

Code of Practice on the Selection of Staff for REF 2014

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1. Vice-Chancellor's introduction

Our University's Strategic Plan sets out an ambitious vision for research and innovation and the Research Excellence Framework 2014 (REF 2014) offers us an opportunity to measure our progress towards becoming a top quartile institution by 2017. Building on the successes of the last Research Assessment Exercise (RAE 2008) and our broadening research culture, we will make returns to a wide range of units of assessment in a variety of subject areas, reflecting the diversity of research that takes place across our three colleges. Through REF 2014, we aim to demonstrate the international quality and real world impact of this research.



This document sets out how we will make decisions about the selection of staff for inclusion in this exercise. Importantly, it restates our commitment to furthering the equality and diversity agenda in higher education. This is an area where we can be justifiably proud of our achievements to date. Last year we launched our Listen! campaign to encourage debate and interaction between ethnic and minority groups and we were named the 21st leading UK employer in Stonewall's 2012 equality index. We recently undertook a project with the Leadership Foundation for Higher Education that looked at the development of culturally diverse communities and we will continue to play a lead role in driving positive change in this area.

We are therefore committed to ensuring that in our decisions about the REF 2014 there is no discrimination on the basis of gender, age, disability, ethnicity or any other protected characteristic. Having consulted widely on this document, we have set out a series of decision-making processes that are based on the principles of transparency, consistency, accountability and inclusivity that the REF 2014 laudably seeks to champion.



Professor Martin Hall, Vice-Chancellor

2. Summary

This Code of Practice outlines the University-wide processes and decision-making points that will be put in place to finalise the institutional return to REF 2014 by the staff census date of 31 October 2013. The development and implementation of this Code of Practice is a formal requirement of our participation in REF 2014.

Full details of the procedures and assessment criteria that will govern REF 2014 can be found in two documents, 'Assessment framework and guidance on submissions' (REF 02.2011) and 'Panel criteria and working methods' (REF 01.2012). Both documents are available at <http://www.hefce.ac.uk/research/ref/pubs/>. For further information and guidance please see the Contact Details section of this document.

Through this Code of Practice, we will ensure that we comply with all relevant equality legislation and make clear decisions about staff inclusion based on full and accurate information about academic performance and relevant personal circumstances.

3. REF preparations to date

Our preparations for REF 2014 began in January 2010 with a full Mock REF exercise. All research-active members of staff were invited to submit a range of information through an online survey, including details of their current and anticipated research outputs, projects that might be developed into impact case studies and their preferred unit of assessment. The data from this exercise was reviewed by the REF Steering Group. Following discussions with Executive Committee, Deans and Heads of School, a provisional pattern of submissions was confirmed. Submission Advisors were appointed and asked to form advisory teams to consider the viability of these returns through a review of outputs and an assessment of PGR and research income data. They were also asked to draft impact case studies.

The submission reports were submitted to the REF Steering Group in January 2011. All the Submission Advisors, along with their Heads of School, subsequently met with the REF Steering Group between February and May 2011 to discuss the reports.

Submission Coordinators were then appointed for 15 units of assessment (UOAs) where the University is likely to make a return (see **Appendix A**). In autumn 2011 academic staff were asked to update their REF outputs on SEEK (the University's expertise directory and REF 2014 management system) and to upload all outputs published since 1 January 2008 onto the University of Salford Institutional Repository (USIR), in line with the University's open access mandate. This enabled an external review of a selection of outputs to take place. The outcomes of this exercise were evaluated by the REF Steering Group in early 2012. Decisions about staff inclusion in REF 2014 will now be made in line with the procedures and timelines set out in this Code of Practice (see section 8).

4. REF outputs data

The University is using SEEK to store information on REF outputs. To ensure that the process is as simple as possible for staff, we would ask researchers wishing to make changes to their selection of prospective REF outputs to email an electronic copy of the output or a digital object identifier (DOI) to REF@salford.ac.uk. This change request will be reviewed by the REF Submission Coordinator and Head of School. The member of staff will be notified of the outcome of the review (including the grade) and the output will be added to USIR and SEEK.

USIR mandate

The University has an Open Access Policy which requires a record of *all* new research outputs published since 1 January 2008 to be deposited in USIR.

For research outputs that have been published in the form of peer reviewed journal articles or equivalent, we recommend that authors retain the copyright of their papers wherever possible so that the full text can also be deposited in the repository. This should be the final peer-reviewed, pre-publication version of the paper, where copyright restricts the use of the published version. For further information please see <http://www.salford.ac.uk/library/resources/usir/usir-mandate>.

5. Equality and diversity policy statement

The University is committed to and strives for equality of opportunity for all its students and staff (existing and prospective) and will recognise and celebrate their diversity. For this statement and strategy to be made a reality, effective leadership and management will be provided and a corresponding commitment sought from every member of staff and every student. In practice this means that we:

- are committed to providing an environment where all people are respected and treated fairly regardless of irrelevant characteristics or distinctions such as: gender, race, colour, ethnic or national origin, age, disability, socio-economic group or background, religious belief or faith, political belief or affiliation, marital status, family responsibilities and sexual orientation;
- will develop a culture in which diversity is celebrated;
- will not discriminate unfairly or unlawfully against anyone and will take positive action to promote equality and diversity;
- embed equality and diversity at the heart of our mission and values, including taking action where required against individuals who behave in a discriminatory manner.

6. Staff selection criteria

The following criteria will be used by the University to make decisions about the inclusion of individual members of staff in its REF 2014 submissions. These criteria have been developed in the context of the overall REF 2014 methodology set out in 'Assessment framework and guidance on submissions' (REF 02.2011) and 'Panel criteria and working methods' (REF 01.2012) and the objectives for top quartile performance in research that are set out in the University's Strategic Plan 2009/10 to 2017/18 – Transforming our University.

(a) Eligibility

Eligibility for staff to be included in REF 2014 is based on their contractual status, as set out in the 'Assessment framework and guidance on submissions' document (REF 02.2011):

“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’.” (Paragraph 78)

Research assistants, as defined in paragraph 80 of this document, are **not** eligible to be returned to REF 2014 unless, exceptionally, they are named as principal investigator or equivalent on a research grant or significant piece of research work on the census date and satisfy the definition of Category A staff in paragraph 78.

The rules around other categories of staff have been tightened from RAE 2008. The only other category of staff is now Category C staff. These 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.” (Paragraph 82)

Category C staff will be identified by Submission Coordinators, their advisory teams, and Heads of School and will be included on the basis of their eligibility and the quality of their outputs.

(b) Volume of research outputs

In line with the REF 2014 assessment criteria, to be included in the exercise a researcher must have produced four outputs between 1 January 2008 and 31 December 2013, other than where individual staff circumstances apply, as set out in (c) below.

(c) Individual staff circumstances

Individual circumstances that have significantly constrained a staff member's ability to produce four outputs, or to work productively throughout the assessment period, will be taken into account, as these may allow the member of staff to return less than the standard number of four outputs. Details of the REF 2014 guidance on individual staff circumstances are available in the 'Panel criteria and working methods' document (REF.01.2012) and summarised below. All staff will be asked to complete an online form telling us about any circumstances that might have affected their ability to produce the full amount of outputs during the census period.

Online form for individual staff circumstances

All academic and research staff who meet the definition of Category A staff (see section 5a) will be requested to complete an online disclosure form, indicating whether there are any circumstances that might have constrained their ability to produce the full number of outputs. Please go to <http://www.survey.bris.ac.uk/salford/ref2014>.

The disclosures of individual staff circumstances will be reviewed by members of the Human Resources Division and the Research Strategy Manager, who will make recommendations to the REF Steering Group about appropriate reductions in the number of outputs. Heads of School and Submission Coordinators will be informed of decisions made by the REF Steering Group but the reasons for the decision will remain confidential, unless the member of staff advises that the circumstances should be shared. Members of staff will also be informed of the outcome.

The online disclosure form will be available until September 2013 to allow new members of staff to submit details of their individual circumstances and submissions will be reviewed on a monthly basis. A copy of the questions asked in this disclosure form is included as **Appendix B**.

The process for appeals against these decisions is outlined in section 9.

The REF 2014 assessment framework has introduced a consistent methodology for assessing individual staff circumstances. There are now two distinct categories of individual staff circumstances: those that are 'clearly defined' and those that are 'complex'. There is also associated guidance on the number of outputs that can be reduced for each type of circumstance.

The following details are taken from paragraphs 63 to 91 of the 'Panel criteria and working methods' (REF 01.2012) document.

1. Circumstances with a clearly defined reduction in outputs

Where an individual has one or more circumstances with a clearly defined reduction in outputs, the number of outputs that may be reduced should be determined according to the tables and guidance below. These circumstances relate to early career researchers; absences from work due to working part-time, secondments or career breaks; and periods of maternity, paternity or adoption leave.

i. Qualifying as an early career researcher

Early career researchers are defined in paragraphs 85-86 of 'Assessment framework and guidance on submissions' as members of staff who meet the criteria to be selected as Category A or Category C staff on the census date, and who started their careers as independent researchers on or after 1 August 2009.

For the purposes of the REF, an individual is deemed to have started their career as an independent researcher from the point at which:

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

The table below sets out the permitted reduction in outputs without penalty in the assessment for early career researchers who meet this definition.

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

Table 1: early career researchers

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

The table below sets out the permitted reduction in outputs without penalty in the assessment for absence from work due to part-time working and secondments or career

breaks outside of the higher education sector, and in which the individual did not undertake academic research.

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

Table 2: absence from work

iii. Qualifying periods of maternity, paternity or adoption leave

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

- a. 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.
- b. Additional paternity or adoption leave lasting for four months or more, taken substantially during the period 1 January 2008 to 31 October 2013.

‘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 REF 2014 this is referred to as ‘additional paternity or adoption leave’.

2. **Complex circumstances that require a judgement about the appropriate reduction in outputs**

For the purposes of REF 2014, complex circumstances are defined in the ‘Panel criteria and working methods’ (REF 01.2012) as those which involve:

- i. **Disability**
This is defined in ‘Assessment framework and guidance on submissions’ part 4, table 2 under ‘Disability’. See also **Appendix C** of this document.
- ii. **Ill health or injury**
- iii. **Mental health conditions**
- iv. **Constraints relating to pregnancy, maternity, paternity, adoption or childcare** that fall outside of – or justify the reduction of further outputs in addition to – the allowances outlined in the clearly defined circumstances section above.
- 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** in **Appendix C**.

Where a member of staff has had one or more complex circumstances – including in combination with any circumstances with a clearly defined reduction in outputs – we will make a judgement on the appropriate reduction in the number of outputs submitted, and provide a rationale for this judgement.

The REF 2014 guidance asks us to provide an estimate – in terms of the equivalent number of months absent from work – of the impact of the complex circumstances on an individual’s ability to work productively throughout the assessment period, and to state any further constraints on the individual’s research work in addition to the equivalent months absent. A reduction will be made according to Table 2 above, in relation to estimated months absent from work, with further constraints taken into account as appropriate.

The Equality Challenges Unit has provided worked examples of complex circumstances, indicating the appropriate reduction in outputs for a range of particular circumstances. These are available for reference at www.ecu.ac.uk/our-projects/REF.

(d) Quality of research outputs

When making decisions about the selection of staff, the University will take into account information on the quality of outputs. The criteria for assessing the quality of outputs are ‘originality, significance and rigour’.

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.
Two star	Quality that is recognised internationally in terms of originality, significance and rigour.
One star	Quality that is recognised nationally in terms of originality, significance and rigour.
Unclassified	Quality that falls below the standard of nationally recognised work. Or work which does not meet the published definition of research for the purposes of this assessment.

Table 3: Assessment criteria for outputs

It should be noted that there will be no single quality threshold that members of staff must meet to be included in REF 2014. Decisions about individual inclusion will be made on a case-by-case basis through the processes set out below, and in the context of School strategies and objectives, the University’s research and innovation objectives set out in Goal 2 of the Strategic Plan, eligibility, individual staff circumstances (see above) and all relevant legislation. The processes and timelines for making these decisions are set out in Section 8.

7. Fixed-term and part-time staff

Under the fixed-term employee and part-time workers regulations, fixed-term employees and part-time workers have the right not to be treated by an employer any less favourably than the employer treats comparable employees on open contracts or full-time workers. We are therefore committed to ensuring equality of opportunity for those on fixed-term (relative to open) and part-time (relative to full-time) contracts.

The REF criteria take account of individual circumstances relating to staff members on fixed-term and part-time contracts, including contract research staff members, by considering the proportion (FTE) of time in post across the REF assessment period as a whole, and how this might have affected an individual's capacity to produce the expected volume of research outputs.

In addition, in recent years we have worked closely with fixed-term staff to identify and respond to additional specific needs of this group, and to enhance the bespoke support that is available to them. A research staff consultation, led by our Concordat Implementation Working Group in 2009, helped to identify areas where support could be improved. Following this, we reviewed the personal, professional and career development opportunities on offer to contract researchers and this work was recognised by the European Commission who awarded Salford the 'HR Excellence in Research' badge. The university was among the first ten UK universities to receive the badge in September 2010.

8. Making decisions and communicating decisions to staff

Through the REF preparation activities described in section 3, the University has made an initial evaluation of the current REF 2014 outputs of eligible members of staff. It should be noted that only a limited selection of outputs have been reviewed externally and external grades are only sought as guidance for Submission Coordinators and their Submission Advisory Teams; they are not definitive and do not represent the University's view of an output's quality.

In order to be as transparent as possible, details of these initial internal judgements will be shared with eligible staff in August 2012. This will be in the form of a letter from their Head of School and REF Submission Coordinator. The letter will give details of the staff member's unit of assessment and their current selection of outputs, along with their predicted grades. The letter might also give an indication of any additional requirements that would have to be met in order to be included in REF 2014.

From October 2012 the Research and Innovation Division will coordinate a full review of submissions which will include selective external evaluation of specified research outputs. In tandem, the REF Steering Group will review judgements on individual staff circumstance disclosures on a monthly basis, based on guidance from officers of the Research and Innovation Division and Human Resources Division (see Section 6c).

The REF Steering Group will approve final decisions on the overall pattern of returns and individual staff inclusion in May 2013. Final decisions on staff inclusion will be communicated to members of staff by letter from their Head of School.

An appeals procedure has been formulated for members of staff who are not selected for inclusion in REF 2014. All appeals will be reviewed by a REF Appeals Panel, led by the Pro-Vice-Chancellor (International), that includes an expert on equality and diversity legislation, a Human Resource representative, and a senior academic from each College. For further details please see Section 9 below.

It should be stressed that decisions on inclusion in the REF 2014 on the one hand, and University support for research activities on the other, are quite separate and involve different criteria. Decisions about inclusion in REF 2014 are made in line with the institutional performance objectives set out in the University's Strategic Plan and an overriding intention must be to maximise the overall financial and reputational benefit to the University from its REF 2014 submissions. However, the national research landscape is rapidly evolving and the University's objectives for research are not limited to performance in REF 2014. We are committed to harmonising individual research development with the longer term interests of the institution – which include future research assessment exercises, commercial activities and providing high-quality teaching – and this involves

fostering an academic community that is research-informed, where all staff members are given the opportunity to engage in scholarly activities appropriate to their roles.

The key milestones for REF 2014 decision-making are summarised below.

2012	July	Launch online form for the disclosure of individual staff circumstances.
2012	August	Output grades and provisional decisions on staff alignment shared with members of staff.
2012	October	REF Steering Group begins full review of all submissions.
2013	May	REF Steering Group approves final pattern of returns and decisions about staff inclusion.
2013	June	REF Appeals Panel reviews appeals against final decisions.
2013	September	REF Steering Group approves final decisions about staff inclusion, including any alterations made in respect of successful appeals.
2013	October	Executive Committee signs off final REF submissions.
2013	31 October	Staff census date.
2013	29 November	Final submission.

Table 4: University staff selection timelines

9. Appeals

An independent REF Appeals Panel will be formed to consider appeals by staff members who have not been selected for inclusion in REF 2014. The following will be deemed grounds for appeal:

- Where it is alleged that decision-making processes have not followed the procedures set out in this Code of Practice;
- Where it is alleged that decision-making processes have been discriminatory (a summary of relevant equality legislation is provided in **Appendix C**);

- Where the REF Steering Group has incorrectly interpreted the guidance on individual staff circumstances that would allow a researcher to be included in REF 2014 with a reduced number of outputs;
- Where a member of staff believes they should have been considered for inclusion in a different unit of assessment.

This membership and terms of reference for this panel are included in **Appendix E**.

10. Roles and responsibilities

This section sets out the roles and responsibilities of individuals and bodies involved in the preparation and approval of submissions for REF 2014. All role holders will receive relevant training on the institution's legal obligations in respect of equality and diversity, as set out in the Equality Act 2010 (see **Appendix C**).

(a) Executive Committee

Overall responsibility for determining REF strategy and approving the University's final REF submissions will be the responsibility of the University Executive Committee.

(b) REF Steering Group

Responsibility for implementing REF 2014 strategy, managing the University's final submissions, and making recommendations about individual staff inclusion will be the responsibility of the REF Steering Group. This group will be responsible for assuring the quality and robustness of the University's submission to the REF 2014 across all UOAs. It will make recommendations for the overall pattern of returns and will review decisions about staff inclusion on the basis of initial recommendations made by Heads of School and REF Submission Coordinators. It will make decisions on best fit where a member of staff might

be returned to more than one unit of assessment. The REF Steering Group is responsible for overseeing the development and implementation of this Code of Practice.

The membership of the Group reflects formal University management roles and also the broad range of experience and expertise that exists across the Colleges. The terms of reference and membership of the REF Steering Group are included as **Appendix D**.

(c) Heads of School

Heads of School are responsible for the delivery of the University's academic objectives and as such take responsibility for REF 2014 performance. Heads of School will work closely with the REF Submission Coordinators, Research Centre Directors, Associate Heads (Research) and other academic managers within their schools to evaluate outputs and other submission material (such as impact case studies and environment narratives) and make recommendations to the REF Steering Group on the final composition of REF returns.

(d) Submission Coordinators

The REF Steering Group has appointed senior academics with substantial research leadership experience to act as UOA Submission Coordinators. The role includes coordinating the evaluation of academic outputs and reaching final decisions on output grades in consultation with Heads of School and other senior research managers and colleagues, taking into consideration external feedback as appropriate. The role also involves coordinating the development of environment narratives and impact material. All submission coordinators are listed in **Appendix B**.

(e) REF Appeals Panel members

This panel has been specially constituted to review any appeals made by staff members who are not selected for inclusion in REF 2014. Its terms of reference and membership are included in **Appendix E**.

11. Equality training

Training in current equality and diversity legislation (see **Appendix C**) will be provided to all members of staff involved in the selection of staff for REF 2014 listed in section 10. Some of this training will be delivered as an online toolkit that will include eLearning, worked examples of complex staff circumstances, relevant documentation (for example, this Code of Practice and Equality Briefing for Panels), external links and details of related University of Salford toolkits. The eLearning will require completion of a short test to ensure understanding of the key principles that underpin fairness in the selection process. Completion of training will be monitored and captured through the Human Resources Management SAP Training and Events system. See <http://www.hr.salford.ac.uk/employee-development/development> for the link to the toolkit environment.

12. Equality analysis

The University, along with many other public authorities, is required to carry out equality analysis on all its policies, procedures and functions.

An equality analysis is a way of systematically and thoroughly assessing and consulting on the effects that a proposed policy is likely to have on groups of people, It can also be used to estimate the likely impact of existing functions or policies and procedures, as well as looking at whether a policy, procedure or function positively promotes equality between different groups. The main purpose of an EA is therefore to pre-empt the possibility that any proposed policy could unfavourably affect some minority groups.

Data monitoring will be carried out by Governance Services on all protected characteristics including, race, disability, gender, age, religion or belief and sexual orientation to ensure this Code of Practice has been effective.

13. Confidentiality

The University will protect the confidentiality of all equal opportunities monitoring data and will safeguard any information disclosed voluntarily within the regulations set by the Data Protection Act 1998. The information will be used for statistical purposes only.

14. College briefings

There will be an initial series of College briefings on the Code of Practice led by the Pro-Vice-Chancellor (Research and Innovation), the College's Associate Dean (Research and Innovation) and the Research Strategy Manager. These will offer an opportunity for all members of staff to be briefed on this document and to ask questions about the processes that it outlines and other REF issues.

The dates and times of the first series of briefings are:

- College of Arts & Social Sciences: 28 June 2012, 2-3pm (Maxwell Hall)
- College of Health & Social Care: 25 June 2012, 2.30-3.30pm (Mary Seacole, MS G21)
- College of Science & Technology: 9 July 2012, 2.30-3.30pm (Lady Hale, LH G14)

If you are unable to attend your College briefing please feel free to attend one of the other College events, as this Code of Practice applies equally to all members of staff across the University. Further events will be arranged for the 2012/13 academic year.

15. Further information

Further information about the University's preparations for REF 2014, including an electronic copy of this Code of Practice and internal briefings on areas such as impact, is available from the Research and Innovation intranet: www.ri.salford.ac.uk/ref.

Further detailed information on the REF is available from the Higher Education Funding Council for England (HEFCE) website: www.hefce.ac.uk/research/ref/.

Guidance on equality issues has been provided to HEIs by the Equality Challenges Unit (ECU) and their website includes examples of complex individual staff circumstances that might allow a member of staff to be returned to the REF with a reduced number of outputs. For more information see www.ecu.ac.uk/our-projects/REF.

16. Contact details

For further information or guidance regarding any of the issues covered in this Code of Practice, please contact one of the staff members listed overleaf.

Name	Position	Email	Phone
Dr Matt Boswell	Research Strategy Manager	m.j.boswell@salford.ac.uk	54301
Rob Morris	Research Development Manager	r.a.morris@salford.ac.uk	53285
Sara Lockett	Research Support Officer	s.lockett@salford.ac.uk	52811
Rosie Qureshi	EIA Coordinator	r.qureshi@salford.ac.uk	52261

Table 5: Key REF contacts

Appendix A: Provisional UOAs and Submission Coordinators

UoA	Name	Submission Coordinator
A3	Allied Health Professions, Dentistry, Nursing and Pharmacy	Professor Richard Baker
A5	Biological Sciences	Professor Philip Craig
B11	Computer Science and Informatics	Professor Sunil Vadera
B13	Electrical and Electronic Engineering, Metallurgy and Materials	Professors Ian Morrison and Keith Ross
C16	Architecture, Built Environment and Planning	Professor Charles Egbu
C17	Geography, Environmental Studies and Archaeology	Professor Mark Danson
C19	Business and Management Studies	Professor Phil Scarf
C20	Law	Dr Mark James
C22	Social Work and Social Policy	Professors Steven Shardlow and Chris Birkbeck
D27	Area Studies	Professor Jocelyn Evans
D28	Modern Languages and Linguistics	Professor Janet Watson
D29	English Language and Literature	Professor Lucie Armitt
D34	Art and Design: History, Practice and Theory	Professor Paul Sermon
D35	Music, Drama, Dance and Performing Arts	Dr Alan Williams
D36	Communication, Cultural and Media Studies, Library and Information Management	Professor George McKay

Appendix B: Individual staff circumstances disclosure form

This appendix is for information only. Please note that this disclosure form must be completed online at <http://www.survey.bris.ac.uk/salford/ref2014>.

Section one

Please select one of the following:

- I have no individual circumstances that I wish to be taken into consideration for the purposes of the Research Excellence Framework (REF).
- I have individual circumstances that I wish to make known and in completing this form I am seeking a reduction in research outputs. (Please complete sections two and three)

Please note that guidance on equality issues has been provided to HEIs by the Equality Challenges Unit (ECU) and their website includes examples of complex individual staff circumstances which would allow a member of staff to be returned to the REF with a reduced number of outputs. For more information see www.ecu.ac.uk/our-projects/REF.

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:

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 researcher

Junior clinical academic staff who have not gained Certificate of Completion of Training by 31 October 2013 [Delete as appropriate: applies to specific units of assessment within Panel A]	Please place a tick in this box if the circumstance applies:
Part time employee	FTE and duration in months
Career break or secondment outside of the higher education sector	Dates and duration in months
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
Disability (including conditions such as cancer and chronic fatigue)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Mental health condition	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Ill health or injury	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare in addition to the period of maternity, adoption or additional paternity leave taken.	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Other caring responsibilities (including caring for an elderly or disabled relative)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Gender reassignment	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Other exceptional and relevant reasons, not including teaching or administrative work	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months

Appendix C: Summary of equality legislation

All members of staff who hold a responsibility for the selection of staff for inclusion in REF have received training on equality legislation which must be taken into account when preparing submissions. The following guidance has been provided to Higher Education Institutions (HEIs) in table 2 of the ‘Assessment framework and guidance on submissions’ document (REF 02.2011).

<p>Age</p>	<p>All employees within the higher education sector are protected from unlawful age discrimination in employment under the Equality Act 2010 and the Employment Equality (Age) Regulations (Northern Ireland) 2006. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group. (These provisions in the Equality Act 2010 are partially in force, but should be fully in place by April 2012.)</p> <p>Age discrimination can occur when people of a particular age group are treated less favourably than people in other age groups. An age group could be for example, people of the same age, the under 30s or people aged 45-50. A person can belong to a number of different age groups.</p> <p>Age discrimination will not be unlawful if it is a proportionate means of achieving a legitimate aim. However, in the context of the REF, the view of the funding bodies is that if a researcher produces excellent research an HEI will not be able to justify not submitting them because of the their age group.</p> <p>It is important to note that early career researchers are likely to come from a range of age groups. The definition of early career researcher used in the REF (see paragraph 85) is not limited to young people.</p> <p>HEIs should also note that given developments in equalities law in the UK and Europe, the default retirement age will be abolished from 1 October 2011 in England, Scotland, Wales and Northern Ireland.</p>
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<p>Disability</p>	<p>The Equality Act 2010, the Disability Discrimination Act (1995) (Northern Ireland only) and the Disability Discrimination (Northern Ireland) Order 2006 prevent unlawful discrimination relating to disability. Individuals are also protected if they are perceived to have a disability or if they are associated with a person who is disabled, for example, if they are responsible for caring for a disabled family member.</p> <p>A person is considered to be disabled if they have or have had a physical and/or mental impairment which has ‘a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities’. Long-term impairments include those that last or are likely to last for at least 12 months.</p> <p>Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities.</p> <p>The definition of disability is different in Northern Ireland in that a list of day-to-day activities is referred to. There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people, not individuals, carry out on a daily or frequent basis.</p> <p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p> <ul style="list-style-type: none"> • sensory impairments • impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy • progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer • organ-specific impairments, including respiratory conditions and cardiovascular diseases • developmental impairments, such as autistic spectrum disorders and dyslexia • mental health conditions such as depression and eating disorders • impairments caused by injury to the body or brain.
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	<p>It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.</p> <p>Equality law requires HEIs to anticipate the needs of disabled people and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a disabled researcher's impairment has affected the quantity of their research outputs, they may be submitted with a reduced number of outputs (see paragraphs 90-100 and the panel criteria).</p>
<p>Gender reassignment</p>	<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</p>

	<p>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</p>

	<p>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	<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</p>

<p>paternity and adoption leave)</p>	<p>women from less favourable treatment because they are breastfeeding. Consequently the impact of breastfeeding on a women’s ability to work productively will be taken into account, as set out in paragraph 90-100 and the panel criteria documents.</p> <p>From 3 April 2011, partners of new mothers and secondary adopters will be entitled to up to 26 weeks of additional paternity and adoption leave. People who take additional paternity or adoption leave will have similar entitlements to women on maternity leave and barriers that exist to taking the leave, or as a result of having taken it, could constitute unlawful sex discrimination. Consequently researchers who have taken additional paternity and adoption leave may be submitted with a reduced number of outputs, as set out in paragraphs 90-100 and in the panel criteria documents.</p> <p>HEIs need to be wary of selecting researchers by any criterion that it would be easier for men to comply with than women, or vice versa. There are many cases where a requirement to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women.</p>
<p>Sexual orientation</p>	<p>The Equality Act 2010 and the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003 protect HEI staff from unlawful discrimination to do with sexual orientation. Individuals are also protected if they are perceived to be or are associated with someone who is of a particular sexual orientation.</p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their actual or perceived sexual orientation.</p>
<p>Welsh Language</p>	<p>The Welsh Language Act 1993 places a duty on public bodies in Wales to treat Welsh and English on an equal basis. This is reinforced by the</p>

	<p>provisions of the Welsh Language (Wales) Measure 2011.</p>
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The arrangements for the assessment of outputs in the medium of Welsh by the REF panels are set out in paragraphs 128-130.

Appendix D: REF Steering Group Terms of Reference and Membership

Responsibility for implementing REF strategy, managing the University's final submissions, and making recommendations about individual staff inclusion will rest with the REF Steering Group. This group is responsible for assuring the quality and robustness of the University's submission to the REF 2014 across all UOAs. The membership of the Group has been determined by formal University roles and by specific expertise.

Responsibilities of the REF Steering Group include:

- Making a final recommendation to Executive Committee on the overall pattern of returns to REF 2014;
- Making final recommendations to Executive Committee on staff inclusion the basis of initial recommendations made by Heads of School and REF Submission Coordinators;
- Developing and implementing the institutional Code of Practice on the Selection of Staff for REF 2014;
- Making decisions on boundary issues and 'best fit' where a member of staff might be returned to more than one unit of assessment;
- Providing a forum to offer expert advice and guidance to Heads of School and Submission Coordinators on all areas of the development of their submissions, including the selection of outputs, impact case studies and environment narratives;
- Coordinating and evaluating external reviews of submissions;
- Providing and evaluating data sets required by the Environment section of submissions.

Membership

- Professor Jim Yip - Pro-Vice-Chancellor (Research and Innovation) (Chair)
- Professor Ben Light - Associate Dean (Research and Innovation) in the College of Arts and Social Sciences

- Professor Sunil Vadera - Associate Dean (Research and Innovation) in the College of Science and Technology
- Professor Tony Warne - Associate Dean (Research and Innovation) in the College of Health and Social Care
- Professor George Baxter - Director of Research and Innovation
- Dr Matt Boswell - Research Strategy Manager
- Dr Victoria Moody – Impact Coordinator
- Professor Martin Johnson – REF 2014 sub-panel member
- Professor Lindsey Dugdill – Professor of Public Health
- Paul Jenks - Human Resources Division representative
- Sara Lockett – Research and Innovation Administrator (Secretary)

Appendix E: REF Appeals Panel Terms of Reference and Membership

This panel has been specially constituted to review any appeals against provisional and final decisions about staff inclusion in REF 2014. Decisions made by this panel are final and all successful appeals will be upheld in the final recommendations on REF returns made by the REF Steering Group to the Executive Committee.

The following will be deemed grounds for appeal:

- Where it is alleged that decision-making processes have not followed the procedures set out in this Code of Practice;
- Where it is alleged that decision-making processes have been discriminatory (A summary of relevant equality legislation is provided in **Appendix C**);
- Where the REF Steering Group has incorrectly interpreted the guidance on individual staff circumstances that would allow a researcher to be included in REF 2014 with a reduced number of outputs;
- Where a member of staff believes they should have been considered for inclusion in a different unit of assessment.

Membership

- Pro-Vice-Chancellor (International) (Chair)*
- Senior academic representatives from each College
- Human Resources representative with expertise in equality legislation (advisory)

* The Pro-Vice-Chancellor (Academic) and the Pro-Vice-Chancellor (Media and Digital Futures) will act as alternate chairs as required.