

Institute of Education, University of London Research Excellence Framework (REF 2014)

CODE OF PRACTICE

Introduction

1. The purpose of this Code of Practice is to ensure that:
 - a. Institute practice in regard to its REF 2014 submission is transparent, inclusive and consistent across the Institute.
 - b. No individual member of staff is unfairly disadvantaged as a result of having their work not included in the Institute's REF 2014 submission. All academic staff, whether or not included in the Institute's REF 2014 submission, benefit from the same conditions of service and are equally entitled to apply for such things as promotion, study leave and conference funding. Inclusion in the Institute's REF 2014 submission will not be used to inform the results of such applications.

2. A glossary of terms is included in *Appendix 1*.

The legislative and ethical context

3. A summary of the legislation with which the Institute's REF submission needs to comply is included in *Appendix 2*. In addition, the Institute will ensure that individuals are not unlawfully discriminated against for other reasons, in line with the Institute's Equality and Diversity Statement. Human Resources is committed to providing individuals with appropriate support throughout the REF process and will offer surgeries to encourage staff to seek advice and support. Further information is included in *Appendix 4*.

Principles in deciding who is entered in the Institute REF 2014 submission

4. The rules of the REF 2014 require that for an employed individual to be entered in the REF as a Category A member of staff s/he needs to be an academic member of staff (at least 0.2 FTE) on the census date of 31 October 2013, normally to have at least four research-based outputs published between 1 January 2008 and 31 December 2013 and, if a researcher, to be deemed an

independent researcher under the relevant REF guidelines. In the Institute's case, the outputs will need to be deemed excellent, based on the annual peer review exercises. Further information on the Institute's annual peer review exercises is contained in *Appendix 3*. The Institute will decide its criteria of excellence in the light of any future guidance from HEFCE, its status as a leading, internationally recognised, research-based institution and any other relevant information. The Institute will follow the tariff for reduction of outputs submitted where there are clearly defined circumstances, as outlined by HEFCE in the Assessment framework and guidance on submissions document. The circumstances with a clearly defined reduction in outputs are:

- a. Early career researchers, as defined by HEFCE
- b. Absence from work due to working part-time, secondments or career breaks
- c. Qualifying periods of maternity, paternity or adoption leave.

The Institute will ask all members of staff who are eligible to be entered in the REF to complete a staff disclosure form so that information can be captured about individual staff circumstances. All forms will be returned to Human Resources and all forms will be kept confidentially and securely. The data will only be shared with those responsible for considering staff circumstances.

Supporting documentation (including the case studies of complex circumstances provided by the Equality Challenge Unit) will be made available on the intranet to assist all staff with completing the form. In addition, Human Resources will provide individual advice and support to staff who require assistance with the completion of the form (as outlined in *Appendix 4*). A sub-group of the REF Steering Group will be convened to consider all staff circumstances. This group will draw its membership from Human Resources, Research and Consultancy Services and the academic community. It will consider all staff circumstances and will calculate the appropriate reduction in outputs, based on the standard tariffs pre-determined by HEFCE and the case studies provided by the Equality Challenge Unit. Once decisions have been made, the group will inform the REF Steering Group of the reduction in outputs which will apply to individual members of staff. The actual circumstances will not be disclosed beyond the membership of this sub-group. A non-exhaustive list of complex circumstances might include:

- a. Disability as defined in part 4 of the Assessment framework and guidance on submissions document.
- b. Ill health or injury.
- c. Mental health conditions.

- d. Constraints relating to pregnancy, maternity, paternity, adoption or childcare which are over and above those already covered by the clearly defined circumstances referred to above. These might include health and safety restrictions imposed on pregnant and breastfeeding women which may have prevented them from undertaking some types of research during the period 1 January 2008 to 31 October 2013. Similar consideration will be given to the restrictions that pregnancy and nursing might place on fieldwork. As a further example, having a baby with serious illness shortly after birth would be considered as a complex circumstance.
- e. Other caring responsibilities (such as caring for an elderly or disabled family member).
- f. Gender reassignment.
- g. Other circumstances relating to the protected characteristics, listed in paragraph 190 of the Assessment framework and guidance on submissions document, or relating to activities protected by employment legislation.

Information on the HEFCE documents that will be used to inform decisions about individual circumstances is contained in *Appendix 4*, along with information on the support systems that are in place for individual members of Institute staff.

- 5. The responsibility for deciding whether or not an output is to be entered in the REF 2014 rests ultimately with the Director who will be advised by the Pro-Director: Research and Development and the Institute's research theme co-ordinators. (Those currently in post are listed in *Appendix 5*.) These individuals have this responsibility by virtue of their international research standing and academic leadership within the Institute. Criteria for inclusion of research outputs will be based on the Institute's RCKT Strategy as approved and reviewed by Senate and Council, development of a target profile in summer 2013 and subsequent calibration for strategic purposes. All research outputs will need to demonstrate a fit with the broad intellectual remit of the panel(s) to which the Institute's REF submission is made. Furthermore, the Institute seeks to ensure that research outputs as entered in the REF 2014 demonstrate intellectual coherence across the broad spectrum of IOE activity, which is covered or embraced by the five themes, as well as excellence as determined by the annual peer review exercises. Further information on the coverage of each theme is included in *Appendix 5*. Appropriate consideration will also be given where areas of work span one or more thematic areas.

Committees

6. The following Institute committees (taken to include task forces, working groups, etc.) have designated REF responsibilities:
 - a. REF Steering Group and its associated sub-groups
 - b. REF Code of Practice Working Group
 - c. REF Appeals Panel.

7. *Appendix 6* details for each of these *committees*:
 - a. how the committee has been formed
 - b. its terms of reference
 - c. its membership
 - d. the definition of its position within the advisory or decision-making process
 - e. the steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equal opportunities and this Code of Practice
 - f. the criteria that it will use in carrying out its functions
 - g. the method by which these criteria are communicated
 - h. the method and timescale in which feedback will be provided in respect of the decisions made.

8. Each individual on these committees will receive equality and diversity training specifically designed to understand how equality is embedded into the REF. The training will focus on gaining an understanding of complex circumstances based on materials produced by the ECU, but tailored to the specific needs of the Institute. Human Resources will monitor attendance to ensure that all relevant colleagues have participated in this training. Further details of the training content can be found in *Appendix 7*.

9. Only the Appeals Panel and relevant sub-groups of the REF Steering Group will discuss individual performance or circumstances. When such consideration takes place, the parameters of the discussion will be clear, and records will be kept. When individual performance is discussed and the individual is absent, committees will be made fully aware, on a confidential basis, of all the relevant facts relating to the individual.

Processes in deciding who is entered in the Institute REF submission

10. Since the RAE 2008, the Institute has carried out an internal REF exercise each calendar year beginning in 2009 (i.e. the 'annual peer review exercises' referred to elsewhere in this document). Each year, every employed academic member of staff is invited to enter their strongest, published or in press research-based outputs (up to a maximum of four).
11. Early each calendar year, the Pro-Director: Research and Development, aided by five theme co-ordinators and a team, for each theme, of about eight reviewers, reviews the status of these outputs. The Pro-Director: Research and Development and the appropriate Faculty Research Director hold feedback meetings with each Head of Academic Department or their nominee in late spring / early summer each year, to review the performance of the department as a whole in its REF preparations and each academic within it. These meetings provide an opportunity to discuss ways of improving the Institute's submission and further development for individuals where appropriate. After these meetings, each individual who has entered outputs in the exercise is given individual feedback on the grading of their outputs, as well as comments from reviewers, through the internal process. The Institute's overall performance is considered by the REF Steering Group, RCKT Committee and Senate.
12. In autumn 2012 - summer 2013 the Institute will conduct a mock REF. This will be used as an opportunity to apply this Code of Practice. An Equality Impact Assessment (EIA) of the pool of eligible staff is currently being undertaken and will be kept under review throughout the mock REF and the final submission process. The results of the EIA will be communicated to the REF Steering Group and the Equality and Diversity Committee and appropriate action will be taken. In addition, all staff will be asked to complete a staff disclosure form so that information can be captured about individual staff circumstances. The form is included as *Appendix 8*. These circumstances will be considered by a sub-group of the REF Steering Group that will consider all staff circumstances and will calculate the appropriate reduction in outputs, based on the standard tariffs pre-determined by HEFCE and the case studies provided by the Equality Challenge Unit. Once decisions have been made, the group will inform the sub-group of the REF Steering Group (the Pro-Director Research and Development and the Faculty Research Directors) of reductions which will apply for individual members of staff. A provisional recommendation will be made by the Pro-

Director: Research and Development for each academic member of staff as to whether or not they will be entered as a Category A member of staff in REF 2014.

13. In July 2013, each employed academic member of staff will be contacted by their Head of Academic Department, offered appropriate feedback and told whether or not the recommendation is that they be entered in REF 2014. Decisions will not be final at this stage and can be reviewed if staff have individual circumstances which have changed or have not yet been considered or further outputs are *published*. Heads of Academic Departments will not be notified of specific individual circumstances and will only know the reduction (if any) in the number of outputs required for each member of staff. Staff not recommended for entry will be notified of the procedure for appealing against the recommendation.

Support for fixed-term and part-time staff and early career researchers

14. All academic staff, whatever their category of employment, will be welcomed and encouraged to participate in the Institute's inclusive research culture. The Institute is also committed to treating early career researchers in a positive and constructive manner. Appropriate staff development opportunities will be available to all staff, including fixed-term and part-time staff, for example support for writing and funding applications. The IOE will be pro-active in encouraging all staff who are eligible for inclusion in the REF, including staff on part-time and fixed-term contracts, to participate in the REF by ensuring that they are given sufficient academic development time to produce REF submittable outputs. The Institute aims to provide REF impact case studies that cover the broad spectrum of IOE activity and include the work of fixed-term and part-time staff and early career researchers. The IOE has recently been awarded recognition by the EU under the HR Excellence in research award.
15. The Institute keeps fixed-term and part-time staff informed about issues that may affect them on an ongoing basis and encourages discussion of them, for example through the Research Careers Advisory Committee, which meets termly (chaired by the Pro-Director: Research and Development) and also through regular meetings of the Research Support Network.

Appeals

16. Appeals by employed members of academic staff may be made in writing before 1 October 2013 to a REF Appeals Panel, whose membership will include senior academic staff with experience of the RAE/REF process and representation from both Human Resources and Research and Consultancy Services. Membership of the Appeals Panel will not include any staff who have made the original recommendation about an individual's inclusion in the REF or have previously assessed their outputs. Decisions will be made within one month and communicated with reasons confidentially in writing to those who have appealed. This decision will be final. Further information on the Appeals process is contained in *Appendix 9*.

Further information

17. The Code of Practice is available for all members of staff from the Institute's intranet and free hard copies are available to members of staff on request from Research and Consultancy Services (REF2014@ioe.ac.uk) in a range of formats. Further information, including the text of legislation, can be accessed through the Equality Challenge Unit's website at www.ecu.ac.uk.

The REF 2014 Code of Practice Working Group:

Julie Dockrell, Chair
Yvette Adams
Richard Arnold
Pauline Muya
Rebecca Rees
Michael Reiss
Victoria Showunmi
Judith Suissa

July 2012

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APPENDIX 1: GLOSSARY OF TERMS

The following are defined by reference to Higher Educational Funding Council for England (HEFCE) documentation (REF 02.2011 *Assessment framework and guidance on submissions* and/or REF 02.2012 *Panel criteria and working methods*), or are defined as an internal Institutional term, where indicated.

Category A Staff at the Institute

Academic staff in post and on the payroll of the Institute on the census date with a contract that lists research and/or teaching as their primary function, who are selected for inclusion in the Institute's REF submission. (Paragraph 78, REF 02.2011)

Category C Staff at the Institute

Independent investigators active in research who do not meet the definition for Category A staff at the Institute but whose research on the census date is primarily focused within the Institute. (Paragraph 82, REF 02.2011)

Census date

The date determining the affiliation of academic staff. The census date will be 31 October 2013. (Paragraph 3, REF 02.2011)

Early career or new researchers

Members of staff of any age who first entered the academic profession on employment terms that qualified them for submission to the REF as Category A staff on or after 1 August 2009. (Paragraph 85, REF 02.2011)

Eligible staff at the Institute

Academic staff whose primary employment function is research, teaching or both and who can be shown to have undertaken significant autonomous research or otherwise to have made a significant independent research contribution to the research outputs of the Institute. Eligible staff can be either Category A Staff at the Institute or Category C Staff at the Institute. (Institutional definition)

Equality impact assessment

A thorough and systematic analysis to determine whether the staff selection policy for the REF may have a differential impact on particular groups. It informs the Code of Practice and is kept under review as submissions are prepared. It is reviewed at key selection stages including: when identifying eligible staff who are likely to be selected; when considering appeals; and when preparing the final submission. It includes an analysis of all eligible staff in terms of all the protected characteristics for which data is available. (Paragraph 212 to 218, REF 02.2011)

Independent researchers

Members of research staff who are named as principal investigator on a research grant or significant piece of research work and satisfy the definition for Category A academic staff. (Paragraph 81, REF 02.2011)

Publication period

The period during which research outputs must be first made publically available if they are to qualify for assessment in the REF 2014. The publication period runs from 1 January 2008 to 31 December 2013. (Paragraph 111, REF 02.2011)

Quality profile

The result of the assessment of an institution's submission. The quality profile shows the proportion of overall research activity that meets each of four defined levels of quality (one, two, three and four star) and the proportion that is unclassified. (Annex B, REF 02.2011)

REF submission

The complete set of information provided to the REF by an institution. (Paragraph 21, REF 02.2011)

Research Assistants at the Institute

Researchers who are on the payroll of and hold a contract of employment with the Institute. They are academic staff whose primary employment function is defined as 'research only' but are not independent researchers in their own right. (Paragraphs 80 and 81, REF 02.2011)

Research output

The outcome of a research process presented in the public domain. (See paragraphs 105-110, REF 02.2011)

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APPENDIX 2: SUMMARY OF RELEVANT LEGISLATION

Sex

Equality Act 2010

<http://www.legislation.gov.uk/ukpga/2010/15/contents>

Employees are protected and also have additional protection because of their perceived sex or because of their association with someone of a particular sex.

The sex discrimination provisions of the Equality Act explicitly protect women from less favourable treatment because they are breastfeeding. Consequently the impact of breastfeeding on a women's ability to work productively will be taken into account. Partners of new mothers and secondary adopters are entitled to up to 26 weeks of additional paternity and adoption leave. People who take additional paternity or adoption leave will have similar entitlements to women on maternity leave and barriers that exist to taking the leave, or as a result of having taken it, could constitute unlawful sex discrimination.

Consequently researchers who have taken additional paternity and adoption leave may be submitted with a reduced number of outputs, as set out in paragraphs 90-100 and in the panel criteria documents.

HEIs need to be wary of selecting researchers by any criterion that it would be easier for men to comply with than women, or vice versa. There are many cases where a requirement to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women.

Race

Equality Act 2010

<http://www.legislation.gov.uk/ukpga/2010/15/contents>

The definition of race includes colour, ethnic or national origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race.

HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their race or assumed race (for example, based on their name).

Age

Equality Act 2010

<http://www.legislation.gov.uk/ukpga/2010/15/contents>

Age discrimination can occur when people of a particular age group are treated less favourably than people in other age groups. An age group could be for example, people of the same age, the under 30s or people aged 45-50. A person can belong to a number of different age groups.

Age discrimination will not be unlawful if it is a proportionate means of achieving a legitimate aim. However, in the context of the REF, the view of the funding bodies is that if a researcher produces excellent research an HEI will not be able to justify not submitting them because of their age group.

It is important to note that early career researchers are likely to come from a range of age groups. The definition of early career researcher used in the REF (see paragraph 85) is not limited to young people.

Religion or Belief

Equality Act 2010

<http://www.legislation.gov.uk/ukpga/2010/15/contents>

HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their actual or perceived religion or belief, including non-belief. 'Belief' includes any structured philosophical belief with clear values that has an effect on how its adherents conduct their lives

Sexual Orientation

Equality Act 2010

<http://www.legislation.gov.uk/ukpga/2010/15/contents>

The Equality Act protects HEI staff from unlawful discrimination to do with sexual orientation. Individuals are also protected if they are perceived to be or are associated with a person who is of a particular sexual orientation.

HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their actual or perceived sexual orientation.

Marriage & Civil Partnership

Equality Act 2010

<http://www.legislation.gov.uk/ukpga/2010/15/contents>

Individuals are protected from unlawful discrimination on the grounds of marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and treatment in employment. The protection from discrimination does not apply to single people.

In relation to the REF HEIs must ensure that their processes for selecting staff does not inadvertently discriminate against staff who are married or in civil partnerships.

Disability

Equality Act 2010

<http://www.legislation.gov.uk/ukpga/2010/15/contents>

A person is considered to be disabled if they have or have had a physical and/or mental impairment which has 'a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities'. Long-term impairments include those that last or are likely to last for at least 12 months.

Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities.

While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:

- sensory impairments
- impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy
- progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer
- organ specific impairments, including respiratory conditions and cardiovascular diseases
- developmental impairments, such as autistic spectrum disorders and dyslexia
- mental health conditions such as depression and eating disorders
- impairments caused by injury to the body or brain.

It is important for HEIs to note that people who have had a past disability are also protected.

Pregnancy & Maternity

Equality Act 2010

<http://www.legislation.gov.uk/ukpga/2010/15/contents>

Researchers who have taken time out of work or whose ability to work productively throughout the assessment period because of pregnancy and/or maternity, may be submitted with a reduced number of research outputs.

In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process. For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.

Gender Reassignment

Equality Act 2010

<http://www.legislation.gov.uk/ukpga/2010/15/contents>

Staff in HE do not have to be under medical supervision to be afforded protection because of gender reassignment and staff are protected if they are perceived to be undergoing or have undergone gender reassignment. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.

Trans people who undergo gender reassignment will need to take time off for appointments and in some cases, for medical assistance. The transition process is lengthy, often taking several years and it is likely to be a difficult period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole.

The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a transsexual may commit a criminal offence if they pass the information to a third party without consent.

Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care.

Staff whose ability to work productively throughout the REF assessment period has been constrained due to gender reassignment may be submitted with a reduced number of research outputs

Fixed-term Employees

The Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002

<http://www.opsi.gov.uk/si/si2002/20022034.htm>

Direct discrimination

Someone is treated less favourably than another person because of a protected characteristic

A person is treated less favourably than other people because he/she work on a fixed-term contract.

Indirect discrimination

Occurs when there is a rule or policy that applies to everyone but disadvantages people from protected characteristic groups.

3. (1) A fixed-term employee has the right not to be treated by his employer less favourably than the employer treats a comparable permanent employee:
 - (a) as regards the terms of his contract; or
 - (b) by being subjected to any other detriment by any act, or deliberate failure to act, of his employer.
- (3) The right conferred by paragraph (1) applies only if -
 - (a) the treatment is on the ground that the employee is a fixed-term employee, and
 - (b) the treatment is not justified on objective grounds.

Part-time Workers

Part-time Workers (Prevention of Less Favourable Treatment) Regulations 2000

<http://www.legislation.gov.uk/ukxi/2000/1551/contents/made>

Direct discrimination

Someone is treated less favourably than another person because of a protected characteristic

A person is treated less favourably than other people because he/she work part-time.

Indirect discrimination

Occurs when there is a rule or policy that applies to everyone but disadvantages people from protected characteristic groups

5. (1) A part-time worker has the right not to be treated by his employer less favourably than the employer treats a comparable full-time worker -
 - (a) as regards the terms of his contract; or
 - (b) by being subjected to any other detriment by any act, or deliberate failure to act, of his employer.
- (2) The right conferred by paragraph (1) applies only if:
 - (a) the treatment is on the ground that the worker is a part-time worker, and
 - (b) the treatment is not justified on objective grounds.
- (3) In determining whether a part-time worker has been treated less favourably than a comparable full-time worker the pro rata principle shall be applied unless it is inappropriate.

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APPENDIX 3: INTERNAL PEER REVIEW EXERCISE PROCESS

Since the RAE 2008, the Institute has carried out an internal peer review exercise each academic year beginning in 2009/10. All employed academic staff have the opportunity to submit research outputs for review, which are given an estimated grade according to the RAE/REF criteria and detailed feedback.

The process for the internal peer review exercise is as follows:

Preparation

- In the autumn term, all employed academic staff are invited to submit their strongest outputs that have been (or are due to be) published during the REF publication period. This invitation is sent out via Institute-wide emails, and is also communicated at the departmental level.
- Each theme co-ordinator recruits a number of reviewers for the exercise (approximately eight for each theme). These reviewers are senior academics within the Institute, and are encouraged to attend a training session prior to the commencement of reviews.
- Once the submissions from individual members of staff have been collated, the theme co-ordinators assign each output to a member of their reviewing team. In cases where the theme co-ordinator believes that an output has been incorrectly assigned to a theme, they will move in to a more appropriate theme in consultation with the theme co-ordinators.

Reviewing Process

- All reviews are conducted in the spring term. After examining the output in depth, the reviewer will give an estimated grade according to the RAE/REF output assessment criteria, and detailed comments justifying their grading as well as specific strengths and weakness of the submitted output. All reviews are conducted anonymously.
- The reviews for each theme are collated and sent to the appropriate theme co-ordinator. They will select a sample of approximately 10% for moderation. This entails viewing the output, and considering if the grade and comments made by the reviewer are appropriate. The theme co-ordinator will then add their own comments, and if appropriate amend the grade.
- The Pro-Director: Research and Development will then view the results of the moderation exercise, and select a sample of approximately 20 moderated outputs to view. The Pro-Director will decide whether to uphold or amend the grade, and, if appropriate, make further comments.

Feedback

- Each Head of Academic Department receives the estimated grades and comments for their department, in a meeting with the Pro-Director: Research

and Development and the Faculty Director for Research. The Head of Academic Department or their representative will communicate to each member of staff who has submitted outputs to the exercise the grades and comments they received for their outputs. The grades for the outputs of individual members of staff are for the purposes of the REF, will be kept confidential and will not be shared beyond Heads of Academic Department (or their nominee) and the staff who are responsible for making recommendations about inclusion in the REF.

- The Institute-wide results are considered by the REF Steering Group, the Research, Consultancy and Knowledge Transfer Committee and Senate, without reference to the specific results of individuals or departments.

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**APPENDIX 4: GUIDANCE DOCUMENTS GOVERNING THE REF
AND INTERNAL SUPPORT STRUCTURES FOR STAFF**

This document aims to list the relevant HEFCE documentation and internal support mechanisms for the REF 2014.

Guidance

HEFCE Assessment Framework and Guidance on Submissions (REF 02.2011):
http://www.hefce.ac.uk/research/ref/pubs/2011/02_11/

HEFCE Panel criteria and Working Methods (REF 01 2012):
http://www.hefce.ac.uk/research/ref/pubs/2012/01_12/

Equality Challenge Unit information on individual circumstances which should be considered: <http://www.ecu.ac.uk/>

Internal support structures

Within the Institute, members of the Human Resources team, as outlined below, are available to support staff with specific individual circumstances:

Yvette Adams	Deputy Head of Human Resources
Ammara Khan	Equalities Manager
Human Resources Officers	HR Surgeries.

Surgeries will be offered by the staff named above on at least a termly basis, or on request to offer support and advice to staff. Staff may wish to use these Surgeries to discuss their specific circumstances in confidence with members of the HR team, before completing a staff disclosure form. Information on the REF will also be made available on the intranet.

In addition, a sub group of the REF Steering Group will be convened to consider the individual staff circumstances that need to be taken into account and to calculate any reduction in outputs. This group will comprise a representative each from the academic community, Human Resources and Research and Consultancy Services. All cases will be treated with the highest level of confidentiality and the only information which will be passed on to those making decisions about selection will be the number of outputs which the individual will need to submit.

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APPENDIX 5: RESEARCH THEME CO-ORDINATORS AND THEME DESCRIPTIONS

Theme 1: Disciplines of education

Professor Paul Dowling and Professor Stephen Ball

This group engages with perspectives and methods across the range of social science and humanities disciplines to address educational problems, drawing critically from and contributing to the disciplines themselves. It seeks to understand the educational challenges of the 21st century from a range of perspectives within the humanities and social sciences, with innovative comparative and multidisciplinary approaches. It also addresses key social issues relating to education such as citizenship, ethnic inequalities, gender differences and disabilities.

Theme 2: The organisation and improvement of learning

Professor Karen Evans

This group investigates factors that lead to tangible improvements in outcomes, taking into account broader social, cultural and historical contexts. Learning and the improvement of learning are addressed theoretically and practically at the level of the individual, the classroom, the institution and the system, encompassing the early years, compulsory schooling, the 14-19 agenda, higher education, vocational education, adult education (including lifelong learning) and work-based learning.

Theme 3: Curriculum, culture and knowledge

Professor Lucy Green

This group appraises the interrelations of knowledge, learning and culture in educational environments of all kinds: formal and informal; in educational institutions; at work and elsewhere. It permits an understanding of the social dynamics of knowledge in a range of areas, in particular the production and organisation of knowledge, the representation of knowledge, digital forms of knowledge, the language and culture of knowledge, and methodological issues in researching the nature of curriculum and knowledge more broadly.

Theme 4: Children, families and early learning

Professor Iram Siraj-Blatchford

This group examines early learning and education for children in families and formal institutions. Research addresses the rights of children, 'looked-after' children, formal education for early years, and the relationship of social class to pre-school provision. Support for families, parenthood and care in the community underpins this research.

Theme 5: Longitudinal and social research in education

Professor Ingrid Schoon

This group studies the impact of education and skills on employment, health, social and other outcomes. Statistical and quantitative research provides the basis for much of this work and is integral to the Institute's major contribution in this area. The national birth cohort studies maintained and developed at the Institute provide much of the evidence for this group, and are also a major national research resource.

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APPENDIX 6: COMMITTEES WITH DESIGNATED RESPONSIBILITIES WITH REGARD TO THE REF 2014

Committees with designated responsibilities with regard to the REF 2014 are the REF Steering Group, the REF 2014 Code of Practice Working Group and the REF Appeals Panel.

REF Steering Group

- a. How the committee has been formed: By request of the Pro-Director: Research and Development, with the agreement of the Research, Consultancy and Knowledge Transfer (RCKT) Committee. Members invited by the Pro-Director on the basis of experience and expertise.
- b. Terms of reference for the whole group: To provide detailed advice and discussion on aspects of the preparation of the Institute's REF submission. A subset of the group will consider an individual's entry to the REF 2014 and make provisional recommendations in the light of the overall Institutional submission strategy. Another subset of the group will consider complex individual circumstances which may have constrained an individual's ability to produce four research outputs or to work productively throughout the assessment period and determine an appropriate reduction in the number of outputs submitted.
- c. Full group membership, as at May 2012 is:

Michael Reiss	Chair; Pro-Director: Research and Development
Dave Pratt	Faculty of Children and Learning Director: Research
Andrea Creech	Faculty of Policy and Society Director: Research
Paul Dowling	Research Theme 1 Leader
Karen Evans	Research Theme 2 Leader
Lucy Green	Research Theme 3 Leader
Iram Siraj-Blatchford	Research Theme 4 Leader
Ingrid Schoon	Research Theme 5 Leader
Andrew Pollard	Assistant Director, Research Impact
David Budge	Communications, Research Impact
Kathryn Duckworth	Representative of Early Career Researchers
Pauline Muya	Head of Research & Consultancy Services
Sophie Covey-Crump	Research Policy Manager
Clare Shelton	Representative of Faculty RCKT Managers
Caroline Wickenden	Head of Planning & Performance
Gwyneth Price	Head of Library Services

Fran Setter Head of Human Resources

Subset considering an individual's provisional entry to the REF 2014:

Michael Reiss	Chair; Pro-Director: Research and Development
Dave Pratt	Faculty of Children and Learning Director: Research
Andrea Creech	Faculty of Policy and Society Director: Research

With input as required from:

Paul Dowling	Research Theme 1 Leader
Karen Evans	Research Theme 2 Leader
Lucy Green	Research Theme 3 Leader
Iram Siraj-Blatchford	Research Theme 4 Leader
Ingrid Schoon	Research Theme 5 Leader
Pauline Muya	Head of Research & Consultancy Services

Subset considering complex individual circumstances and determining an appropriate reduction in the number of outputs submitted:

Fran Setter	Head of Human Resources
Sophie Covey-Crump	Research Policy Manager

A representative from the academic community

- d. Definition of its position within the advisory or decision-making process: Subcommittee of the RCKT Committee.
- e. Steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equal opportunities: Suitable training provided (see Appendix 7).
- f. Criteria that it will use in carrying out its functions: Institute's RCKT Strategy.
- g. Method by which these criteria are communicated: Regular meetings of the committee; other relevant Institute fora (e.g. Academic Board, Senate, Academic Development Committee).
- h. Method and timescale in which feedback will be provided in respect of the decisions made: The Pro-Director reports back to the RCKT Committee termly; the Pro-Director also reports to Academic Development Committee, Academic Board, Senate and Council on a termly basis.

REF 2014 Code of Practice Working Group

- a. How the committee has been formed:
The broad membership has been agreed by RCKT Committee and has been drawn from different constituent parts of the IOE community to ensure a balance of experience and expertise.
- b. Terms of reference:
To draft a Code of Practice for the REF 2014 for the Institute.

c. Membership:

Julie Dockrell, Chair	Professor of Psychology and Special Needs, FPS
Michael Reiss	Pro-Director: Research and Development, Directorate, FCL
Yvette Adams	Deputy Head of Human Resources, HR
Judith Suissa	Senior Lecturer in Philosophy of Education, FPS, UCU representative
Rebecca Rees	RCUK Academic Fellow, FCL
Richard Arnold	LLAKES Administrator, FPS
Victoria Showunmi	Lecturer in Education, FPS
Pauline Muya	Head of Research and Consultancy Services
Richard Sheldrake	Secretary, Research and Consultancy Services

d. Definition of its position within the advisory or decision-making process:

Group formed for a specific purpose to report to the RCKT Committee and other relevant committees.

e. Steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equal opportunities:

Suitable training provided (see Appendix 7).

f. Criteria that it will use in carrying out its functions:

REF Guidance on Submissions, Panel Criteria and Working Methods, Institute's RCKT Strategy.

g. Method by which these criteria are communicated:

Report to relevant Institute committees.

h. Method and timescale in which feedback will be provided in respect of the decisions made: Report to relevant Institute committees during summer 2012 for decision by Senate and Council.

REF Appeals Panel

a. How the committee has been formed: By request of the Pro-Director: Research and Development.

b. Terms of reference for the whole group: To consider REF appeals.

c. Full group membership:

Senior academic staff with experience of the RAE/REF process
Representation from both Human Resources and Research and Consultancy Services

Institute of Education, University of London Research Excellence Framework (REF 2014)

CODE OF PRACTICE

APPENDIX 7: TRAINING PROVIDED

Members of the REF Steering Group and its associated sub-groups and the REF 2014 Code of Practice Working group will receive the following training session. If more specific sessions or refresher sessions are needed throughout the process (e.g. for new members of staff involved in the REF decision-making process), these will be arranged. One-to-one coaching can also be provided, as required, for the Chairs of the Steering Group, Code of Practice Working Group, Appeals Panel and the group considering individual staff circumstances.

Embedding Equality into the Research Excellence Framework

The aims of the training session are to:

- raise awareness of participants' responsibilities under the Equality Act and REF implications;
- be aware of the nine protected characteristics covered under the Equality Act and the duty to promote equality;
- provide an opportunity to reflect on and review professional practices across all areas of the Institute;
- understand the impact of complex circumstances on protected characteristic groups;
- be aware of the importance of the IOE promoting diversity and encouraging participation among protected characteristic groups;
- explore and understand the sensitivities around confidential personal equalities information;
- be aware of the equality issues that were highlighted in RAE2008;
- understand how to calculate the tariffs for clearly defined complex circumstances using the Equality Challenge Unit guidance.



Covering note and staff disclosure form

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

From: Fran Setter Head of Human Resources

Subject: REF 2014, consideration of individual staff circumstances

The Institute of Education is committed to ensuring that decisions about selecting staff for the Research Excellence Framework (REF) are made in a fair, transparent and consistent manner. Information on how eligible staff will be selected for submission to the REF can be found in the Institute's Code of Practice which can be found on the Research and Consultancy Services pages on the Intranet.

To ensure that REF processes are fair, the Institute is collecting data on individual circumstances from all staff eligible for submission. The data will be used to identify which staff are eligible for submission with fewer than four outputs. Summary level data collected may also inform the Institute's monitoring of staff selection procedures at the institutional level.

In determining whether eligible staff may be submitted to the REF with fewer than four research outputs, the Institute's REF Steering Group will take the following circumstances into consideration:

- = Early career researcher (started career as an independent researcher on or after 1 August 2009)
- = Part time employment
- = Career break or secondment outside of the higher education sector in which the individual did not undertake academic research
- = Maternity leave, statutory adoption leave, and additional paternity leave (taken by partners of new mothers or co-adopters)
- = Disability (including conditions such as cancer and chronic fatigue)
- = Ill health or injury
- = Mental health conditions
- = Constraints relating to pregnancy, maternity, breastfeeding, adoption, paternity or childcare **in addition to** periods of maternity, statutory adoption or additional paternity leave taken. This could include for example, pregnancy related illness and health and safety restrictions in laboratory and field work.
- = Other caring responsibilities (including caring for an elderly or disabled relative)



- = Gender reassignment

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

In determining the number of outputs staff are required to submit, the institution will observe the definitions of individual staff circumstances provided in the published REF 'Panel criteria and working methods' (January 2012) available at www.ref.ac.uk under 'Publications'.

What action do I need to take?

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

If further information is required about any circumstances disclosed, you will be contacted in confidence by a member of the Human Resources team.

Who will see the information that I provide?

Within the Institute, the information that you provide will be seen by a sub-group of the REF Steering Group [Members of the sub group handling individual staff circumstances will observe confidentiality and information will be stored securely].

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

- = For **circumstances with a clearly defined reduction in outputs**, information will be seen by the relevant REF sub-panel, the REF panel secretariat and the UK funding bodies' REF team. This will include information about early career researcher status, part-time working, career breaks or secondments, and periods of maternity, additional paternity or adoption leave taken.
- = For **more complex circumstances**, information will be seen only by the REF Equality and Diversity Advisory Panel, the REF Main Panel Chairs and the UK funding bodies' REF team. This information will be used to explain the impact on your research of circumstances such as disability, ill health, injury, mental health conditions, gender reassignment, caring responsibilities or constraints relating to pregnancy, maternity, breastfeeding, adoption and paternity (in addition to the period of leave taken). This information will **not** be seen by the REF sub-panel.

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



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The REF Assessment Framework and Guidance on Submissions www.hefce.ac.uk/research/ref/pubs/2011/02_11/, requires all higher education institutions participating in the REF to ensure appropriate confidentiality in handling individual staff circumstances.

What if my circumstances change?

The Institute recognises that staff circumstances may change between 1 January 2008 and 31 October 2013. If your circumstances change you can download a copy of the attached form at <http://intranet.ioead/ioe/>



Individual staff circumstances disclosure form

Name	
Department	

Section one:

Please select one of the following:

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

Section two:

Please select as appropriate:

- I would like to be contacted by a member of Human Resources team to discuss my circumstances and requirements and/or the support provided by the Institute of Education. My contact details for this purpose are:

Email	
Telephone	
Preferred method of communication	

- I do **not** wish to be contacted by a member of the Human Resources team.



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Section three

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

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

Circumstance	Information required
Early career researcher (started career as an independent researcher on or after 1 August 2009)	Date on which you became an early career research
Information	
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	

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

Please note that you will be required to provide evidence for example a doctor's certificate, refer to HR records, other relevant medical information. If you cannot provide appropriate documentation please seek advice from Yvette Adams or Caroline Ward in Central HR.



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 only be seen internally by Central HR and the sub-group of the REF Steering Group which is responsible for considering staff circumstances.
- 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 Institute of Education will be limited in the action it can take.

Signature: Date:

(Staff member)



For official use only

Following consideration of the personal circumstances described above, the Sub-group of the REF Steering Group:

- 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.

- For the attention of Michael Reiss Pro Director: Research & Development. A reduction in outputs for NAME has been reduced to xxxx due to complex circumstances.

- 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 [insert name of staff member] wishes to appeal against the decision of the sub-group of the REF Steering Group they will need to do so by 1 October 2013 and details of the appeals process can be found at [insert web address].

Signature: Date:

([Insert name of person/chair of committee responsible for decision])

Signature: Date:

Pauline Muya Head of Research and Consultancy Services

Institute of Education, University of London Research Excellence Framework (REF 2014)

CODE OF PRACTICE

APPENDIX 9: REF APPEALS PANEL

An employee who wishes to appeal against the decision not to be included in the REF should outline the reasons for their appeal and submit the document, using the template form (attached), no later than **1 October 2013**. An employee may wish to appeal on the grounds that they believe the quality assessment of their outputs to be incorrect or that their individual circumstances have not been considered appropriately. In the event that the appeal documentation requires disclosure of individual circumstances which have not previously been disclosed, the REF Appeals Panel will request input from appropriate representatives of the REF Steering sub-group which has considered all individual staff circumstances, to ensure that the same process is followed for all members of staff. Any such circumstances will be treated confidentially and the REF Appeals Panel will only be notified of the reduction of outputs, if any, which should be applied.

The Institute will constitute a REF Appeals Panel that will consider all of the written submissions. The appellant will not normally be invited to attend a Panel meeting in person. The membership of the Appeals Panel will include senior academic staff with experience of the RAE/REF process and representation from both Human Resources and Research and Consultancy Services. Membership of the Appeals Panel will not include any staff who have made the original recommendation about an individual's inclusion in the REF or have previously assessed their outputs. A further member of the Human Resources Department will attend to act as secretary to the panel. The REF Appeals Panel will examine the submissions and make their decisions. The decisions of the REF Appeals Panel are final. Each appellant will be advised of the outcome of their appeal within five working days of the meeting.

REF 2014 Appeals Process

This form is to be used in the event that any member of staff wishes to lodge an appeal against the initial recommendation that they will not be submitted to the REF. It is anticipated that staff may wish to appeal mainly on the grounds that they believe the quality assessment of their outputs to be incorrect or that their individual circumstances have not been considered appropriately.

This form should be completed and returned to Human Resources no later than **1 October 2013**. The documentation provided here will be considered by the REF Appeals Panel. The appellant will not normally be invited to attend a Panel meeting in person.

In the event that the appeal documentation requires disclosure of individual circumstances which have not previously been disclosed, the REF Appeals Panel will request input from appropriate representatives of the REF Steering sub-group which has considered all individual staff circumstances, to ensure that the same process is followed for all members of staff. Any such circumstances will be treated confidentially and the REF Appeals Panel will only be notified of the reduction of outputs, if any, which should be applied.

Name	
Department	

Outputs which you wish to appeal the decision on REF inclusion

1	
2	
3	
4	

Some staff may not be required to include four outputs, due to specific individual staff circumstances. More information on what these are and how any reduction is to be calculated is available from Human Resources.

Reasons for appeal

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Signature	
Date	