

Nottingham Trent University REF 2014 Code of Practice

1. Background Context

- 1.1** It is a HEFCE requirement for the Research Excellence Framework (REF) 2014 that each university “develops, documents and applies a Code of Practice on selecting staff to include in their submissions” (HEFCE REF Document 02.2011 *REF2014: Assessment Framework and Guidance on Submissions*, see Part 4, Paras 187-189). The Code of Practice is expected to take account of the existing University framework of equality and diversity policies, which in turn reflects the equalities legislative context.
- 1.2** This Code of Practice is the REF Code of Practice for Nottingham Trent University. The Code of Practice must be submitted to the REF team on or before 31st July 2012 and the funding bodies will publish all codes alongside all REF submissions at the conclusion of the exercise. Once the Code has been approved by HEFCE it will be published on the REF2014 part of NTU’s Research web pages which all NTU staff have open access to.

The Code that NTU will submit by 31st July 2012 will be examined by the national REF Equality and Diversity Advisory Panel (EDAP). Following advice by EDAP, HEFCE will notify the University by 12th October that the Code either meets REF requirements or HEFCE may request resubmission of the Code by 9th November 2012. In the latter case, HEFCE will notify the University by 4th January 2013 that the Code either meets requirements or, if required, a second resubmission of the code would need to be made by 11th January 2013. HEFCE would then notify the University by 25th January whether or not the Code meets REF requirements. If after two attempts at producing the code the REF Team are not satisfied with the Code, HEFCE reserve the right to inform the University that it is ineligible to enter REF2014.

The Vice-Chancellor of Nottingham Trent University confirms that the University will adhere to this Code throughout the selection and submission process for REF2014.

NTU REF 2014 Timetable

Responsible	Action	Date (2013)
UoACs/Peer groups	Draft submissions and selections (informed by Mock exercise)	26/4
CRC	CRC Sign off on recommendations from UoACs on initial selections	wb 6/5
UoACs	Notification by CRC to UoACs of selections and then communications to all relevant academic staff associated with specific UoACs	by 13/5
UoAC/E&D/ADRs	Appeals a) individual staff circumstances and/or b) processes relating to matters of inclusion and selectivity.	13/5 – 7/6
Staff	Submit REF2 Updates / Special Circumstances Forms	19/7
Special Circumstances Panel	Final Panel Review	wb 2/9
UoACs	Complete submission recommendations	by 6/9
CRC	CRC Sign Off on recommendations from UoACs	wb 9/9
UoACs	Notification of final selections to all relevant academic staff associated with specific UoACs	By 16/9
UoAC/E&D/ADRs	Appeals a) individual staff circumstances and/or b) processes relating to matters of inclusion and selectivity	16/9 – 25/10
URC	URC Sign Off on all individual UoA proposed submissions	wb 28/10
Academic Board	Academic Board Sign Off on all individual UoA proposed submissions	wb 4/11
UoAC's/ Support Teams	Upload Submissions	8/11
UoAC's/ Support Teams/ ADRs	Check submissions	8/11-14/11
ADRs/Support Teams	Submission to HEFCE	15/11/13
	REF Deadline	29/11

2. REF and Equality Considerations

2.1 REF

2.1.1 The Research Excellence Framework (REF) is a periodic exercise conducted nationally to assess the quality of research undertaken in UK universities and to inform the selective distribution of public funds for research by the four UK higher education funding bodies. The Research Selectivity Exercise, as it was originally known, took place for the first time in 1986 and was repeated in 1989. The process was renamed the Research Assessment Exercise for the third exercise in 1992. The fourth, fifth and sixth exercises took place in 1996, 2001 and 2008 respectively. The next exercise - known as REF 2014 - requires that all eligible UK universities make their submission by 29th November 2013.

2.1.2 The REF provides quality ratings for research across all disciplines. These ratings are calculated by peer assessment panels according to how much of the work submitted for assessment is judged to reach national or international levels of excellence. Submissions are sub-divided into subject areas (called 'units of assessment', or UOAs) and for the REF 2014, submissions from universities will be assessed by experts in some 36 units of assessment. The main assessment will take place in 2014, with outcomes to be published in December 2014. The publication of submissions, panel overview reports and sub-profiles will take place in spring 2015. Further information about REF 2014 can be viewed on the [HEFCE REF website](#).

2.1.3 The outcomes of the REF are important to Nottingham Trent University for two main reasons: to provide funding to continue to support its areas of excellent research activity; and as an external indicator of our reputation for research.

2.1.4 The definition of research for REF2014 is at Annex C of the *REF 2014: Assessment Framework and Guidance on Submissions* and states:

1. For the purposes of the REF, research is defined as a process of investigation leading to new insights, effectively shared.
2. It **includes** work of direct relevance to the needs of commerce, industry, and to the public and voluntary sectors; scholarship; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It **excludes** routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of new analytical techniques. It also **excludes** the development of teaching materials that do not embody original research.
3. It **includes** research that is published, disseminated or made publicly available in the form of assessable research outputs, and confidential reports.

2.1.5 The REF 2014 Code of Practice for Nottingham Trent University has been prepared according to HEFCE guidelines, and has been informed by the following documents:

- (i) REF 02.2011 *REF2014: Assessment framework and guidance on submissions*
- (ii) *Research Excellence Framework: Equality briefing for panels*
- (iii) REF 01.2012 *Panel criteria and working methods*
- (iv) *The impact of the process to promote equality and diversity in the Research Assessment Exercise 2008* (Equality Challenge Unit)
- (v) *The difference between codes of practice requirements for the RAE 2008 and the REF 2014* (Equality Challenge Unit)

The Code of Practice outlines the process that will be adopted in Nottingham Trent University with respect to the institutional submission to REF2014 and also describes the roles of those staff involved in managing the process.

The Code will be subject to consultation and approval as is appropriate to the internal processes of the University and the central REF guidance. The Code will be presented and considered at the following committee and governance meetings:

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|-------------------|---|
| (1) 19 April 2012 | PVC and Deans Forum |
| (2) 3 May 2012 | Employee Information & Consultation Forum |
| (3) 11 May 2012 | Disabled Employees Network |
| (4) 21 May 2012 | Senior Management Team |
| (5) 23 May 2012 | University Research Committee |
| (6) 27 June 2012 | Academic Board |

2.1.6 The Code of Practice applies to all those involved in the selection and submission of the University's REF2014 return. It provides a framework within which recommendations and decisions are made. It also sets out how the University will carry out its selection and submission process. The intention, for every unit of assessment for which a return is prepared for the University, is to include those staff whose excellent research will contribute to an overall quality profile consistent with the vision for the University as a thriving teaching and research institution, with the aim of maximising benefit to our reputation and research income that will flow, as a result of the assessment.

2.2 Equality considerations and legislative context

2.2.1 Since the 2008 Research Assessment Exercise, equalities legislation in England, Scotland and Wales has changed significantly with the 2010 Equality Act being granted Royal Assent in April 2010. The implications of the Equality Act, and the funding bodies' requirements in the light of the Act, mean that the equality requirements for the REF2014 are more rigorous than for previous research assessment exercises, with the aim of ensuring that equalities are more fully embedded in the REF framework and process.

The Equality Act introduced the public Equality Duty which means that HEIs must have due regard, in the exercise of their functions, to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

All functions of universities are covered by the Act and more specifically, by the Equality Duty, and this includes the 2014 Research Excellence Framework. It is within this context that the equalities requirements and issues for REF 2014 should be understood. The *Research Excellence Framework: Equality briefing for panels* stresses that the fundamental equality concern of the REF is to ensure that universities submit the work of all excellent researchers, "including those whose individual circumstances significantly constrained their ability to produce four outputs during the REF publication period." (*Research Excellence Framework: Equality briefing for panels* (2011), REF, p2).

The UK higher education funding bodies have a statutory obligation, under the Equality Duty, to advance equality. Following the RAE2008, a review was carried out of the equality measures that were taken in the RAE2008. In light of this, in 2010 the REF Equality and Diversity Advisory Panel (EDAP) was established to advise the REF team and funding bodies on developing appropriate equality measures for the REF2014.

- 2.2.2** In addition to equalities legislation, the Code of Practice needs to be understood within the context of other employment legislation. The introduction of: paternity and adoption leave; the right to request flexible working for those with caring responsibilities for children or adults who are dependent on them; extended maternity leave; and protection for part-time workers and those on fixed-term contracts have all contributed to the creation of a very different kind of working environment within which REF2014 will take place.
- 2.2.3** As a consequence of changes to equalities legislation and employment law, and recommendations from the Equality Challenge Unit and the EDAP, equal opportunities and general equalities concerns should be part of the general criteria for the research exercise and part of each panel's criteria so that they are seen as integral to the whole exercise.

3. Equality principles

3.1 Equality and openness

The processes and criteria utilised in selecting staff for inclusion in REF 2014 submissions will be transparent and openly communicated and published. Eligible individuals will be selected for inclusion on the basis of the quality of their research taking into account the main and sub-panels published criteria for research quality.

All University staff eligible for submission will be treated in accordance with the principles of equality of opportunity as set out in the University's Equality and Diversity Policy. All decisions will be based on merit, with no one being treated less favourably on the grounds of: age; disability; because they are undergoing or have undergone gender reassignment; marriage or civil partnership status; political opinion; pregnancy and/or maternity; race; religion and/or belief; sex; sexual orientation.

In line with the advice set out in the *REF Assessment framework and guidance on submissions* (July 2011) all types of research and all forms of research output shall be assessed on a fair and equal basis. All staff involved in making decisions relating to the REF submissions will be required to adopt assessment processes and criteria that enable them to recognise and treat, on an equal footing,

excellence in research across the spectrum of applied, practice-based and basic/strategic research, wherever that research is conducted.

3.2 Fairness

The University is committed to ensuring that the decision-making associated with its REF submission is fair for all university staff. In accordance with the REF Guidance, the Code of Practice is based on and seeks to demonstrate the principles of transparency, consistency, accountability and inclusivity.

These principles will be achieved by applying a robust and objective decision-making process to all decisions, which will be systematically checked and approved by all relevant individuals and committees before being included in the University's final submission.

3.2.1 Transparency

The Code of Practice has been drawn up and made available in an easily accessible format and will be publicised to all staff across the University. It will be published and accessible on the NTU Staffnet, via eNews and supplemented by individual electronic and hardcopy means.

3.2.2 Consistency

The Code of Practice sets out the principles that will be applied to all aspects and at all stages of the REF process at NTU where decisions will be made.

3.2.3 Accountability

The Code of Practice identifies the individuals and bodies involved in selecting staff for REF submissions, including Academic Board, NTU Research Committee and the NTU REF2014 Staff Circumstances Panel.

3.2.4 Inclusivity

The Code of Practice seeks to promote an inclusive environment by enabling NTU to identify all eligible staff who have produced excellent research for submission to the REF.

3.5 Consideration of Personal Circumstances

All decisions relating to submissions to the REF will be made in accordance with the principles and criteria for inclusion and exclusion as detailed in this Code of Practice. However, there will be personal circumstances which can and should be taken into consideration, as guided by the published criteria for main panels and sub panels. The personal circumstances to be considered are set out in detail in section 8 of the Code.

3.6 Research selectivity and strategic priorities

Submission of researchers to the REF is only one aspect of the contribution of staff to the University's core objectives. The University recognises that research

selectivity is necessary to maximise performance in the Research Excellence Framework (REF2014) and encourage sustainable research outside the remit of the REF process. If a member of academic staff at the University is not submitted in REF2014, it does not mean that he/she is research inactive or will not be supported post REF2014. All staff research will continue to be eligible for institutional support, subject to the University's agreed strategic priorities and available resources.

4. Selection of staff to be included in the REF

4.1 Section 3 outlined the over-arching equalities principles that will be applied consistently at all stages of selection. In selecting staff for submission to REF2014, REF-specific principles and criteria will be applied.

4.2 Selection principles

4.2.1 The following principles will be followed at all stages of selecting staff for the REF submission:

- Eligible individuals will be selected for inclusion on the basis of the quality of their research taking into account the main and sub-panels published criteria for research quality, with decisions being made on the basis of academic judgement.
- Selection methodology will ensure that each UOA submitting to the REF will include the maximum number of staff conducting excellent research.
- All individuals involved in the decision-making processes will have defined responsibilities.
- The operating criteria for all decision-making will be made explicit, and will be applied in line with the equality principles detailed in section 3 of this Code.
- All documentation relevant to the Code of Practice will be readily available and publicised on the Staffnet and other appropriate for a, such as the REF2014 part of NTU's Research web pages.

4.3 Selection considerations and criteria

4.3.1 The selection of staff will be made on the basis of the quality and relevance of research outputs produced and other REF measures of esteem. Cited outputs will be assessed on the basis of the three standard measures of quality put forward by HEFCE for REF2014, specifically originality, significance and rigour. Here, research excellence may take into consideration, in addition to published outputs, research income, research impact, student supervision and other factors deemed to be appropriate indicators of research excellence. Selection methodology will ensure that each UOA submitting to the REF will include the maximum number of staff conducting excellent research (as defined by HEFCE) in order to maximise the performance of the UoA in REF2014. We would seek to include outputs that are 2* quality and above.¹

1. HEFCE have made their policy on the purpose of the REF clear (<http://www.hefce.ac.uk/research/>), last updated on 13th March 2012:

'To sustain our research base against global competition we must recognise and support excellent research financially and foster effective collaboration. HEFCE continues to develop a selective funding system that allocates our grant primarily by reference to robust assessments of research excellence and also works to maintain and develop research infrastructure....'

NTU will strive to ensure, through evidence based analysis, that its selection processes, including the strategy of seeking to submit outputs of 2* and above, does not impact negatively on any of the equality groups. The initial findings of the equality impact assessment on this Code notes that analysis following RAE2008 at a national level indicated that selection processes adopted by HEIs appeared to disadvantage certain groups - women, disabled staff and black staff (not all BME staff)². Analysis of NTU's RAE2008 submission suggests that similar levels of differential selection rates were, to some extent, also evident.

It is expected that the measures put in place both nationally and locally to address previous apparent disadvantage will mitigate any potential disadvantage by any of the equality groups in relation to REF2014. Such processes include - the development and application of a transparent and fair Code of Practice, the implementation of compulsory appropriate equality training for all staff involved in REF2014, clear and thorough communication of the Code (including details of how to declare personal circumstances) and the rigorous application of the process to consider individual circumstances and identify reductions in output by NTU's Staff Circumstances Panel.

However, NTU will closely monitor and test the impact of all aspects of the selection process, including the strategy of seeking to include outputs of 2* and above at key points of the REF process. A mock exercise is being held in December 2012 and full analysis of the data from this exercise will be used to interrogate the impact of a 2* threshold. If disadvantage is identified, then NTU will reassess its strategy and Code of Practice accordingly, so as to address any identified disadvantage.

4.3.2 In judging research excellence and relevance, it is recognised that there will be some variation of approach between units of assessment resulting from:

- REF2014 published panel-specific criteria and working methods;
- Discipline-specific issues either sector-wide or specific to the University.

4.3.3 Each unit of assessment that may be entered into REF2014 will produce a statement of intent giving information about how it will carry out its selection and submission process. The statement of intent will define the specific UOA quality threshold to be used for selection, which may be set at a level higher than that defined in 4.3.1. This document should state criteria to be used to identify which members of staff will be entered into the REF, which members of staff will be making the recommendations (Unit of Assessment Coordinators, College Research Committees etc.) and how members of staff were consulted on the statement. These statements will be submitted to the College Research

Furthermore in their REF publication REF 02.2011 Assessment Framework and guidance on submissions (http://www.hefce.ac.uk/research/ref/pubs/2011/02_11/02_11.pdf) in Part 3 - Impact paragraph 160 'To be eligible for assessment as an impact, the impact described in a case study must have been underpinned by excellent research produced by the submitting unit....'
b. Excellent research means that the quality of the research is at least equivalent to two star: quality that is recognised internationally in terms of originality, significance and rigour'.....

² HEFCE's 2009 publication "Selection of staff for inclusion in RAE2008" p2-3.

Committee for approval. All of the statements for NTU will be subject to scrutiny by the NTU Research Committee and Academic Board.³

- 4.3.4 Submission of four research outputs will be expected from all staff submitted to REF2014, except where it is agreed that individual circumstances have prevented the publication of four outputs of the required quality (see section 8).
- 4.3.5 The criteria for research activity that will qualify individual staff for consideration for inclusion within an individual unit of assessment will be communicated to staff within the relevant unit of assessment, once the relevant College Research Committee has agreed that the way in which the quality threshold will be applied for each unit of assessment is consistent with the Code of Practice.
- 4.3.6 The University may choose not to submit to a particular unit of assessment on the grounds of lack of evidence indicating an appropriate research quality profile and the potential negative effect that a poor submission may have on the institution's reputation. Information used to inform such decisions may include any one or a combination of the following: research outputs, research income, research students and other research staff, lack of critical mass appropriate to the discipline and absence of robust impact case studies. Such decisions will also take into account the wider impact of non-submission on a School, College or the University.

5. Framework for decision-making

- 5.1 The Unit of Assessment Coordinators will recommend Category A research active staff for inclusion in each unit of assessment in accordance with the criteria for inclusion set out in Section 4. Recommendations for all eligible Category A staff will be recorded in a schedule from January 2013. This schedule will continue to be updated until November 2013. The schedule will record the following fields: name; recommendation (*included, currently undecided, excluded*); unit of assessment; and notes (identifying for *currently undecided* issues to be resolved, of whatever kind, before a final recommendation is made and for *excluded*, the reason for this recommendation).
- 5.2 The Unit of Assessment Coordinator will advise individual staff of the recommendation being made about them and for those in the *currently undecided* category, identify the issues that have to be resolved by the output census date of 31st December 2013 for them to be considered for inclusion. These issues may include any of the criteria stated in 4.3, which may include issues both within and beyond those that can be affected by the actions of individuals.
- 5.3 The schedule will be passed to the relevant College Research Committee who will review the recommendations, as per the timetable shown in section 1.2. The CRC will add its own commentary and observations, make a decision on the recommendations and pass these, with the schedules, to the University Research Committee who will be responsible for the final approval of the list of Category A research active staff to be submitted for each unit of assessment. Individual staff will be notified of the final recommendations from the CRC by mid-September (as

³ The University will undertake a mock REF exercise in Autumn 2012. This mock will be used to inform further the quality threshold at individual unit of assessment level and also to refine further the implementation of the Code of Practice.

per the timetable in section 1.2) to allow time for any appeals to be considered prior to final approval of the submissions by the University Research Committee. The timetable for the development of the REF submission by NTU notes that final approval of the submission by the University Research Committee is provisionally set as by the end of October 2013.

- 5.4** Following University Research Committee and Academic Board approval, the College Research Committees will be advised of the University Research Committee's decisions for staff in their College and be responsible for informing staff of the outcome.

6. Roles and responsibilities

6.1 The Pro Vice-Chancellor for Research

The Pro Vice-Chancellor for Research (PVCR) takes formal responsibility, on behalf of the University, for the REF submission process ensuring that the submission meets the requirements set out in the REF July 2011 Assessment framework and guidance on submissions. The PVC chairs the University Research Committee and is responsible to Academic Board and the Vice Chancellor.

6.2 Nottingham Trent University Research Committee

The University Research Committee (URC) is responsible for the final authorisation of decisions on the inclusion and exclusion of staff in the REF submission, taking into account recommendations provided by the College Research Committees. The URC will also oversee the equality impact assessment process and is accountable to Academic Board.

6.3 College Research Committees

The College Research Committees are responsible to the University Research Committee. Their role is to make the decision on the content of the proposed submission and accordingly inform the URC of this decision. Their role includes, scrutinising and undertaking substantive investigation of the recommendations for submissions and ensuring that they are convinced on academic and strategic grounds that the submissions meet the appropriate quality threshold. The CRCs are also responsible for undertaking a mock REF and reporting the outcome of that to the URC. The CRCs represent, and are accountable to, academic staff.

6.4 Associate Deans of Research

The Associate Deans of Research (ADRs) chair the CRCs, and are each responsible to a single Head of Colleges and the Pro Vice Chancellor for Research for the development of the NTU research strategy and its implementation through the Schools' academic planning process. Complaints on the grounds of processes relating to matters of inclusion and selectivity will be passed to an ADR from another College, or his or her nominee, who will investigate the complaint in conjunction with two senior academics from units of assessment outwith the appellant's College.

6.5 Unit of Assessment Coordinators

The Unit of Assessment Coordinators are responsible to the College Research Committees. Their role includes the co-ordination of the REF submission, with the assistance of peer review group/s and reporting the results of this to the College Research Committee. The UOA Coordinators decide on the recommended REF submission, taking advice from peer review group/s. This is then submitted for review and approval by the CRC.

- 6.5.1** The Unit of Assessment Coordinators are responsible for providing feedback on selection decisions to academic staff.

7. Appointment of external advisers

Appropriate expert external advice will be sought for units of assessment which the University is considering submitting to REF2014. This will be undertaken to inform outline plans for the units of assessments' submissions.

8. Treatment of individual circumstances

- 8.1** In line with the *REF2014: Assessment framework and guidance on submissions* (July 2011) document, the *Research Excellence Framework: Equality briefing for panels* (July 2011) document and generic statements in the REF panel and sub-panel criteria, the University will take into account any circumstances of individual staff that have significantly adversely affected their contribution to the submission.
- 8.2** All decisions made relating to submissions to the REF will be made in accordance with the principles and criteria for inclusion and exclusion as detailed in this Code of Practice. In the event that fewer than four outputs meeting the required quality threshold are cited for an individual, staff may nonetheless be included provided that individual staff circumstances have been identified which fall within those set out as being relevant in the equalities guidance issued as part of the REF2014 process.
- 8.3** The REF 02.2011 *Assessment framework and guidance on submissions* document, especially paragraphs 88 to 100, and the REF 01.2012 *Panel criteria and working methods* pages 9-12 detail the personal circumstances which can and should be taken into consideration.
- 8.4** The REF guidance identifies **clearly defined personal circumstances** and **complex personal circumstances** as different categories of circumstances under which considerations about a reduction in submissions should be made.
- 8.5** In order to identify complex personal circumstances all staff at NTU eligible for return in REF2014 are being strongly advised to complete the staff disclosure form (Appendix C). This form will be sent to all staff individually. The form will also be published on Staffnet. Where staff may be absent from the University (for example because of maternity leave, sickness absence or sabbatical) appropriate steps will be taken to ensure that all such staff receive a copy of the Code of Practice and a copy of the Individual Staff Disclosure Form.
- 8.6** The University has convened a Staff Circumstances Panel to consider all declared individual circumstances. This panel will review each case where special circumstances are claimed in respect of REF2014 and decide upon the relevance

or otherwise of such claims. The panel will operate with strict confidentiality and report all cases anonymously to the University Research Committee.

8.7 Clearly defined personal circumstances

Clearly defined personal circumstances are:

- Qualifying as an early career researcher;
- Absence from work due to part-time working, secondments or career breaks;
- Qualifying periods of maternity, paternity or adoption leave;
- Other circumstances that apply in UOAs 1-6.

8.7.1 Qualifying as an early career researcher

Table 1 sets out the permitted reduction in the assessment for early career researchers who meet this definition.

Table 1: Early career researchers: permitted reduction in outputs (REF 01.2012 p11)

Date at which the individual first met the REF definition of an early career researcher:	Number of outputs may be reduced by up to:
On or before 31 July 2009	0
Between 1 August 2009 and 31 July 2010 inclusive	1
Between 1 August 2010 and 31 July 2011 inclusive	2
On or after 1 August 2011	3

8.7.2 Absence from work due to part-time working, secondments or career breaks

Table 2 sets out the permitted reduction in outputs without penalty in the assessment for absence from work due to:

- (1) part-time working;
- (2) secondments or career breaks outside of the higher education sector, and in which the individual did not undertake academic research.

Table 2: Part-time working, secondments or career breaks: permitted reduction in outputs (REF 01.2012 p11)

Total months absent between 1 January 2008 and 31 October 2013 due to working part-	Number of outputs may
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time, secondment or career break:	be reduced by up to:
0-11.99	0
12-27.99	1
28-45.99	2
46 or more	3

8.7.3 Qualifying periods of maternity, paternity or adoption leave

Staff may reduce the number of outputs by one for each discrete period of:

- (1) statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2008 to 31 October 2013, regardless of the length of the leave;
- (2) additional paternity⁴ or adoption leave lasting for four months or more, taken substantially during the period 1 January 2008 to 31 October 2013.

8.7.4 Other circumstances that apply in UOAs 1-6

In UOAs 1-6, the number of outputs may be reduced by up to two, without penalty in the assessment, for the following:

- (1) Category A staff who are junior clinical academics. These are defined as clinically qualified academics who are still completing their clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or its equivalent prior to 31 October 2013.
- (2) Category C staff who are employed primarily as clinical, health or veterinary professionals (for example by the NHS), and whose research is primarily focused in the submitting unit.

Where an individual has one or more circumstances with a clearly defined reduction in outputs, the number of outputs that may be reduced will be determined according to tables 1 and 2.

8.8 NTU staff declaring clearly defined circumstances or no circumstances should submit this information using the Individual Staff Disclosure Form to their Unit of Assessment Coordinator. The Unit of Assessment Coordinators will then liaise with the University Staff Circumstances Panel to review the detail of the disclosure.

8.9 Complex personal circumstances

Complex circumstances are circumstances that require a judgement about the appropriate reduction in outputs. Where staff have had one or more complex circumstances – including in combination with any circumstances with a clearly

⁴ 'Additional paternity or adoption leave' refers to leave of up to 26 weeks which is taken to care for a child where the person's spouse, partner or civil partner was entitled to statutory maternity leave or statutory adoption leave, and has since returned to work. The term 'additional paternity leave' is often used to describe this type of leave although it may be taken by parents of either gender. For the purposes of the REF this leave is referred to as 'additional paternity or adoption leave' (REF 01.2012 p.11).

defined reduction in outputs - NTU will make a judgement on the appropriate reduction in the number of outputs submitted, and provide a rationale for this judgement.

Complex circumstances that require a judgement about the appropriate reduction in outputs are:

- i. Disability;
- ii. Ill health or injury;
- iii. Mental health conditions;
- iv. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that falls outside of – or justify the reduction of further outputs in addition to - the allowances made for qualifying periods of maternity, paternity or adoption leave;
- v. Other caring responsibilities (such as caring for an elderly or disabled family member);
- vi. Gender reassignment;
- vii. Other circumstances relating to the protected characteristics listed at paragraph 90 of 'guidance of submissions' or relating to activities protected by employment legislation.

8.10 *All staff eligible for return in the 2014 REF assessment are strongly advised to complete the Individual Staff Disclosure Form. This form can be found in Appendix C, and will also be sent to all staff individually. The form will also be publicised on Staffnet and other appropriate fora. Where staff may be absent from the University (for example because of maternity leave, sickness absence or sabbatical) appropriate steps will be taken to ensure that all such staff receive a copy of the Code of Practice and a copy of the Individual Staff Disclosure Form.*

8.11 All submitted complex circumstances are required to be considered by the national REF Equality and Diversity Advisory Panel (EDAP). The NTU Staff Circumstances Panel is responsible for the liaison between the University and EDAP in this regard. EDAP will make recommendations about the appropriate number of outputs that may be reduced without penalty to the relevant main panel chairs, who will make the decisions. The relevant sub-panels will then be informed of the decisions and will assess the remaining outputs without any penalty.

8.12 The process by which NTU staff disclose information relation to both clearly defined and complex circumstances involves completion of the Individual Staff Disclosure Form. A copy of this form can be found at Appendix C and will be made available to all staff.

8.13 Staff declaring complex circumstances should submit the form and any related information to Rashmi Patel, who is a member of the NTU Staff Circumstances Panel and HR Manager for the College of Arts and Science, by email at rashmi.patel@ntu.ac.uk. All submitted declarations will then be anonymised and considered by the University Panel. The decision of the Panel on individual declarations will be communicated to the individual. The relevant Unit of Assessment Coordinator will be informed that following consideration of the NTU Staff Circumstances Panel a member of staff within their unit is eligible to be returned to REF with the agreed reduction in outputs.

8.14 In circumstances where individual members of academic staff are to be included in a submission with fewer than four outputs, for reasons set out above, the relevant member of staff will be consulted on the inclusion of information in the submission which relates to their personal circumstances.

9. Fixed-term and part-time staff

9.1 In line with both the University's Equality and Diversity Policy and legal requirements, fixed-term and part-time staff, including contract research staff, are afforded the same opportunities to participate in the REF and be offered the same level of support and advice in relation to it as full-time members of staff.

10. Training

10.1 All staff involved in decision-making regarding REF submissions have received training in equality and diversity in order to ensure they have a suitable level of understanding of the University's equality and diversity policies, the University's statutory equality duty, the Code of Practice for preparation of REF submissions and the relevant legislative context, including Data Protection issues.

The University has designed and delivered two tiers of equality and diversity training for REF2014. The first tier was a blended learning module on equality and diversity and the second tier made use of national Equality Challenge Unit (ECU's) REF specific training materials released in April 2012. All staff involved with the REF submission at NTU have attended the relevant equality and diversity training. This includes:

- Members of the REF Project Group
- Unit of Assessment Coordinators
- Members of College Research Committees
- Members of the NTU Staff Circumstances Panel
- Any members of staff managing or administrating REF data or processes

10.2 The University's Equality and Diversity function will maintain a comprehensive record of the equality and diversity training attended by staff involved in decision-making regarding REF submissions and will provide customised training, development and on-going support and advice.

11. Monitoring

11.1 For each unit of assessment submitted to REF2014, institutions will be required to report to HEFCE on submissions by the protected equality groups. This information will be collated by the corporate HR department.

11.2 The corporate HR department will provide statistical data and analysis to the University Research Committee based on the decisions on returners and non-returners on a School, College and University-wide basis on the grounds of a protected characteristic. The University Research Committee will consider this information and in any areas where there may be a concern, will request further

investigation takes place. The University Research Committee will receive a report of the outcome of the investigation and will determine the appropriate course of action. The University's Equal Opportunities Advisory Group will also receive these reports.

12. Equality impact assessment

- 12.1** As part of the University's ongoing commitment to mainstreaming equality, the University has developed a process for carrying out equality impact assessments. This process facilitates a systematic analysis of the effects of a policy or practice to determine whether it has a differential impact on a particular equality group.
- 12.2** The UK funding bodies require an equality impact assessment (EIA) to be carried out on the policies and procedures used for selecting staff for REF2014. This EIA should inform the Code of Practice and be reviewed throughout the REF submission.

The EIA is being undertaken by a designated group (see Appendix I) who will report to the University Research Committee. The group has been constituted so as to ensure that the appropriate range and depth of expertise is represented within the group. The EIA is an evidence based assessment of the policies and procedures, as detailed in the Code of Practice, that NTU will use as part of REF2014. It is informed by both data and consultation with eligible staff to ensure that the NTU selection process does not include any barriers to submission of staff from the protected equality groups.

The EIA was initiated at the point of developing the Code of Practice and has informed the Code at key points. For example:

- (1) **Data analysis** – one of the sources used for data analysis in the initial stages of the EIA was the existing equality data of academic staff. NTU historically has a low rate of disclosure and analysis for the EIA demonstrated that a coherent and multi-staged strategy would be needed to ensure that we had as full an equality data profile as possible to make meaningful equality analysis of returns in both mock exercises and the final REF2014 submission. Accordingly, a strategy has been developed that is significantly improving the rates of equality data disclosure.
- (2) **Consultation** – consultation for the EIA stressed the need for strict confidentiality of all disclosed data relating to declaring personal circumstances. This in turn has informed and reinforced our approach to the route for submitting staff circumstances forms and the processes by which the University's Staff Circumstances Panel will consider each form and each Unit of Assessment Coordinator informed of any agreed reduction in outputs.
- (3) **Training** – the EIA has also helped inform the approach the University has taken to REF equality training. We have developed a 2 tiered approach to training to ensure that all staff involved with the REF have a detailed and appropriate knowledge of equality legislation and good practice. The initial stage of the EIA made it clear that a sophisticated understanding of possible barriers experienced by some of the equality groups would be needed to inform key decisions, especially around output reductions. The second round of training will comprise the ECU training package for the REF.
- (4) **Communication** – the EIA clearly identified the need to have a comprehensive and rigorous communication strategy that would ensure that all staff receive timely and full details of the Code of Practice and especially of the process for declaring individual staff circumstances. As a result of this, a consistent University-wide strategy has been implemented to ensure that all

staff are informed of the relevant information by a number of means. The Equality and Diversity Team have identified, using the appropriate University systems, all staff absent from the University for reasons such as maternity leave, long-term illness and sabbatical. All such members of staff are being contacted via their registered home address to help ensure that no staff are disadvantaged by absence from the workplace.

The EIA is a living document and will detail any changes and developments to the implementation of the Code of Practice and other relevant issues up to the point of the REF submission. Also anything highlighted in the EIA as it develops, as potentially problematic for any of the equality groups (for example, following a mock exercise) may necessitate appropriate changes or amendments to the Code and/or its implementation.

The EIA, as is standard, has analysed the potential negative and positive impact of NTU's Code of Practice in relation to all nine of the protected equality groups. Post RAE2008 analysis revealed different selection rates for staff by gender, ethnicity and disability status. NTU remains aware of this and the potential for this to happen again. However, the equalities measures introduced by HEFCE, informed by the Equality and Diversity Advisory Panel and ECU, on qualifying reductions of output and the conditions which might give rise to these outputs, mitigate against discriminatory differential selection. As these reductions and the surrounding framework are HEFCE's and the REF Group's response to its identified concerns about differential selection rates, NTU will be following HEFCE's guidance closely. NTU will rigorously interrogate all data available, as part on the ongoing EIA, to ensure that no member of staff experiences barriers to selection on the basis of membership of the protected equality groups. As noted in 4.3.1, NTU's Staff Circumstances Panel has been constituted as a key way to ensure the rigour of this process.

The EIA will be published externally after the REF2014 submission has been made.

- 12.3** The University Research Committee will consider the assessment emerging from the EIA process and in any areas where there may be a concern they will request further investigation takes place into the issue. The University Research Committee will receive a report of the outcome of the investigation and will determine the appropriate course of action. The University's Equal Opportunities Advisory Group will also receive these reports.

13. Complaints and appeals

- 13.1** An individual has the right to appeal against a decision on the grounds of a) individual staff circumstances, e.g. that an individual's circumstances do not warrant any reduction in output and/or b) processes relating to matters of inclusion and selectivity.

If an individual wishes to appeal on grounds of a) individual staff circumstances they should submit a letter in writing clearly stating the reasons for their decision to appeal. This letter should be addressed to the Pro Vice-Chancellor (Academic), Professor Chris Pole. Professor Pole will investigate the complaint in conjunction with Claire Robbins (Human Resources Manager for the College of Art, Design and Built Environment) and Cathy Marshall (Equality and Diversity Data Officer). All three are completely independent of the REF process, having no involvement in the planning, development or selection process associated with NTU's REF return. They will, however, attend the NTU's full schedule of equality and diversity training for REF2014.

If an individual wishes to make an appeal on the grounds of b) processes relating to matters of inclusion and selectivity they should submit a letter in writing to the relevant College Research Support Team. The letter of appeal should make clear how their activity in the relevant period meets the threshold published within the University Code of Practice or by the individual units of assessment. The College Research Support Team will pass the appeal to an ADR from another College, or his or her nominee, who will investigate the complaint in conjunction with two senior academics from units of assessment outwith the appellant's College.

Appeals on both grounds a) and b) must be made within five working days from when the relevant decision has been notified to an individual. Appeals will be considered as detailed above and a response will then be provided within ten working days.

An appeal cannot be made against a decision to exclude an individual from REF on grounds of failure to meet the threshold criteria for selection based on academic judgements.

14. Further Information and summary of links

[HEFCE REF2014 Website](#)

[REF2014 Assessment Framework and Guidance on Submissions](#)

[ECU Guidance on Developing a Code of Practice](#)

[REF2014: HEFCE Equality Briefing for Panels](#)

[NTU Research Web pages](#)

[NTU Research Strategy](#)

APPENDICES

NTU Terms of Reference and Membership:

Appendix A: Academic Board

Appendix B: NTU University Research Committee

Appendix C: NTU Staff Circumstances Panel

Appendix D: CAS College Research Committee

Appendix E: CBLSS College Research Committee

Appendix F: CADBE College Research Committee

Appendix G: Employee Information and Consultation Forum

Appendix H: Disabled Employees Network

Appendix I: Equality Impact Assessment Group

Prepared on behalf of the office of the Pro Vice Chancellor for Research and Head of The College of Arts and Science, Professor Yvonne Barnett.

Appendices:

- Appendix A: Academic Board Terms of Reference and Membership
- Appendix B: NTU University Research Committee Terms of Reference and Membership
- Appendix C: NTU Staff Circumstances Panel Terms of Reference and Membership, and *Individual Staff Circumstances Disclosure Form*
- Appendix D: CAS College Research Committee Terms of Reference and Membership
- Appendix E: CBLSS College Research Committee Terms of Reference and Membership
- Appendix F: CADBE College Research Committee Terms of Reference and Membership
- Appendix G: Employee Information and Consultation Forum Terms of Reference (includes Membership)
- Appendix H: Disabled Employees Network Terms of Reference (includes Membership)
- Appendix I: Equality Impact Assessment Group

Appendix A: **Academic Board Terms of Reference and Membership**

A. Terms of reference

The principal responsibilities of the Academic Board are drawn from the Instrument and Articles of Government confirmed by the Privy Council in March 1993 and detailed below.

In essence, the Academic Board is the senior academic committee of the University, with a range of responsibilities relating to the organisation of learning and teaching, research, scholarship, standards, students and programmes and advising the Vice-Chancellor on academic matters.

Subject to the provision of these articles, to the overall responsibility of the Board of Governors and to the responsibilities of the Vice-Chancellor, the Academic Board shall be responsible for:

1. policy issues relating to the research, scholarship, learning, teaching and programmes at the University, including criteria for the admission of students; the appointment and removal of internal and external examiners; policies and procedures for assessment and examination of the academic performance of students; the content of the curriculum; academic standards and the approval, monitoring and review of programmes; the award of, and the procedures for the award of, qualifications and academic titles which, in the case of honorary awards, shall be subject to confirmation by the Board of Governors; agreements with other validating and accrediting bodies, including professional institutions and other education providers; the overview of all collaborative provision entered into by the University;
the procedures for the expulsion of students for academic reasons (such responsibilities shall be subject to the requirements of validating and accrediting bodies);
2. considering the development of the academic activities of the University and the resources needed to support them, and for advising the Vice-Chancellor and Board of Governors thereon;
3. advising on such other matters as the Board of Governors or the Vice-Chancellor may refer to the Academic Board.

The Academic Board may establish and disestablish such committees, as it considers necessary to enable it to carry out its responsibilities, provided that the establishment of any such committees and their terms of reference are first approved by the Vice-Chancellor and the Board of Governors. The number and nature of members of any such committee, the method by which they are to be elected or appointed, and the terms on which they are to hold and vacate office shall be determined by the Academic Board.

6 of 28/October 2010

B. Membership

In accordance with the Instrument and Articles of Government, there shall be an Academic Board of no more than 34 members, comprising the Principal (Vice-Chancellor) (who shall be chairman) and such other numbers of staff and students as may from time to time be determined by the Academic Board subject to approval by the Board of Governors. The Vice-Chancellor may nominate a Deputy Chair from among the members of the Academic Board to take the chair in his place. The period of appointment of members and the selection or election arrangements shall be subject to the approval of the Board of Governors.

- Ex-officio members:
 - the Vice-Chancellor (Chair),
 - the Pro-Vice Chancellor (Research),
 - the Pro Vice-Chancellor (Academic),
 - Pro Vice-Chancellors and Heads of Colleges,
 - Deans of School,
 - Registrar (Secretary to the Board),
 - Director of Academic Development,
 - Director of Libraries and Knowledge Resources.

- student representatives.
- One member of the teaching staff of each School elected for 3 years by the teaching staff of that School.
- Two members of teaching staff elected for 3 years by the teaching staff of the University.
- One member of the permanent professional services staff elected for 3 years by the permanent professional services staff as a whole.
- In attendance by invitation:
 - Chief Financial and Operations Officer, Head of Student Support Services.
 - Minute secretary.

7 of 28/October 2010

Appendix B:

Nottingham Trent University Research Committee Terms of Reference and Membership

Terms of Reference

1. To develop the NTU Research Strategy and an implementation plan to promote high quality sustainable research and associated translational activities, in accordance with the NTU Strategic Plan;
2. To monitor and regularly report to Academic Board on research activities within NTU;
3. To receive regular reports on the preparations of submissions to The Research Excellence Framework;
4. To ensure that research and translational activities within NTU are well publicised;
5. To develop, promote and monitor the NTU Code of Practice on Research Ethics;
6. To receive regular reports from the College Research Committees;
7. To receive regular reports from The NTU Graduate School and The NTU Research Degrees Committee;
8. To advise Academic Board on research policy and procedures;
9. To advise Academic Board on trends and developments in research.

This Committee will establish Working Groups to support the further development of research and its translation. It will have two Working Groups associated with it, in the first instance;

1. The Unit of Assessment Co-ordinators Working Group – primary focus on REF related activities, supported by PVC R, ADRs and others from The REF Project Management Group ;
2. The Research Co-ordinators Working Group – primary focus to support PVC R, ADRs, Deans and The URC to establish an action plan to deliver on the NTU Research Strategy.

In addition, for the purpose of achieving an institutional submission for consideration by The Research Excellence Framework, a REF Project Management Group has been established.

Membership of NTU University Research Committee

Professor Yvonne Barnett, Pro Vice Chancellor Research, Chairperson
Dr Stephanie Walker, Associate Dean for Research, BLSS
Professor Wayne Cranton, Associate Dean for Research, CAS
Professor Marjan Sarshar, Associate Dean for Research, CADBE

Professor Martyn Bennett, Head of The NTU Graduate School
One Unit of Assessment Co-ordinator or equivalent per College
One School Research Co-ordinator per College
One Dean per College

Mr Cliff Neal, LLR
Ms Ann Meredith, CPLD
Representative from Integrated Marketing
Dr Jeremy Hague, Business Innovation
Dr Esther Rodriguez, Grant Capture Manager

Observers

Professor Neil Gorman, Vice Chancellor
Professor Chris Pole, Pro Vice Chancellor Academic

The Committee has the right to invite others to contribute to its business activities.

Appendix C:

NTU REF2014 Staff Circumstances Panel Terms of Reference and Membership

Panel membership:

- Professor Martyn Bennett – Chair
- Rachel Riddell – Human Resources Director
- Professor Andrea Nollent – Dean of Nottingham Law School
- Rashmi Patel – College of Arts and Science Human Resources Manager
- Dr Angie Pears – Deputy Equality and Diversity Manager
- Unit of Assessment coordinator
(Selected from a pool of one UOA per school (therefore nine) to examine each case selection dependent upon school)

Terms of reference:

1. To be in place by the December 2012 REF mock exercise to the point of NTU's REF submission in support of the Equality and Diversity provisions within REF 2014
2. To work within the guidance of the University's REF 2014 Equality and Diversity Code of Practice.
3. To receive and consider cases where special circumstances are claimed in respect of REF 2014.
4. To decide upon the relevance or otherwise of such claims.
5. To inform person making the case, the relevant Associate Dean of Research and Unit of Assessment Coordinator of the decision in writing within 21 working days of receipt of the claim.
6. To receive reports from Unit of Assessment Coordinators of decisions made on cases brought to their attention which did not merit bringing to the full panel.
7. To record and archive the decisions.
8. To report the final outcomes to the University Research Committee.

Process.

1. The case for consideration should be made to Rashmi Patel, Human Resources Manager for College of Arts and Science.
2. The case to consist of (in electronic format) the completion of an individual staff circumstances disclosure form (see below) which will provide documentation supporting the grounds of the case.
3. Rashmi Patel to forward the case to the chair of the panel.
4. The chair to ensure circulation of the electronic submission to the panel.
5. The panel to meet and deliberate the cases and make a decision upon each of them, providing a written justification for communication and archiving.
6. The panel then reports on all cases anonymously to URC.

Nottingham Trent University

REF 2014

Individual staff circumstances disclosure form

Name	
Department	
Unit of Assessment (<u>eg A8, C16</u>)	

Section one:

All academic staff are asked to complete, sign and return this form by 11th February 2013.

Please select one of the following:

1. I have individual circumstances such as those set out in the NTU REF2014 Code of Practice. In completing this form I recognise that I will be considered for **eligibility** for a potential reduction in research outputs.
(Please note that once eligibility for any reduction has been determined and communicated to you and your Unit of Assessment Coordinator, decisions on whether any actual reduction is made will depend on a variety of factors. If staff have four outputs of sufficient quality they may still be submitted with no reduction. Whether or not eligible reductions are to be utilised, staff will not be selected on the basis of the **number** of research outputs, only on the **quality** of these. There is no disadvantage to staff of having potential output reductions assigned to them. If you have individual circumstances, please do disclose them.) *Please proceed to section two below.*

2. I have no individual circumstances such as those set out in the NTU REF2014 Code of Practice, and would not therefore be eligible for any potential reduction in research outputs. *Please proceed to page four to sign the form, then scan and return it.*

3. I prefer not to say whether or not I have individual circumstances such as those set out in the NTU REF2014 Code of Practice. I recognise that this means there will be no potential for any reduction in research outputs and also that NTU will not be aware of any circumstances I may have, either in relation to REF or to my employment. *Please proceed to page four to sign the form, then scan and return it.*

Section two:

- Please read all of the following sections and leave blank any that do not apply to you.
- Please provide information required on relevant circumstance/s and continue onto a separate sheet of paper if necessary.
- Please see www.ntu.ac.uk/REF2014staff for additional information and guidance if required.

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

CIRCUMSTANCES

Early career researcher (started career as an independent researcher on or after 1 August 2009)	
PLEASE COMPLETE ALL THREE BOXES BELOW.	
Date on which you first held a contract of employment of 0.2 FTE or greater, which included a primary employment function of undertaking 'research' or 'teaching and research', with any HE or other organisation, whether in the UK or overseas (please give approximate date where exact is unknown).	
Date on which you first undertook independent research (leading or acting as principal investigator OR equivalent, on a research grant OR significant piece of research work – which, for example, lead to a research publication, conference presentation, or grant application. A PhD is not counted as independent research for the purposes of REF). NB: This date may be the same as that in the above box. Please still include it if so. If it is not, please explain in the box below why they differ.	
<i>Please provide brief details of your career history including why you did not, prior to the above date, meet the definition of an early career researcher. This could be either by stating the nature of your contract/s (which did not meet the definition at paragraph 85a of REF 02.2011), or by outlining how/why your work did not include independent research (as per the definition at 85b). Please briefly describe the nature of your first independent research activity and indicate whether any evidence may be available as to the start date of this, eg bids, emails, PDCR extracts.</i>	

Part time employee
<i>Please provide the start and end dates and the FTE for each period between 1 January 2008 and 31 October 2013 in which you worked part-time, and state the equivalent 'months absent' for each period (unworked fte multiplied by duration in months). These must be 'absences' in which you were neither working in the higher education sector (in any role, even if there was no research component to your contract/s), nor undertaking academic research at any other organisation.</i>

Career break or secondment outside of the higher education sector
<i>Please provide the start and end dates, and state the equivalent 'months absent' for each period. Please provide sufficient information about the career break or secondment (for example, the name of the organisation seconded to and the job role) to confirm that you were neither working in the higher education sector nor undertaking academic research.</i>

Maternity leave, statutory adoption leave, or additional paternity leave (taken by partners of new mothers or co-adopters)
<i>For each period of leave, please state which type of leave was taken and the dates and duration in months.</i>

Disability (including conditions such as cancer and chronic fatigue)
<i>Please provide details of the impact on your ability to fulfil contractual hours and other impacts on ability to undertake research. Please provide dates and duration in months of absence and/or disruption to your research activities.</i>

Mental health condition
<i>Please provide details of the impact on your ability to fulfil contractual hours and other impacts on ability to undertake research. Please provide dates and duration in months of absence and/or disruption to your research activities.</i>

Ill health or injury
<i>Please provide details of the impact on your ability to fulfil contractual hours and other impacts on ability to undertake research. Please provide dates and duration in months of absence and/or disruption to your research activities.</i>

Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare in addition to the period of maternity, adoption or additional paternity leave taken.
<i>Please provide details of the impact on your ability to fulfil contractual hours and other impacts on ability to undertake research. Please provide dates and duration in months of absence and/or disruption to your research activities.</i>

Other caring responsibilities (including caring for an elderly or disabled relative)
<i>Please provide details of the impact on your ability to fulfil contractual hours and other impacts on ability to undertake research. Please provide dates and duration in months of absence and/or disruption to your research activities.</i>

Gender reassignment
<i>Please provide details of the impact on your ability to fulfil contractual hours and other impacts on ability to undertake research. Please provide dates and duration in months of absence and/or disruption to your research activities.</i>

Other exceptional and relevant reasons, not including teaching or administrative work
<i>Please provide details of the impact on your ability to fulfil contractual hours and other impacts on ability to undertake research. Please provide dates and duration in months of absence and/or disruption to your research activities.</i>

Section three:

By signing this form you acknowledge and agree that: -

- The information provided is a true and accurate description of your circumstances.
- The information provided on this form, together with any verifying information and / or medical advice (for which see further below), may be seen by members of the NTU Staff Circumstances Panel and the NTU Graduate School on an anonymous basis, and by the HR team including the Equality and Diversity team prior to being anonymised;
- The information provided on this form may need to be verified against records held by the University to date (for example, to confirm absence dates or review any medical reports / information currently held by the University);
- The University may request that you attend an appointment with Occupational Health or other medical adviser or give it permission to contact your General Practitioner if further advice is required;
- You have obtained the explicit consent of each third party whose personal data you have provided on this form (including any personal data relating to family members) to disclose their personal data to us and to the persons or teams specified in this form for the purposes set out in this form;
- Whilst the principal purpose in providing this information is for submission to REF 2014, the University may need to contact you, (and possibly require further medical information by way, for example, of an Occupational Health assessment), to discuss what impact, if any, it has on your ability to carry out your day to day role. The purpose of this is to ensure that the University is fully supporting you in your role. You are encouraged to contact your local HR office if you would like to discuss your circumstances, and/or the support provided by NTU in relation to these.
- 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. You recognise that if a joint submission is made, information may be shared with another institution.
- It is your right to refuse the sharing of any information as set out above, or to refuse attendance of any medical assessments requested. However, please note that if you do so, the University will only be able to make a decision based on the information in its possession.

Signature:

Print name (in block capitals):

Date:

PLEASE SUBMIT THIS FORM IN BOTH PDF FORMAT (including signature) and electronic MS WORD format (with circumstances typed in) as follows:

Option 1 or 3 (circumstances to disclose, or prefer not to say) to:

rashmi.patel@ntu.ac.uk

Option 2 (no circumstances) to College Research offices:

- College of Art, Design and the Built Environment: ADBResearchTeam1@ntu.ac.uk
- College of Arts and Science: AASCollegeREF2014@ntu.ac.uk
- College of Business, Law and Social Sciences: blsref@ntu.ac.uk

For official use only

Following consideration of the personal circumstances described above, the NTU REF2014 Staff Circumstances Panel:

- Will progress communication to the staff member and their Unit of Assessment Coordinator that they would be eligible for inclusion in the REF submission with [] or more research outputs (subject to specified institutional criteria). Rationale for the proposed number of outputs:

- Requires further information of the circumstances described as follows:

- Does not find evidence to support 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 this staff member, who is known to the NTU REF2014 Staff Circumstances Panel by ID number [], wishes to appeal against the decision of the Panel they will need to do so within five working days of receiving notification of this decision. Details of the appeals process can be found in paragraph 13.1 of the NTU REF Code of Practice which is available at www.ntu.ac.uk/ref2014staff.

Signature: Date:
Professor Martyn Bennett, Chair of the NTU REF2014 Staff Circumstances Panel

Appendix D:

College of Arts & Science College Research Committee (CRC) Terms of Reference and Membership

Terms of Reference 2011/2012

1. To contribute to the development of the University-wide research strategy and governance of research;
2. To formulate a College-wide research plan, drawn from the plans of the constituent Schools;
3. To guide, support and monitor the implementation of the research strategy of the College and constituent schools through appropriate benchmarks, standards and targets;
4. To receive regular reports, monitor and guide the College submissions to the Research Excellence Framework (REF) and any subsequent UK research quality assessment procedures;
5. To guide and inform, where appropriate, the promotion of intra-College and inter-College research collaboration and grant capture;
6. To monitor the implementation of the research ethics policies of the University at School and College level;
7. To receive and respond to strategic documents and reports from the constituent Schools, the College and the University;
8. To set up working groups, as necessary, to support and accomplish aspects of research development and governance within the College.

Membership

- Associate Dean for Research (Chair)
- Head of College
- Deans of Schools
- School Research Coordinators
- REF UOA Coordinators
- College Business Manager
- Chair of the College Research Ethics Committee
- Senior Administrator (Research) as Secretary

The Committee has the right to invite others to contribute to its business activities.

Appendix E:

College of Business, Law and Social Sciences College Research Committee (CRC) Terms of Reference and Membership

Terms of Reference

1. To contribute to the development of the University-wide research strategy and governance of research;
2. To formulate a College-wide research plan, drawn from the plans of the constituent Schools;
3. To guide, support, govern and monitor the implementation of the research strategy of the College and constituent Schools through appropriate benchmarks, standards and targets;
4. To receive regular reports, monitor and guide the College submissions to the Research Excellence Framework (REF) and any subsequent UK research quality assessment procedures;
5. To guide and inform, where appropriate, the promotion of intra-College, inter-College and external research collaboration and grant capture;
6. To monitor the implementation of the research ethics policies of the University at School and College level;
7. To receive and respond to strategic documents and reports from the constituent Schools, the College and the University;
8. To set up working groups, as necessary, to support and accomplish aspects of research development and governance within the College.

Membership

- Associate Dean (Research) in the College (ex-officio) as chair
- Head of College
- Deans of Schools
- School Research Coordinators
- REF UOA Coordinators
- Professoriate representation (1 per School)
- College Research Development Manager/ Officer or equivalent
- Senior Administrator (Research) as Secretary

The Committee has the right to invite others to contribute to its business activities.

Appendix F:

College of Art, Design and Built Environment College Research Committee (CRC) Terms of Reference and Membership

Terms of Reference

1. To contribute to the development of the University-wide research strategy and governance of research;
2. To formulate a College-wide research plan, drawn from the plans of the constituent Schools;
3. To guide, support, govern and monitor the implementation of the research strategy of the College and constituent Schools through appropriate benchmarks, standards and targets;
4. To receive regular reports, monitor and guide the College submissions to the Research Excellence Framework (REF) and any subsequent UK research quality assessment procedures;
5. To guide and inform, where appropriate, the promotion of intra-College, inter-College and external research collaboration and grant capture;
6. To monitor the implementation of the research ethics policies of the University at School and College level;
7. To receive and respond to strategic documents and reports from the constituent Schools, the College and the University;
8. To set up working groups, as necessary, to support and accomplish aspects of research development and governance within the College.

Membership

- Associate Dean (Research) in the College (ex-officio) as chair
- Head of College
- Deans of Schools
- School Research Coordinators or equivalent
- REF UOA Coordinators
- Professoriate representation (minimum 1 per School)
- College Research Development Manager/ Officer or equivalent
- PGR Tutors
- Senior Administrator (Research) as Secretary

In addition, the Committee has the right to invite others to contribute to its business activities.

Appendix G:

Employee Information and Consultation Forum Terms of Reference

1. Purpose

- 1.1 The purpose of the Employee Information and Consultation Forum is to provide a regular and effective forum for the exchange of information and ideas between representatives of employees and management. It is also a means whereby managers can consult employees through actively seeking and then taking into account their views before taking decisions.

2. Scope

- 2.1 The scope of the Forum will encompass both matters for information and consultation.

a) Information

- University strategic and development plans
- University level performance and operational matters that have employment implications
- Financial data including budget performance, income and expenditure, capital projects
- Employment policies and practices
- Management and employee changes

b) Consultation

- Health and Safety aspects of the working environment
- Arrangements for training and development
- Proposed organisational change
- Business transfer
- Non contractual conditions of employment
- Pension arrangements
- Equality and diversity
- Redundancy

3. Membership

- 3.1 Management representatives will be drawn from the University Management Team according to the business of the Forum.
- 3.2 Employee representatives will reflect the organisational structure of the University and will be drawn from an appropriate employee group/constituency. In addition there will be trade union representatives (bona fide trade union accredited representatives) of the recognised trade unions.
- 3.3 The number of representatives and the employee group they represent is set out below: The basis will be determined by occupational group, numbers of employees within the constituency and the potential effectiveness of communications and feedback.

<u>Representatives Constituency</u>	<u>Number</u>
-------------------------------------	---------------

Employee Representatives (1 Lecturer, 2 Professional Support, 1 Management covered by the NTU grade structure A-J)	4
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UCU	2
UNISON	2
GMB	2

TOTAL	10
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3.4 Employee representatives will be elected for a period of 2 years. Candidates for election as a representative should be relevant members of the particular constituency on the date of the election. They must be a permanent employee. Employees will be entitled to vote for as many candidates as there are representatives to be elected. Representatives may resign at any time. Elections will be held as often as is necessary to ensure all representative roles are filled. Elections will be conducted in secret in an open way.

3.5 Employee representatives will receive reasonable, paid time off from their duties to undertake the role effectively. Where necessary, training will be provided to assist them to: -

- Become more aware of the importance of good information and consultation practice
- Understand their role and responsibility as communicators
- Support those who are less outspoken and improve their ability to communicate

3.6 With the prior agreement of the Director of Human Resources, the trade unions may by exception co-opt full-time officials if their attendance is relevant to the business of the Forum. Co-opted persons will not be regarded as members of the Forum.

4. Meetings

4.1 The meetings will be chaired by a person nominated alternately on an annual basis from management-employee/trade union representatives.

4.2 Minutes of the meetings will be prepared by a member of the Human Resources Corporate Department. The employee/trade union representatives will nominate one of their numbers to receive and jointly agree draft action notes prior to adoption at the subsequent meeting.

4.3 The Forum will meet twice a term in accordance with an agreed schedule. Additional meetings can be called by management or the employee/trade union representatives, normally giving fifteen working days notice.

4.4 The Forum may establish working groups as required, in order to; develop detailed documents for consideration by the Forum. Membership will be reflective of the overall balance of membership of the Forum and take account of particular expertise and interest of individual members.

4.5 The Forum will be considered quorum with the following level of attendance:

- Two University Management Team
- Two employee representatives
- Three trade union representatives, one each from UCU ,UNISON and GMB

4.6 Agenda items should be with the Director of Human Resources at least ten working days prior to the meeting. The Director of Human Resources will be responsible for distributing papers and arranging the venue. Documents may only be tabled at a meeting, giving at least two days' notice, with the prior agreement of the Chairperson.

5. Confidentiality

5.1 There is a general expectation that employee/trade union representatives will be informed and consulted about even the most sensitive issues. They will only be bound by an obligation of non-disclosure where sensitive commercial issues are involved. In those circumstances management will explicitly request the maintenance of confidentiality. Should an employee/trade union representative breach confidentiality then they will lose their role as a member of the Forum and may be subject to the disciplinary procedure. Any dispute arising over what is or is not to be regarded as confidential will be dealt with through the Disputes Procedure.

6. Review

6.1 The working effectiveness of the Forum will be formally reviewed after one year of operation. The review will be undertaken by the Forum involving a third party to help identify improvements. The results of the review will be openly reported.

Appendix H:

Disabled Employees Network Terms of Reference

Introduction

The Nottingham Trent University is committed to the provision of equality of opportunity and a safe, inclusive environment for all staff and students. The Disabled Employees Network exists for those staff at the University who consider themselves to be disabled, which might include having a long-term medical condition. The network is run by and for disabled staff, and is supported by the Equality and Diversity team within Human Resources.

The network is not required to have a formal constitution, but may agree heads of terms. There will be at all times at least one individual nominated by the network to act as a point of contact with the University. This individual (or in their absence their representative) will be invited to represent the views of the network to the Equality and Diversity team.

Purpose

The purpose of this Staff Network is to:

1. Provide a safe, respectful and supportive environment in which issues relating to disabled staff can be discussed confidentially.
2. Provide networking opportunities.
3. Discuss and work on learning and development needs specific to disabled staff.
4. Develop feedback and suggestions on NTU policy, planning and implementation as it relates to disabled staff, formally channelled through the Equality and Diversity team.

Composition

The Network is open to any disabled staff member. It will initially be coordinated by the Equality and Diversity team with a view to the Network self-selecting a Chair from amongst its number as soon as possible.

Frequency & Duration

The network may meet as frequently as desired by the members, on dates for it to determine itself, but it is suggested that this might be at least once bi-monthly for the purpose of consultation on University activities and plans. Attendees will receive twelve hours paid time off per annum to facilitate attendance, prioritised for consultation activities. This will have to be agreed with line managers in accordance with operational considerations. The Network will be able to meet more frequently as wished, but this will normally be outside of paid time.

Operation

Accommodation and refreshments for the Network's consultation meetings will be provided by the University in accordance with operational availability. The Network will meet the Equality and Diversity Advisor each term and the Equality and Diversity Manager annually to feedback on views and perspectives on NTU policy and planning. The Network may provide an Observer once yearly for the Equal Opportunities Advisory Group.

Appendix I:

Equality Impact Assessment Group

In order to ensure that the appropriate level of expertise is in place for a comprehensive and rigorous equality impact assessment to be carried out on the REF2014 Code of Practice, at all stages of NTU's submission, a team of with a depth and range of expertise has been constituted. The group is as follows:

Dr Angie Pears (Lead Assessor)	Deputy Equality and Diversity Manager
Professor Andrea Nollent	Dean of Nottingham Law School
Dr Stephanie Walker	Associate Dean for Research
Rashmi Patel	Human Resources Manager
Cathy Marshall	Equality and Diversity Data Officer
Charlotte Kingsbury	Diverse Communities and Engagement Project Officer
Professor Nahem Yousaf	School Research Coordinator