

**Kingston University code
of practice on the selection
of staff for submission to
the research excellence
framework (ref2014)**

Content

A	Introduction	2
B	Principles	3
C	Responsibilities	3
D	Eligibility criteria	4
E	Selection process	5
F	Individual staff circumstances (clearly defined and complex circumstances)	6
G	Training in the application of the Code	7
H	Feedback and appeals	8
I	Communication and publication	9
J	Joint submissions	9
K	Approval of the Code	9
L	Equality Impact Assessment	9
M	Further information about the Code	10
	Appendix A Summary of equality legislation for groups of staff covered by the Code	11
	Appendix B Preparation of the REF 2012 submission, including planned communication activity	15
	Appendix C REF Steering Group membership and Terms of Reference	26
	Appendix D Faculty Review Groups membership and Terms of Reference	28
	Appendix E Circumstances Board (process for consideration of individual staff circumstances) Terms of Reference; staff disclosure information and form	29
	Appendix F List of Unit of Assessments included in the mock REF exercise	42
	Appendix G Schedule of the training in the application of the Code of Practice	43
	Appendix H Timetable for Appeals	44
	Appendix I Equality Impact Assessment Summary Report	45
	Appendix J Addendum to Code July 2013	55

A. Introduction

1. The Research Excellence Framework (REF) is the new system for assessing the quality of research in UK higher education institutions (HEIs). The REF will be undertaken by the four UK higher education funding bodies. The exercise will be managed by the REF team based at Higher Education Funding Council England (HEFCE) and overseen by the REF Steering Group, consisting of representatives of the four funding bodies. Kingston University will make a submission to the REF in 2013. The timetable for the REF can be seen at <http://www.ref.ac.uk/timetable/>.
2. The University's Equality and Diversity strategy ([Equality Diversity and Inclusion Unit](#)) frames our commitment to eliminating discrimination, advancing equality of opportunity and fostering good relations for those protected by the Equality Act 2010. The REF2014 extends the scope to include early career researchers (ECRs) and part-time and fixed term employment status (see Table 1):

Table 1 Protected characteristics covered by REF2014

Age	Race
Disability (including carers of disabled people)	Religion or belief
Gender reassignment	Sex (including breastfeeding and childcare)
Marriage & civil partnership	Sexual orientation
Pregnancy & maternity	Part-time and fixed-term employment status
Early career researchers	

The University's commitment to equal opportunities includes policies to support and develop all staff, whether fixed term or permanent, part-time or full-time, including contract research staff. This commitment has been reflected in our REF submission:

- I. At a strategic level through this Code of Practice (the Code) on the selection of staff to include in the submission
 - II. At the Unit of Assessment level through the creation of an inclusive research environment.
3. The Code has been developed in accordance with the Equality Act 2010 and its statutory regulations as well as relevant employment legislation (detailed in **Appendix A**).
 4. The Code has been developed by the University's REF Steering Group in conjunction with the Head of Equality and in consultation with the Trade Unions, key stakeholders and staff members (See **Appendix B**).
 5. The University's Senior Management Team (SMT) has agreed a target outcome for the REF, whereby the majority of its submission should be rated world leading or internationally excellent¹. For every Unit of Assessment (UOA) for which a return is prepared, it is the University's intention to include all eligible staff who contribute to that overall quality profile.
 6. This Code sets out the principles and procedure that the institution will follow in selecting staff for submission to the REF.

¹ Refer to Annex A of REF2014 Assessment Framework and Guidance on Submissions (REF02.2011) for the assessment criteria and level definitions <http://www.ref.ac.uk/pubs/2011-02/>

B. Principles

7. The principles summarised below will be followed in all stages of preparing REF submissions:
- a) **Transparency:** The credibility of the University's submission is reinforced by the transparency of the process through which decisions are made. The Code sets out the criteria and procedures that will be applied and will be published in advance of decisions being made (see **Appendix B** on the preparation of the REF 2014 submission). Furthermore the Code provides clarity about roles, responsibilities and processes entailed in selecting staff for inclusion in the University's submission.
 - b) **Consistency:** It is essential that policy and practice in respect of staff selection is consistent across the University and that the Code is implemented uniformly. The Code sets out the principles to be applied to all aspects/stages of the process at all levels where decisions will be made and the steps/procedures taken to ensure that this policy is implemented uniformly across the University (eg Faculty REF Review Groups see paragraph 10, and the Circumstances Board see paragraph 12).
 - c) **Accountability:** The Code defines responsibilities and identifies by name or role the individuals and bodies that are involved in selecting staff for our REF submission. The Code also includes or points to operating criteria and terms of reference for individuals, committees and any other bodies concerned with staff selection. The Code also states the training and support for those who are involved in selecting staff as well as the feedback and appeals mechanisms. As required, the recommendations from the equality impact assessment process and report will inform the current and future submissions.
 - d) **Inclusivity:** The Code promotes an inclusive environment, enabling the University to identify all eligible staff who have produced excellent research for submission to the REF 2014. The Code does this by defining criteria for individual circumstances and establishing a mechanism to take these into account in a fair and consistent manner.

Inclusivity is promoted through the submission in other ways also:

- Through the staff strategy and development measures we have put in place to create an environment for each Unit of Assessment that promotes equality and diversity and implements the Concordat to Support the Career Development of Researchers²
- Through the application of the other principles in the preparation for our submission to the REF 2014

C Responsibilities

8. **The REF 2014 Steering Group** (the Steering Group) has been set up to guide the institution's REF submission process. The Group reports direct to the Senior Management Team (SMT). Its membership comprises the Pro Vice Chancellor for Research and Enterprise (Chair), who has strategic responsibility for research at an institutional level, the Vice Chancellor (ex officio), the Chair of the Impact Task Group who is responsible for leading the impact element of the submission; senior University academic managers who have significant past RAE experience, two other representatives of the professoriate and the Dean of Health and Social Care Sciences

² <http://www.vitae.ac.uk/policy-practice/505181/Concordat-to-Support-the-Career-Development-of-Researchers.html>

who will provide a link with St George's University of London (SGUL), with which the University shares a joint Faculty and plans to make a joint submission. The terms of reference of the Steering Group are available in **Appendix C**.

9. The Steering Group is responsible for making final recommendations to the Senior Management Team on UOAs to be entered and staff to be submitted in each. The decision of the Steering Group will be reached after the selection process set out below. Faculty Deans, Associate Deans for Research/ Faculty Research Directors and UOA co-ordinators will have responsibilities at different stages of the process, as detailed below.
10. **The Faculty REF Review Group:** To ensure consistency across the University, each Faculty will set up a REF Review Group, chaired by the Associate Dean for Research/ Faculty Research Director. The REF Review Group will oversee the process of preparing the UOA submissions in the Faculty, in liaison with the UOA Co-ordinators, who are responsible for developing the submission in their Unit of Assessment. The Groups will support the Steering Group in achieving the target outcome agreed by the Senior Management Team for the University as a whole, and will ensure adherence with the principles and processes set out in this Code. The Review Groups will provide regular reports to the University's Steering Group. Where UOA submissions are cross-Faculty, or joint with SGUL, the membership will reflect this, as appropriate. The terms of reference for the Review Groups are attached in **Appendix D**.
11. **The external assessors:** The recommendations of the Steering Group on each UOA will be informed by the expert independent assessment of two externals, nominated by the UOA and appointed by the Steering Group. External assessors have been chosen for their research expertise in the field and for their knowledge of the RAE/REF, either through experience as 2008 Panel members or in preparing their own institution's submission. Externals will be used during a mock REF and at the pre-submission stage. In addition to their assessment of submissions against the criteria for REF2014, guidance will also be sought from externals on whether and how a submission could be crafted to make it viable or to improve its performance.
12. **The Circumstances Board** has been established by the Steering Group to assess whether an individual's circumstances make them eligible for submission with a reduced number of outputs, in line with the guidance published in the panel criteria and the Guidance on Submissions. The Circumstances Board ensures there is consistency in the approach to individual circumstances across the University and limits the number of people who know about the nature of an individual's circumstance (see **Appendix E** for terms of reference, mode of operation and membership as well as the disclosure template recommended by the Equality Challenge Unit and HEFCE). The Circumstances Board's judgements will be independent of the review of outputs.

D. Eligibility criteria

13. As specified in Part 3 of the Assessment Framework and Guidance on Submissions³, to be eligible for inclusion in the REF, individuals must be classed in one of two categories: Category A – these are staff members who hold an academic contract of employment of 0.2 FTE or greater and are on the payroll of the University on the census date of 31 October 2013. Their primary employment function must be to undertake either “research only” or teaching and research”; or Category C - individuals employed by an organisation other than an HEI, whose contract

³ REF2014 Assessment Framework and Guidance on Submissions (REF02.2011) <http://www.ref.ac.uk/pubs/2011-02/>

or job role (as documented by their employer) includes the undertaking of research, and whose research is primarily focused in the submitting Unit of Assessment on the same census date.

14. Each individual included is required to submit as a norm 4 research outputs, produced during the assessment period of 1st January 2008 to 31st December 2013. The University will not rely on citation information nor on journal impact factors to inform the selection of staff or outputs to be included in the submission. Individuals may be submitted with fewer than four outputs without penalty in the assessment, where their circumstances have significantly constrained their ability to produce the required volume of outputs. These circumstances are prescribed in the published panel criteria and are set out in Section F below.
15. Final decisions on selection will be made on the basis of achieving the best possible outcome for Kingston University as a whole, in accordance with the target outcome set by the Senior Management Team that the majority of the University's submission should be rated as world leading and internationally excellent. The REF is not an appraisal of individual researchers; rather, it is an evaluation of the University's submitted research portfolio.

E. Selection process

16. The decision-making process on selection (including the process at Faculty level) is set out below.

Stage 1 – mock REF

17. The University undertook a mock REF in 2011/12, to enable the Steering Group to assess where Units stood in relation to the criteria for REF2014. The UOAs included in the exercise are listed at **Appendix F**. The outcome of this exercise helped to inform judgements on UOAs to be submitted for assessment in the REF. In order to ensure that all staff members producing excellent research in the assessment period are considered, information was provided to Faculties for dissemination to all academics on the clearly defined and more complex circumstances which would allow them to qualify for a reduction in the number of outputs submitted. Each individual was given the opportunity to request submission with fewer than four outputs. As the exercise preceded the publication of the final panel criteria, an inclusive approach was adopted, with staff being asked to self-assess their eligibility for a reduction in output without disclosing the nature of their individual complex circumstances.
18. Decisions on staff to be included in the mock REF submission were taken by UOA coordinators in the first instance and confirmed following a process of faculty level review. Information was also gathered at this stage (i) on staff within the Unit who were not included in the mock REF exercise, with the rationale for their non-inclusion, and (ii) on staff who did not fit within Units undertaking the mock REF exercise. Each mock entry was subject to Faculty-level scrutiny before being submitted to the Steering Group for external scrutiny by two assessors (see paragraph 11 above). To ensure consistency, assessors were issued with a standard report template, supplemented by UOA-specific questions.
19. The list of staff included in the mock submission, as well as those identified as eligible but not included in the return, was analysed and formed part of an equality impact assessment by the University's Equality Unit to allow any equality issues to be identified

and investigated by the Steering Group. The Steering Group considered all UOA submissions and all external reports. For each UOA, joint meetings were held between the Steering Group, the two externals, Deans, Associate Deans for Research and UOA co-ordinators to discuss issues arising from the reports, and to explore options.

20. Following the meetings, the Steering Group's conclusions were reported to the SMT, along with preliminary recommendations on potential UOA submissions.

Stage 2 – post mock REF and pre-submission

21. Based on the recommendations of the Steering Group, initial decisions were taken by SMT on which Units of Assessment would go forward to the next stage of REF preparation.
22. Units were provisionally included where the overall submission (outputs, impact and environment) was judged to meet the agreed target set out in paragraph 5 above.
23. Staff were informed locally of outcomes and decisions taken by SMT (see **Appendix B**).
24. Following the mock REF, ongoing discussions have taken place between the REF Steering Group, Deans, Associate Deans for Research/Faculty Research Directors and UOA co-ordinators to decide on the strategies to achieve the target outcome.
25. Submissions will be redrafted in autumn 2012 in the light of advice received from external assessors, the discussions above and the decisions of SMT, with external assessors reviewing the revised submissions. Final decisions on UOAs to be submitted and a provisional final list of staff to be included in the University's submission will be drawn up by **28 June 2013**. Each individual eligible for inclusion will receive a letter from the Chair of the REF Steering Group informing them whether or not they will be included in the submission. Where the decision has been made not to include an individual, the reason will be given along with details of the appeals process (see paragraphs 31-37 of this Code, **Appendix H** and **Appendix B** *on the preparation of the REF submission*).
26. Any decisions on submissions to the REF will be kept under review until November 2013 by the Steering Group and SMT to ensure that full account is taken of changing circumstances. ***As a consequence of this process, a decision was taken in July 2013 to test the potential for a submission to Education. An addendum to this Code was accordingly approved by SMT (see Appendix J).***

F. Individual staff circumstances - clearly defined and complex circumstances

27. Guided by the published criteria for main panels and sub panels⁴, decisions on staff to be included will take full account of any of the following circumstances which may have significantly constrained the individual's ability to produce four outputs, or to work productively throughout the assessment period:
 - a. Circumstances with a **clearly defined** reduction in outputs, which are:

⁴ <http://www.ref.ac.uk/pubs/2012-01/>

- i. Qualifying as an early career researcher⁵ (on the basis set out in paragraph 72 of the panel criteria).
- ii. Absence from work due to working parttime, secondments or career breaks (on the basis set out in paragraphs 73-74 of the criteria).
- iii. Qualifying periods of maternity, paternity or adoption leave (on the basis set out in paragraphs 75-81 of the criteria).
- iv. Other circumstances that apply in UOAs 1-6, as defined at paragraph 86 of the criteria.

b. **Complex circumstances** that require a judgement about the appropriate reduction in outputs, which are:

- i. Disability. This is defined in '[guidance on submissions](#)' Part 4, Table 2 under 'Disability'.
- ii. Ill health or injury.
- iii. Mental health conditions.
- iv. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances made in paragraph 75 of the criteria.
- v. Other caring responsibilities (such as caring for an elderly or disabled family member).
- vi. Gender reassignment.
- vii. Other circumstances relating to the protected characteristics listed at paragraph 190 of '[guidance on submissions](#)' or relating to activities protected by employment legislation.

28. As stated in paragraph 12 above, the Circumstances Board will be responsible for taking decisions on the eligibility of individuals to be returned with fewer than four outputs. The process and timetable to be followed are set out in **Appendix E**.

G. Training in the application of the Code

- 29. The Head of Equality will deliver the training which is based upon guidance from the Equality Challenge Unit and tailored to REF processes (see **Appendix G**).
- 30. Training will be given to all those who are involved in implementing the Code (Steering Group members, Associate Deans for Research/ Faculty Research Directors, Heads of School and Unit co-ordinators) and members of the Circumstances Board which

⁵ Early career researchers are defined as members of staff who meet the criteria to be selected as Category A or Category C staff on the census date, and who started their careers as independent researchers on or after 1 August 2009. For the purposes of the REF, an individual is deemed to have started their career as an independent researcher from the point at which

- a. They held a contract of employment of 0.2 FTE or greater, which included a primary employment function of undertaking 'research' or 'teaching and research', with any HEI or other organisation, whether in the UK or overseas, **and**
- b. They undertook independent research, leading or acting as principal investigator or equivalent on a research grant or significant piece of research work. (A member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs.)

makes decisions about whether members of staff have individual circumstances which make them eligible to be considered for inclusion in the REF 2014 submission with a reduced number of outputs.

H. Feedback and Appeals process

31. Staff will receive timely feedback on the decision to include them or not include them in the submission to the REF. There will be two points at which individuals will have an opportunity to appeal against decisions made:
 - in November 2012 following the first tranche of decisions made by the Circumstances Board on requests to be considered for submission with fewer than 4 outputs and
 - in September 2013 following the final decisions on staff to be included in the submissions
32. Where the appeal relates to a decision made by the Circumstances Board on complex circumstances, an individual may wish to discuss the reason for the decision informally with the Head of Equality before deciding whether to proceed to the formal appeals process, set out below. The timetable for the appeals process is attached as **Appendix H** to this document.
33. Following final decisions in June 2013, an eligible staff member who has not been included in a Unit of Assessment should in the first instance discuss the reasons for their exclusion informally with their Head of School and Associate Dean for Research (who is also Chair of the Faculty REF Review Group). If the staff member is not satisfied with the outcome of this informal discussion, he/she may wish to follow the formal REF appeals process below.
34. A staff member has the right of appeal on the following grounds:
 - I. that they have been subject to discrimination relating to age, disability, maternity or pregnancy, race, sex, sexual orientation, gender reassignment, religion or belief, marriage or civil partnership, part-time and fixed-term employment status;
 - II. that the processes set out in this Code have not been followed, and that failure to follow process has materially prejudiced the staff member's opportunity for inclusion in a UOA;
 - III. that due account has not been taken of circumstances (set out in paragraph 27) which have adversely affected the **volume** of research output.
35. There is no right of appeal against judgements on the **quality** of the individual's research activity.
36. The REF appeals process reflects the HEFCE REF guidance documentation and the consultation carried out with staff and other key stakeholders. The timetable is devised specifically to enable staff, whose appeal is upheld, to be considered for inclusion in the REF 2014. Appeals therefore must be made using the REF Appeals process below, not the University's Grievance Procedure.
37. REF Appeals process:
 - I. The member of staff wishing to formally appeal (on grounds set out in paragraph 34 should write to the Deputy Vice-Chancellor formally stating that he or she wishes to appeal against the decision not to include him or her in the REF

submission, and clearly setting out the grounds for appeal. Formal written appeals **must** be received by the Deputy Vice-Chancellor by the date specified in the timetable at **Appendix H**.

- II. The Deputy Vice-Chancellor⁶ will convene an independent REF Appeals Panel with two other senior University officials and a representative from HR to undertake a review of each case. The University officials will not be members of the REF Steering Group and will not have been involved at UOA or Faculty level in the decision not to include the individual in the submission.
- III. The Deputy Vice-Chancellor (or nominated deputy) will seek written comments on the appeal from the Chair of the Circumstances Board and/ or from the Chair of the REF Steering Group as appropriate.
- IV. The REF Appeals Panel will meet with the member of staff normally within 21 days of the the final date for appeals to be received in writing by the Deputy Vice-Chancellor. The member of staff may, if he or she wishes, be accompanied by a Trade Union Representative or a workplace colleague at the appeal hearing.
- V. The REF Appeals Panel will confirm the outcome of the hearing to the individual, to the Chair of the Circumstances Board and/ or to the Chair of REF Steering Group as appropriate, normally within 10 days of the appeal hearing. The decision is final and there is no further right of appeal.

I Communication and publication

38. All eligible staff and staff with REF responsibilities will be emailed a copy of the Code. The Code will be published on our external website and internally on StaffSpace, the REF specific and the Equality intranet pages. Details of how all staff (including those absent from the University) will be made aware of the Code and of the decision making process relating to the selection of staff are included in **Appendix B** on the preparation of the REF submission.

K. Joint Submissions

39. Kingston University intends to make a joint submission with St. George's, University of London. The University has liaised with St George's in preparing its Code of Practice and the two institutions will exchange their Codes.

J. Approval of the Code

40. This Code has been approved by the University's Senior Management Team

L. Equality Impact Assessment

41. Undertaking an equality impact assessment is in line with our Single Equality Scheme and a requirement of the funding bodies. The equality impact assessment is a process involving the development of, and consultation on, the Code as well as data analysis at each stage to make certain that steps can be taken in time to ensure inclusivity in the

⁶ In the absence of the Deputy Vice-Chancellor, a nominated deputy will be appointed, who has not previously been involved in the decision to exclude the individual from the submission.

selection of staff who are considered for submission to the REF 2014. Kingston University's equality impact assessment to date is included in Appendix I.

42. There will also be a post REF 2014 report on equality issues arising from the REF process to improve the inclusivity of Kingston's research environment and will include:
- (i) Evaluation of training
 - (ii) Evaluation of disclosure rates
 - (iii) Evaluation of the equality issues arising from the REF Appeals panel

M. Further information

43. Further information on this Code may be obtained from Professor Penny Sparke, Chair of the REF Steering Group; Nona McDuff, Head of Equality; or Betty Warnock, Director of Research Support Office.

July 2012

Amended July 2013 (see paragraph 26 and Appendix J)

APPENDIX A
Summary of equality legislation

The Equality Act 2010 harmonised and consolidated previous anti-discrimination legislation. The Act covers the protected characteristics of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, sexual orientation.

<p>Age</p>	<p>All employees within the higher education sector are protected from unlawful age discrimination in employment under the Equality Act 2010 and the Employment Equality (Age) Regulations (Northern Ireland) 2006. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group. (These provisions in the Equality Act 2010 are partially in force, but should be fully in place by April 2012.)</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>HEIs should also note that given developments in equalities law in the UK and Europe, the default retirement age will be abolished from 1 October 2011 in England, Scotland, Wales and Northern Ireland.</p>
<p>Disability</p>	<p>The Equality Act 2010, the Disability Discrimination Act (1995) (Northern Ireland only) and the Disability Discrimination (Northern Ireland) Order 2006 prevent unlawful discrimination relating to disability. Individuals are also protected if they are perceived to have a disability or if they are associated with a person who is disabled, for example, if they are responsible for caring for a disabled family member.</p> <p>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.</p> <p>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.</p> <p>The definition of disability is different in Northern Ireland in that a list of day-to-day activities is referred to. There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people, not individuals, carry out on a daily or frequent basis.</p> <p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p>

	<ul style="list-style-type: none"> • 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. <p>It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.</p> <p>Equality law requires HEIs to anticipate the needs of disabled people and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a disabled researcher’s impairment has affected the quantity of their research outputs, they may be submitted with a reduced number of outputs (see paragraphs 90-100 and the panel criteria).</p>
Gender reassignment	<p>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect from discrimination trans people who have proposed, started or completed a process to change their sex. 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.</p> <p>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.</p> <p>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.</p> <p>Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care.</p> <p>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 (see paragraphs 90-100, and the panel criteria). Information about the member of staff will be kept confidential as described in paragraph 98.</p>
Marriage and	Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland)

civil partnership	<p>Order 1976 as amended, 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.</p> <p>In relation to the REF HEIs must ensure that their processes for selecting staff do not inadvertently discriminate against staff who are married or in civil partnerships.</p>
Political opinion	<p>The Fair Employment and Treatment (Northern Ireland) Order 1998 protects staff from unlawful discrimination on the grounds of political opinion.</p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their political opinion.</p>
Pregnancy and maternity	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 women are protected from unlawful discrimination related to pregnancy and maternity.</p> <p>Consequently 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, as set out in paragraphs 90-100 and in the panel criteria documents.</p> <p>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.</p> <p>For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.</p>
Race	<p>The Equality Act 2010 and the Race Relations (Northern Ireland) Order 1997 protect HEI staff from unlawful discrimination connected to race. 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.</p> <p>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).</p>
Religion and belief including non-belief	<p>The Equality Act 2010 and the Fair Employment and Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination to do with religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief.</p> <p>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.</p>
Sex (including breastfeeding)	<p>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect HEI staff from unlawful discrimination to do with sex. Employees are also protected because of their perceived sex or because of</p>

<p>and additional paternity and adoption leave)</p>	<p>their association with someone of a particular sex.</p> <p>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, as set out in paragraph 90-100 and the panel criteria documents.</p> <p>From 3 April 2011, partners of new mothers and secondary adopters will be 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.</p> <p>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.</p>
<p>Sexual orientation</p>	<p>The Equality Act 2010 and the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003 protect HEI staff from unlawful discrimination to do with sexual orientation. Individuals are also protected if they are perceived to be or are associated with someone who is of a particular sexual orientation.</p> <p>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.</p>
<p>Welsh Language</p>	<p>The Welsh Language Act 1993 places a duty on public bodies in Wales to treat Welsh and English on an equal basis. This is reinforced by the provisions of the Welsh Language (Wales) Measure 2011.</p> <p>The arrangements for the assessment of outputs in the medium of Welsh by the REF panels are set out in paragraphs 128-130.</p>

APPENDIX B

Preparation of the REF submission, including planned communication activity

Timing	Milestones	Planned activity (including communication)	Purpose	Target audience	Lead
Section A: Preparation of Code of Practice on the selection of staff for submission to the REF					
To July 2012		(See Section A1 below for detailed schedule)	To ensure that the process for preparing the REF submission and selecting staff is transparent & that there is clarity on the roles and responsibilities of individuals and bodies involved at all levels in making decisions	All staff	Chair of REF Steering Group, on behalf of SMT Head of Equality

Section A1: Code of Practice on the selection staff for the REF: Timetable for preparation and planned activity

Timing	Milestones	Planned Activity (including communications)	Purpose	Target Audience	Lead
November 2011	First draft completed by REFSG	Draft included for discussion on agenda of University Research Committee of 23 rd November 2011	To get initial comments to feed into preparation of 2 nd draft	Associate Deans for Research/ University Research Committee members	PVC R&E as Chair of REF Steering Group
January 2012	2 nd draft completed	Report to SMT	To ensure that SMT is briefed on the preparation of the Code and proposed consultation process	SMT	PVC R&E as Chair of REF Steering Group
1/2/12 – 28/2/12	Start of consultation on Draft Code of Practice	<p>Email to Deans/ Associate Deans for Research/ UOA co-ordinators/Heads of School: For discussion at relevant Faculty committees</p> <p>Announcement on Staff Space</p> <p>Open meetings (one on each campus) 20th February: PR-JG2007 1.30 pm to 3 pm KP StaffSpace: 3.30 pm to 5 pm</p> <p>22nd February: KH Room327 Business School, 2 to 3.30 pm RV Room 18, 4 to 5.30 pm</p> <p>23rd February: HSCS 9.30 to 11 am Venue TBC</p> <p>21 February : Meeting with Union reps</p>	To provide background on the Code of Practice; the timetable and process being followed in the preparation of the Code of Practice; and to request comments on and input to the draft	Faculty management/ Heads of School/ Faculty Research Committee/ UOA co-ordinators/ academic staff/ Unions	PVC R&E as Chair of REF Steering Group; Head of Equality

Section A1: Code of Practice on the selection staff for the REF: Timetable for preparation and planned activity

		Email notice board set up for staff to submit comments on draft code: REF@kingston.ac.uk			
By 28/2/12	End of Consultation on Draft Code of Practice	Announcement on StaffSpace that consultation has closed and that outcomes will be reported by the end of March	To ensure staff who provide feedback after this date know their views will not be taken into account.		
By 31/3/12	Summary of feedback from consultation	Announcement on StaffSpace and information posted on REF webpage, including a statement on next steps	To inform staff of key issues raised	All	Research Support Office and Equality Unit
By mid-May 2012	EIA: first analysis completed of quantitative data following mock exercise and qualitative consultation responses	Discussion by REF Steering Group of EIA and recommendations from the Head of Equality	To assess whether any changes are required to the Code of Practice	REFSG	Equality Unit
By 30/6/12	Final draft completed in the light of consultation responses and data analysis	Revised Code to SMT	To secure final approval of the Code	SMT	PVC R&E as Chair of REF Steering Group
April to end of June 2012	Equality training undertaken	Training sessions with UOAs; Training session at Research Away Day 18 th June	To ensure that everyone involved in the selection of staff receives REF-specific equality training	UOA co-ordinators; Heads of School; Deans; Associate Deans for Research; REF Steering Group	Head of Equality; REF Steering Group

Section A1: Code of Practice on the selection staff for the REF: Timetable for preparation and planned activity

By 31 July 2012	Submission of Code to HEFCE	Final Code of Practice placed on Staff Space with announcement; email to Faculty management; UOA co-ordinators	To inform staff of the process to be followed in the preparation of the university's REF submission and the selection of staff	All staff	PVC R&E as Chair of REF Steering Group Director RSO
Either: By 31 October 2012	Approval of Code by HEFCE	Final Code of Practice and EIA placed on University's external website. Email to all staff with a copy of the Code	To ensure that all staff are aware of the existence of the Code and of the process being followed by the University in selecting staff for submission to the REF	All staff	PVC R&E as Chair of REF Steering Group Director RSO
Or: By 9 November 2012	Submission of revised Code to HEFCE (if revisions required)				

Timing	Milestones	Planned activity (including communication)	Purpose	Target audience	Lead
Section B: Decision making process on UOAs and staff to be submitted (See also B1 below for consideration of clearly defined and complex circumstances)					
October 2011 to April 2012		First mock REF exercise undertaken (<i>paras 17-20 of the Code of Practice</i>)	To assess the quality of research (outputs; impact; environment) in order to identify UOAs which have the potential to achieve the university's strategic objectives for the REF	Faculty management; all academic staff	REF Steering Group
31 st January 2012	Final panel criteria published with details of clearly defined and complex circumstances	Draft Code of Practice revised in readiness for consultation	To ensure that the Code of Practice adheres to Guidance provided by HEFCE	Faculty management; all academic staff	REF Steering Group
April to end of June 2012	Equality training undertaken	Training sessions with UOAs; Training session at Research Away Day 18 th June	To ensure that everyone involved in the selection of staff receives REF-specific equality training	UOA co-ordinators; Heads of School; Deans; Associate Deans for Research; REF Steering Group;	Head of Equality; REF Steering Group
May/June 2012	End of mock REF	i) SMT makes initial decisions on UOAs to go forward to the next stage of REF preparations, based on the outcome of the mock REF exercise (<i>paras 21 and 22 of Code</i>) SMT decisions communicated by email to Deans/Associate Deans for Research for dissemination	To ensure that SMT's strategic objectives for the REF can be met	Heads of School; UOA co-ordinators; relevant Faculty groups (FMG; FRCs)	SMT

Timing	Milestones	Planned activity (including communication)	Purpose	Target audience	Lead
June 2012		All academic staff to be informed of outcome of mock REF and SMT's initial decisions on UOAs to go forward to the next stage of development for the REF	To provide transparency and clarity	All academic staff	Associate Deans for Research or equivalent) Note: Heads of School to be responsible for conveying decisions to academic staff who are absent from the University
From July 2012 to 28 th June 2013	Staff disclosure form is available on the Equality REF web page for clearly defined and complex circumstances	Consideration of clearly defined and complex circumstances (<i>para 27 of Code</i>) See B1 below for detailed schedule	To identify Early Career Researchers and academic staff whose circumstances make them eligible for submission with a reduced volume of outputs	All academics	Head of Equality
October 2012 to May 2013		2 nd phase of REF preparation to be undertaken	To identify staff whose research contributes to achieving the University's strategic objectives for inclusion in the UOAs approved by SMT		
By 28 th June 2013		SMT makes decisions on staff to be submitted (subject to appeals process) and final decisions on UOAs	To ensure that the University's strategic objectives for the REF can be met	Faculty management; all academic staff	SMT

Timing	Milestones	Planned activity (including communication)	Purpose	Target audience	Lead
By 12 July 2013		Letters issued to every academic staff member informing them of the decision re their inclusion in the REF submission	To provide individual feedback to staff on the reason for the decision and information on the appeals process, where relevant	All staff	Chair of the REF Steering Group
12 July to 28 October 2013	28 October 2013: Completion of appeals process	Appeals process to be undertaken <i>(see paras 31 to 37 of Code and Appendix H)</i> Letter to appellant from Deputy VC informing of outcome of appeal	To provide individuals with the opportunity to appeal against non-inclusion, on the grounds set out in para 34 of the Code of Practice	All academic staff	Deputy Vice Chancellor
29 November 2013	Deadline for REF submission				

Timing	Milestones	Planned activity (including communication)	Purpose	Target audience	Lead
<i>B1: Consideration of clearly defined and complex circumstances</i>					
July 2012	Staff disclosure form is available on the Equality REF web page for clearly defined and complex circumstances	Announcement on StaffSpace inviting all academic staff to complete in confidence a disclosure template held on the Equality Unit's website.	To provide academic staff with the opportunity to disclose circumstances which have adversely affected their ability to produce 4 research outputs during the assessment period (From 1 January 2008)	All academic staff	Head of Equality
15 October 2012	First cut off date for submission of disclosure forms	Individual circumstances disclosure form is removed from the Equality REF page and no further forms will be accepted for this stage.			Head of Equality
24 th October 2012	First meeting of the Circumstances Board	Meeting of Circumstances Board to consider clearly defined and complex circumstances, following the guidance from HEFCE	To assess before the 2 nd stage of REF preparation the eligibility of staff to be returned with fewer than 4 outputs and the number of outputs to be remitted		Circumstances Board
1 November 2012		Confidential letter with the Board's decision to be sent to the staff member from the Chair. The REF Steering Group and Dean of Faculty to be advised of the decision (the circumstances disclosed to remain confidential to the Circumstances Board)			

November to December 2012	21 st December 2012 (Completion of first appeals process)	First appeals process undertaken (para 31-37 of the Code)	To allow individuals to appeal against the decisions of the Circumstances Board on the grounds set out in para 34 of the Code.	Academic staff applying for a reduction in the volume of outputs	Deputy Vice Chancellor
February 2013	Staff disclosure form is available for the second time on the Equality REF web page for clearly defined and complex circumstances	Announcement on StaffSpace inviting all academic staff to complete in confidence a disclosure template available on the Equality Unit's website.		All academic staff	Head of Equality Circumstances Board
1 June 2013	Second cut-off date for submission of disclosure forms	Individual circumstances disclosure form is removed from the Equality REF page and no further forms will be accepted.			
12 June 2013		Meeting of Circumstances Board to consider clearly defined and complex circumstances, following the guidance from HEFCE	To assess, before final decisions are made on staff to be submitted, eligibility to be returned with fewer than 4 outputs and the number of outputs to be remitted		Circumstances Board
19 June 2013		Confidential letter with the Board's decision to be sent to the staff member from the Chair. The REF Steering Group and Dean of Faculty to be advised of the decision (the circumstances disclosed to remain confidential to the Circumstances Board)	To inform them of the number of outputs required by the individual for submission		

<p>12 July to to 28 October 2013</p>	<p>29 October 2013: Completion of appeals process</p>	<p>2nd appeals process to be undertaken (see <i>paras 31 to 37 of Code and Appendix H</i>)</p> <p>Letter to appellant from Deputy Vice Chancellor informing the outcome of appeal</p>	<p>To provide individuals with the opportunity to appeal against non-inclusion, on the grounds set out in para 34 of the Code of Practice</p>	<p>Academic staff</p>	<p>Deputy Vice Chancellor</p>
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Timing	Milestones	Planned activity (including communication)	Purpose	Target audience	Lead
C: Communication of information relating to the REF preparations					
Ongoing		REF Steering Group meetings Agendas and papers recorded on Committee pages of StaffSpace	To provide transparency in the preparations for the REF	All staff	Director Research Support Office
Ongoing		(i) Updates, including information from HEFCE, to be posted on internal REF page on Staff Space; and in Insight (ii) General email address set up for comments on Code of Practice and general queries: REF@kingston.ac.uk	To keep the academic community informed of REF developments, internal and national	All staff	Research Support Office

APPENDIX C

REF Steering Group: Membership and Terms of Reference

Membership

Penny Sparke (Chair) - Pro Vice Chancellor Research & Enterprise
Julius Weinberg, Vice Chancellor (ex officio)
Martin McQuillan (a Dean)
Edith Sim (a Dean)
Simon Morgan Wortham (Chair of the Impact Task Group)
Fiona Ross (link with SGUL, as Dean of the joint Faculty of HSCS)
Charles Rice (senior researcher)
Yannis Georgellis (senior researcher)

Betty Warnock (Clerk)
Kim Forbes REF Co-ordinator (Minuting Secretary)

Terms of reference

The role of the REF Steering Group is to lead the preparation of the University's submission to the REF in accordance with the guidelines produced by HEFCE and the University's strategic objectives for the REF.

The Steering Group will advise SMT on Units of Assessment (UOAs) to be entered and staff to be submitted in order to achieve the target outcome set.

The Steering Group will be responsible for reaching an informed judgement on the quality of outputs, and on the impact and environment elements of each potential UOA submission in order to make recommendations to SMT. To this end, the Steering Group will:

1. Conduct a full mock REF exercise in 2011/12, with a second stage of revisions in 2012/13, drawing on the expert independent assessment of external assessors.
2. Approve for each UOA two external assessors nominated by UOA co-ordinators and Faculties and be responsible for their formal appointment, ensuring that they have the expertise and relevant experience to provide the advice necessary to inform the Steering Group's recommendations on the UOAs to be submitted to the REF.
3. Make initial recommendations to SMT on the UOAs to be entered to REF2014, based on the outcome of the mock exercise in 2011/12 .
4. Make final recommendations to SMT on UOAs and staff to be submitted to the REF in order for decisions to be made by 28 June 2013.

5. Set terms of reference for Faculty REF Review Groups to oversee the preparation of UOA submissions and ensure there is consistency in their operation through the receipt of regular progress reports on their activity.
6. Develop and implement an approved Code of Practice on the fair and transparent selection of staff for inclusion in the University's REF submission. This will involve:
 - a) Setting up processes to ensure that Faculties and Units of Assessment implement the Code consistently across the University;
 - b) Undertaking a programme of communication activity to disseminate the Code and to explain the processes related to the selection of staff for submission;
 - c) Ensuring that all individuals and groups involved in making decisions on staff selection receive relevant training on equality and diversity tailored to the requirements of the REF;
 - d) Monitoring the implementation of the Code through Equality Impact Assessments, making revisions to the Code as appropriate;
 - e) Establishing a Circumstances Board to consider and assess requests for a reduction in the number of outputs submitted from individuals in accordance in the guidance set out in the panel criteria on individual staff circumstances;
7. To oversee the work of the Impact Task Group on the development of the impact element of the submission.
8. Advise the SMT of any emerging implications of REF proposals, criteria and submission guidelines

Working methods

The Steering Group will report to SMT which will take the final decisions on the Code of Practice, UOAs to be submitted to the REF and on staff in each submission.

The Steering Group will make regular reports to the University Research Committee for information; it will however be the primary body to steer the REF process, on behalf of the University's Senior Management.

Frequency of meetings

Monthly meetings.

APPENDIX D FACULTY REF REVIEW GROUPS

MEMBERSHIP AND TERMS OF REFERENCE

Membership

Associate Dean for Research/ Faculty Research Director – Chair
Dean (ex officio)

UOA co-ordinators

Heads of School (ex officio)

Representative of the University's REF Steering Group

The Review Groups should also co-opt members, as appropriate e.g. where UOA submissions are cross-Faculty, the membership should include representation from the relevant Faculty/Faculties.

The role of the Review Group is to support the REF Steering Group in achieving the target outcome agreed by the Senior Management Team and in ensuring that all eligible staff who contribute to that outcome are submitted to the REF.

Faculty REF Review Groups will:

1. Oversee the work of the UOA co-ordinators and the preparation of the UOA submissions.
2. Set up processes at Faculty level to ensure that submissions are prepared in accordance with the University's code of practice on the fair and transparent selection of staff for inclusion in the REF and submit these for approval by the REF Steering Group.
3. Review external assessor reports on the relevant Units of Assessment and report to the REF Steering Group on areas of concern to the Faculty.
4. Ensure that all relevant groups and individuals are briefed on an ongoing basis on university-level developments relating to the preparation of the REF submission.
5. Ensure that decisions of the Senior Management Team are communicated to all relevant groups and individuals after the first mock exercise and at each subsequent stage of the preparations.

Working methods

The Faculty REF Review Group will report via its Chair to the REF Steering Group; a summary report from the Chair should be made to each meeting of REFSG as appropriate.

The Groups should record decisions and action points.

Frequency of meetings

Meetings should be arranged to fit in with the Steering Group's schedule of meetings.

APPENDIX E

Circumstances Board: Terms of reference and membership

The Board is a centrally constituted group, set up by the REF Steering Group to oversee the process of consideration of individual staff circumstances

Terms of reference:

- To invite requests from all academic staff for a reduction in the number of outputs for the REF, in accordance with the circumstances set out in the panel criteria and Guidance on Submissions;
- To assess the eligibility of staff to be considered for submission with fewer than 4 outputs;
- To decide, in the light of the circumstances, the number of outputs required by the individual, following the guidance provided in the panel criteria;
- To ensure that the outputs of all such individuals are assessed for the Units of Assessment to which the University is considering making a submission and that these staff members are included in the submission where they contribute to achieving the target outcome agreed by the Senior Management Team;
- In the case of individuals claiming Early Career Researcher status, to assess their eligibility to be returned as such, whether or not a request is made for a reduction in the number of outputs.
- To prepare the required information for submission in REF1b

Membership

University Secretary and Pro Vice Chancellor of Corporate Affairs (Chair of the Circumstances Board)⁷
Chair of the REF Steering Group
Head of Equality
Director Research Support Office,

with the REF Co-ordinator, as Clerk.

Process for consideration of individual staff circumstances

Timing: From June 2012

The information on clearly defined and complex circumstances set out in the panel criteria and Guidance on Submissions will be posted on the Equality Unit's intranet pages. Staff will be invited to declare where any of these circumstances apply to

⁷ Who may be deputised by a member of the University's Senior Management Team who is not a member of the REF Steering Group

them and to submit requests for a reduction in the number of outputs, with a description of the circumstances.

Timeframe for making requests:

First cut off date: 15th October 2012

To allow staff to submit requests in time for decisions to be conveyed to the individual, to UOA co-ordinators and Faculties by the time work begins on the next stage of development of the submissions.

Final cut off date: 1st June 2013

Thereafter, staff will be able to update their record as appropriate, up until 1st June 2013 to allow provisional final decisions to be taken by 28th June 2013, as published in the Code of Practice on the Selection of Staff.

The appeals process is set out in the Code of Practice.

**Individual Staff Circumstances
Covering note and staff disclosure form**

REF2014

To: All members of staff eligible for return in Research Excellence Framework 2014 (REF)

From: Chair of the REF Circumstances Board

Subject: REF 2014, consideration of individual staff circumstances

Kingston University 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 staff⁸ will be selected for submission to the REF can be found in Kingston University's Code of Practice which can be found at the [Equality, Diversity and Inclusion Unit Website - REF page](#).

To ensure that REF processes are fair, Kingston University is collecting data on individual circumstances from all staff eligible for submission to the REF. 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 Kingston's monitoring of staff selection procedures at the institutional level.

A REF Circumstances Board⁹ has been set up to determine whether eligible staff may be submitted to the REF with fewer than four research outputs. In doing so, the Board will take the following circumstances into consideration:

Clearly defined circumstances

- = Early career researcher (started career as an independent researcher on or after 1 August 2009)
- = **UOAs 1-6 only:** Junior clinical academic staff who have not gained a Certificate of Completion of Training by 31 October 2013
- = Part time employment
- = Career break or secondment outside of the higher education sector in which the individual did not undertake academic research
- = Maternity leave, statutory adoption leave, and additional paternity leave (taken by partners of new mothers or co-adopters)

Complex circumstances

- = Disability (including conditions such as cancer and chronic fatigue)
- = Ill health or injury
- = Mental health conditions

⁸ Eligible staff are academic staff with a contract of employment of 0.2FTE or greater and on the payroll of Kingston University on the census date (31 October 2013), and whose primary employment function is to undertake either "research only" or "teaching and research" (see paragraphs 78 to 81 of the Guidance on Submissions at www.ref.ac.uk under Publications)

⁹ The terms of reference and the membership of the REF Circumstances Board can be found in the Code of Practice at paragraph and Appendix E. ([Equality, Diversity and Inclusion Unit Web Page](#))

- = 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 the volume of your research output has been affected by other circumstances, **not including teaching and administration**, which 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 University will observe the guidance on individual staff circumstances provided at paragraphs 63 to 91 of 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 submission to the REF you are strongly advised to complete the attached form. We wish to take a proactive approach to encourage staff to disclose their circumstances and the most effective way of doing that is to ensure all staff are given the opportunity to complete a form about their individual circumstances. If further information is required about any circumstances disclosed, you will be contacted by the Head of Equality in the case of complex circumstances, or, in the case of clearly defined circumstances, by the REF co-ordinator in the Research Support Office.

Who will see the information that I provide?

The REF Assessment Framework and Guidance on Submissions <http://www.ref.ac.uk/pubs/2011-02/> requires all higher education institutions participating in the REF to ensure appropriate confidentiality in handling individual staff circumstances.

The Data Protection Act 1998 categorises some of the data that Kingston needs to collect for REF purposes on individual staff circumstances, as sensitive personal data. This applies to complex circumstances listed above. Sensitive personal data are subject to stricter forms of processing and we have taken steps to ensure our process for handling and storing data are compliant.

Internally, and in order to mirror the process being followed by the UK funding bodies' REF team and Panels and the REF Equality and Diversity Advisory Panel (EDAP) the information that you provide will be seen:

- a) by the Head of Equality and the Equality Co-ordinator. They will receive your form either by email or (if you wish to ensure confidentiality) by post and allocate you a unique REF staff ID so that your form is anonymised before it is received by the REF Circumstances Board. The REF Circumstances Board therefore makes decisions based upon anonymised forms.
- b) by the Director of the Research Support office and the REF co-ordinator who are responsible for preparing the University's REF submission to HEFCE after the decision about whether you will be included in the submission is made.

The Head of Equality, Equality Coordinator, Director of the Research Support office and the REF co-ordinator handling individual staff circumstances will observe confidentiality and information will be stored securely. All material will be destroyed by January 2015, on completion of the full REF exercise.

As the University expects to make a joint submission with SGUL, it may be necessary to share the information provided with that institution¹⁰.

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 be information about early career researcher status, part-time working, career breaks or secondments, and periods of maternity, additional paternity or adoption leave taken
- = For **more complex circumstances**, information will be seen only by the REF Equality and Diversity Advisory Panel (EDAP), the REF Main Panel Chairs and the UK funding bodies' REF team. This will be information to explain the impact on your research of circumstances such as disability, ill health, injury, mental health conditions, gender reassignment, caring responsibilities or constraints relating to pregnancy, maternity, breastfeeding, adoption and paternity (in addition to the period of leave taken)

This information will **not** be seen by the REF sub-panel. EDAP will decide whether the case made by Kingston University for the requested reduction in the number of outputs is acceptable. It is important that you provide sufficient information to make the case as the University will have no right of appeal against the decision. If EDAP does not accept the case for a reduction, any missing outputs will be graded as "unclassified"

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.

What if my circumstances change?

Kingston University recognises that staff circumstances may change between completion of this form and 31 October 2013. If your circumstances change you can download and resubmit a copy of the attached form at [Equality, Diversity and Inclusion Unit Website - REF page](#).

¹⁰ The Equality and Diversity Manager at St. George's University London.

Timetable for consideration of individual staff circumstances

Mid-June 2012	Invitations to submit individual staff circumstances disclosure form which is available on the Equality, Diversity and Inclusion Unit's website – REF page .
June - October 2012	Staff submit completed disclosure forms to the Equality Unit either by email to refequality@kingston.ac.uk or by mail to Nona McDuff, Head of Equality, 53 Portland Road, Kingston, KT1 2SH. Envelopes should be marked <i>Private and Confidential</i>
15 th October 2012	First deadline for the submission of disclosure forms
24 th October 2012	REF Circumstances Board meets to consider disclosure forms
By 1 st November 2012	Decisions conveyed to staff (<i>appeals process is as set out in the Code of Practice</i>)
February 2013	Invitations to submit individual staff circumstances disclosure form which is available on the Equality, Diversity and Inclusion Unit's website – REF page
Feb 2013 – June 2013	Staff submit completed disclosure forms to the Equality Unit either by email to refequality@kingston.ac.uk or by mail to Nona McDuff, Head of Equality, 53 Portland Road, Kingston, KT1 2SH. Envelopes should be marked <i>Private and Confidential</i>
1 st June 2013	Final deadline for the submission of disclosure forms
12 th June 2013	REF Circumstances Board meets to consider disclosure forms
By 19 th June 2013	Decisions conveyed to staff (<i>appeals process is as set out in the Code of Practice</i>)

Individual staff circumstances disclosure form for the REF

To be submitted by 15th October 2012

Due to amendments to the Guidance on Submissions, published by HEFCE, this form replaces any prior form that was used in the Mock REF for the collection of individual staff circumstances.

Name	
KU Number	
School and Faculty	
Unit of Assessment	

Section one: Request for consideration of individual circumstances

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). **(Please email form to equality@kingston.ac.uk)**
- I have individual circumstances that I wish to make known but I am not seeking a reduction in outputs. **(Please complete sections two, three and/or four)**
- I have individual circumstances that I wish to make known and I am seeking a reduction in research outputs. **(Please complete sections two, three and/or four)**

Section two: Request to be contacted by Human Resources

Please select **one** of the following appropriate:

- I would like to be contacted by a member of Human Resources Department to discuss my circumstances and requirements and/or the support provided by Kingston 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

Institution: _____	
Date from: _____ Date to: _____ FTE: _____	
Institution: _____	
3. Career break or secondment outside of the higher education sector	Dates, location and duration in months
Information Brief details of where the career break or secondment was held, your position there and the dates you held that position:	
4. Maternity leave, statutory adoption leave, or additional paternity or adoption 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 <input type="checkbox"/> maternity leave: Date from: _____ Date to: _____ <i>(copy and repeat for multiple periods of leave)</i> <input type="checkbox"/> statutory adoption leave: Date from: _____ Date to: _____ <i>(copy and repeat for multiple periods of leave)</i> <input type="checkbox"/> additional paternity or adoption leave (taken by partners of new mothers or co-adopters) ¹¹ : Date from: _____ Date to: _____ <i>(copy and repeat for multiple periods of leave)</i>	

¹¹ 'Additional paternity or adoption leave' refers to leave of up to 26 weeks which is taken to care for a child where the person's spouse, partner or civil partner was entitled to statutory maternity leave or statutory adoption leave, and has since returned to work. The term 'additional paternity leave' is often used to describe this type of leave although it may be taken by parents of either gender. For the purposes of the REF we refer to this leave as 'additional paternity or adoption leave'.

Section four: Complex circumstances

REF ID Number: (Allocated by Equality Unit)	
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I wish to make the University aware of the following circumstances which have had an impact on my ability to produce four outputs or work productively between 1 January 2008 and 31 October 2013:

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

Complex Circumstances

The REF Equality and Diversity Advisory Panel requires us to submit verifiable evidence with your case. Please attach appropriate documentation e.g. medical evidence from a clinical practitioner, receipt of disability or care related payments, death certificate of a spouse or dependant.

Circumstance	Information required
1. Disability (including conditions such as cancer and chronic fatigue)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research.
<p>Information Estimated duration in months: Description of nature, timing and impact of circumstances:</p> <p>Evidence submitted:</p>	
2. Mental health condition	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research.
<p>Information Estimated duration in months: Description of nature, timing and impact of circumstances:</p> <p>Evidence submitted:</p>	
3. Ill health or injury	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research.
<p>Information Estimated duration in months: Description of nature, timing and impact of circumstances:</p> <p>Evidence submitted:</p>	
4. Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare in addition to	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research.

the period of maternity, adoption or additional paternity leave taken.	
<p>Information Estimated duration in months: Description of nature, timing and impact of circumstances:</p> <p>Evidence submitted:</p>	
5. 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.
<p>Information Estimated duration in months: Description of nature, timing and impact of circumstances:</p> <p>Evidence submitted:</p>	
6. Gender reassignment	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research.
<p>Information Estimated duration in months: Description of nature, timing and impact of circumstances:</p> <p>Evidence submitted:</p>	
7. 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.
<p>Information Estimated duration in months: Description of nature, timing and impact of circumstances:</p> <p>Evidence submitted:</p>	

Declaration

- I confirm that the information provided is a true and accurate description of my circumstances
- I have provided sufficient evidence to support this
- I recognise that the information provided will be used for REF purposes and will be seen by the Head of Equality, the Equality Coordinator, the Director of the Research Support Office and the REF Coordinator
- I realise that it may be necessary to share information with the UK funding bodies' REF team, who may make the information available to REF panel chairs, members and secretaries and/or the Equality and Diversity Advisory Panel. I recognise that if a joint submission is made, information may be shared with another institution. Where permission is not provided Kingston University will be limited in the action it can take

Signature: Date:
(Staff member)

Please email this form to refequality@kingston.ac.uk or post this form to Nona McDuff, Head of Equality, 53 Portland Road, Kingston KT1 1SH. Envelopes should be marked *Private and Confidential*.

For official use only

REF ID Number: (Allocated by Equality Unit)	
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Following consideration of the personal circumstances described above, the REF Circumstances Board:

- Will progress the staff member's inclusion for consideration for REF submission with **[insert number]** of research outputs. 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 reasonable adjustment recommendations from Access to Work
e.g. please provide evidence from your GP or mental health practitioner
e.g. please provide evidence of your receipt of carer's allowance
e.g. please provide evidence of the death certificate of a spouse or dependant
- 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.

Signature: Date:
(Chair of REF Circumstances Board)

Signature: Date:
(Chair of the REF Steering Group)

APPENDIX F

List of Units of Assessment included in the mock REF exercise 2011/12

UOA3: **Allied Health Professions**, Dentistry, Nursing and Pharmacy

UOA3: Allied Health Professions, Dentistry, **Nursing** and Pharmacy

UOA4: Psychology, Psychiatry and Neuroscience

UOA11: Computer Science and Informatics

UOA15: General Engineering

UOA16: Architecture, Built Environment, Planning

UOA17: Geography, Environmental Studies and Archaeology

UOA18: Economics and Econometrics

UOA19: Business & Management Studies

UOA20: Law

UOA21: Politics and International Studies

UOA22: Social Work and Social Policy

UOA29: English Language and Literature

UOA30 History

UOA32: Philosophy

UOA34: Art and Design: History, Practice and Theory

UOA35: Music, Drama, Dance and Performing Arts

Pedagogic research assessed within the discipline

APPENDIX G

Training in the application of the Code of Practice (sessions will be drawn from the following sections as relevant)

Section	Aim and purpose	Materials
1. Introduction	Purpose and outline of session	= Presentation slides
2. Kingston University and the REF	Understanding the Code of Practice and ensuring staff are aware of their role and its relationship to the institution's overall REF work	= Presentation slides
3. Why equality is important in the REF	To introduce staff to equality and diversity as it relates to the REF	= Presentation slides
4. Issues to be aware of since the RAE 2008	<ul style="list-style-type: none"> = To highlight staff responsibilities in light of developments in equalities law. = To highlight the individual staff circumstances considered in the REF 	<ul style="list-style-type: none"> = Presentation slides = Handout: Changing equalities (developments in equalities law since the RAE) available on website = Activity 1: template, cards and answer sheet available on website
5. Identifying clearly defined and complex staff circumstances and using tariffs	<ul style="list-style-type: none"> = To raise awareness of the different types of staff circumstances = To raise awareness of the different process for handling clearly defined and complex staff circumstances = For staff to be able to practice calculating clearly defined staff circumstances 	<ul style="list-style-type: none"> = Presentation slides = Information on how complex and clearly defined staff circumstances are being handled = Activity 2: Scenarios, criteria and answers available on website
6. Implications for staff responsible for selecting staff for submission to the REF	<ul style="list-style-type: none"> = To bring together learning on changes to equalities law and the equality requirements of the REF = For staff to have access so they can apply their learning to a range of scenarios 	<ul style="list-style-type: none"> = Presentation slides = Handout: Changing equalities (developments in equalities law since the RAE) = Activity 3: Scenarios and answer sheet available on website
7. Complex staff circumstances	<ul style="list-style-type: none"> = To develop understanding on how reductions in outputs due to complex circumstances are calculated 	<ul style="list-style-type: none"> = Presentation slides = Panel criteria handout from Activity 2 = Activity 4: Scenarios and answer sheet

APPENDIX H

Timetable for the appeals process

Appeals Phase 1 (against October 2012 decisions of the Circumstances Board)

1 November 2012	Deadline for decisions of Circumstances Board to be conveyed to staff applying for a reduction in the number of outputs
15 November 2012	Deadline for written appeals to the Deputy Vice Chancellor [10 days*]
14 December 2012	Final date for appeals panel to consider appeals [21 days*]
21 December 2012	Deadline for appellants to be notified of outcome of appeal

Appeals Phase 2 (against June 2013 decisions of Circumstances Board and final decision on non-inclusion by SMT)

28 June 2013	Provisional final decisions on staff to be included in submission
12 July 2013	Deadline for staff to be informed of their inclusion/ non- inclusion [10 days*]
13 September 2013	Deadline for written appeals to Deputy Vice Chancellor
14 October 2013	Final date for appeals panel to consider appeals [21 days*]
28 October 2013	Deadline for appellants to be notified of outcome of appeal [10 days*]

APPENDIX I

Equality Impact Assessment Research Excellence Framework 2014 (REF)

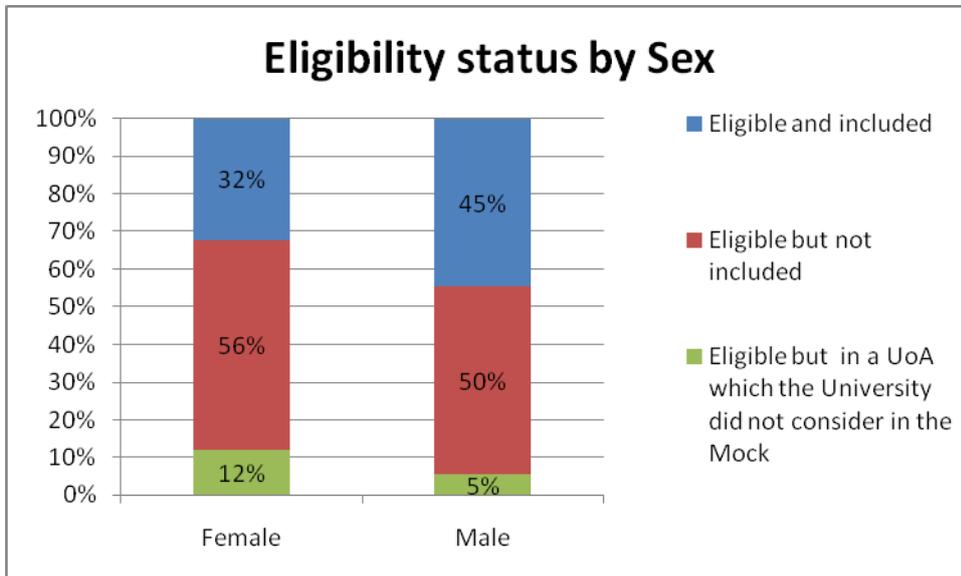
1. Kingston University conducts equality impact assessments (EIA) on large scale institutional processes of which the REF is one.
2. The Higher Education Funding Council for England (HEFCE) has introduced stronger requirements for the University to demonstrate equality and diversity in its REF 2014 submission through the:
 - implementation of a fair and robust code of practice for selecting staff to be submitted in the REF (the Code)
 - equality analysis of outcomes at key decision points: the mock exercise, appeal decisions and final selection for submission to the REF 2014
 - environment template in relation to staffing strategy and development. For the first time the template needs to include details of the measures units of assessment (UOA) have taken to promote equality and diversity and implement the Concordat to Support the Career Development of Researchers
3. Based upon guidance produced by HEFCE and the Equality Challenge Unit, this equality impact assessment has four stages which are to:
 - I. Develop a Code of practice on the selection of staff that is based upon the principles of transparency, consistency, accountability and inclusivity so staff are clear about who makes decisions, when these are made and the steps taken to ensure fairness in the process.
 - II. Analyse the equality data after the Mock exercise to further improve the Code and, if needed, develop and implement an action plan.
 - III. Analyse the outcomes of the appeals decision and final submission to the REF and publish this information externally.
 - IV. Review the REF process and implement recommendations to improve equality, diversity and inclusion for the next submission.
4. Stage I: The Code was developed to reflect the HEFCE and Equality Challenge Unit guidance.
5. Stage II: Analysis of the Mock exercise was based upon data provided by the Research Support Office in conjunction with HR. Staff who did not provide their information for a protected characteristic were excluded from the analysis of that characteristic. The objective of the exercise was to find out whether, being a member of a particular protected characteristic, made someone more or less likely to be in one of the following eligibility status categories:
 - eligible to submit research, but did not submit as they were in a UOA which the University did not consider in the mock
 - eligible, but not included in the submission

- eligible and included in submission
6. Out of all the protected characteristics females and especially BME females, those over 50, part-time staff and disabled staff were less likely¹² to be eligible and included in the Mock submission compared to their counterparts. Female staff and those over 50 were also proportionately more likely to be eligible but in a UoA which the University did not consider in the Mock.
 7. Some UOAs had notable differences in the eligibility status of staff. In some units these occurred for three protected characteristics [see Appendix 1 Table 1].
 8. The key findings from the Mock exercise reflect those in our equality impact assessment (EIA) of the Research Assessment Exercise 2008 and that carried out by HEFCE across the sector (which in itself showed little change since the RAE 2001).
 9. The Code has been enhanced to reflect Kingston's consultation with staff across the University, trade unions and the St Georges University of London's Code to ensure consistency in the joint submission.
 10. A draft action plan (see Appendix 2), which needs to be completed and agreed by the REF Steering Group, includes:
 - Exploring the context of UOAs to understand why there are differences in the eligibility status of several protected characteristics. This will help us to prioritise any steps we need to take to enhance the inclusivity of the research environment.
 - Verifying HR data and completing the data on early career researchers.
 - Improving the dissemination of the Code and a proactive approach to the disclosure of individual circumstances

¹² Over 5% difference with the comparator

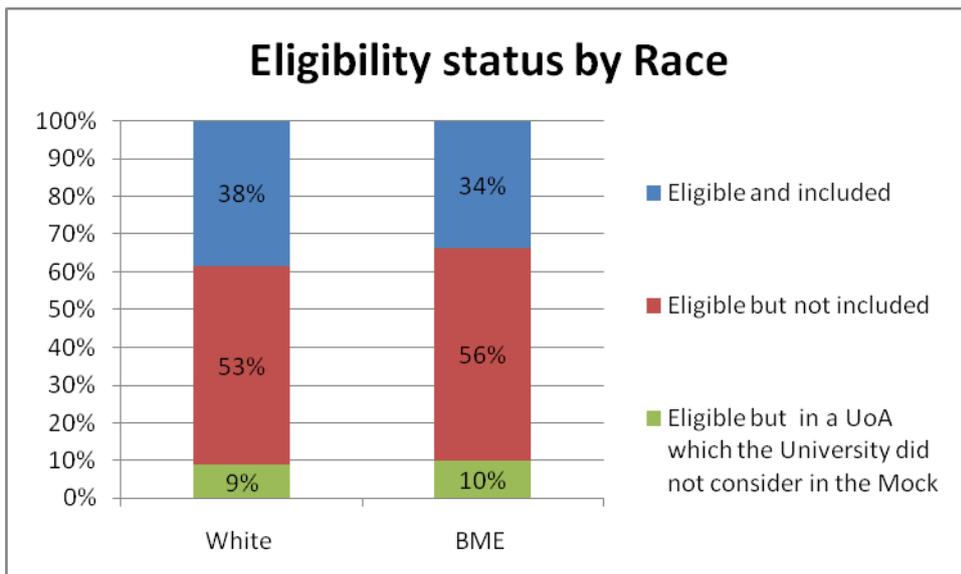
Appendix 1 Summary of key data

Figure 1



- There were 475 eligible females and 515 eligible males.
- A greater proportion of eligible females (12%) than eligible males (5%) did not submit as they were in a UoA which the University did not consider in the Mock.
- A greater proportion of female staff were eligible but not included (56%) compared to males (50%).
- A lower proportion of females were eligible and included (32%) compared to males (45%).

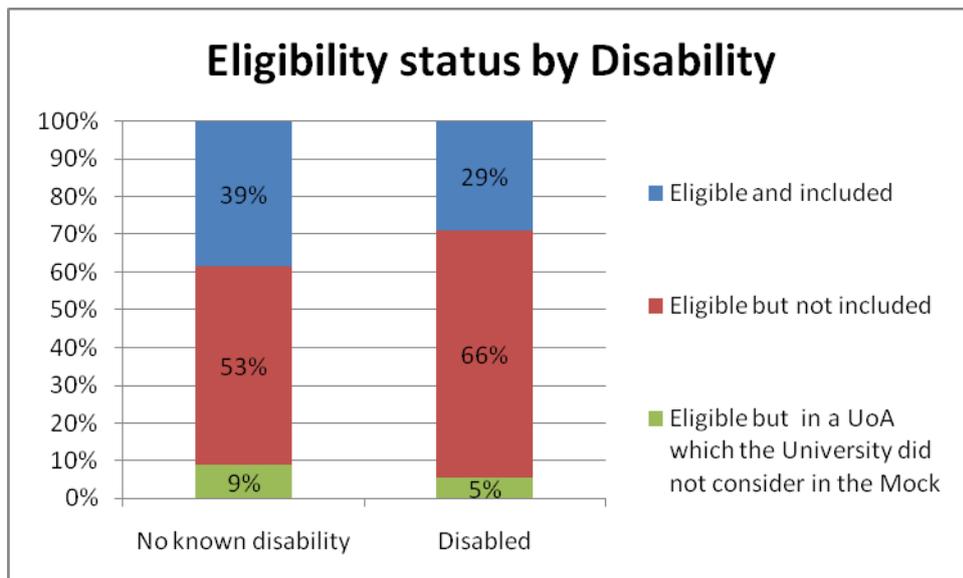
Figure 2



- There were 718 eligible white staff and 130 eligible BME staff.

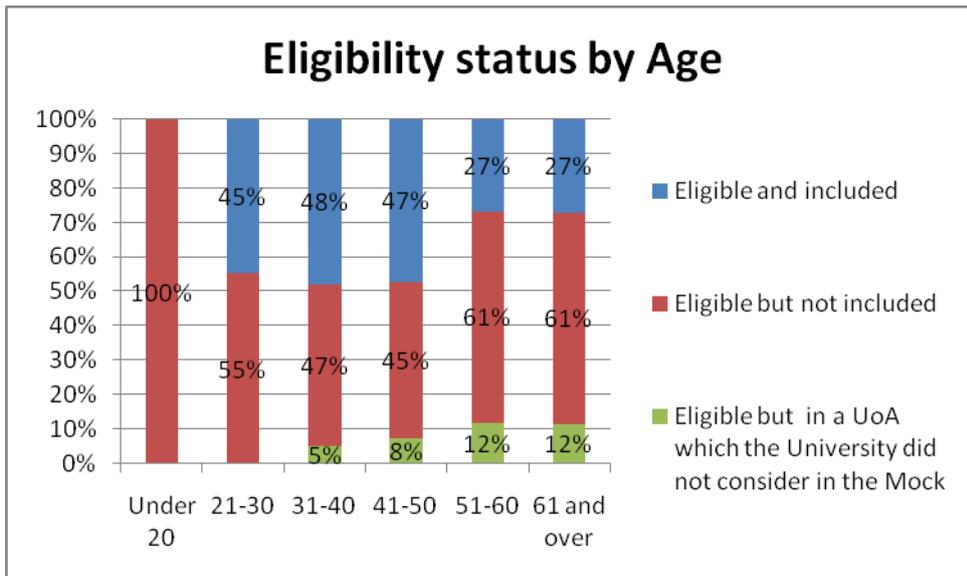
- A similar proportion of BME and white staff that were eligible did not submit as they were in a UoA which the University did not consider in the Mock.
- A greater proportion of BME staff were eligible but not included (56%) compared to white staff (53%).
- A lower proportion of BME staff that were eligible were included (34%), compared to white staff (38%).

Figure 3



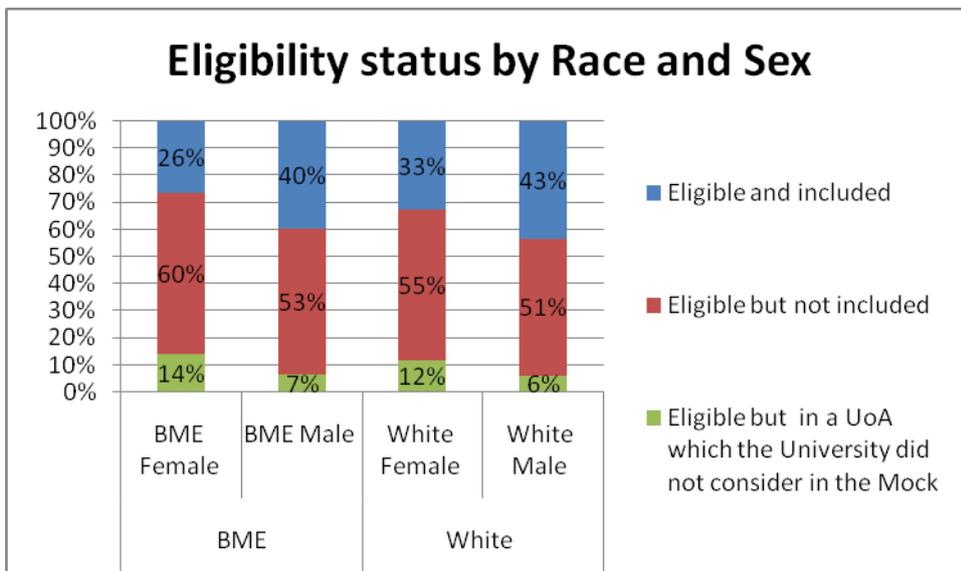
- There were 947 staff with no known disability and 38 disabled staff.
- The proportion of disabled staff that were eligible but did not submit as they were in a UoA which the University did not consider in the Mock (5%) was lower than staff with no known disability (9%).
- There was a greater proportion of disabled eligible staff who were not included (66%) compared to eligible staff with no known disability (53%).
- There was a lower proportion of disabled staff that were eligible and included (29%) compared to staff with no known disability (39%).

Figure 4



- The largest age groups were:
 - 31-40 (209 people and 21% of the total eligible staff)
 - 41-50 (327 people and 33% of the total eligible staff)
 - 51-60 (303 people and 31% of total eligible staff)
 These three groups accounted for 84% of the total number of staff.
- The proportions of those eligible and not submitting as they were in a UoA which the University did not consider in the Mock and eligible and not included increased with age.
- A lower proportion of staff over 50 were eligible and included compared to staff in the age band 21-50.

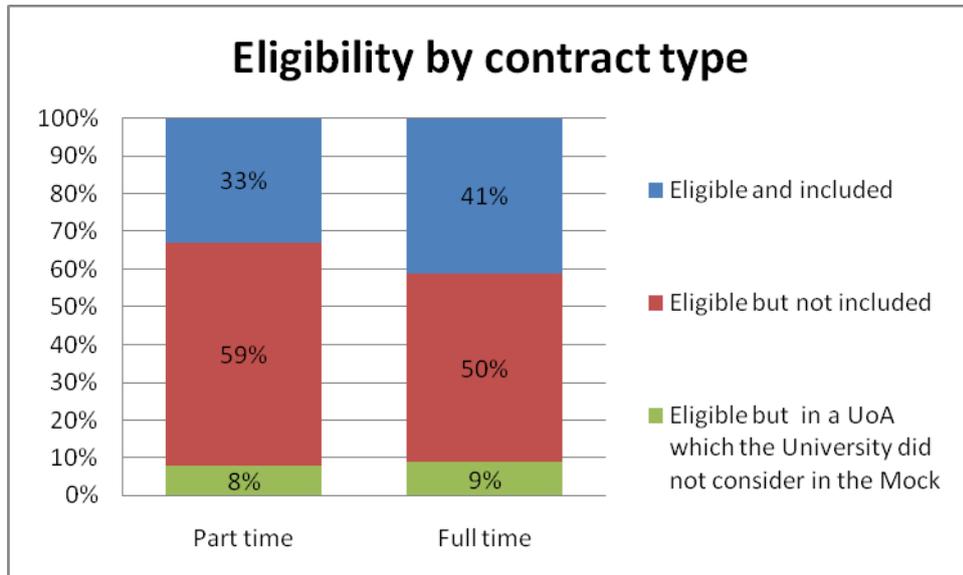
Figure 5



- There were:
 - 57 eligible BME females (7% of total eligible staff) compared to 342 eligible white females (40% of total eligible staff)
 - 73 eligible BME males (9% of total eligible staff) compared to 376 white eligible males (44% of total eligible staff)

- Overall, females were more likely to be eligible but did not submit as they were in a UoA which the University did not consider in the Mock (14%),
- BME females were most likely to be eligible and not included (60%)
- BME females had the lowest likelihood of being eligible and included (26%).

Figure 6



- The number of full-time eligible staff (748) far outweighs the number of eligible part-time staff (252).
- The proportion of eligible staff that did not submit as they were in a UoA which the University did not consider in the Mock was similar for full and part time staff.
- A greater proportion of part-time staff were eligible but not included (59%) compared to full-time staff (50%).
- There was a lower proportion of eligible and included part-time staff (33%) compared to eligible and included full-time staff (41%).

Table 1 Staff who are included in the UoA Mock submission as a proportion of eligible staff for each protected characteristic

Key - N/A there were no staff of this protected characteristic	Sex		Race		Disability		Age				
	Female	Male	BME	White	no known disability	disabled	21-30	31-40	41-50	51-60	61+
Unit of Assessment (UoA)											
A3AH Allied Health	38.3%	50.0%	43.5%	44.3%	43.6%	50.0%	42.9%	48.4%	50.0%	33.3%	50.0%
A3N Nursing	12.2%	4.8%	4.8%	12.0%	11.6%	0.0%	0.0%	8.3%	14.3%	12.2%	5.0%
A4 Psychology	83.3%	77.8%	100.0%	80.0%	85.0%	0.0%	100.0%	100.0%	70.0%	75.0%	N/A
B11 Computer Science	33.3%	43.2%	66.7%	40.5%	40.4%	0.0%	0.0%	60.0%	52.4%	28.6%	14.3%
B15 General Engineering	28.6%	38.5%	43.5%	29.8%	37.7%	0.0%	25.0%	45.5%	44.4%	29.6%	30.0%
C16 Built Environment	35.3%	57.9%	N/A	39.3%	45.5%	50.0%	0.0%	50.0%	66.7%	20.0%	66.7%
C17 Geography	33.3%	58.3%	66.7%	48.0%	51.6%	0.0%	0.0%	60.0%	50.0%	60.0%	0.0%
C18 Economics	83.3%	53.3%	80.0%	50.0%	60.0%	100.0%	100.0%	75.0%	80.0%	0.0%	66.7%
C19 Business	24.4%	38.7%	18.2%	33.8%	33.3%	0.0%	40.0%	44.0%	37.0%	21.2%	30.8%
C20 Law	41.2%	46.2%	33.3%	45.5%	46.4%	0.0%	50.0%	25.0%	71.4%	33.3%	50.0%
C21 Politics	71.4%	75.0%	100.0%	71.4%	77.8%	0.0%	100.0%	87.5%	75.0%	50.0%	33.3%
C22 Social Policy	50.0%	26.7%	40.0%	41.9%	43.9%	0.0%	N/A	75.0%	35.7%	46.2%	14.3%
D29 English	54.3%	60.6%	37.5%	59.6%	58.2%	0.0%	0.0%	55.6%	60.6%	50.0%	75.0%
D30 History	75.0%	85.7%	N/A	88.9%	81.8%	0.0%	N/A	100.0%	50.0%	100.0%	N/A
D32 Philosophy	100.0%	100.0%	N/A	100.0%	100.0%	N/A	N/A	N/A	100.0%	100.0%	N/A
D34 A&D: History, Practice and Theory	33.3%	44.3%	33.3%	39.4%	36.8%	66.7%	0.0%	50.0%	50.0%	18.8%	35.7%
D35 Music and Drama	66.7%	61.1%	0.0%	72.7%	60.7%	100.0%	100.0%	33.3%	90.0%	50.0%	66.7%

Appendix 2 EIA Action Plan

Action Plan

Completed and agreed by REF Steering Group

Issue	Action Recommended	Responsible Dept / Fac	Executive Lead	Target date
DATA				
Early Career Researchers data seems incomplete	HR data team to work with faculties to ensure that Early Career Researchers are correctly identified and the date they started their research career included	HR data team with the support of the Research Support Office	HR Director	January 2013
Staff whose records are held with SGUL do not have equality monitoring information and are therefore not included in the analysis	HR data team to work with SGUL to ensure that the identified staff equality information is included in the next data analysis	HR data team	HR Director	January 2013
Issues and recommendations from the consultations on the Code of Practice				
A few people who took part in the consultation process thought that communication at a local level needed to be improved as staff were	Code of practice to be emailed to all staff with a covering letter from Penny Sparke	Betty Warnock	Penny Sparke	After acceptance from HEFCE

Action Plan

Completed and agreed by REF Steering Group

Issue	Action Recommended	Responsible Dept / Fac	Executive Lead	Target date
unaware of the Code or the open meetings. They also considered that the purpose and content of the Code are not clearly understood by staff.	Equality Unit web page to include a summary of the difference in the REF Code compared to the previous process (RAE).	Nona McDuff	Dean Morley	June 2012 completed
Eligibility criteria were not clearly understood by all staff	Code to include HEFCE's eligibility criteria for Early Career Researchers	Betty Warnock/Nona McDuff	Penny Sparke	June 2012 completed
	Code to include brief explanation about eligibility and a list of the Units of Assessment that are being considered for submission at this stage.	Betty Warnock/Nona McDuff	Penny Sparke	June 2012 completed
It was not clear to some staff that self-assessment was acceptable at the first mock stage. This lack of clarity may have prevented people from submitting.	Covering letter to highlight that every academic will have the opportunity from June 2012 to disclose any circumstances which fall within the REF guidance.	Chair of Circumstances Board	Neil Latham	June 2012 completed
There were questions about the approach to assessing research include practice-based research (e.g. peer review, impact factors and citations)	Include information in the Code which explains the use of journal impact factors and the role of citations	Betty Warnock	Penny Sparke	June 2012 completed

Action Plan**Completed and agreed by REF Steering Group**

Issue	Action Recommended	Responsible Dept / Fac	Executive Lead	Target date
Issues and recommendations from the data analysis of the mock REF exercise				
There are UOAs where there is negative impact on a protected characteristic.	Explore the context of UoAs to understand why there are differences in the eligibility status. This will help us to prioritise the steps we need to take to enhance the inclusivity of the research environment	UoA Coordinators	Deans of Faculty	Sep 2012 to Dec 2012
The research environment In developing their criteria, REF panels are invited to describe what forms of evidence institutions should submit within the environment template. One of the sections of the environment template relates specifically to people, and the guidance on submissions states that within this section, Kingston needs to submit evidence of how the UOA has promoted equality and diversity among its staff.	Guidance to be developed to support UOAs to develop an inclusive relevant and local environment.	Nona McDuff	Dean Morley	Sep 2012 to July 2013

APPENDIX J

Addendum to REF Code of Practice (July 2013)

The recently appointed PVC for Education has now had the opportunity to evaluate pedagogic research across the University. Consequently, the institution will now apply the process of the Code of Practice in testing a potential REF submission in Education, which includes pedagogic research previously considered in the respective discipline areas. The University has adhered to the process set out in the Code but adjusted the timetable to ensure appeals can be completed and acted upon by the externally set deadline.

12 July 2013	Affected staff will be written to and supplied with the addendum to the Code of Practice
30 September 2013	SMT to make decision on the submission of the Education Unit of Assessment and provisional decisions on staff to be submitted
3 October 2013	Deadline for staff to be informed of their provisional inclusion/non-inclusion
17 October 2013	Deadline for written appeals to Deputy Vice Chancellor [10 days]
22 October 2013 and 24 October 2013	Education Unit of Assessment appeals panel meetings
28 October 2013	Deadline for all REF appellants to be notified of outcome of appeal

The University may use its reasonable discretion to employ the alternative timetable where, in its reasonable opinion, it will enhance the REF submission.

