

## University of Leicester

### REF 2014 Code of Practice

#### Purpose and Context

1. The purpose of this Code of Practice is to set out how the University will apply the principles of fairness to the selection of staff for inclusion into the University's REF submission. It should be noted that this Code applies only to the Outputs area of the REF. To help achieve its purpose the Code is based upon the principles of transparency, consistency, accountability and inclusivity. Furthermore it embraces and takes full account of equalities legislation.
2. This code should be read in conjunction with the University's REF Strategy,<sup>1</sup> as well as the Assessment Framework and Guidance on Submissions (Guidance on Submissions) and the Panel Criteria and Working Methods (Panel Criteria).<sup>2</sup>

#### Principles

3. **Transparency.** The University will ensure that this Code of Practice is made readily available to all relevant staff, including any who are absent by virtue of illness, maternity/paternity/adoption leave, secondment, study leave or working overseas. Furthermore the document will be presented in such formats that render it as accessible as reasonably possible.
4. **Consistency.** The Code of Practice will be applied uniformly across the University and its principles will be applied to all stages of the process at all levels within the University where decisions are made.
5. **Accountability.** The University will clearly define responsibilities for the selection of staff for REF submissions and the operating criteria through which they will work.
6. **Inclusivity.** The University will actively seek to ensure it identifies all eligible employees who have produced research adequate for submission to the REF.

#### Operation of the code

7. The following operating principles guide the use of the Code:-
  - a. Selection of staff for submission to REF will be on the basis of the quality of an individual's research outputs relative to the collective contribution to the given UoA and the quality criteria relevant to the given UoA.

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<sup>1</sup> [https://swww2.le.ac.uk/staff/working/research-support/ref2014strategy/document\\_view](https://swww2.le.ac.uk/staff/working/research-support/ref2014strategy/document_view)

<sup>2</sup> [www.ref.ac.uk](http://www.ref.ac.uk)

- b. Processes applied to the selection of individual staff members will be fair, equitable and transparent.
- c. Decisions on selection will take into account the criteria laid down by the relevant Main Panels and UoAs and may be moderated by personal circumstances that have adversely affected an individual's achievement of their demonstrable potential in the period 1 January 2008 to 31 December 2013. (Please see paragraphs 15 – 18 for further details)
- d. The Code will be published for open access by University staff via the Division of HR website. In addition, paper copies of the Code will be circulated to all UoA Leads, Heads of Departments, Heads of College and College Directors of Research. Each Head of Department will be required to ensure that they draw the Code to the attention of all their relevant staff including those absent due to sickness, maternity, study leave etc. Heads of Department will be asked to retain confirmation that all staff are aware of the Code and have access to it.

### **Utilising equality legislation**

- 8. The relevant equality legislation is contained in the Equality Act 2010 (The Act). The Act introduced the concept of protected characteristics prohibiting direct discrimination and indirect discrimination on the basis of these characteristics. Indirect discrimination can be justified if it is deemed to represent a proportionate means of achieving a legitimate end. Additionally, with the exception of marriage and civil partnership and pregnancy and maternity, protection from discrimination extends to people who are perceived to have or are associated with someone who has a protected characteristic.
- 9. The table at Appendix 1 provides a more detailed explanation of individual rights legislation contained in the Equality Act 2010 together with the University's proposed treatment in each case.
- 10. Additionally the Part-time Workers (Prevention of Less Favourable Treatment) Regulation 2000 and Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002 give such workers the right not to be treated less favourably than employees on open or full-time contracts. Part time work is a clearly defined circumstance and such researchers may be submitted with reduced output without penalty (see paragraph 27 - 28 below).
- 11. The Equality Act 2010 places additional proactive duties on the University as a public body. Briefly it requires the University to eliminate discrimination and other conduct prohibited by the Act, advance equality of opportunity and foster good relations between persons who share a protected characteristic and those who do not. The University will be mindful of its public duties in its management of the REF.

**Management of the REF**

12. The REF process and this code will be managed and co-ordinated by the following groups and appointed academic officers:-

<b>Group/Officer</b>	<b>Membership</b>	<b>Indicative Role</b>
<p>REF Strategy Committee</p> <p>This Committee will agree strategies for the University's REF submission. Other bodies herein described will put those strategies into effect. The Committee will ratify decisions made by other bodies ensuring they accord with agreed strategies.</p>	<p>Vice Chancellor (Chair) Pro Vice Chancellor (Research &amp; Enterprise) Heads of College (4) Director, Research Support Office Director of HR</p> <p>Member of Research Support Office (Secretary)</p>	<p>Responsible for:-</p> <ul style="list-style-type: none"> <li>• setting strategy;</li> <li>• ratifying decisions made by other bodies;</li> <li>• approving the thresholds of research quality for the selection of staff;</li> <li>• approving the research group constitutions and membership of each UoA;</li> <li>• receiving equality impact assessment reports;</li> <li>• final sign off of Environment and Impact sections of submissions (not relevant to this Code).</li> </ul>
<p>REF Advisory Panels</p>	<p>PVC (Research &amp; Enterprise) (Chair) Head of College College Director of Research Heads of Department (or their representative) UoA Lead Academic Director, Research Support Office</p> <p>Member of Research Support Office (Secretary)</p>	<ul style="list-style-type: none"> <li>• To review draft submissions to ensure that they are in line with REF criteria and this Code of Practice and advise on content and structure</li> <li>• To provide feedback on submissions including recommendations on research active staff and UoA membership</li> <li>• To provide guidance on quality levels for individual outputs</li> <li>• To liaise with the REF Strategy Committee and REF Appeals Panel as required</li> <li>• To make recommendations on the final selections of research active staff (Categories A &amp; C);</li> <li>• To make recommendations a reduction in number of outputs submitted for staff with special circumstances;</li> <li>• To make recommendations all exclusions of staff.</li> </ul>

REF Appeals Panel	<p>Senior Pro Vice Chancellor (Chair)                  Head of College and Director of Research from cognate areas not previously involved in the decision(s) in question.                  Member of HR (Secretary),                  UoA Lead (as required)</p> <p>Member of HR with equalities experience*                  Member of RSO REF Team*</p>	<ul style="list-style-type: none"> <li>• To hear and adjudicate appeals against decisions to exclude individuals from the REF</li> <li>• To hear and adjudicate appeals against decisions to allow a specific reduction in the number of required outputs due to personal circumstances</li> <li>• To complete adjudication and resultant communication within the timetables set out in paragraphs 34 &amp; 35</li> </ul>
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\*Where an appeal relates to a decision about the number of required outputs due to personal circumstances, staff from HR and RSO will attend solely to provide guidance on procedures.

13. A UoA Lead Academic will be appointed by the REF Strategy Committee for each UoA. For large UoAs, one or more deputies may also be appointed. The duties of this role will include the following;
  - a. To assist with the selection of research active staff;
  - b. To lead the formulation of the UoA submission, with the Impact Co-ordinator, UoA Administrator and other staff as necessary;
  - c. To attend meetings of the REF Advisory Panels, providing advice as necessary on issues affecting their UoA;
  - d. To ensure that all staff in the UoA are aware of, and comply with, internal deadlines for data submission, publications reviews etc.
  
14. The University's Equality Adviser will brief members of all REF Committees and Panels highlighting equality issues that are particularly relevant to the REF exercise including those arising through the Equality Act. This will be achieved through training sessions utilising case studies supplemented by written guidance and the utilisation of the University's virtual learning environment Blackboard.

**Protocol for the selection of Research Active Staff**

15. The decision-making process will be handled sensitively, in consultation with individual members of staff, Heads of Department and UoA Leads as appropriate, taking into account the criteria laid down by the relevant Main Panels and UoAs, the University's REF Strategy and the individual's personal circumstances.
  
16. REF Advisory Panels will recommend to the REF Strategy Committee the population of Category A staff to be selected as research active in relevant UoAs.

17. Eligible Category A staff will be recommended for research active selection according to the criteria shown in Appendix 2.
18. Where there is no obvious UoA for a particular member of staff or group of staff (either by virtue of their research interests, or because their department submits returns to multiple UoAs or because they have dual appointments) the decision regarding which UoA should apply will be made in the context of the University's strategic interest. However, such decisions, which must be made well in advance of the REF census date, will be made sensitively and in consultation with the members of staff involved. The REF Strategy Committee's approval of the decision on the applicable UoA will be required. The final decision and the reasons for it will be conveyed to the individuals concerned in a meeting with the UoA Lead and Head of Department.
19. Human Resources and the Research Support Office will work with UoA leads to agree a list of eligible Category A staff, updating as necessary towards the REF census date (31 October 2013). For this purpose eligible Category A staff must be employed by the University under a contract of employment of 0.2 FTE or greater on the REF census date which defines research and/or teaching as their primary function. For more details please see The Guidance to Submissions document (para 78-81).
20. UoA Leads are responsible for identifying Category C returnees for approval by the REF Strategy Committee and REF Panels. The criteria for Category C selection are set out in Appendix 3. Fewer will be submitted to REF2014 than to RAE2008.
21. For each UoA, the responsible UoA Lead will maintain a running schedule linked to that UoA which records the following: staff name; recommendation (***included***, ***provisional***, and ***excluded***); unit of assessment; and notes.  
The notes will
  - a. identify for the ***provisional*** category the conditions to be met before a final recommendation is made; and
  - b. give the reasons why individuals have been placed in the ***excluded*** category.
22. The schedule will continue to be updated until the submission date and will be provided to REF Advisory Panels etc. on request.
23. The Head of Department, in conjunction with the UoA Lead as necessary, will advise individual staff of the recommendations being made about them. Individuals in the ***provisional*** category will be informed of their position and of actions they can take before the census date to maximise the likelihood of their inclusion in the submission. It is important to note that selection will depend not only on the outputs of an individual, but also on the context of their outputs within the UoA as a whole. Individuals in the ***excluded*** category will be advised of the reason for this, and the mechanism by which they can appeal this decision.

24. The REF Strategy Committee will review the recommendations and will be responsible for the final approval of the Category A research active staff and Category C populations submitted in a UoA, recording its reasons if there is any variance from the recommendations made. The Head of Department, in conjunction with UoA Leads as necessary, will relay the final recommendations to staff, in a meeting rather than by correspondence, wherever possible.
25. Each UoA Lead will provide a list to the REF Strategy Committee identifying those colleagues who will also be involved in the recommendations on research active selections (e.g. membership of Departmental or College REF planning groups).
26. Any request to refer publications for external review must be made by the Head of Department to the Pro-Vice-Chancellor (Research and Enterprise) who, in consultation with the Head of College and College Director of Research, will decide if a review is appropriate. His decision is final.

### **Individual Staff Circumstances**

27. A maximum of four outputs per researcher may be submitted. Individuals may be returned with fewer than four outputs without penalty in the assessment where their circumstances have significantly constrained their ability to produce four outputs or to work productively throughout the assessment period.
28. The range of acceptable circumstances is defined as either 'Clearly Defined Circumstances' (including early career researcher) or 'Complex Circumstances'.

**Clearly Defined Circumstances** as defined in paragraphs 70-87 and Table 2 of the Panel Criteria.

- Part-time working;
- Maternity, paternity or adoption leave;
- Secondments or career breaks outside of the higher education sector, and in which the individual did not undertake academic research;
- A combination of clearly defined circumstances/ ECR status.

**Early Career Researcher** as defined in paragraphs 85 - 86 of the Guidance on Submissions and with the reduction in outputs calculated according to paragraph 72 and Table 1 of the Panel Criteria.

**Complex Circumstances** as defined in paragraphs 98 - 99 of the Guidance on Submissions and paragraphs 88-91 of the Panel Criteria.

- Disability;
- Ill-health or injury;
- Mental health conditions;

- Constraints related to pregnancy or maternity in addition to a clearly defined period of maternity leave;
  - Childcare or other caring responsibilities;
  - Gender reassignment;
  - Other circumstances relating to the protected characteristics described in Appendix 1;
  - A combination of complex, or clearly defined and complex, circumstances.
29. Details of how any reduction in the number of outputs required will be calculated are contained in the Panel Criteria document available through the REF section of the Research Support Office website.
30. A pro forma is provided for staff to set out information to support individual staff circumstances (Appendix 4). This will normally be collected centrally through the University's Equalities Unit. Calculation of the number of outputs required will be carried out jointly by HR and RSO and ratified by the REF Strategy Committee. The information will, normally, be shared on a confidential basis with the relevant Head of Department and UoA Lead.
31. The University understands that some information to support complex circumstances may be sensitive and personal. Staff should be aware that, under REF rules, it is necessary for the University to share information about personal circumstances with the REF Equality and Diversity Panel (EDAP); this information will be kept confidential and destroyed once REF is complete.
32. Heads of Department are expected to ensure that all staff who are eligible for submission to REF have completed and returned a pro forma.

### **Appeals process**

33. Individuals have the right to appeal against a decision to exclude them from the REF in the following circumstances:
- a. If they believe the decision is based on the grounds of potential discrimination, for example relating to their race, sex, disability or age;
  - b. If they wish to appeal against the substantive merits of the decision to exclude;
  - c. If they wish to appeal against a decision concerning a reduction in the number of required outputs due to personal circumstances.
34. An appeal should be notified in a dated letter to the Director of Human Resources and copied to the UoA Lead, no later than ten working days from the date of notification. (It is necessary to limit the time available for the submission of an appeal in order to ensure that it is possible to give successful appeals practical effect. However, sympathetic consideration should be given to extending the deadline if the member of staff is absent from the University by reason of long term illness, maternity/paternity/adoption leave, secondment, study leave or working overseas). The full grounds of the

appeal must be notified to the UoA Lead within 20 working days of the date of notification.

35. A REF Appeals Panel (see paragraph 12) will be appointed by the REF Strategy Committee to adjudicate the appeal. Wherever possible, a meeting of the REF Appeals Panel to consider the appeal will be convened within 10 working days of receipt of the appeal. Appellants will not normally be able to attend meetings of the panel.
36. The decision of the REF Appeals Panel will be communicated to the appellant within ten working days of the date of the appeal. The decision of the REF Appeals Panel will be final.

### **Equality Impact Assessment**

37. An equality impact assessment will be carried out in order to monitor the impact of submission to the REF on different equality groups based upon the defined protected characteristics described in the Equality Act 2010. This will be achieved through consultation and analysis of available data. Additionally the impact assessment will consider part time working and contract type. The equality impact assessment will be kept under review throughout the process and in particular when the identification of eligible staff is made, when considering appeals and when the final submission is being prepared. The outcomes of the exercises will be reported to the REF Strategy Committee and will be subsequently published on the REF section of the Research Support Office website and the Equalities website. Those carrying out the assessment will include the Pro Vice Chancellor (Research and Enterprise), a senior member of the Research Support Office, a representative of UCU and the Equalities Adviser.

**APPENDIX 1 – A summary of individual rights legislation contained in The Equality Act 2010**

Protected Characteristic	Comment
Age	<p><i>Direct discrimination may be justified as a proportionate means of achieving a legitimate end.</i></p> <p>The University will not seek to justify exclusion from the REF on the basis of age. It is noted that early career researchers are likely to come from a range of age groups.</p>
Disability	<p><i>A person is considered to have a disability if they meet the statutory definition. It covers a wide range of impairments including; sensory impairment, mental health conditions such as depression, developmental disorders such as dyslexia, impairments caused by injury, fluctuating or recurring conditions such as epilepsy or arthritis, progressive impairments such as motor neurone disease or muscular dystrophy, organ specific impairments such as cardiovascular diseases or respiratory conditions, cancer and multiple sclerosis even if they do not currently have an adverse impact on the carrying out of day to day activities. People with a past disability are also protected. People may of course have more than one disability.</i></p> <p>The University undertakes to anticipate the needs of disabled people and to make reasonable adjustments for them. Where a disabled researcher’s impairment has affected the quantity of their research outputs they may be submitted with a reduced number of outputs in accordance with the document Panel Criteria.</p>
Gender reassignment	<p><i>Protection is afforded to those people who have proposed, started or completed a process to change their sex. They do not need to be under medical supervision to be afforded protection. 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.</i></p> <p><i>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.</i></p> <p>The University and its staff will treat with great care any information they receive about a person’s gender reassignment. 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 in accordance with the Panel Criteria.</p>

Protected Characteristic	Comment
Pregnancy and maternity	<p><i>Women are protected from unlawful discrimination related to pregnancy and maternity. Primary adopters have similar entitlements to women on maternity leave.</i></p> <p>Researchers who have taken time out of work or whose ability to work productively throughout the assessment period may be submitted with a reduced number of research outputs in accordance with panel criteria or because the impact forms part of a complex circumstance.</p> <p>Researchers who are absent on maternity/adoption leave will be kept informed and fully included in their submission process.</p>
Sex (including breastfeeding and additional paternity and adoption leave)	<p><i>Employees are protected from discrimination on the basis of sex.</i></p> <p>The impact of breastfeeding on a woman's ability to work productively will be taken into account as set out in the Panel Criteria document.</p> <p>Researchers who have taken additional paternity or adoption leave may be submitted with a reduced number of outputs as set out in the Panel Criteria document.</p>
Race	<p><i>Employees are protected from unlawful discrimination connected to race. Race includes colour, ethnic origin, national origin or nationality.</i></p> <p>The University will not make any judgement about the selection of staff for REF submissions based upon their race.</p>
Religion and belief	<p><i>Employees are protected from discrimination in relation to religion and/or belief.</i></p> <p>The University will not make any judgement about the selection of staff for REF submissions based upon religion or belief.</p>
Sexual Orientation	<p><i>Employees are protected from discrimination in relation to sexual orientation.</i></p> <p>The University will not make any judgement about the selection of staff for REF submissions based upon sexual orientation.</p>

## APPENDIX 2 – Criteria for Category A Selection

1. The University aims to achieve a top 20 ranked position overall in REF2014, maximising our reputational and financial return, to the benefit of the University, Colleges and Departments. The outcomes of RAE2008 demonstrate huge variance in both the Grade Point Average (GPA) achieved by the University within Units of Assessment, and the GPA required to achieve a top 20 position. Therefore the University will not adopt a University-wide minimum GPA across all UoAs for REF2014. Further information on the University's REF Strategy, including information on how targets have been calculated for UoAs which will be different in REF2014, is viewable at [https://swww2.le.ac.uk/staff/working/research-support/ref2014strategy/document\\_view](https://swww2.le.ac.uk/staff/working/research-support/ref2014strategy/document_view).
2. Each UoA has been given a target GPA for Outputs which, based on RAE2008 data, would achieve an improvement of 50% in rank terms within the respective UoA. The target for each UoA is a mean target GPA for the UoA as a whole, and not an individual target. It is important to note that selection will depend not only on the outputs of an individual, but also on the context of their outputs within the UoA as a whole.
3. Following regular reviews of achieved and planned outputs, information will be provided to Heads of Department, on the anticipated GPAs of individual members of staff, how these fit within the context of the Unit of Assessment and whether they are on course to be included in selection or not. Heads of Department or UoA Leads will subsequently advise individual members of staff of their own position.
4. As selection is based on a dynamic model, subject to regular monitoring, it may not be possible to determine at an early stage whether individual members of staff will be selected for REF submission. However, the latest point by which staff will be informed will be 3 months before the REF submission date (REF submission date 29 November 2013).

**APPENDIX 3 – Criteria for Category C Selection**

Category C individuals may be included in the REF, where permitted under the submission rules, only if their inclusion is judged to have a positive impact on at least one element of the UoAs submission, and does not have a negative impact on any of the remaining elements. The REF guidance defines Category C staff as individuals employed by an organisation other than an HEI, whose contract or job role (as documented by their employer) includes the undertaking of research, and whose research is primarily focused in the submitting unit.

## Appendix 4 – Notification of Staff Circumstances

### **Background**

The regulations for REF2014 allows for the submission of fewer than 4 outputs, without penalty, for staff whose circumstances have “significantly constrained their ability to produce four outputs or to work productively throughout the assessment period.” In line with the University’s Code of Practice for REF2014, the University is keen to ensure that all staff who meet the eligibility criteria laid down in the REF guidance can be submitted to REF2014 with a reduced number of outputs. These outputs must, however, still meet the quality threshold set by the University for the relevant UoA.

### **Responsibility of Departments**

Head of Departments and UoA Lead Academics are asked to work with REF eligible staff in their UoA to ensure that:

- All staff have completed the form below and provided any required dates and descriptions;
- All staff whose circumstances may allow for a reduction in outputs have been identified;
- The circumstances have or will occur at least partly in the REF period (1<sup>st</sup> January 2008 to 31<sup>st</sup> December 2013);
- The completed and signed form has been returned to the Equalities Adviser, Human Resources;
- The UoA is keeping a record of all approvals for a reduction in output number, including the number agreed but not the details of the cases;
- Requests for a reduction in outputs are treated confidentially.

The Head of Department will be aware of most instances where personal circumstances have affected ability to produce the required number of outputs, but the University recognises that there may be cases where a member of staff feels unable to discuss their circumstances with their department. In these cases, the member of staff should contact the Equalities Adviser, Human Resources who will arrange an alternative route.

### **I am eligible for submission to REF. What do I need to do?**

All REF eligible staff need to complete the form below, preferably with guidance from their Head of Department or UoA Lead Academic, and send it to the Equalities Adviser, Human Resources.

If you have completed section two, calculation of the number of outputs required will be carried out jointly by HR and RSO and ratified by the REF Strategy Committee. You and your department/UoA will then be informed of the decision.

If you feel unable to discuss your circumstances with your department, please contact the Equalities Adviser, Human Resources who will arrange an alternative route for your case to be considered.

### **What are ‘staff circumstances’?**

The REF Guidance divides staff circumstances into two categories. Brief details are given below, but these should be read in conjunction with the *Panel Criteria and Working Methods* (published Jan 2012 paragraphs. 64-91) and the *Assessment Framework and Guidance on Submissions* (published July 2011, paragraphs 85-87)

both of which can be found on the REF website ([www.ref.ac.uk](http://www.ref.ac.uk)). Staff should seek guidance on the interpretation of the REF Guidance from their UoA Lead or Head of Department. Calculation of the number of outputs required will be carried out jointly by HR and RSO and ratified by the REF Strategy Committee.

If at any time your circumstances change, or you wish to put forward additional factors, please complete another form and send it to the Equalities Advisor, so your case can be re-assessed.

**Clearly defined circumstances** (*Panel Criteria and Working Methods* paragraphs 67-87 and Tables 1 and 2): These are

- maternity/paternity/adoption leave;
- part-time working;
- early career researchers - members of staff who started their careers as independent researchers on or after 1 August 2009;
- clinical training (UoAs 1-6 only);
- secondment or career break outside HE in which no research was undertaken.

The exact reduction in the number of outputs required depends on the length of the affected period.

**Complex circumstances** (*Panel Criteria and Working Methods* paragraphs 88-91).

These include:

- disability;
- ill health or injury;
- mental health issues;
- constraints related to pregnancy or maternity, in addition to a clearly defined period of maternity leave;
- childcare or other caring responsibilities;
- gender reassignment;
- other circumstances related to protected characteristics;
- a combination of complex circumstances or clearly defined/ECR and complex circumstances.

The exact reduction in number of outputs allowed depends on the length of the affected period, any time off work and any part-time working. Worked examples of complex circumstances can be seen on the Equalities Challenge Unit website at <http://www.ecu.ac.uk/our-projects/REF>.

## REF Individual staff circumstances disclosure form

To be completed by all Staff potentially eligible for submission

<b>Name</b>	
<b>Department</b>	
<b>Unit of Assessment</b>	

### Section one:

**Please select one of the following, consulting the REF guidance as necessary.**

Then print, date and sign the form and ask your Head of Department to sign also. Send the completed form to the Equalities Adviser, Human Resources.

- I have no individual circumstances to be taken into consideration for the purposes of the REF.
- I have individual circumstances that are relevant to my inclusion in the REF and have completed section two below.

### Section two

My individual circumstances which have had an impact on my ability to produce four outputs or work productively between 1 January 2008 and 31 October 2013 are as follows. (Please tick all the appropriate box(s) and give details in the further information box below.)

<b>Circumstance</b>	<b>Applies to me (✓)</b>
<b>Early career researcher</b> (started career as an independent researcher on or after 1 August 2009). In the box below give the date on which you became an independent researcher and provide details of your career prior to and after that date.	
<b>Junior clinical academic staff</b> who have not gained Certificate of Completion of Training by 31 October 2013. Please supply date when you expect to complete training in the box below.	
<b>Part time employee.</b> Please state FTE, start and end date of part-time working in the further information box below.	
<b>Career break or secondment outside of the higher education sector.</b> In the box below, please state start and end dates and provide details.	
<b>Maternity leave, statutory adoption leave, or additional paternity leave (taken by partners of new mothers or co-adopters).</b> In the box below, for each period of leave, state which type of leave was taken and start and end dates.	
<b>Disability</b> (including conditions such as cancer and chronic fatigue). In the box below please explain the impact on your ability to fulfil contractual hours and other impacts on ability to undertake research. Please provide start date and end date.	
<b>Mental health conditions.</b> In the box below please explain the impact on your ability to fulfil contractual hours and other impacts on ability to undertake research. Please provide start date and end date.	
<b>Ill health or injury.</b> In the box below please explain the impact on your ability to fulfil contractual hours and other impacts on ability to undertake research. Please provide start date and end date.	



## For assessors use only

To [Head of Department and Member of Staff]

Following consideration of the personal circumstances described above for [insert name of staff member]:

- Will progress the staff member's inclusion in the 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 information from your occupational health assessment on the effectiveness of reasonable adjustments provided.*

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

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

Signature: ..... Date: .....  
(Equalities Officer)

Signature: ..... Date: .....  
(RSO REF Team)