

**London South Bank
University**

Code of Practice

on the Selection of Staff
for Submission to
the Research Excellence
Framework (REF) 2014

Version 3:

Revised January 2014

Code of Practice on the Selection of Staff for Submission to the Research Excellence Framework 2014

1. Introduction:

All HEIs are required to prepare a Code of Practice on the Selection of Staff for Submission to the REF2014. This document describes the London South Bank University (LSBU) Code of Practice.

The Code draws upon a number of sources viz:

- Guidance set out in the REF2014 Assessment Framework and Guidance on Submissions;
- Documentation provided by the Equality Challenge Unit (ECU);
- Reported Good Practice from the 2008RAE;
- LSBU's Equality, Diversity and Inclusion (EDI) policy and practices;
- An Initial Equality Impact Assessment based upon Mock Research Audits of LSBU's likely Units of Assessment carried out in preparation for the REF 2014.

In developing elements of this Code we have also benefited from advice from Kingston University, for which we are grateful.

2. Purpose of the Code:

The Code of Practice provides a framework within which LSBU has assessed and selected staff for submission to the REF2014. It describes and provides:

- A fair and transparent process that avoids discrimination, complies with relevant equality and diversity legislation as well as with LSBU's own EDI policy;
- Clear information to academic and related staff on LSBU's intentions, approach and selection criteria for REF2014;
- Guidance to staff involved in the staff selection process for REF2014.

The Code is Work-in-Progress and as such is intended to be reviewed at regular intervals to:

- Ensure continued fairness and transparency in staff selection for future research assessment exercises,
- Inform the University's on-going research and staff development strategies and plans.

3. Context and Considerations:

3.1 Legal Aspects:

The Equality Act 2010 harmonised and consolidated previous anti-discriminatory legislation. The Act covers the protected characteristics of age, disability, gender reassignment, marriage

and civil partnerships, pregnancy and maternity, race, religion or belief, sex and sexual orientation. It prohibits both direct and indirect discrimination.

Under the public sector equality duty of the Act, which came into force April 2011, HEIs in England must have due regard to the need to:

- Eliminate discrimination, harassment and victimisation as well as any 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 share it;
- As an employer and public body, LSBU needs to ensure that its REF selection procedures do not discriminate unlawfully against those with protected characteristics or because they are pregnant or have just given birth. Nor should its REF selection procedures discriminate on the grounds of political opinion;
- Under the fixed term employees and part-time workers regulations such workers have the right not be treated any less favourably than employees on open contracts or full time workers.

A summary of all legislation relevant to the REF2014 is provided at:

<http://www.ref.ac.uk/pubs/2011-02> (see REF 02.2011 pages 36-40).

This Code of Practice also adheres to the LSBU Equality, Diversity and Inclusion policy which is available at:

http://www.lsbu.ac.uk/data/assets/pdf_file/0009/11412/equality-diversity-inclusion-policy-2011.pdf

3.2 Key Principles relating to the Selection of Staff for the REF2014:

The University's approach to selecting staff for inclusion in the REF2014 is based upon the four key principles of:

3.2.1 Transparency:

The Code sets out the University's communications strategy for REF2014, aimed at ensuring that all eligible staff are made aware of the REF2014 and of LSBU's intentions, selection processes and criteria for inclusion in LSBU's submission to REF2014.

It defines how staff whose research has been affected by specific circumstances and by more complex personal matters will be handled and considered.

3.2.2 Consistency:

The Code details LSBU's intentions and objectives for the REF2014. It describes the key stages and steps to be followed to ensure a consistent approach across all submission areas in regard to the selection of staff for the REF2014. It also provides clear guidance on the REF-specific appeals process to be adopted and followed.

3.2.3 Accountability:

The Code sets out the hierarchy of accountability at LSBU for its REF2014 preparations and for the associated staff selection processes. It defines the roles and responsibilities of those

individuals and groups charged with preparing LSBU submissions and for the selection of staff for inclusion. It also describes how such individuals/groups are chosen and what training they should receive in order to fairly and effectively discharge their responsibilities.

3.2.4 Inclusivity:

The Code describes how LSBU is to achieve an inclusive approach to the selection of staff for the REF2014. It sets out how staff are to be informed, involved and selected on the basis of the REF2014 eligibility criteria and LSBU's own defined selection criteria.

It specifically addresses how staff whose research outputs may have been restricted through defined and complex circumstances during the REF qualifying period are to be treated and how such circumstances are to be assessed.

In seeking to be inclusive, it recognises that issues of staff sensitivity and confidentiality will arise. The Code describes how these matters are to be dealt with.

3.3. The LSBU Context:

3.3.1 About LSBU:

LSBU is one of London's largest and oldest universities. Since 1892, we have been providing students with relevant, accredited and professionally recognised education. We are a cosmopolitan university with 23,000 students from over 100 countries.

LSBU students have a wide variety of traditional and less traditional educational backgrounds. 38% of our students study part-time and 57% are aged 25 or over; 57% of our student cohort is female; 50% are from ethnic minority backgrounds; 24% are studying for a postgraduate qualification. These reflect LSBU's mission of providing wide access education.

As of the 31st October 2013, LSBU had 656 (582fte) REF-eligible staff employed on Teaching and Research, or Research Only, contracts. These staff were deployed across four Faculties viz, Arts and Human Sciences (136; 114.8fte), Business (114; 105.65fte), Engineering, Science and the Built Environment (173; 162.0fte), and Health and Social Care (233; 199.8fte).

Of the 656 REF-eligible staff 341 (52.0%) are female and 315 (48.0%) male.

An age profile analysis of staff eligible for submission to REF2014 shows the following spread: <35yo 7.9%; 35-44yo 18.8%; 45-54yo 39.2%; and 55+yo 34.1%.

142 (21.6%) are BAME staff with 40 (6.1%) staff declaring a disability. 153 (23.3%) staff are employed on part-time contracts of 0.2fte or greater.

Considerable variation exists in both the level and intensity of research engagement within and across LSBU's four faculties. This variation inevitably has a marked bearing on the staff numbers and make up of Units of Assessment returned to REF2014.

3.3.2 LSBU Equality, Diversity and Inclusion Policy and Practices:

We are a unique educational institution that is committed to creating a stimulating teaching and learning environment that values diversity, fundamental fairness, mutual respect and inclusion.

Dedicated to realising the potential of our staff, students and local community we believe that diversity enriches our individual and collective experience, performance and achievement recognising that embracing and integrating equality and diversity is fundamental to our success.

We have adopted a proactive practical approach to embedding equality and responding to the requirements of the Equality Act. This is documented in the LSBU EDI policy and associate Action Plan.

The key principles outlined in 3.2 have been adhered to and used as another important vehicle to demonstrate our continued commitment to implementing an inclusive selection process that is free from discrimination, inequality and unconscious bias.

We are committed to working together to build a learning community and research environment based on the principles of EDI in continuing to be a university that celebrates the rich diversity of our student and staff population.

3.3.3 Lessons from LSBU's 2008RAE Involvement:

LSBU submitted 95 (87.05fte) research active staff to the 2008 RAE, 14% of all eligible staff.

The proportion of female research active staff submitted in 2008 increased from 38% in 2001 to 47% bringing it more into line with the total academic female staff proportion (48%) at LSBU at the end of 2007. The reason behind this significant change was primarily related to the University's more onerous selection criteria for the 2008RAE which resulted in a reduced number of Units of Assessment being submitted. Most of the Units not returned in 2008 were male dominated, leading to an increased female:male ratio of staff submitted.

At 13% the proportion of BAME staff returned in 2008 remained similar to that of 2001. This was below the total BAME academic proportion at LSBU at the end of 2007 (25%).

Only 2% of staff below the age of 35 was submitted to RAE2008 against a University population for this group of approximately 15% at the end of 2007. This figure is similar to that returned in 2001. Conversely, a higher proportion of staff over 55 years of age were submitted to RAE2008 (52% compared with 35% in 2001). This imbalance in age categories can in part be ascribed to the more rigorous selection criteria adopted for 2008 which sought four research outputs of international standing.

The LSBU submission to RAE2008 contained just 14 staff employed on part-time contracts, well below the proportion of part-time staff in the wider academic population. Again, the requirement for four research outputs may have been a factor in fewer part-time staff being submitted relative to the overall part-time numbers. The reduced output rules for REF2014 relating to Clearly Defined and More Complex Circumstances, which includes part time staff, will have an marked impact on the number of staff with part-time employment and personal circumstances returned by LSBU to REF2014.

Data on staff covered under other protected characteristics under the 2010 Equality Act were not collated following the 2008RAE. This data is now routinely collected by the HR team.

As a direct consequence of the reduced numbers of BME and young researchers returned to the 2008RAE, a new centrally-funded scheme was introduced in 2008 to encourage and

support, particularly staff from the under-represented groups, to build their research portfolio and standing, aimed in part, at preparing them for REF2014. The Research Opportunities Fund (ROF) provided research seed funding of £275K to over 85 staff from such groups, including part-time staff. Over 70% of the ROF recipients were below the age of 35, with 40 female and 22 being BAME. Although a number of ROF beneficiaries have left the University, over 65% of those still employed by LSBU are expected to feature in LSBU's REF2014 submissions.

In addition, individual Faculties provide a variety of research support options to all of their emerging and under-represented staff groups through, for example: research sabbaticals, research mentoring programmes, financial support for conference attendance and research workshops on topics such as preparing research applications and writing research papers. These measures will also contribute to increasing the proportion of previously under-represented research staff categories in our REF2014 submission.

3.3.4 Initial and Post-REF2014 Equality Impact Assessments:

The Post-RAE2008 EIA and Mock Research Audits (carried out mid-2012 to early 2013) have contributed to the further development of this Code of Practice on LSBU's staff selection policy and processes for REF2014. Findings from these have contributed to a number of important measures and actions being taken which are reflected in this revised Code of Practice.

The Post-REF EIA report accompanying this Code, provides data on staff categories selected for inclusion to the REF2014 and compares these against the University's REF-eligible population as a whole. It provides a commentary on the key findings and recommendations.

4. LSBU's Approach to REF2014:

The following summarises LSBU's philosophy and approach to the selection of staff for inclusion in the REF2014: We aim to:

- Implement a Transparent, Consistent, Accountable, and Inclusive approach to the selection of staff for inclusion in our REF2014 Submissions.
- Consider all eligible academic and research staff to be candidates for potential inclusion in LSBU submissions to the 2014REF, subject to compliance with the HEFCE staff eligibility criteria defined in HEFCE's Assessment Framework and Guidance on Submissions (see Part 3, REF 02.2011).
- Set and disclose internal criteria for the selection of staff for inclusion in the REF2014. These criteria are defined in section 4.2 below.
- Allow individual Units of Assessment to adopt their own criteria subject to them meeting the University's criteria and to receiving approval from the University's Research Committee.

4.1 REF2014 Strategy and Objectives:

The strategy adopted for LSBU REF2014 submissions mirrors the University's overall research strategy, key elements of which are to:

- Reinforce existing areas of research strengths;
- Develop and grow emerging research strengths;

- Encourage and support applied research of quality;
- Support all staff with research aspirations and potential, and particularly those from under-represented groups;
- Strengthen the research environment and infrastructure;
- Continue to grow the University's research reputation and impact.

The REF2014 Strategy and this Code of Practice embrace all the above elements. Accordingly both are seen as important adjuncts and contributors to strengthening the diversity of LSBU's research base.

Our **REF2014 Objectives** are to:

- Achieve an overall research quality profile of at least 50% 3* or better;
- Increase our Grade Point Average above the 2.24 achieved in 2008;
- Improve our THE Research League table position above 68th equal.

Whilst increasing the University's research quality profile is a key objective, applying the principles of inclusion will ensure that no high potential excellent researchers are omitted.

4.2 LSBU Selection Criteria:

Our selection criteria for REF2014 continue the approach, adopted for 2008RAE, of submitting only to Units of Assessment where there is a critical mass of high quality research.

In achieving the above objective, our intention is to submit as many eligible staff as possible to REF2014, subject to the following:

- Staff meeting HEFCE's eligibility rules and any specific Main and Sub-Panel criteria (www.ref.ac.uk/publications (see REF 02.2011 Part 3));
- Staff having 4 research outputs that are deemed by their Faculty Director of Research and Unit of Assessment lead, and/or an external expert assessor to be of at least 2* quality and issued within the REF2014 eligibility period;
- Staff who qualify for reduced research outputs through either Clearly Defined and/or More Complex circumstances (www.ref.ac.uk/pubs/2012-01) - (see REF 01.2012 Part 1), having the requisite number of reduced research outputs issued within the REF2014 eligibility period and deemed to be of at least 2* quality by their Faculty Director of Research and Unit of Assessment lead, and/or an external expert assessor.
- Units of Assessment having a Critical Mass of at least 4fte staff.
- Adopting a positive and flexible approach towards the inclusion of REF-eligible staff who meet the LSBU selection criteria but whose host department may not be submitted to REF.

5. REF2014 Communication Strategy and Plan:

A key aspect of ensuring that our REF processes comply with the key principles for selection of staff involves having an effective Communication process for staff. The LSBU REF2014 Communication strategy is set out below.

As part of the Code, we will:

5.1 Make all academic and academically-related staff aware of and provide access to the Code of Practice. The Code will be:

- Emailed as a downloadable attachment to all REF-eligible staff. Care will be taken to ensure that those working away from the University or on leave from it receive a copy.
- Included in the contract/welcome documentation issued to all new staff.
- Lodged on the Research section of the University Staff Gateway, accessible to all staff.

5.2 Build a dedicated REF2014 web page on the University's internal Research Web site on which the Code features prominently.

5.3 Hold REF workshops in each Faculty open to all academic staff. This will provide information on the REF and updates on Faculty and University plans and progress. The Code will be highlighted within the workshops.

5.4 Hold REF2014 seminars for specific groups of staff where greater clarity around REF eligibility may to be needed or be beneficial.

5.5 Ask all REF eligible staff, including those temporarily absent from the University, to indicate if they did not wish to be considered for inclusion in the University's considerations for the REF2014 via an email from the Chair of the University's REF Working Group.

The wishes of staff indicating that they did not wish to be considered will be respected. They will be reminded that the final decision on staff to be included in LSBU's REF2014 returns is not finalised until August 2013 and as such, if their decision changes prior to this date, they can still elect to be considered for inclusion.

5.6 All REF-eligible staff will be invited by their Faculty Director of Research to upload any relevant and eligible research outputs on to the LSBU REF2014 Research Outputs database located on the Staff Gateway.

5.7 After due consideration of Research Outputs, involving internal and external Mock Research Audits, staff considered unlikely to meet the LSBU selection criteria will receive appropriate feedback from their respective Faculty Director of Research or Unit of Assessment lead.

Where it was deemed possible for staff to achieve the LSBU selection criteria, then guidance and support will be provided by the respective Directors of Research or Unit of Assessment leads.

6. Key Stages/Steps:

In preparing and delivering LSBU REF2014 submissions, we will:

6.1 Establish a **REF Working Group (REFWG)** chaired by the Pro Vice Chancellor (Academic), to oversee the University's REF preparations and submissions. The Working Group has overall responsibility for the development and production of LSBU's REF Strategy as well as for the development and implementation of this Code of Practice on the Selection of Staff for Submission to the REF2014.

In so doing, it will take heed of the Assessment Framework and Guidance on Submissions (REF 02.2011) and Criteria and Working Methods of the relevant Main and Sub-Panels (REF 01.2012) in relation to the treatment of different individual circumstances.

The REFWG will report quarterly to the **University Research Committee (URC)** on progress and issues relating to REF2014. The Chair of the URC will report as necessary to the University's Executive on REF2014 progress and related matters.

6.2 Establish an independent **REF Staff Circumstances Group (SCG)**, chaired by the Director of Human Resources, which will assess and advise the REFWG and URC on any clearly defined and complex circumstances submitted by REF-eligible staff that may have influenced an individual's capacity to produce the expected number of research outputs over the REF review period.

Develop a **Staff Circumstances Disclosure Form** (guidance notes and form shown in Appendix 1) based around that recommended by the Equality Challenge Unit for capturing information on individual staff circumstances.

An email will be sent from the Vice Chancellor to all REF eligible staff indicating the University's commitment to a fair and inclusive process in selecting staff for the REF2014. It will urge those who consider that they have experienced circumstances which may have restricted their research time and outputs during the REF2014 review period to complete a Staff Disclosure Form describing their specific circumstances.

Further details surrounding Individual Staff Circumstances (Clearly Defined and Complex) and the reduced research outputs relating to such circumstances are available at www.ref.ac.uk/pubs/2012-01 (see REF 01.2012 pages 9-13).

Any information received via this form will be treated as Confidential by the SCG and will be restricted solely to that Group. The SCG will review such Disclosure Forms within 10 working days and after due consideration will inform in writing both the staff member concerned and the REF Working Group of the validity or otherwise of the cited circumstances for reduced research outputs for REF2014 purposes.

All Staff Disclosure Forms will be kept secure within the HR Department and will be destroyed by the end of 2014. Where required by the REF Team at HEFCE, evidence supporting the case for reduced research outputs will be provided to the REF Team.

6.3 Provide **REF Equality and Diversity Training** to all staff involved in the process of selecting staff for inclusion in the REF2014. The Training will be based upon the training materials produced by the Equality Challenge Unit and will be delivered by the University's Equality and Diversity Manager. Specific case examples will feature prominently. The REF-tailored Equality Training Programme is shown in Appendix 2. Where possible, training will be provided prior to the Mock Research Audits (late 2012/early 2013).

Follow-up training will be provided to all involved in selection through access to an on-line bespoke "Equality and Diversity and the REF2014" software programme.

6.4 Implement a **Staff Feedback** process, key aspects of which will involve:

- feedback from the appropriate Faculty Director of Research or Departmental/Unit lead, to all academic staff submitting research outputs for consideration to the LSBU REF Research Outputs database;
- feedback from the Faculty Director of Research or Departmental/Unit lead to those staff included in internal and external Mock Research Audits;
- a face-to-face meeting with the Faculty Director of Research or Departmental/Unit lead following Mock Research Audits to review feedback on their outputs;
- a memo from the Chair of the SCG to those staff completing a Staff Circumstances Disclosure Form indicating the SCGs decision and reasons relating to its decision on reduced research outputs.

Feedback will be provided in good time for those where the decision is not to include in LSBU REF2014 submissions to allow sufficient time for them to lodge an appeal and for the outcome of any appeal to be acted upon in advance of the 2014REF submission deadline.

6.5 Undertake **Equality Impact Assessments (EIA)** following planned Mock Research Audits and the University's final REF submission. The latter being carried out no later than 3 months after the final REF2014 submissions in November 2013.

All EIAs will be carried out by the Head of the University's Research Support Office in conjunction with the University's Equality and Diversity Manager. They will be reviewed and approved by the University's Research Committee. Interim and final EIAs will be included on the University REF2014 web pages and on the LSBU Staff Gateway.

Findings from these EIAs will be used to improve the Code and inform LSBU's future research strategy and plans.

6.6 Establish a bespoke **REF Appeals Procedure**.

Staff unhappy with their non-inclusion (or inclusion) in the University's submissions to REF2014 will have a right of appeal. The REF Appeal process will follow the steps set out below:

- individuals will be expected to have discussed their case with the respective Faculty Director of Research before submitting an appeal;
- If not satisfied, they should submit their case in writing to the Chair of the REF Working Group, setting out clearly the reasons as to why they feel they should be included. The Chair of the REF Working Group will consider how to proceed on a case by case basis. Where there is clear evidence of either a Defined and/or More Complex circumstances being involved, the individual will be asked to complete a Staff Disclosure Form and submit this for consideration to the SCG.

Where staff have submitted a Staff Disclosure Form and are unhappy with the decision of the SCG in relation to their eligibility for reduced outputs as a result of defined or complex circumstances then the appeals process described in section 7.5 below should be followed.

In all other cases, the process will involve:

- Referral to an independent **REF Appeals Panel**, chaired by a Pro Vice-Chancellor or Dean from an independent faculty.
- If still not satisfied, the individual may elect to put their case personally to the Vice-Chancellor; the Vice-Chancellor's decision will be final.

7. Institutional Responsibilities:

The following sets out the LSBU Institutional responsibilities in relation to LSBU's preparations and submissions to the REF2014 and to the process of the selection of staff for inclusion in the REF2014:

7.1 As Chief Executive, the **Vice-Chancellor** has ultimate responsibility for what is included in the University's submissions to the REF2014.

7.2 The Vice-Chancellor has delegated responsibility for determining the University's REF2014 strategy and responses to the REF2014 to the **University's Research Committee (URC)**.

The URC will make recommendations to the Vice-Chancellor as to which submissions and LSBU staff it considers should be returned to REF2014.

7.3 In order to fulfil its responsibility, the URC has established an **REF Working Group (REFWG)**. The REFWG will report to the URC at least quarterly.

The REFWG will be chaired by the Pro Vice-Chancellor (Academic).

Each Dean of Faculty will nominate a senior member of staff to serve on the REFWG. Currently, the nominated individuals are the respective Faculty Directors of Research. These are selected because of their:

- (i) personal experience of research
- (ii) knowledge of research across their respective Faculty
- (iii) involvement in at least one previous research assessment exercise.

The Head of Central Research Support will provide senior level advice, guidance and administrative support to the REFWG in developing the University's 2014REF strategy, data collection systems, processes and submissions.

Other appointments may be made by the Chair of the REFWG where considered necessary and relevant, for example, the University's Equality and Diversity Manager will attend relevant meetings of the REFWG to advise on the development and implementation of the University's Code of Practice on the Selection of Staff for Submission to the REF2014 and on the Training that those involved in the selection process require.

All members of the REFWG will undergo training in relation to the issues around Selection of Staff for the REF and on the University's own Equality and Diversity policy.

7.4 A **Staff Circumstances Group (SCG)** will be set up which will be independent of the URC and REFWG. Its principal role will be to receive, assess and advise the REFWG on any Clearly Defined and More Complex circumstances submitted by academic and academically-related staff that may have influenced a reduced number of research outputs over the REF2014 review period. The SCG will be chaired by the Director of Human Resource. As such, those directly involved in making decisions about who should be included in LSBU submissions will

not be involved in deciding on reduced outputs through Clearly Defined and More Complex circumstances. We see this as an important and positive distinction.

It is recognised that much of the SCG business may involve staff confidential matters. Its meetings, minutes and paperwork will be held by the Director of Human Resources and will not be made available internally or externally, unless required to be so in relation to an appeal or as evidence for inclusion to the REF team at HEFCE.

Other members of the SCG will be the Equality and Diversity Manager, the Head of Central Research Support and the Chair of the REFWG. These individuals are selected because of their:

- (i) status within the University and responsibility for academic staff-related matters;
- (ii) familiarity with Equality and Diversity matters and the REF2014 requirements.

All members of the SCG will receive training in relation to the issues around Selection of Staff for the REF and on the University's own Equality and Diversity policy.

The Terms of Reference and membership of each of the above bodies is shown in Appendix 3.

7.5 An **SCG Appeals Panel(s)** will be set up as required.

Following receipt of the SCG's decision on reduced research outputs for the REF2014, individuals will have up to 14 days from receipt of notification to lodge a written appeal against the SCG's decision. The appeal should be sent to the Director of HR.

Individual appeals will be considered by an Executive Dean from a separate Faculty from that employing the individual making the appeal within 10 working days from receipt of the written appeal. All Executive Deans considering appeals will have undertaken Equality and Diversity training in relation to the Selection of Staff for Inclusion in REF2014.

A meeting with the individual will be arranged to discuss the circumstances. The Head of Central Research Support will be in attendance at such appeals solely to provide information to the Executive Dean on matters of fact relating to reduced output allowances in accordance with the HEFCE REF guidelines set out in www.ref.ac.uk/pubs/2012-01.

The outcome of the appeal will be notified to the individual within 3 working days.

If still dissatisfied with the outcome of the appeal, the individual may elect to put their case personally to the Vice-Chancellor. The Vice-Chancellor's decision will be final.

8. Appendices:

Appendix 1: Staff Circumstances Disclosure Guidance Note and Form

Appendix 2: Outline of REF Equality, Diversity and Inclusion Workshop

Appendix 3: LSBU REF2014 Staff Selection Bodies – Terms of Reference and Membership

London South Bank University

Research Excellence Framework 2014

Staff Circumstances Disclosure Guidance Note

To: All LSBU REF-eligible staff

From: Vice-Chancellor

Date:

Subject: REF 2014 - Consideration of Individual Staff Circumstances

London South Bank 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 staff will be selected for submission to the REF can be found in LSBU's Code of Practice located under REF2014 on the Research pages on the Staff Gateway.

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

In determining whether eligible staff may be submitted to the REF with fewer than four research outputs, the University will take the following staff circumstances into consideration (all related to the period 1st January 2008 to 31st October 2013):

- **Early career researcher** (started career as an independent researcher on or after 1 August 2009);
[Independent Researcher defined as being the point at which they held a contract of employment of 0.2fte or greater at any HEI or other organisation AND undertook and led or acted as Principal Investigator on a Research Grant or a Significant piece of research work]
- **Part time employment** (for all or part of the above period)
- **Career break or secondment** outside of the higher education sector in which the individual did not undertake academic research;
- **Maternity leave, statutory adoption leave, and additional paternity** leave (taken by partners of new mothers or co-adopters);
- **Disability** (including conditions such as cancer and chronic fatigue);

- **Ill health or injury;**
- **Mental health conditions;**
- **Constraints relating to pregnancy, maternity, breastfeeding, adoption, paternity or childcare in addition to periods of maternity, statutory adoption or additional paternity leave** taken. This could include for example, pregnancy related illness and health and safety restrictions in laboratory and field work;
- **Other caring responsibilities** (including caring for an elderly or disabled relative);
- **Gender reassignment.**

If your research output has been affected by any of the above or any other circumstances not referred to in the list above, but **NOT including teaching and administration**, please detail them on the attached Staff Disclosure Form, as they may be eligible for reduced research outputs.

In determining the number of outputs staff are required to submit, we will observe the definitions of individual staff circumstances provided in Part 1 of the REF 'Panel criteria and working methods' (January 2012) available at www.ref.ac.uk under 'Publications' (REF 01.2012).

What action do you need to take?

If you are eligible for REF submission (see Part 3 of REF 'Assessment framework and Guidance on Submissions' (July 2011) available at www.ref.ac.uk under 'Publications' (REF 02.2011) for HEFCE eligibility criteria and believe you are covered by one or more of the above Circumstances, you are strongly encouraged to complete the attached Staff Disclosure Form.

If you are unclear if you are eligible for inclusion in the REF2014, or if your circumstances are eligible for reduced research outputs, or unsure if the above is relevant to your own circumstances but wish to explore matters further, then please contact Katie Boyce, Director of Human Resources, Technopark. Staff Disclosure Forms should be sent to Katie Boyce, Director of Human Resources, Technopark, in a sealed envelope marked 'REF Staff Circumstances' before the 31st December 2012.

If further information about your circumstances disclosed is required, you will be contacted by Katie Boyce.

Who will see the information that you provide?

Within LSBU, the information that you provide will be seen by only by the REF Staff Circumstances Group. Members of the REF Staff Circumstances Group are the:

Director of HR - Chair
 Pro VC (Academic)
 Equality and Diversity Manager
 Head of Central Research Support

All Staff Disclosure Forms will be treated as Confidential. Any information disclosed will be stored securely and used only for the purposes of the REF2014 exercise. All forms will be destroyed by the end of December 2014.

Information provided on the Staff Disclosure Form may be shared externally for the purposes of evidencing any reduction in the number of research outputs to REF2014:

If you are included in LSBU REF 2014 submissions then others involved in the REF process may see some or all of the disclosure, as indicated below:

- 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, 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.

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 Data Protection Act 1998.

What if my circumstances change?

We recognise that staff circumstances may change prior to our submission to REF2014.

If your circumstances change you may still submit a Staff Disclosure Form up to the end of August 2013 for consideration by the LSBU REF Staff Circumstances Group.

Martin Earwicker
Vice-Chancellor

London South Bank University

Individual Staff Circumstances Disclosure Form

Name	
Faculty	
Department	

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

Section One:

Please select as appropriate:

- I am happy to complete the Staff Disclosure Form without discussing my circumstances
 I would like to discuss my circumstances with a member of the Staff Circumstances Group.

My contact details for this purpose are:

Email	
Telephone	
Preferred method of communication	

Section Two:

Please provide the information required against the relevant circumstance/s and delete/expand any (ir)relevant boxes, as necessary:

Circumstance	Information required
Early career researcher (started career as an independent researcher on or after 1 August 2009)	Date on which you became an early career research
<i>Information:</i>	
Part time employee (for all or part of the REF Review period)	FTE, dates and duration in months
<i>Information</i>	
Career break or secondment outside of the higher education sector	Dates and duration in months
<i>Information:</i>	

Maternity leave, statutory adoption leave, or additional paternity leave (taken by partners of new mothers or co-adopters)	For each period of leave state which type of leave was taken and the dates and duration in months
<i>Information:</i>	
Disability (including conditions such as cancer and chronic fatigue)	Impact on ability to fulfil contractual hours and other impacts on ability to do research. Duration in months
<i>Information:</i>	
Mental health condition	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<i>Information:</i>	
Ill health or injury	Impact on ability to fulfil contractual hours and other impacts on ability to do research. Duration in months
<i>Information:</i>	
Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare in addition to the period of maternity, adoption or additional paternity leave taken.	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<i>Information:</i>	
Other caring responsibilities (including caring for an elderly or disabled relative)	Impact on ability to fulfil contractual hours and other impacts on ability to do research. Duration in months
<i>Information:</i>	
Gender reassignment	Impact on ability to fulfil contractual hours and other impacts on ability to do research. Duration in months
<i>Information:</i>	
Other exceptional and relevant reasons , not including teaching or admin work	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months

Information:

I confirm that the information provided is a true and accurate description of my circumstances.
I recognise that the information provided will be used for REF purposes and will be seen by the LSBU REF Staff Circumstances Group.

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.

Signature:

Date:

Please send this form in a sealed envelope marked "REF Staff Confidential" to Katie Boyce, Director of Human Resources, Technopark.

For SCG use only

Following consideration of the personal circumstances described above, the LSBU REF Staff Circumstances Group:

- Confirms that:
[Insert Name of Staff Member] is eligible for reduced research outputs in LSBU REF2014 submissions, in accord with the tariffs outlined in the REF01.2012 'Panel Criteria and Working Methods' on Clearly Defined Circumstances and Complex Circumstances'

Number of reduced Research Outputs required: 3/2/1

Rationale for the proposed number of outputs:

- 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:

If ***[insert name of staff member]*** wishes to appeal against the decision of the LSBU REF Staff Circumstances Group they will need to do so with 14 days. Details of the appeals process can be found in the Code of Practice on Selection of Staff on the REF 2014 pages on the Staff Gateway

Signature:
Katie Boyce (Director, HR)

Date:

Signature:
Dr Phil Cardew (Pro-VC (Academic))

Date:

REF Equality, Diversity & Inclusion Workshop Outline

Overall Aim of the REF EDI Workshop	Using an outcomes driven, interactive approach the aim of this workshop is to provide you with the opportunity to explore and further develop the understanding, knowledge, and competences required to effectively integrate and embed EDI into the Research Excellence Framework	
Introductions, Expectations & Terms of Engagement	Brief introduction and summary of what is expected Agree what needs to be in place to ensure participants get the best out of the workshop	Plenary
Why is EDI important to the REF	Provide an overview of the Assessment Framework and Guidance on Submissions with a particular focus on EDI criteria; Environment Template etc.	Plenary
Lessons for RAE 2008	Summary of HEI sector wide and LSBU outcomes in 2008 in relation to eligibility and submission rates of research active staff across the protected characteristic strands	Plenary Interactive discussion
Equality, Diversity & Inclusion Foundation/Legal Background	Within the context of the REF, defining what we mean by EDI followed by an interactive activity on <i>'Terminology and prohibited conduct'</i>	Group work
Establishing the Business Case	Presentation of LSBU demographic profile data, EDI Strategy; EDI - 'state of the Nation'- Gender Race and Disability-EHRC/ECU headline information. With reference to REF 2014 and integrating EDI - establishing opportunities, challenges and key success indicators	Plenary Group work

Interactive Exercises	Clearly defined and complex circumstances; Case study scenarios; Staff disclosure – ensuring confidentiality.	Group work
Stereotypes, Assumptions and Unconscious Bias	Highly interactive energetic exercise to get participants exploring their own biases and the power of stereotypes	Whole group activity
Questions, Next Steps and Close	Determining key actions to be taken post workshop.	Plenary

LSBU's REF2014 Selection Bodies – Terms of Reference and Membership

1. University Research Committee (URC)

Terms of Reference:

- 1) Advise the University's Executive and Academic Board on significant issues relevant to the conduct and development of research at LSBU.
- 2) Define and review on an annual basis the University's Research Strategy and Plans, including the University's strategic response and preparations for future research assessment exercises.
- 3) Advise and support Senior Management on research issues of the day; including the formulation of research policies and consultation responses to external bodies.
- 4) Review the research performance of the University, its Faculties and Research Groups against annual plans, including staff development of researchers.
- 5) Oversee and monitor the allocation and use of HEFCE funds for research.
- 6) Work closely with the Faculties, Research Groups and others across the University to promote LSBUs research and external impact.
- 7) Work closely with other University committees having responsibility for issues that impact upon research and, in particular, the Research Degrees Committee and Research Ethics Committee.
- 8) Consider any other issues relevant to or referred to the Committee.

Membership:

Chair: Professor Rao Bhamidimarri (Exec Dean, ESBE)
Dr Phil Cardew (Pro VC (Academic), Chair RDC & Chair REFWG)*
Mrs Beverley Jullien (Pro VC (External))
Mr Richard Flatman (Executive Finance Director)
Professor Mike Molan (Exec Dean, AHS)
Professor Ian Albery (Director of Research, AHS)*
Professor Yvette Taylor (AHS)
Professor Dilip Patel (Pro Dean (External), BUS)*
Professor Ken d'Silva (BUS)
Professor Shushma Patel (Director of Research, BUS)
Professor Graeme Maidment (Director of Research and Enterprise, ESBE)*
Professor Mohammad Ghavami (ESBE)
Professor Nicola Crichton (Director of Research, HSC)*
Professor Gill Rowlands (HSC)
Professor Joan Curzio (HSC and Chair of Research Ethics Committee)
Dr Ed Tinley (Head Central Research Support and Secretary)*

*Also Members of REF Working Group also.

2. Research Excellence Framework Working Group (REFWG)

Terms of Reference:

The REFWG's Terms of Reference are to:

1. Define and implement a strategy for LSBU in response to the REF2014;
2. Prepare policies and criteria relevant to LSBU's response to the REF, including a Code of Practice for the Selection of Staff for the REF2014 and oversee its implementation;
3. Establish methods for collecting, reviewing, selecting and compiling research outputs and related research data relevant to REF2014;
4. Facilitate, review and act upon the outcomes from "mock" exercises and assessments;
5. Coordinate LSBU's approach to the identification and development of research impact templates and cases
6. Recommend to the University Research Committee Units of Assessment and research active staff to be submitted to the REF2014;
7. Advise and support Faculty management, especially Directors of Research, on aspects of the REF exercise and with the preparation of 2014REF submission responses;
8. Oversee any audit requirements relating to the REF2014;
9. Ensure all interested parties are kept informed of REF2014 plans and progress.

Membership:

Chair: Dr Phil Cardew (Pro VC (Academic))
Professor Ian Albery (Director of Research, AHS)
Professor Dilip Patel (Pro Dean (External), BUS)
Professor Graeme Maidment (Director of Research and Enterprise, ESBE)
Professor Nicola Crichton (Director of Research, HSC)
Dr Ed Tinley (Head of Central Research Support and Secretary)

Others to be co-opted onto the Group as and when necessary.

3. Staff Circumstances Group (SCG)

Terms of Reference:

The SCG's Terms of Reference are to:

1. Receive and review individual Staff Disclosure Forms and assess their compliance with the Clearly Defined and More Complex Circumstances as defined in Part 3 of HEFCE REF 02.2011;
2. Verify, where possible, the evidence supporting the Circumstances set out in individual Staff Disclosure Forms;
3. Inform individuals, in confidence, of the SCG's assessment with respect to their case for reduced outputs to the REF2014;
4. Recommend to the REFWG the number of research outputs that individuals submitting Staff Disclosure Forms may return to the REF 2014;
5. Securely store all Staff Disclosure Forms for a period of up to 12 months after the REF2014 Census Date (31st October 2013).
6. Ensure all Staff Disclosure Forms are destroyed after 31st October 2014, at the latest.

Membership:

Chair: Ms Katie Boyce - Director of Human Resources
Dr Phil Cardew - Pro VC (Academic)
Mrs Carol Campayne - Equality and Diversity Manager
Dr Ed Tinley (Head of Central Research Support)