

Newcastle University



Code of Practice

on the fair and transparent selection of staff
for submission to the REF2014

Approved by
University Senate on 24th April 2012
HEFCE on 6th July 2012

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1. Background

1.1 Paragraph 204 of the 'Assessment framework and guidance on submissions'¹ (REF 02.2011) published in July 2011, identified the following principles for the development of institutional codes of practice for the Research Excellence Framework (REF) 2014:

- a. **Transparency:** All processes for the selection of staff for inclusion in REF submissions should be transparent. Codes of practice should be drawn up and made available in an easily accessible format and publicised to all academic staff across the institution, including on the staff intranet, and drawn to the attention of those absent from work. We would expect there to be a programme of communication activity to disseminate the code of practice and explain the processes related to selection of staff for submission. This should be documented in the code. We encourage institutions to publish their codes of practice on their external web-site, and they will be published by the REF team as part of the submissions.
- b. **Consistency:** It is essential that policy in respect of staff selection is consistent across the institution and that the code of practice is implemented uniformly. The code of practice should set out the principles to be applied to all aspects/stages of the process at all levels within the institution where decisions will be made.
- c. **Accountability:** Responsibilities should be clearly defined, and individuals and bodies that are involved in selecting staff for REF submissions should be identified by name or role. Codes should also state what training those who are involved in selecting staff will have had. Operating criteria and terms of reference for individuals, committees, advisory groups and any other bodies concerned with staff selection should be made readily available to all individuals and groups concerned.
- d. **Inclusivity:** The code should promote an inclusive environment, enabling institutions to identify all eligible staff who have produced excellent research for submission to the REF.

1.2 Institutions making a submission are required to draw up and implement a code of practice on the fair and transparent selection of staff and to ensure these principles are adopted at each stage when preparing REF submissions.

"Each institution making a submission is required to develop, document and apply a code of practice on selecting staff to include in their REF submissions. On making submissions, the head of institution will be required to confirm adherence to this code. The funding bodies require that institutions' codes of practice be submitted to the REF team by 31 July 2012. The Equality and Diversity Advisory Panel (EDAP) will examine these in advance of the submission deadline, and all institutions' codes will be published with the rest of the submissions at the end of the assessment process."²

¹ The 'Assessment framework and guidance on submissions' (REF 2011.02) is available at www.ref.ac.uk under Publications.

² 'Assessment framework and guidance on submissions' (REF 2011.02). Paragraph 188.

1.3 The following Code of Practice for Newcastle University has been developed in accordance with the guidance on submissions and best practice on the Equality Challenge Unit (ECU) website www.ecu.ac.uk/our-projects/REF

2. Purpose and Principles

2.1 The purpose of this Code of Practice is to set out the University's process for selecting staff for inclusion in the Research Excellence Framework (REF) 2014. It identifies the decision-making process and the roles and responsibilities of the decision-makers.

2.2 Newcastle University is committed to a policy of equality of opportunity. Through our Single Equality Scheme, we aim to provide a working environment which is free from unlawful discrimination and will give all staff an equal opportunity to fulfil their personal potential.

2.3 For the REF 2014, the University undertakes to:

- Consider all eligible staff (as defined by HEFCE guidance) for selection to be included in the Newcastle University institutional submission.
- Include work of researchers where the volume of excellent research output has been limited for reasons set out in equal opportunities legislation and employment law, and as stated in section 3 of this Code of Practice.
- Set out a formal, fair and transparent process for the selection of staff for inclusion in the submission.
- Describe the processes for the selection of those involved in the submission process.
- Train those involved in the submission process on equal opportunities issues.
- Assess the impact of the process for selecting staff for submission.

2.4 The University's REF submission is an institutional response. The University will be consistent in its policy of utilising the outputs from its staff and its research structures selectively and tactically to make the very best submission on behalf of the institution as a whole.

2.5 The REF output will be a profile showing a range of activity across a UoA. The University will make a strategic decision on the profile it wishes to project in each UoA. In some highly competitive areas there may be benefit in ensuring the highest possible 'star' rating, possibly submitting a small number of individuals. In other UoAs it may be more beneficial to include a greater number of staff, and possibly achieve a lower 'star' profile. These decisions will also be influenced by the particularities of the criteria adopted by each panel.

2.6 The University clearly wishes to construct the most advantageous submission to the REF and will wish to include as many staff as possible, subject to the strategic and tactical considerations referred to above. It will, therefore, seek to include all those staff who meet the HEFCE criteria and have produced the required volume of excellent research,

as well as those who may have been prevented from so doing by a factor that is covered by any of the circumstances set out in section 6.

2.7 The internal Submission Policy sets out in broad terms, the University's approach to selecting staff for inclusion in the Research Excellence Framework (REF) 2014. This Code of Practice should be read in conjunction with the Submission Policy which is included in **Appendix A**. Both the Submission Policy and this Code of Practice are available to download from the internal REF website <http://www.ncl.ac.uk/ref>

3. Legislative Context

3.1 The Equality Act 2010 harmonised and consolidated previous anti-discrimination legislation. Most of the Act, as it relates to public functions and employment, came into force in October 2010. The public sector equality duty of the Act (section 149), which is relevant to HEIs, came into force in April 2011.

3.2 In carrying out REF submission processes, the University will have due regard to the need to:

- Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act.
- Advance equality of opportunity between persons who share a relevant³ protected characteristic and persons who do not share it.
- Foster good relations between persons who share a relevant protected characteristic and person who do not share it.

3.3 In order to show compliance with the requirements of the public sector equality duty, the University will ensure that its REF submission procedures do not discriminate unlawfully against individuals because of:

- Age
- Disability
- Gender reassignment
- Marriage and civil partnership
- Pregnancy and maternity
- Race
- Religion or belief
- Sex
- Sexual orientation

3.4 In addition, there is employment law protecting staff working:

- Part-time, or on a
- Fixed-term contract

³ In this context a 'relevant' protected characteristic is one other than marriage and civil partnership.

In essence, the law protects staff employed in these ways from suffering a detriment compared with staff on full-time or open-ended contracts. The relevant regulations are:

- Part-time Workers (Prevention of Less Favourable Treatment) Regulations 2000
- Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002

The University will ensure that, in line with employment law and ECU guidance, its REF submission procedures do not discriminate against individuals because they are on part-time or fixed term contracts.

A summary of the equality legislation and employment law which is relevant to the parameters of the REF is set out in **Appendix B**. Please refer to section 7 for further information about the criteria for inclusion in the REF.

4. Roles and Responsibilities

4.1 Senate has ultimate responsibility for the University's submission to the REF. Operational responsibility is delegated to the University Research Committee (URC) via the University's Executive Board (EB). The URC acts as the REF Steering Group.

REF Steering Group membership comprises:

- Pro Vice Chancellor for Research & Innovation
- Faculty Deans of Research
- Director of Research and Enterprise Services (RES)
- Head of University Research Office (URO)
- Executive Director of Human Resources (HR)
- Faculty Research and Institute Manager for Science, Agriculture and Engineering (SAGe)
- Faculty Research Manager for Medical Sciences (FMS)
- Deputy Head of Administration for Humanities and Social Sciences (HaSS)

The REF Steering Group coordinates all aspects of the REF submission including:

- advising EB on strategic issues and direction
- advising UoAs and Academic Units on operational and strategic issues
- proposals concerning the UoAs to which the University might make a submission
- recommendations for the selection of staff according to the criteria
- co-ordination of the required policies and documentation
- internal assessment of outputs
- collecting, checking, validating data

At appropriate points throughout the REF process, a senior representative from Information Systems and Services (usually the Director) will also attend meetings of the REF Steering Group.

The REF Steering Group will make recommendations for the submission to EB and Senate after full discussion with the Faculties. Any decision made at this stage will take into account the principles of the public sector equality duty as referred to in section 3 of this Code of Practice.

4.2 The REF Steering Group is advised and supported by the following groups:

- a) Administrative and Technical Support team, comprising
 - Head of URO
 - REF Administrator (based in URO)
 - MyImpact developers and technical support (based in ISS)
 - REF Data Group (including staff from grants and contracts, library, student progression and HR)
- b) Faculty Management Team for each Faculty, comprising
 - Faculty Pro-Vice-Chancellor
 - Dean of Research/Innovation
 - Head of Administration or Faculty nominee

It is the responsibility of each Faculty Management Team to work with Academic Units in the respective Faculties on the detail of the following:

- proposals concerning the UoAs to which the University might make a submission
- recommendations for the selection of staff according to the criteria

- c) Faculty Management Teams are advised by the UoA Team which comprises a UoA Coordinator and other selected staff as appropriate to the UoA such as the Head(s) of Academic Unit and Director(s) of Research. A descriptor for the UoA Coordinator role is included in **Appendix C**.

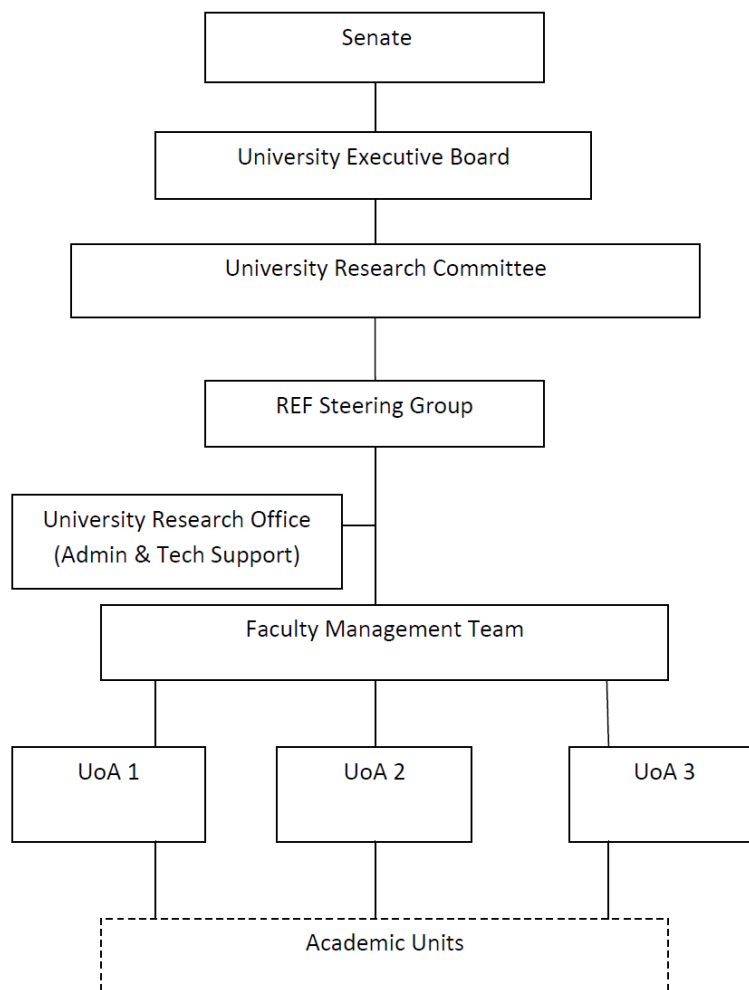
UoA Teams are responsible for:

- proposing staff for inclusion in the REF and giving reasons for proposed inclusion/exclusion of staff
 - Staff details (REF1a)
 - Category C staff employment details (REF1c)
- confirming records which will allow the University and HEFCE to verify grant income and PGRs
 - Research doctoral degrees awarded (REF4a)
 - Research income (REF4b)
 - Research income in-kind (REF4c)
- preparing REF documentation
 - Research outputs (REF2)
 - Impact (REF3a/b)
 - Research environment (REF5)

- d) Human Resources Team who advise on equality and diversity matters and associated training.

4.3 Each of the groups involved in decision-making will adhere to the University’s Submission Policy and Code of Practice and take into account the public sector equality duty set out at section 149 of the Equality Act 2010 and referred to in more detail at section 3 of this Code of Practice. Members of each group will receive REF-specific Equal Opportunities training or briefing as appropriate. Further information on the membership and remit of each committee is provided in **Appendix D**.

The following chart summarises the structure of REF management.



Note: the dashed box for Academic Unit indicates the fact that a number of UoAs will be composed from staff spanning more than one Academic Unit, and potentially more than one Faculty.

5. Appointment of Key Decision Makers/Managers

5.1 The key decision makers and the method of appointment is set out in **Appendix E**.

6. Training

6.1 Alongside widely publicising this Code of Practice, the University also undertakes to provide Equality and Diversity briefing sessions and training specifically tailored for the purpose of the REF. The briefing sessions and training will be provided by the

University's Human Resources section and will be mandatory for all staff involved in the decision-making process. The materials used will be available as a separate resource via the University's internal REF website www.ncl.ac.uk/ref

6.2 All members of the following groups will participate in Equality and Diversity briefing sessions or training as appropriate:

- Senate
- Executive Board
- University Research Committee (REF Steering Group)
- University Research Office
- Admin and Technical Support teams
- Faculty Management Teams
- UoA Teams

6.3 The Equality and Diversity training will be based upon the Equality Challenge Unit's training materials and case studies. Training will include information about the public sector equality duty set out at section 149 of the Equality Act 2010, and activities to identify clearly defined and complex staff circumstances. Briefing sessions will also be based upon case studies. In addition, Equality and Diversity issues for the REF will be embedded into REF Roadshows which are available to any member of academic staff.

6.4 Additional training will be given to staff who are involved in handling complex staff circumstances. This training may also be useful to all staff involved in the REF so will be offered as optional.

7. Criteria for Potential Inclusion in the REF

7.1 Paragraphs 77 to 83 of the '[Assessment framework and guidance on submissions](#)' outline the criteria for individuals to be *eligible* for submission to the REF.

"Each HEI must decide which individuals to select for submission, in accordance with its internal code of practice. Staff selected for submission must be listed in **one** of the two possible categories, A or C.

Category A staff

Category A staff are defined as academic staff with a contract of employment of 0.2 FTE or greater and on the payroll of the submitting HEI on the census date (31 October 2013), and whose primary employment function is to undertake either 'research only' or 'teaching and research'.

Category C staff

Category C staff are defined 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 on the census date (31 October 2013)."

7.2 Potential *selection* of individual members of staff for inclusion in the REF submission is determined by the quality of research outputs according to the REF criteria of 'originality, significance and rigour'. Staff at Newcastle University will be considered for inclusion if they have four outputs (or fewer if they are in the early stages of their academic career, or if other factors referred to in this Code of Practice have contributed to the reduced output); the higher the quality of the outputs, the more likely it is that they will be included. The University will take account of whether staff are in the early stages of their academic career, of factors covered by the 'Assessment framework and guidance on submissions' (as stated in section 3) relating to equal opportunities legislation and employment law, and of other UoA-specific panel criteria.

7.3 The University will encourage all eligible staff to disclose individual circumstances where those circumstances have had an impact on the volume of excellent research outputs.

The 'REF Panel criteria and working methods'⁴ (January 2012) identifies a range of individual circumstances may impact on the number of research outputs eligible staff have produced over the REF census period. In certain cases, eligible staff may be submitted to the REF with fewer than four research outputs and if disclosed, these circumstances will be taken into account by the panel selecting staff for inclusion in the REF submission.

7.4 In line with HEFCE's guidance, the University will take into account the following clearly defined circumstances:

- Qualifying as an early career researcher (as defined at paragraphs 85-86 of the submission guidance)
- Junior clinical academic staff who have not gained a Certificate of Completion of Training by 31 October 2013
- Part-time working during the REF period (1 January 2008 to 31 December 2013)
- Maternity, paternity or adoption leave⁵
- Secondments or career breaks outside of the higher education sector, and in which the individual did not undertake academic research

7.5 More complex circumstances allow for disruption to research of an ongoing or sporadic nature during the REF period. The following complex circumstances will also be taken into account:

- Disability (as defined in Appendix A)
- Ill health or injury
- Mental health conditions

⁴ The 'REF panel criteria and working methods' (REF 01.2012) is available at www.ref.ac.uk under Publications.

⁵ Maternity leave may involve related constraints on an individual's ability to conduct research in addition to the defined period of maternity leave itself. These may include but are not limited to: medical issues associated with pregnancy or maternity; health and safety restrictions in laboratory or field work during pregnancy or breastfeeding; constraints on the ability to travel to undertake fieldwork due to pregnancy or breast-feeding. These cases can be returned as 'complex' so the full range of circumstances can be taken into account in making a judgement about the appropriate number of outputs that may be reduced without penalty).

- Constraints related to pregnancy or maternity, in addition to a clearly defined period of maternity leave (see previous footnote)
- Childcare or other caring responsibilities
- Gender reassignment
- Other circumstances relating to the protected characteristics listed in section 3 above or relating to activities protected by employment legislation
- Other exceptional or relevant reasons, not including teaching or administrative work
- And overall section 149 of the public sector duty

7.6 All staff *eligible* for submission will be invited to complete an individual circumstances form (**see Appendix F**). Staff who are absent from the University will receive written notification of the Code of Practice and the invitation to complete an individual circumstances form. Staff who wish to disclose individual circumstances will be able to do so in confidence via HR who will determine whether circumstances are ‘clearly defined’ or ‘complex’ and make an initial assessment of any complex cases in consultation with the Chair of Diversity Committee. Following this initial assessment and in order to ensure a standard approach across all UoAs, HR will provide the relevant Faculty Dean of Research with the information necessary for decision-making and for the REF1b submission including:

- A brief description of the nature and timing of the circumstances
- An explanation of any effect on working hours (contracted or otherwise)
- A recommendation regarding the extent to which the circumstances have constrained the individual’s ability to produce four outputs or to work productively throughout the assessment period. Where possible and appropriate, this will include the number of months the circumstance(s) is likely to have prevented the individual from working productively.

7.7 Faculty Deans will determine the appropriate reduction in outputs on the basis of the tables and guidance in paragraphs 72 to 86 of the ‘REF Panel criteria and working methods’ – for clearly defined circumstances – or the information from HR – for complex circumstances.

7.8 In order to ensure individual disclosures are dealt with in a timely manner, individuals who submit a completed form should notify the REF Administrator who will keep a basic record including:

- Name of the individual making the disclosure
- Date and time the disclosure was submitted to HR
- Date and time a recommendation was passed to the relevant Faculty Dean
- Outcome

Members of the REF Steering Group and a senior representative from HR will regularly review decisions about output reductions to ensure all Faculties apply a fair and consistent approach to this decision-making process (including by reference to section 149 of Equality Act 2010).

“Information submitted in form REF1b will be kept confidential to the REF team and the panel members (for clearly defined circumstances) and EDAP and main panel chairs (for complex circumstances), who are all subject to confidentiality undertakings in respect of all information contained in the submissions.”⁶

7.9 In order to ensure individual disclosures are dealt with in a confidential manner the only individuals who will be aware of the specific circumstances of an individual disclosure are the Chair of Diversity Committee, the designated member(s) of HR, the relevant Dean of Research and the Pro Vice Chancellor for Research and Innovation. The decision of Research Deans will be notified to the relevant Head of Academic Unit, UoA Coordinator and members of the REF Steering Group without specification of the reasons for reaching the decision. The Research Deans will also notify the individual concerned, who will be informed of the right to appeal against this decision.

7.10 The University will consider the above in the light of the ‘Assessment framework and guidance on submissions’ and ‘REF Panel criteria and working methods’. The University’s general strategy is to structure its return in such a way as to maximise reputation.

7.11 The process for selection of research outputs is as follows, and will be documented at the level of the UoA:

- Peer review and indicative grading of individual research outputs adjudicated by the Head of Academic Unit, Dean of Research and Faculty PVC.
- Any proposed UoA submission will be de-anonymised for an equality analysis. This will determine whether there may be an imbalance in equality profile in terms of disability, gender, age and ethnicity relative to the total potential pool (i.e. those staff who are *selected for inclusion* in the submission as compared to those staff who are *eligible* for submission). If such an imbalance is found, senior managers (URO and Faculty teams in conjunction with Academic Units and UoAs) will review the decisions to ensure they are objective, fair and justifiable.
- Staff whose outputs it is proposed not to include in the final submission will be able to discuss the issue with the UoA Coordinator and Head of Academic Unit in the first instance. Where it is not possible to reach a satisfactory agreement, the case will be referred to a formal appeals process as described in section 12.
- Concerns of senior managers about the robustness of the assessment of outputs may lead to further expert advice at their discretion.

8. Equality Analysis

8.1 The University will conduct an equality analysis of the REF submission at key stages throughout its preparation in order to identify if any equality protected groups could suffer an adverse impact as a result of the selection process. To this end the University will provide an equality profile of:

⁶ ‘Assessment framework and guidance on submissions’ (REF 02.2011). Paragraph 98.

- a) Staff who are *eligible* for submission.
- b) Staff who are *most likely to be selected* for inclusion in the submission.
- c) Staff who are *selected for inclusion* in the final submission.

The equality analysis will ensure any impact that the submission criteria may have on groups and individuals can be considered before the submission decision is taken. The University may replicate this data at UoA level if there is any anecdotal evidence of an imbalance or disparities based on less favourable treatment by reference to a protected characteristic (see Appendix B). Where there is evidence of a prima facie imbalance, the University will review the decisions to ensure they are proportionate, objective, reasonable and justifiable in accordance with the principles of Equality Act 2010.

8.2 The data in **Appendix G** shows the equality profile of staff eligible for submission in the REF 2014 as at 1st February 2012. It is important to note the following:

- The data shows staff who will be eligible for submission for the REF 2014 based on the following assumptions:
As referred to in section 7.1 of this Code of Practice, staff categories most likely to be included in the REF submissions are
 - Non-Clinical Academics, Clinical Academics, Non-Clinical Research and Clinical Research.
 - Individuals from other staff groups may be included in the submission but will be the exception rather than the norm, therefore only staff in the above categories have been included.
- The analysis is broken down by Faculty because the UoA information will not be available until the submission data is modelled.
- This 1st February 2012 data set and any subsequent profile of staff most likely to be included will be shared with the relevant groups including the REF Steering Group, Equality and Diversity Committee/Diversity Consultative Group and may be used to inform modelling and equality analysis work carried out over the coming months and will be refreshed in the autumn of 2013.

8.3 The Equality Analysis will be an ongoing process throughout the REF submission period. The University will publish the latest data and commentary relating to the Equality Analysis on the internal REF website www.ncl.ac.uk/ref allowing staff to provide comments and feedback throughout the REF period. HEFCE will make the results publicly available after the REF submission in order to comply with the specific public sector equality duties as required by Equality Act 2010 and related regulations.

9. Communication and Feedback

9.1 Staff will be informed of key stages in REF preparation; these are summarised below. There will be a dedicated University website concerning the REF which will include a more detailed copy of the timetable for REF preparation, quick links to relevant HEFCE documentation and copies of University-generated documentation, including the University's internal Submission Policy (**see Appendix A**) and this Code of Practice. Staff will be consulted at appropriate stages as indicated below.

a) Selection and scoring of outputs (Spring 2011 – Spring 2013)

The selection and scoring of research outputs by individual members of staff should be undertaken at key points during the process, as directed, in MyImpact to ensure the information held about their research activity is correct.

In relation to the REF, the purpose of selecting and scoring research outputs and of any subsequent quality review is to measure the University's progress towards the REF submission in 2013.

Individual research outputs will be given an indicative star-rating through a process of quality review undertaken at both peer and Faculty-level. Following this exercise individual staff will be informed of their current stage of 'REF readiness' and a set of actions may be recommended to help them complete key outputs for the UoA submission.

Faculty Management Teams will monitor outputs using MyImpact and where relevant will undertake a review of output selections and scores in order to determine the University's progress towards the 2013 submission. Progress towards previously agreed actions to help complete key outputs for the UoA submission will be discussed formally by the Head of Academic Unit with individual staff as part of this process.

Staff can view all notes and indicative scores relating to their own individual research outputs in MyImpact which can be accessed via the Staff Homepage.

The University recognises that the small number of outputs selected by staff for scoring for the REF submission do not necessarily give a complete picture of an individual staff member's publication portfolio and may not therefore give the most advantageous view in terms of making the case for internal promotion.

b) Publication of submission guidance and panel criteria by HEFCE (July 2011 and January 2012)

Staff were informed when the submission guidance was published in July 2011. The guidance on submissions has been made available on the internal REF website www.ncl.ac.uk/ref

Staff were informed when final panel criteria and working methods were made available in January 2012. School/Institute Research Committees discussed the criteria in detail, feeding back appropriate comments to the University Research Council/REF Steering Group via Deans of Research.

c) UoA composition (Winter 2011 – Spring 2013)

Following each peer and Faculty-level review of output selections and scores, Deans of Research will visit Heads of Academic Unit to discuss the results of the review and the UoA composition. Starting in the Spring of 2013, these visits will culminate in a discussion about staff whose outputs it is proposed to omit. Such staff will be asked by the UoA Coordinator if they wish to discuss their portfolio of outputs with the Faculty PVC, Dean of Research and Head of Academic Unit.

Faculty recommendations on UoA composition will be submitted to URC (acting as the REF Steering Group) and then EB in early Summer 2013.

d) Equality and Diversity (Early 2012 and Summer 2013)

HR will provide an equality profile of all staff eligible for submission in the REF 2014 as a baseline against which to measure the potential impact of the selection process. On completion of each internal quality review (see 9.1a above), HR will provide a profile of staff who are most likely to be selected for inclusion in the submission so that an analysis of the impact that the submission criteria may have on groups and individuals can be considered before the submission decision is taken.

Once the final UoA composition has been agreed, HR will conduct an assessment against the baseline in order to identify if any equality protected groups or individuals by reference to protected characteristics (subject to the duties relating to confidentiality of individual cases) could suffer an adverse impact as a result of the selection process. The University will publish the results of the equality analysis on the internal REF website. www.ncl.ac.uk/ref

e) Preparation of the final submission (Summer - Winter 2013)

Following broad approval of UoA composition by URC (acting as the REF Steering Group) in the early summer of 2013, Research Deans will refine the composition of each UoA with Faculty PVCs, Heads of Academic Unit, Research Directors and UoA Coordinators.

Research Deans will make a formal presentation of each of the draft UoA submissions to EB in June and July of 2013.

Research Deans and UoA Coordinators will revise the UoA submissions in the light of EB's decisions concerning the composition of each UoA, and in the light of further developments in submitted outputs since the last quality review process. UoA Coordinators are expected to consult all staff at this stage to ensure that the material is correct. Staff, who are not selected for inclusion in the submission, will be able to discuss their situation with the UoA Coordinator in the first instance.

In early November 2013, the PVC R&I will meet formally with the Research Deans and Faculty PVCs to agree the final draft submission for each of the UoAs in the respective Faculties.

The final submission for each UoA will be agreed by the PVC R&I with the VC immediately prior to the submission deadline (29th November 2013). The PVC R&I will then instruct the University Research Office to submit formally each of the UoA submissions.

f) Publication of results (December 2014)

Deans of Research will visit Academic Units and Institutes to discuss the results of the REF.

10. Consultation

- 10.1 There is extensive consultation with individual members of staff built into the communication and feedback process described above. The Code of Practice itself will have been the subject of consultation with the UCU, and will be formally considered by the URC, Equality and Diversity Committee, Staff Committee and Executive Board, before being submitted to Senate for final approval and adoption.

11. Recording conversations

- 11.1 For the purposes of transparency, any formal conversation with individual staff relating to the decision to include or not to include them in the submission must be recorded in writing using the individual staff conversation template (**see Appendix H**). Individual staff will be provided with a copy of the record following each conversation.

12. Appeals

- 12.1 The process for communication and feedback described in Section 9 is highly iterative in nature, and provides adequate opportunities for members of staff to query and challenge decisions on the selection and scoring of particular pieces of work, which could lead to the non-inclusion of the individual. Throughout the process, extensive use is made of peer review to determine the REF standing of pieces of work. Where this opinion is challenged, it will be appropriate to identify an alternative expert if no agreement can be reached on the status of the item concerned. Appeals on the grounds of output selections and scores will not be considered as there is an iterative and ongoing process (as set out in Section 9) through which staff will receive regular formal feedback in relation to research outputs.
- 12.2 Disagreements on other issues directly relating to the REF, such as whether inclusion could be justified, despite a low volume of outputs, due to protected circumstances, as described in Section 7, will normally be resolved during the process described in Section 9. Due to the specialised nature of the issues, and of the understanding required for the REF, it is more appropriate to follow a dedicated appeal process than the standard academic grievance procedure. Academic staff are not, however, prevented from following this route if they so wish.
- 12.3 Where issues are not resolved informally within the iterative process described in Section 9, and the member of staff does not accept the decision as at the end of July 2013, a formal appeal may be requested. The appeal is triggered by a written request from the member of staff to their Dean of Research, setting out the nature of the issue as relevant to the circumstances described in Section 7 or the application of the University's internal Submission Policy. The Dean of Research will refer the matter to the Pro-Vice-Chancellor for Research and Innovation. Appeals on the grounds of output selections and scores will not be considered.

- 12.4 The member of staff will be invited to discuss his/her appeal with the PVC (R&I), who will communicate his decision in writing. If the member of staff does not accept that outcome, s/he may make a further appeal, again in writing to the Dean of Research. This will be referred to the PVC for Planning and Resources (P&R), who will act as an independent adjudicator, inviting the member of staff to discuss his/her appeal further. The decision of the PVC (P&R) will be communicated to the member of staff in writing.

Appendix A

Newcastle University Internal Submission Policy

Purpose

1. The purpose of this internal Submission Policy is to set out in broad terms, the University's approach to selecting staff for inclusion in the Research Excellence Framework (REF) 2014. This Submission Policy should be read in conjunction with the University's Code of Practice which sets out the University's process for selecting staff. Both documents are available to download from the internal REF website. www.newcastle.ac.uk/ref

Policy Statement

2. The Research Excellence Framework (REF) is the new system for assessing the quality of research in higher education institutions in the UK, and replaces the Research Assessment Exercise (RAE), last conducted in 2008. The REF submission is an institutional return to HEFCE which determines our long-term resourcing (QR) and enables the University to have its research quality recognised as widely as possible. The University will be consistent in its policy of utilising the outputs from its staff and its research structures selectively and tactically to make the very best submission on behalf of the institution as a whole.
3. The University clearly wishes to construct the most advantageous submission to the REF and will wish to include as many staff as possible, subject to strategic and tactical decisions and the equality and diversity considerations referred to in the University's Code of Practice. Staff will be considered for inclusion if they have the required number of research outputs (as defined in REF2); the higher the quality of the outputs in terms of originality, significance and rigour, the more likely it is that they will be included. As stated in our REF Code of Practice, the University will take account of whether staff are in the early stages of their academic career, of factors covered by the 'Assessment framework and guidance on submissions'⁷ (as stated in Section 3 of the Code of Practice) relating to equal opportunities legislation and employment law, and of other UoA-specific panel criteria.
4. Notwithstanding the general policy outlined in (2) of this Submission Policy, the University will consider carefully the ratio between volume and quality of profile for each UoA, in the light of outcomes from the preparatory peer review exercises and UoA-specific criteria.
5. In order to maximise QR and reputational impact before the submission date (29 November 2013), the University will be seeking, wherever possible, to increase the elements of our submission which are likely to achieve a three or four star rating.

Outputs sub-profile: Criteria and definitions of starred levels

The criteria for assessing the quality of outputs are 'originality, significance and rigour'.

⁷ The 'Assessment framework and guidance on submissions' (REF 2011.02) is available at www.ref.ac.uk under Publications.

The definitions of 3 and 4 starred levels for outputs are set out below.

Four star	Quality that is world-leading in terms of originality, significance and rigour.
Three star	Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence.

Impact sub-profile: Criteria and definitions of starred levels

The criteria for assessing impacts are 'reach' and 'significance'.

Four star	Outstanding impacts in terms of their reach and significance.
Three star	Very considerable impacts in terms of their reach and significance.

Environment sub-profile: Criteria and definitions of starred levels

The research environment will be assessed in terms of its 'vitality and sustainability'.

Four star	An environment that is conducive to producing research of world-leading quality, in terms of its vitality and sustainability.
Three star	An environment that is conducive to producing research of internationally excellent quality, in terms of its vitality and sustainability.

6. The performance of staff as individuals is always seen in the broader context of their contribution to the University as set out in Vision 2021.

Professor Nick Wright
Pro-Vice-Chancellor Research & Innovation
University Research Committee Chair

Appendix B

Summary of Equality Legislation⁸

Age	<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 of the submission guidance) 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>
Disability	<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>

⁸ ‘Assessment framework and guidance on submissions’. HEFCE (REF 02.2011), July 2011. Page 36, Table 2.

	<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 of the submission guidance 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 civil partnership	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) 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 and additional paternity and adoption leave)	<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 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>
Sexual orientation	<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>

Appendix C

UoA Coordinator Role Descriptor

Background

The UoA Coordinator is an academic role which plays a key part in the UoA Team comprising selected members of staff from academic units contributing to the UoA such as the Head(s) of Academic Unit and Director(s) of Research. The UoA Team will work with the Dean of Research to propose the composition of the UoA to the University Research Committee (URC, acting as the REF Steering Group). The URC will make final recommendations for the submission by the University.

Workload

UoA Coordinators are expected to be in post from January 2012 until December 2013. Post holders will be expected to commit a proportion of their time each week in order to fulfill the requirements of the role. This commitment will be reflected in workload planning to ensure that all UoA Coordinators have a balanced and reasonable workload. It is anticipated that the role will require an average commitment of one day (or 0.2 FTE) per week, although periods of increased intensity will be necessary as we draw closer to the submission deadline.

Role

- To support preparation of the UoA submission, including its composition, with the Dean of Research and the UoA Team.
- To keep up to date with the latest REF developments and specific UoA panel guidance and to communicate strategy, University policy, guidelines and timescales to the UoA Team and individuals being submitted.
- To contribute to and manage the review of outputs (with other internal or external reviewers where appropriate) in order to maximise the validity and robustness of the output quality assessments.
- To work with the PGR Director, Research Directors and Administrative team to ensure all data are recorded accurately on University systems and that the MyImpact database is checked and maintained appropriately.
- To identify and oversee the preparation of impact case studies and to assist with the assessment of their quality.
- To develop the overarching impact statements for the UoA.
- To draft the environment narrative to ensure that:
 - The research landscape is presented in the most advantageous manner.
 - There is a coherent expression of a sustainable research strategy for the future, grounded in current research strengths.

Appendix D

Committees

Senate

Senate is the supreme governing body of the University in all academic matters although many of its responsibilities are delegated to sub-committees including University Research Committee. Membership of Senate is largely elected and comprises: 8 ex officio members, 4 students, 20 members elected by and from the academic staff of the University, one lay member of Council and up to three co-opted members. Membership is defined by the University Statutes, which also describes the method of appointment.

Ex-officio members are:

- Vice-Chancellor
- Deputy Vice-Chancellor
- Pro-Vice-Chancellors

Executive Board

Executive Board's remit is to exercise an integrated overview of the University's policies and resources through the implementation of the strategic plan and operating statement, to ensure a prompt and strongly co-ordinated approach to the evaluation of academic and business opportunities, and to appraise and prioritise proposals for major new initiatives. Membership of Executive Board comprises the senior management team of the University.

- Vice-Chancellor
- Deputy Vice-Chancellor
- Pro-Vice-Chancellors
- Faculty Pro-Vice-Chancellors
- Registrar
- Executive Director of Finance
- Executive Director of Human Resources

University Research Committee

The University Research Committee is responsible for all matters pertaining to and impacting on research within the University, including preparation for national research assessment exercises in conjunction with Faculty Research Strategy Groups.

Ex officio members include:

- Pro-Vice-Chancellor (Research and Innovation) (Chair)
- Faculty Deans of Research/Deans of Innovation
- Director of Research and Enterprise Services (RES)
- Head of the University Research Office (URO)
- Head of the Joint Research Office (JRO)

In attendance:

- Faculty Research and Institute Manager for Science, Agriculture and Engineering (SAGe)
- Faculty Research Manager for Medical Sciences (FMS)
- Deputy Head of Administration for Humanities and Social Sciences (HaSS)

REF Steering Group

The REF Steering Group coordinates all aspects of the REF submission including:

- advising EB on strategic issues and direction
- advising UoAs and Academic Units on operational and strategic issues
- proposals concerning the UoAs to which the University might make a submission
- recommendations for the selection of staff according to the criteria
- co-ordination of the required policies and documentation
- internal assessment of outputs
- collecting, checking, validating data

REF Steering Group membership comprises:

- Pro Vice Chancellor for Research & Innovation
- Faculty Deans of Research
- Director of Research and Enterprise Services (RES)
- Head of University Research Office (URO)
- Executive Director of Human Resources (HR)
- Faculty Research and Institute Manager for Science, Agriculture and Engineering (SAgE)
- Faculty Research Manager for Medical Sciences (FMS)
- Deputy Head of Administration for Humanities and Social Sciences (HaSS)

In attendance:

- Director of Information Systems and Services (ISS)
- REF Administrator

Appendix E

Key Decision-Makers: Methods of Appointment

Role/Office	Method of Appointment
Vice-Chancellor	Governed by University Statute. Committee of Council and Senate makes nominations after external recruitment campaign.
Deputy-Vice-Chancellor	Internal appointment selected from the Pro-Vice-Chancellors by the Vice-Chancellor and reported to Senate and Council.
Pro-Vice-Chancellors	Internal appointments on rotating basis, (or external appointment) made after open advertisement. Selection by Committee of Senate and Council.
Registrar	Substantive appointment made by Council, after external recruitment campaign.
Chair of University Research Committee	Pro-Vice-Chancellor for Research and Innovation (see above).
Deans of Research/Innovation	Internal appointments made on rotating basis after open advertisement. Selection by Faculty Appointment Board.
Executive Director of Human Resources	Substantive appointment made by Selection Committee after external recruitment campaign.
Director of Research and Enterprise Services	Substantive appointment made by Selection Committee after external recruitment campaign.
Head of University Research Office	As above.
Head of Faculty Administration	As above.
Head of Academic Unit	Internal appointment made on rotating basis after open advertisement. Selection by Faculty Appointment Board
Unit Director of Research	Often also Head of Academic Unit. If not, internal responsibility nominated on rotating basis by Head of Academic Unit.
UoA Co-ordinators	Nominated by Heads of Academic Unit.

Appendix F

Individual Staff Circumstances Disclosure Form

Further information about the process for handling individual staff circumstances including this form and the University's Code of Practice is available at www.ncl.ac.uk/ref under 'Our submissions'.

Name	
Academic Unit	
Unit of Assessment	

Section one

Please select as appropriate and provide details where relevant:

In completing this form I am seeking a reduction in research outputs. (Please complete sections two and three).

I would like to be contacted by a member of the HR team to discuss my circumstances and requirements and/or the support provided by Newcastle University. My contact details for this purpose are:

Email	
Telephone	
Preferred method of communication	

Section two

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.

NB Staff who are identified as an early career researcher, junior clinical academic or part-time employee are advised to briefly complete the form below however; these circumstances should be recognised automatically and taken account of in discussions about the REF.

Circumstance	Information required
Early career researcher (started career as an independent researcher on or after 1 August 2009)	Date on which you became an early career research
Information	
Junior clinical academic staff who have not gained Certificate of Completion of Training by 31 October 2013 [only applies to specific units of assessment within Panel A]	<i>Please place a tick in this box if the circumstance applies:</i>
Part time employee	<i>Please place a tick in this box if the circumstance applies:</i>
Information	

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

Section three

In order to ensure individual disclosures are dealt with in a confidential manner the only individuals who will be aware of the specific circumstances of a disclosure are the Chair of Diversity Committee, the designated member(s) of HR, the relevant Dean of Research and the Pro Vice Chancellor for Research and Innovation. The decision of Research Deans will be notified to the relevant Head of Academic Unit, UoA Coordinator and members of the REF Steering Group without specification of the reasons for reaching the decision. The Research Deans will also notify the individual concerned, who will be informed of the right to appeal against this decision.

Please tick to confirm:

- I confirm that the information provided is a true and accurate description of my circumstances and that I am willing to speak to a member of the HR team if necessary.
- I recognise that the information provided will be used for REF purposes and will be seen by the Chair of University Diversity Committee (Professor Vicky Bruce), the designated member(s) of HR, the relevant Dean of Research and the Pro Vice Chancellor for Research and Innovation.
- I realise that it may be necessary to share information with the UK funding bodies' REF team, who may make the information available to REF panel chairs, members and secretaries and/or the Equality and Diversity Advisory Panel. Where permission is not provided Newcastle University will be limited in the action it can take. Further information will be published by HEFCE on the REF website under 'Data Management' <http://www.ref.ac.uk/subguide/datamanagement/>

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

Please submit your completed form to: garry.coupland@ncl.ac.uk

For official use only

Record number	To be allocated by HR
Name of individual with circumstances	
Academic Unit	
Unit of Assessment	
Email	
Telephone	
Preferred method of communication	

This form has been reviewed by HR and contains circumstances which are:

- Clearly defined
 Complex

Where the circumstances are complex, the form has been considered by HR and the Chair of Diversity Committee who has passed the following information to the relevant Faculty Dean of Research:

Brief description of nature and timing of circumstances.	
Explanation of effect on working hours (contracted or otherwise).	

<p>Recommendation regarding extent to which circumstances have constrained the ability to produce four outputs or to work productively throughout the assessment period.</p>	<p><i>Where possible and appropriate, this should include the number of months the circumstance(s) is likely to have prevented the individual from working productively.</i></p>
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Following consideration of the personal circumstances described, the Faculty Dean of Research:

- Will progress the staff member's inclusion in the REF submission with **[insert number]** of research outputs. [Subject to specified institutional criteria as described in the Internal Submission Policy and Code of Practice].

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:

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.

The REF Administrator has been informed of the outcome for monitoring purposes:

- Yes (please tick to confirm)

Appendix G

Equality Profile of Employees Eligible for Submission in the REF 2014

As set out in Paragraphs 77 to 83 of the 'Assessment framework and guidance on submissions'⁹ and in section 7 of this Code of Practice, HEIs must decide which eligible individuals to *select* for submission. Only those staff listed in **one** of the two possible categories, A or C, can be selected for submission to the REF.

The tables below give the equality profiles of REF eligible employees at Newcastle University as at 1st February 2012.

Gender profile of REF eligible employees as at 1st February 2012

	Female		Male		Total	
	No.	%	No.	%	No.	%
HaSS	190	41%	269	59%	459	100%
MedSci	134	33%	277	67%	411	100%
SAGe	44	14%	271	86%	315	100%
Grand Total	368	31%	817	69%	1185	100%

Ethnicity profile of REF eligible employees as at 1st February 2012

	BME		Not Known/refused		White		Total	
	No.	%	No.	%	No.	%	No.	%
HaSS	44	10%	27	6%	388	85%	459	100%
MedSci	16	4%	26	6%	369	90%	411	100%
SAGe	35	11%	13	4%	267	85%	315	100%
Grand Total	95	8%	66	6%	1024	86%	1185	100%

Disability profile of REF eligible employees as at 1st February 2012

	Disabled		Not Disabled		Total	
	No.	%	No.	%	No.	%
HaSS	8	2%	451	98%	459	100%
MedSci	6	1%	405	99%	411	100%
SAGe	11	3%	304	97%	315	100%
Grand Total	25	2%	1160	98%	1185	100%

Age profile of REF eligible employees as at 1st February 2012

	25-34		35-44		45-54		55-64	
	No.	%	No.	%	No.	%	No.	%
HaSS	53	12%	157	34%	135	29%	106	23%
MedSci	27	7%	103	25%	170	41%	103	25%
SAGe	19	6%	92	29%	110	35%	80	25%
Grand Total	99	8%	352	30%	415	35%	289	24%

⁹ The 'Assessment framework and guidance on submissions' (REF 2011.02) is available at www.ref.ac.uk under Publications.

Profile of REF eligible employees by employment status as at 1st February 2012

	Full Time		Part Time		Total	
	No.	%	No.	%	No.	%
HaSS	404	88%	55	12%	459	100%
MedSci	366	89%	45	11%	411	100%
SAGe	297	94%	18	6%	315	100%
Grand Total	1067	90%	118	10%	1185	100%

REF eligible employees by employment status and gender as at 1st February 2012

	Female		Male		Total	
	No.	%	No.	%	No.	%
Full Time	309	29%	758	71%	1067	100%
Part Time(<100%)	59	50%	59	50%	118	100%
Grand Total	368	31%	817	69%	1185	100%

Notes

There are a small number of REF eligible employees who are assigned to the Professional Support Services or “Miscellaneous” Faculty. For purposes of data protection and simplicity these employees have been assigned to the faculty which most closely matches their research discipline.

As at February 2012 the University does not collect or publish information relating to Sexual Orientation, Religion/Belief, or Gender Reassignment other than in the Employee Opinion and other Surveys. Data related to these protected characteristics are therefore not included here.

Source: SAP HR and MyImpacts

1st February 2012

Prepared by Julie Bullimore, Human Resources

Appendix H

Individual Staff Conversation Template

For the purposes of transparency, any formal conversation with individual staff relating to the decision to include or not to include them in the REF 2014 submission must be recorded in writing using the individual staff conversation template. Individual staff will be provided with a copy of the record following each conversation.

Date	
Time	
Location	
Present	

Main points of the discussion

Agreements or actions as a result of the discussion

Signed (Staff Member)	
Signed (Manager)	