

RESEARCH EXCELLENCE FRAMEWORK (REF)

PROMOTION OF EQUALITIES CODE OF PRACTICE

This Code covers the requirements for the University in relation to selection and submission procedures for the REF. These requirements are set out in the publication on Assessment framework and guidance on submissions available at <http://www.ref.ac.uk/pubs/2011-02/>

1. Introduction

The University has established Equality Objectives following analysis of published data and consultation with key stakeholders to identify overarching equality and diversity themes for development. These are available at: <http://insight.glos.ac.uk/departments/ss/equality/Pages/EqualityObjectives.aspx>

The University has a strong commitment to promotion of equal opportunities. This is formally stated through policies that respond to its statutory duties in the Personnel Handbook <http://resources.glos.ac.uk/departments/personnel/phbk/phbkpart1.cfm>. For further information on these aspects to equality and diversity please see the staff pages at <http://insight.glos.ac.uk/departments/ss/equality/Pages/default.aspx>.

The Promotion of Equal Opportunities Policy (Appendix 13.2 in the Personnel Handbook) states

No member, or prospective member, of the University community will receive unfair or unlawful treatment due to their protected characteristics [as defined in the Equality Act 2010] i.e. age, disability, gender reassignment, marriage/civil partnership, pregnancy/maternity, race, religion/belief, sex or sexual orientation, as a result of being in part-time or fixed-term employment (including hourly paid), trade union membership or having spent offences. The University will attempt to identify and remove any unfair or unlawful direct, or indirect, discrimination which denies individuals opportunities on any of these grounds or any other criterion that is not relevant or justified

Additions and amendments to the University's Promotion of Equal Opportunities Policy in Part 13 of the Personnel Handbook will also be relevant to this Code of Practice. The University implements these policies through agreed employment and workforce monitoring (see Section 4.5 'Employment and Workforce Monitoring' in the Personnel Handbook).

As outlined above, the University is committed to supporting equal opportunities for part time and fixed term staff, including contract research staff, through its Promotion

of Equal Opportunities Policy. Staff on Academic Contracts are due research and scholarly time pro rata to their contract (see Section 1. 'Guidelines for the Determination of the Duties of Academic Staff (Lecturers, research and Managers) paragraph 2.5.2 of the Personnel Handbook). The University does not place greater importance on research than on other elements of the academic contract: Teaching, Research and Scholarly activity, Managerial and Administrative duties, and Other Academic duties.

Attention is also drawn to the Equality Briefing for Panels that will guide the Research Excellence Framework (REF) Panels, July 2011, available at: http://www.hefce.ac.uk/research/ref/pubs/other/equality/REF_equality.pdf

2. What is the code and who is it for? / Purpose and application of the code

The University is required by the Funding Councils to draw up and put into operation a code of practice to address issues of equal opportunity in the preparation of REF submissions. See Part 4 of Hefce's 'Assessment Framework and Guidance on Submissions' (July 2011 Ref REF 02/2011) at http://www.hefce.ac.uk/research/ref/pubs/2011/02_11/

This Code should also be considered in conjunction with the statements made in the January 2012 REF Panel Criteria and Working Methods document at http://www.hefce.ac.uk/research/ref/pubs/2012/01_12/.

Submissions will be reviewed from staff from all job families within the national library of academic role profiles ('Teaching and Scholarship', 'Teaching and Research' and 'Research') and at all demand levels within the job families (see Section 1.17 Part A 'Academic Role Profiles and Special Role Arrangements' in the Personnel Handbook).

This code is for all staff whose contractual terms include research and scholarly activity and every person involved in REF submissions: those who submit their research, advisers and those who make selection decisions. The Code is a set of guidelines which aim to ensure that within the University's strategic decisions for the submission of Units of Assessment:

- 1) the REF process is open, accountable, consistent, inclusive and transparent.
- 2) everyone is treated fairly and equally, and the University meets its statutory and policy commitments on equal opportunities and the requirements of the funding bodies.

The purpose of this code is to ensure that the process of selecting staff for inclusion in the REF is free of unfair discrimination. The University emphasises that if an individual is not included in its submission to the REF, this does not indicate in any way that the contribution made by that individual to the University of Gloucestershire is any less valued.

3. Responsibilities

All staff have a responsibility towards the promotion of equal opportunity. Those with key responsibilities for elements within this code of practice are the Faculty leads with responsibility for Research, Heads of School/Research Unit, and the Dean of Research, who may be informed by independent external advisers, including those proposed by Unit of Assessment (UoA) Co-ordinators. UoA co-ordinators have advising roles, supported by Research Administration. Oversight of the REF process also lies with the University Research Committee (formerly Research Development Group), which includes the Dean of Research, the Dean of Teaching and Learning, the Head of the Postgraduate Research Centre and the Faculty leads with responsibility for Research.

External advisers will be selected on the basis of relevant research expertise and standing in the field. One or more advisers may be appointed for each Unit of Assessment as appropriate to the subject needs and the volume of work anticipated in order to form a judgement.

Annex C contains a Table setting out the key individuals and groups involved in Decision Making and Appeals procedures.

4. Consideration for Inclusion

All academic staff have the entitlement to put forward their research, via the designated Unit of Assessment (Unit or UoA) coordinator, to be considered for inclusion in an appropriate UoA for submission to the REF. Staff will be required to provide a full and accurate record of activities within the reporting period, including copies of research outputs in an accessible format. (Note that research outputs will not be submitted to the REF unless a copy can be provided. In the case of creative and practice-based outputs, other evidence may be accepted, such as catalogue of works at an exhibition, recording of music, statement of commission terms, play etc.).

The University will provide staff with a clear understanding of the REF submission process by publishing in this document the required criteria for selection together with the equal opportunities considerations (outlined below in section 5 paragraph 4 (ii)) to be taken into account.

5. Criteria and terms of reference for REF development

The following terms of reference will be adopted by all groups or individuals making formal decisions regarding REF submissions, or providing input to them, at any level of the University:

1. To consider and approve the draft and final versions of the REF submission relating to one or more Unit(s) of Assessment, for forwarding as required to the Vice-Chancellor for final approval.

2. To agree and to communicate to staff a timescale for the submission, to allow for discussions with members of staff as needed during the REF development timetable (Annex B).
3. To ensure that discussions on submissions take place in accordance with this Code of Practice on the preparation of REF submissions, that decisions are appropriately recorded, taking cognisance of Data Protection issues, and in particular that access to sensitive personal information is restricted to a limited number of named staff.
4. In drawing up the submission, to ensure that relevant information is sought to inform decisions, taking account of the following criteria:
 - (i) Outputs deemed to be of a quality that does not collectively meet a predicted 9 star total (reduced by 2 stars for each output fewer than four outputs required) according to the definition of one, two, three and four star quality (as set out by the panel for the UoA – See Annex A), or which does not meet the published definition of research for the purposes of the REF, will not be included. Indicators used to judge research outputs will include originality, significance and rigour, as demonstrated by the extent to which knowledge, theory or understanding in the field has been increased or practice has been, or is likely to be, improved.
 - (ii) In the event that fewer than four outputs meeting the required quality threshold are cited for an individual, such members of staff may nonetheless be included in the submission provided circumstances have been identified to fall within those covered by the equal opportunities guidance in the REF ‘Assessment Framework and Guidance on Submissions’:
 - a. Clearly defined circumstances, which are:
 - i. Qualifying as an Early Career Researcher (as defined in Hefce’s ‘Assessment Framework and Guidance on Submissions’ at paragraphs 85-86.)
 - ii. Part-time working.
 - iii. Maternity, paternity or adoption leave. (Note that maternity leave may involve related constraints on an individual’s ability to conduct research in addition to the defined period of maternity leave itself. These cases can be returned as ‘complex’ as described at subparagraph b below, so that the full range of circumstances can be taken into account in making a judgement about the appropriate number of outputs that may be reduced without penalty).
 - iv. Secondments or career breaks outside of the higher education sector, and in which the individual did not undertake academic research.

- b. Circumstances that are more complex and require a judgement about the appropriate number of outputs that can be reduced without penalty. These circumstances are:
 - i. Disability.
 - ii. Ill health or injury.
 - iii. Mental health conditions.
 - iv. Constraints related to pregnancy or maternity, in addition to a clearly defined period of maternity leave. (These may include but are not limited to: medical issues associated with pregnancy or maternity; health and safety restrictions in laboratory or field work during pregnancy or breastfeeding; constraints on the ability to travel to undertake fieldwork due to pregnancy or breast-feeding.)
 - v. Childcare or other caring responsibilities.
 - vi. Gender reassignment.
 - vii. Other circumstances relating to the protected characteristics listed in the Equality Act 2010.

Staff with fewer than four outputs meeting the required quality threshold may thus nonetheless be included in the submission provided circumstances have been identified to fall within those set out in the Individual Staff Circumstances statement which forms part of the REF guidance. For clearly defined circumstances, the panel criteria statements 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). For more complex circumstances, the University will make a judgement on the appropriate reduction in the number of outputs submitted, in the light of the worked examples of complex circumstances available from the Equality Challenge Unit at www.ecu.ac.uk/our-projects/REF.

- 5. To ensure that staff who are eligible for submission to the REF are informed of progress in formulating submissions and can receive individual feedback from Faculty leads with responsibility for Research, in consultation with Heads of School, on the inclusion or otherwise of their work in the submission.
- 6. To ensure that individual members of academic staff who are to be included in a submission but with fewer than four outputs for reasons set out in 4(ii) above are consulted on the inclusion of information in the submission which relates to their personal circumstances. Involvement in the drawing up of this section of the submission (RA5b) will be restricted to a small number of named staff with responsibility for the REF submission.
- 7. To ensure that input received from an external adviser, or advisers, is considered in the drafting of the submission.
- 8. Part-time and Fixed Term Staff. The University affirms that it will treat equally and fairly staff on part-time and fixed-term contracts in determining suitability for inclusion in the REF. The University's staff policies apply to both full-time

and part-time staff. Specific policies which facilitate part-time working include flexible working, job sharing, and career breaks. All staff policies conform to equality & diversity legislation and form an integral part of the University's equality and diversity agenda.

6. Development process and criteria for selection

Three REF working groups have been established, the aim of which is to share best practice concerning the planned submissions across cognate areas. The groups cover the following areas: (i) UoAs centred in the Faculty of Business Education and Professional Studies, chaired by the Associate Dean, Research, who is the Faculty lead for research; (ii) UoAs in the Faculty of Media Arts and Technology, chaired by the Head of Humanities, who is the Faculty lead for research; (iii) UoAs centred in the Faculty of Applied Sciences and CCRI, chaired by the Deputy Dean, who is the Faculty lead for research. These groups additionally consist of the UoA co-ordinators, the Dean of Research, and staff with line or research management responsibilities as deemed appropriate by the Head of School and/or Dean of Faculty.

A partial timetable of REF processes and milestones is included at Annex B. Decisions regarding the submission of staff and of UoAs will be made in as timely a manner as possible, allowing ample time for appeal before submissions are made.

Units of Assessment have a unit co-ordinator whose responsibility includes advising the Faculty lead for research, Head of School and Dean of Faculty with regard to research activity in the unit, indicating possible external advisors, discussing with staff their research outputs for possible submission and serving on the working groups. UoA co-ordinators are responsible for consulting with all unit staff in the development of the submission, especially the Environment and Impact commentary, and bringing draft materials to the working groups for review and comment. All staff wishing to submit work to the REF are in the first instance to provide information of their research contributions and outputs to an appropriate UoA co-ordinator.

Decisions regarding the submission or non-submission of individual staff, their allocation to a particular UoA, and the inclusion of individual outputs, will be made by the Dean of Research, taking into account advice provided by the working groups through the Faculty lead for Research, who will consult with Heads of School.

a. Subsequent to decisions made by Executive of which UoAs to submit, the selection of staff will be made on the basis of the quality of the research outputs produced in the qualifying period of the REF (1 January 2008 to 31 December 2013). These will be assessed on the basis of the three measures of quality put forward by HEFCE for the REF, namely Originality, Significance and Rigour. Staff may be asked to provide evidence of how their cited outputs relate to these quality measures (this may also be requested by panels in the submission).

b. The University will not use Journal ranked lists, impact factors or citation indices in order directly to determine the quality of a research output. However, the publication of outputs in journals, conference proceedings, etc. that demonstrate

high levels of rigour with respect to peer review and/or editorial processes will be taken as an indicator of quality. In other cases, the member of staff may be asked to provide information that can demonstrate the quality of the cited output in terms of the main assessment criteria of originality, significance and rigour.

c. A minimum of four research outputs will be expected from all staff submitted to the REF, except where individual circumstances exist of the kind allowed for by the REF criteria for a reduction in required outputs and outlined in this code in Section 5 paragraph 4(ii).

d. The case for so-called 'super-books' (double-weighted outputs) to be included in any UoA submission may be made on a case-by-case basis by the author. The University will only submit such outputs where the Dean of Research has full confidence in the case made that the panel will consider the selected output to be accepted as such. External expertise will be sought where possible to advise on such outputs. A fourth output will be requested as necessary as a substitute to be submitted from a member of staff making a case for a 'super book'.

e. The REF guidance states that panels would prefer not normally to receive submission of duplicate research outputs within a single UoA but that this is permissible for up to two co-authors of an output. This will only be permitted under exceptional circumstances, agreed with the Dean of Research. In the case that this may necessitate the selection of, for example, only one member of staff from two or more sharing the same outputs, decision makers will take into account the wider contribution of the members of staff to the submission (e.g., contribution to research environment and impact measures). This will be done in such a way so as not to disadvantage staff due to any individual circumstances listed above in Section 5 paragraph 4(ii).

f. Selection of research outputs will be made through a transparent and consultative process as described above. Similarly, submitted staff will be given an opportunity to provide input for the textual commentary concerning research environment. The University will make use of experienced external assessors in deciding the quality of outputs considered for submission. Care will be taken to ensure external assessors are drawn from a pool of specialists and with advice from UoA coordinators.

7. Non-submission

Under advice from the Dean of Research, the University Executive may choose not to submit to a particular UoA on the grounds of lack of evidence indicating an appropriate research quality profile taking into account the potential negative effect that a weaker submission may have on the Institution's reputation. Information used to inform such decisions may include any one or a combination of the following: research outputs, research income, numbers of research students and other research staff, and lack of critical mass appropriate to the discipline. Such decisions will also take into account the wider impact of non-submission on a School, a Faculty or the University and will be conveyed to the School/Unit of Assessment by the Faculty lead for research.

Individual staff not selected for submission in a particular UoA will be provided with appropriate feedback by the Faculty lead for research (or other senior manager identified by the Dean of Faculty) in consultation with the relevant UoA co-ordinator(s) and the Head of School. All such staff have a right of Appeal, as below.

Selection must not disadvantage staff due to circumstances in 5.4(ii) above.

8. Appeals

Decisions on the inclusion of work and/or individuals on the basis of academic quality will rest with the Dean of Research, who will seek advice from the appropriate Faculty lead for research and REF working group. Appeals against decisions will not be considered through the REF process unless they relate to potential unfair discrimination. All appeals on equality grounds will be dealt with confidentially by an independent panel, taking into account data protection issues.

An appeal by an individual member of staff in relation to their inclusion or non-inclusion in a submission on the grounds of potential unfair discrimination will be considered in by a panel chaired by the Deputy Vice-Chancellor, who will be advised by the Head of Human Resources.

The panel will be an independent group of three senior academics and will have the remit to undertake a review of each case. These academics will not be members of staff involved at any level in the decision to exclude the individual from the submission. They will receive the same REF training on equality and diversity matters as staff involved in preparing the submission.

All appeals must be made in writing to the Deputy Vice-Chancellor by 31 July 2013. Appeals will be considered in the light of this Code and of guidance provided by the Equality Challenge Unit at <http://www.ecu.ac.uk/documents/ref-materials>. Outcomes will be communicated in writing within one month of receipt.

Relevant legislation is summarised in Section 4 'Equalities in the University' in the Personnel Handbook.

<http://resources.glos.ac.uk/departments/personnel/phbk/phbkpart4.cfm>

Decision Making and Appeals Responsibilities are represented in the table at Annex C.

9. Data protection

The University has an obligation to provide some personal information on staff for the purposes of the REF. The University will only share information which it is under an obligation to provide. In exceptional circumstances where the public interest outweighs the individual's rights to privacy, the information may be released under the auspices of the Freedom of Information Act 2000 to third parties. Further details in relation to the use of personal data can be found on the University's web site at <http://resources.glos.ac.uk/policies/dataprotection/index.cfm>

All information must be provided to the Human Resources Department in a timely manner for an individual's personal file. Staff have a right of access to data held which relates to them personally (see Section 1.11 'Personal Records' in the Personnel Handbook). Due care should, therefore, be taken in record-keeping during REF preparations to ensure that what is recorded is accurate and defensible, particularly as regards any matters of opinion rather than fact.

Eligible staff will be asked to complete a disclosure form which will be held confidentially by Human Resources (See Annex E). For REF purposes only, information will be shared with the Dean of Research and the REF Research Administrator. The form will enable identification of clearly defined or complex circumstances in which a reduction of required outputs pertains.

10. Communication and training

By email, Staff News, committee and research meetings, all staff will be made aware of the contents and purpose of this Code of Practice which will be available on the University website at

<http://insight.glos.ac.uk/researchmainpage/researchoffice/Pages/REFandImpact.asp>
[X](#)

Paper copies will also be made available via Unit co-ordinators.

Timetable of Communications by Research Office:

- March-April 2012 Draft Code of Practice discussed at Research Development Groups, REF planning meetings and Academic Board
- May 2012 Link to draft Code of Practice included in Staff News announcement and Comments invited
- July 2012 Final Code of Practice submitted to HEFCE
- July 2012 Code of Practice published on REF 2014 SharePoint site.
- August 2012 Notification to staff of publication of Code of Practice on University Website announced in email to all academic staff, including those absent from work.
- Autumn 2012 Link to Code of Practice included in covering note for staff disclosure form, to be emailed to all academic staff, including those absent from work.

The University will ensure that those with responsibilities for conducting the REF process and for making key decisions have a full understanding of the equal opportunities issues included in this Code. Training for all senior managers in Corporate Equality Objectives was delivered in 2012, when the University published its Equality Objectives. Decision makers and advisors involved in staff selection are expected to have previously attended the University's in-house training on:

- 1) Celebrating Diversity;
- 2) Recruitment and Selection;

3) Equality Impact Assessment;

and are specifically required to attend

- 4) Training by the Research Office on the operation of the University's REF Promotion of Equal Opportunities Code of Practice, including case studies to ensure practical understanding of the operation of the code. Such training will occur at REF development meetings and Research Committee meetings in spring 2012. One-to-one training will be provided for staff who cannot attend other sessions.

In order to ensure the training is focussed on REF-specific issues, packs covering REF specific information will be used in training. These will be drawn from REF 2014 'Train the trainer' sessions provided by the Equality Challenge Unit (ECU). The content of the training will incorporate equality Code of Practice findings for the University from RAE 2008 together with material provided by the ECU for this purpose, including detailed handouts containing case studies exploring the implications of personal circumstances in staff selection and reference to worked examples of complex circumstances provided by the ECU at <http://www.ecu.ac.uk/documents/refmaterials/complex-circumstances-examples>.

11. Monitoring consultation and review (Equality Impact Assessment)

The University takes a positive and pro-active approach to equal opportunities issues, has published Equality objectives, and has committed to a timetable of equality impact assessment for its policies and procedures where this is relevant. The University will analyse equal opportunity statistical monitoring figures gathered and take any necessary action to apply University equal opportunities policies.

The REF submission will be monitored through an equalities impact assessment to alert the University to any potential issues there may be with regard to discrimination. In line with the monitoring process outlined in the Personnel Handbook (Section 4.5: Employment and Workforce Monitoring <http://www2.glos.ac.uk/offload/departments/personnel/phbk/part4/4.5.pdf>) trends in the data with regard to equalities legislation characteristics and type of contract will be monitored against:

- (a) total staff eligible to submit;
- (b) total staff who do put themselves forward for submission;
- (c) total staff who are selected for submission.

The purpose of equalities monitoring (otherwise known as Equalities Impact Assessment or EIA) is to enable action to be taken to address inequalities in the University's workforce, and also to enable the University to comply with the Public Sector Equality Duty as set out in the Equalities Act 2010.

The EIA will help to identify where discrimination may inadvertently occur, differential impact on particular groups, and where a particular policy or practice has a positive impact on the advancement of equality. The Equalities Impact Assessment form in use is included at Annex D.

The initial EIA was conducted as part of the development of the Code and used to inform the Code, especially Communications and Training. Iterations will take place in July 2013, with planned submission data, and in December 2013, with actual submission data. The gathering, monitoring, and, after submission to the REF, publication of this data will be the joint responsibility of the Head of Human Resources and the Dean of Research.

The first EIA is published at

<http://insight.glos.ac.uk/researchmainpage/researchoffice/Pages/REFandImpact.aspx>

12. Assessment of Clearly Defined and Complex Circumstances

All staff with Research and Scholarly Activity time will be invited to submit a Staff Disclosure form to Human Resources in the second half of 2012 (Annex E). For those staff who make disclosures, this will enable the due consideration of circumstances that allow a reduction in outputs. Human Resources will make known to the Dean of Research disclosures only where staff are seeking a reduction in outputs.

- a) Decisions on the reduction of outputs associated with the REF's guidance on clearly defined circumstances will be taken by the Dean of Research with guidance from Human Resources and Faculty leads for Research.
- b) The Head of Human Resources and the Dean of Research will consider cases of complex circumstances against guidance provided by the Equality Challenge Unit, in order to assess the reduction in outputs required for submission.

13. Review of the code of practice

This Code will be kept under review. Comments concerning the Code of Practice can be sent to the Dean of Research: pchilds@glos.ac.uk

ANNEX A – Unit of Assessment REF Selection and Submission Process

Selection and Submission Process; University of Gloucestershire

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| Decision makers for staff selection and submission | Dean of Research, who will consult with Faculty leads for research |
| UoA Co-ordinators | A list can be obtained from Faculty leads on research |
| Individuals responsible for UoA data entry | University Research Office Administrator and Dean of Research, in collaboration with Faculty Staff |
| REF Working Groups | Three REF working groups have been established, as outlined above. Current membership lists may be obtained from Chairs, who are Faculty leads for research. Chairs will coordinate with UoA coordinators and Heads of School. |
| External advice | Arranged through Research Office with advice from UoA coordinator. Decision makers may seek extra external advice where helpful to decision making. |
| Allocated Weightings for output/ /environment/impact | 65%; 15%; 20% |
| Definition of Research for the REF, as given by Hefce | For the purposes of the REF, research is defined as a process of investigation leading to new insights, effectively shared. It includes work of direct relevance to the needs of commerce, industry, and to the public and voluntary sectors; scholarship ¹ ; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It excludes routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of new analytical techniques. It also excludes the development of teaching materials that do not embody original research. It includes research that is published, disseminated or made publicly available in the form of assessable research |

¹ Scholarship for the REF is defined as the creation, development and maintenance of the intellectual infrastructure of subjects and disciplines, in forms such as dictionaries, scholarly editions, catalogues and contributions to major research databases.

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| | outputs, and confidential reports. |
| Quality Criteria for decision making | Quality will be assessed using the REF 'definitions of quality levels': see the table below. |
| Additional quality criteria | Decisions will be informed by Research Output 'Indicators of Excellence' (originality, significance and rigour, as demonstrated by the extent to which knowledge, theory or understanding in the field has been increased or practice has been, or is likely to be, improved) and/or interpretation of Quality Levels from the REF's 'Panel Criteria and Working Methods'. |
| Required Quality threshold (1*, 2*, 3* or 4*) for outputs to be submitted in UoA | 9 star aggregate minimum (reduced by 2 stars for each output fewer than four outputs required) according to the definition of one, two, three and four star quality (as set out by the panel for the UoA). |
| Senior Manager to whom staff may direct appeals | Deputy Vice Chancellor |
| Consultation timescale | Please report any comments on this 'Selection and Submission Process' document to the Dean of Research by 15 June 2012 |

N. B. Hefce's 'Guidance on Submissions' and Panel Criteria and Working Methods and can be found at <http://www.hefce.ac.uk/research/ref/pubs/>

REF Definitions of quality levels (NB these are elucidated by REF panel criteria (in particular see 'Panel Criteria and Working Methods' p.67 and p.88 for Panel C and Panel D amplifications)

- 4* Quality that is world-leading in terms of originality, significance and rigour.
- 3* Quality that is internationally excellent in terms of originality, significance and rigour but which nonetheless falls short of the highest standards of excellence.
- 2* Quality that is recognised internationally in terms of originality, significance and rigour.
- 1* Quality that is recognised nationally in terms of originality, significance and rigour.
- Unclassified Quality that falls below the standard of nationally recognised work. Or work which does not meet the published definition of research for the purposes of this assessment.

ANNEX B – Timetable

2012

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| January | <i>Hefce: Final Criteria and Working Methods of main panels and sub-panels issued.</i> Preliminary indications made by Executive on UoAs to be submitted |
| February | UoG REF Working Groups established. Initial responsibilities and working methods discussed. Monthly meetings. |
| March-June | REF Code of Practice review and consultation (to Hefce in July) |
| May | UoG Code of Practice Initial Monitoring Point (EIA). |
| August-October | Call to staff for Disclosure of Circumstances. Assessment of complex circumstances cases. |
| November-December | Further indications made by Executive on UoAs to be submitted. Decisions made on staff to be included. Staff not intended for submission to receive feedback from Faculty leads for Research. UoA indications submitted to Hefce. |

2013

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|-------------|---|
| Jan to July | Appeals from staff to be sent to and considered by a panel Chaired by the Deputy Vice-Chancellor (Academic). Launch of Hefce submissions system. Draft submissions entered and revised on Hefce website for each UoA by Research Administration and authorised staff. |
| July | UoG Code of Practice Interim Monitoring Point (EIA) |
| 31 July | <i>Hefce: End of assessment period for impacts, environment, income and student data</i> |
| Aug To Nov | Final Revisions to draft submissions made via University Research Officer. |
| Sept/Oct | Copies of all available outputs that may be requested by subpanels to be lodged with Research Office. Evidence to be supplied for unavailable outputs & ones to be published by 31 Dec |
| 31 October | <i>Hefce: Census date(date on which staff submitted must be in post)</i> |
| 29 November | <i>Hefce: Closing date for submissions to REF 2014</i> |
| 31 December | <i>Hefce: Cut-off point for publication of outputs</i> |
| December | UoG Code of Practice Final Monitoring Point (EIA) |

2014

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| December | <i>Hefce: REF Results published</i> |
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Annex C – Decision Making and Appeals

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| For: | Staff (Non)Submission |
| <i>Advisors:</i> | Faculty leads for Research |
| <i>Decision Maker:</i> | Dean of Research |
| <i>Appeals to:</i> | Deputy-Vice Chancellor |

Appeals will not be considered through the REF process unless they relate to potential unfair discrimination as outlined in this Code.

ANNEX D - Equalities Impact Assessment (EIA) Form

At each assessment point, the EIA will be informed by a consideration of, and an analysis of data on, staff who are eligible for selection in respect of all protected characteristics for which data are available, as outlined above in 'Section 11. Monitoring consultation and review.'

1. Persons responsible for this assessment:

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|---------------------------|----------------------------|
| Name: | Telephone: |
| Department/School: | E-Mail: |
| | Date of Assessment: |

2. Name of the policy, service, strategy, procedure or function:

Is this new or an existing one? New / Existing (please delete as appropriate)

3. Briefly describe its aims and objectives

4. Who is intended to benefit from it and in what way?

5. What outcomes are expected?

6. Have you consulted on this policy, service, strategy, procedure or function?

Details of consultation and outcome:

7. What evidence has been used for this assessment: eg Research, previous consultations, etc?

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8. Could a particular group be affected differently in either a negative or positive way?

| | Negat ive | Positive | Neutral | Comment / Evidence |
|-------------------------|--------------|----------|---------|--------------------|
| Part-time workers | | | | |
| Early career | | | | |
| Caring responsibilities | | | | |
| Age | | | | |
| Disability | | | | |
| Gender reassignment | | | | |
| Race | | | | |
| Religion or Belief | | | | |
| Sexual Orientation | | | | |

| | | | | |
|---|--|--|--|--|
| Pregnancy, Maternity, Adoption and Paternity | | | | |
| Sex (inc breastfeeding and childcaring) | | | | |
| Marriage and Civil Partnership | | | | |

9. If you have identified a negative impact in question 8, what actions have you undertaken or do you plan to undertake to lessen or negate this impact?

| Action(s): | How will this action be Monitored/Evaluated | When will policy / service / strategy / procedure / function be reviewed? |
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| | | |

Declaration

We are satisfied that an Impact Assessment has been carried out on this code and where a negative impact has been identified, actions have been developed to lessen or negate this impact.

Completed by:

Date:

Role:

Date for Review:

Please forward an electronic copy to the Head of Human Resources

The original signed hard copy should be kept for audit purposes.

Research Excellence Framework 2014 Staff disclosure

Introduction

The four UK funding bodies recommend that higher education institutions (HEIs) submitting to the Research Excellence Framework (REF) develop robust procedures to enable staff to disclose, with an appropriate degree of confidentiality, individual circumstances that may impact on the number of research outputs that they have produced. It is also recommended within the Assessment Framework and Guidance on Submissions that HEIs take a proactive approach to encourage staff to disclose their circumstances. Therefore, all eligible staff are invited to complete a form about their individual circumstances if they wish but this is only necessary for staff who wish their circumstances to be recorded for the REF.

Data protection and confidentiality

The University seeks at all times to protect data on individuals in relation to REF selection and to ensure confidentiality as far as is appropriate

The Data Protection Act 1998 requires the University to comply with a number of important principles regarding privacy and disclosure when handling personal data. These principles include ensuring such data are processed and used for limited purposes, and that the data are accurate and up-to-date. The Data Protection Act categorises certain types of data, including some of the data that the University may need to collect for REF purposes on individual staff circumstances, as sensitive personal data. If a member of staff informs someone of their personal circumstances their permission must be sought before the information is passed on or stored. Where staff do not provide permission for information to be passed on or stored, the University may be limited in the actions it can take. The disclosure of sensitive information about their circumstances is voluntary and staff must give permission for it to be stored or passed on. Relevant circumstances for purposes of the REF are provided in 5.4(ii) of the University's Code of Practice for the Research Excellence Framework available at the following webpage on Insight :
<http://insight.glos.ac.uk/researchmainpage/researchoffice/Pages/REFandImpact.aspx>

Staff are invited to complete the attached form or to contact the Head of Human Resources to discuss their circumstances.

Individual staff circumstances disclosure form

| | |
|--------------------------------------|--|
| Name | |
| School / Department | |
| Unit of Assessment (if known) | |

Section one:

Please select one of the following:

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

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

Please select as appropriate:

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

I recognise that the information provided will be used for REF purposes and will be seen by the Head of HR, the Dean of Research and the REF Research Administrator.

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. Where permission is not provided the University of Gloucestershire will be limited in the action it can take.

Name & Signature:..... Date:
(Staff member)

Please return this form in an envelope or email marked confidential to the Head of Human Resources.

For official use only

Following consideration of the personal circumstances described above, the decision panel (Head of Human Resources and Dean of Research):

- Will progress the staff member's inclusion in the REF submission with **[insert number]** of research outputs, provided they meet the required quality threshold.

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 they will need to do so within a month by written application to the Deputy Vice-Chancellor.

Signature: Date:
(Dean of Research)

Signature: Date:
(Head of HR)