes and will be seen by the Equality and Diversity Advisor and a UoA specific committee

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

Signature: Date:

(Staff member)

Please return this form in a sealed envelope, marked "Private and Confidential" to Adrian Lui, Equality and Diversity Advisor, Directorate of People.

For official use only

Following consideration of the personal circumstances described above, the [insert name of responsible committee or individuals]:

- Will progress the staff member's inclusion in the REF submission with [insert number] of research outputs. [Subject to specified institutional criteria].
Rationale for the proposed number of outputs:

e.g. this decision is based on the tariffs outlined in the panel criteria.

- Requires further information of the circumstances described as follows:

e.g. please provide information from your occupational health assessment on the effectiveness of reasonable adjustments provided.

- Does not feel that the staff member meets the criteria outlined within the REF 'Panel criteria and working methods' for submitting fewer than four research outputs. The reason(s) for this decision are:

e.g. circumstances detailed are not recognised within the assessment framework and guidance on submissions.

If the member of staff wishes to appeal against the decision of the UoA specific committee they should inform the Chair, who will provide details of the University's appeal process and timescale

Signature: Date:

Vice Principal and Pro- Vice Chancellor (Research)

Signature: Date:

REF Manager

**Appendix F:
Equality Impact Assessment:
REF 2014 Selection**



A Policy/Procedure Details

Assessment carried out by:	Adrian Lui (Equality and Diversity Advisor), John Marshall, (Director Academic Research), Paul Woods (Governance and Quality)	Verified by:	University Research Committee	
Area to be assessed:	Selection process of staff for the REF 2014 (section 3 of Code of Practice)	Date of Assessment:	October 2012	

B Assessment

1. Briefly describe the aims, objectives and purpose of the policy/procedure	Selecting staff for inclusion in REF 2014
2. What are the intended outcomes?	To assess research quality independent of any other circumstances
3. Who are the main stakeholders? (e.g. staff, students, visitors)	PVC Research, research active staff

<p>4. How does the policy/procedure take into account different needs and circumstances (e.g. Ethnicity: cultural sensitivities, plain English; Disability: Alternate/ accessible formats; Gender: inclusive to women and men; Sexual Orientation; Faith or Belief, religious practices; Age: needs of younger and older people)?</p> <p>EVIDENCE?</p>	<p>Assessment is based only on the quality of the output only – no other circumstances are taken into account initially as the process is focused on identifying quality</p> <p>However, individual circumstances, including complex circumstances that constrain the ability of staff to work productively (section 4.1 of Code of Practice) are considered after selection</p>		
<p>What is the likely impact on the general duty to eliminate unlawful discrimination, harassment, victimisation and any other conduct prohibited by the Act;</p>	<p>Positive <input checked="" type="checkbox"/></p>	<p>Negative <input type="checkbox"/></p>	<p>The selection methods outlined in section 3 of the code of practice are underpinned by the principle of inclusivity.</p> <p>Although there is a potential for discrimination in the peer review of research activities (3.3), the potential negative impact is reduced by the use of more than one peer reviewer</p> <p>The strict list of criteria in relation to research activities to be assessed (3.4) minimises any potential for discrimination</p>
<p>What is the likely impact on the general duty to advance equality of opportunity between people who share a protected characteristic and people who do not share it; and</p>	<p>Positive <input checked="" type="checkbox"/></p>	<p>Negative <input type="checkbox"/></p>	<p>Individual and complex circumstances will be considered</p>

<p>What is the likely impact on the general duty to foster good relations between people who share a protected characteristic, or not</p>	<p>Positive <input checked="" type="checkbox"/></p>	<p>Negative <input type="checkbox"/></p>	<p>Individual and complex circumstances will be considered</p>
<p>How will any negative impact identified above be addressed?</p>	<p>All staff involved in the selection of staff for REF 2014 are required to complete equality and diversity training – this will give them an understanding of their rights, roles and responsibilities under the Equality Act 2010.</p> <p>This screening, and subsequent Equality Impact Assessments will inform any required changes to the Code of Practice.</p> <p>The selection process will utilise ‘Pure’, a research information system as the evidence base (Appendix A of Code of Practice). All staff who wish to be considered for REF 2014 will have a record in ‘Pure’.</p> <p>All outputs and materials relating to individual staff will be recorded in ‘Pure’ and this will provide an objective evidence base of individuals’ research activity status.</p>		
<p>Other comments</p>	<p>This is the standard equality impact assessment template for policies and procedures at Glasgow Caledonian University.</p> <p>It must be stressed that this is an initial screening Equality Impact Assessment based on the process outlined in section 3 of the Code of Practice. It involved three members of staff, and is therefore limited in its scope as the University recognises that for a full and effective impact assessment to be carried out, a wider range of stakeholders and data is required.</p> <p>A full impact assessment will be carried out during the implementation of section 3 of the Code of Practice, i.e. when the actual selection process begins.</p>		

1. What is the overall impact rating?	<input type="checkbox"/> High: There is substantial evidence that people from different groups are (or could be) differently affected by the policy (positively or negatively). <input type="checkbox"/> Medium: There is some evidence that people from different groups are (or could be) differently affected (positively or negatively). <input checked="" type="checkbox"/> Low: There is little or no evidence that some people from different groups are (or could be) differently affected (positively or negatively). <input type="checkbox"/> Unknown: No evidence or data has been collected therefore an assessment cannot be made.		
2. Is a full Equality Impact Assessment necessary?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	If Yes date on which full impact assessment is to be completed by:	During mock, and during the actual selection process

D Sign off

Signature:	Date:
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E Equality and Diversity Advisor

Consulted GCU E&D Advisor on : 10 October 2012
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