



**Research Excellence Framework 2014 (REF2014)  
Code of Practice on the Selection of Staff**

# CONTENTS

---

	<b>Page</b>
Preface	
Enquiries	
Further information	
<b>1. Introduction</b>	<b>1</b>
<b>2. Joint Submissions</b>	<b>1</b>
<b>3. Legislation</b>	<b>1</b>
<b>4. Roles and responsibilities – staff</b>	<b>2</b>
Senior Management – The Executive	2
Senior Management – Faculties	2
Research Office	2
Equality and Diversity Advisor	3
UOA leaders	3
<b>5. Roles and Responsibilities – committees of the University</b>	<b>4</b>
Academic Board	4
Research Committee	4
REF2014 Working Group	5
Equality and Diversity Steering Group	5
<b>6. Staff development on equality and diversity</b>	<b>5</b>
<b>7. Selection of UOAs for submission to REF2014</b>	<b>6</b>
<b>8. Selection of staff for submission to REF2014</b>	<b>7</b>
<b>9. Individual staff circumstances</b>	<b>8</b>
Clearly defined circumstances	8
Complex circumstances	8
Communication and disclosure of individual staff circumstances	9
Confidentiality	9
Tariffs	10
Fixed-terms and part-time staff	10
<b>10. Appeals</b>	<b>10</b>
<b>11. Equality impact assessment</b>	<b>10</b>
<b>Annexes</b>	<b>12-24</b>

## Preface

This Code of Practice has been created following the merger of the University of Glamorgan (UoG) and the University of Wales, Newport (UWN) on the 11<sup>th</sup> April 2013 to form the University of South Wales (USW). The UoG Code of Practice for the selection of staff for submission approved by the REF in summer 2012 has been adopted as the Code of Practice for USW but acknowledges processes and procedures at UWN pre-merger. The document is also reflective of the changes in University structure that have occurred post-merger.

The revised Code of Practice will be communicated to staff via the University of South Wales 'new university' website (<https://www.yournewu.co.uk/>) which is accessible by staff from both former institutions.

## Enquiries

---

### **For REF2014 enquiries please contact:**

Dr Sarah Theobald  
Research Excellence Manager (Research Office)  
[sarah.theobald@southwales.ac.uk](mailto:sarah.theobald@southwales.ac.uk), x4484

### **For equality and diversity enquiries please contact:**

Ms Rachel Demery  
Equality and Diversity Advisor (Human Resources)  
[rachel.demery@southwales.ac.uk](mailto:rachel.demery@southwales.ac.uk), x2697

## Further information

---

- University Equality and Diversity homepage: [hr.southwales.ac.uk/hr/equalitydiversity/](http://hr.southwales.ac.uk/hr/equalitydiversity/)
- University Research Excellence homepage: [office.research.southwales.ac.uk/excellence/](http://office.research.southwales.ac.uk/excellence/)
- HEFCE/REF2014 homepage: [www.hefce.ac.uk/research/ref/](http://www.hefce.ac.uk/research/ref/)
- Government Equalities Office: [www.equalities.gov.uk/Default.aspx](http://www.equalities.gov.uk/Default.aspx)
- Equality Challenge Unit REF guidance: [www.ecu.ac.uk/our-projects/REF](http://www.ecu.ac.uk/our-projects/REF)
- Equality and Human Rights Commission: [www.equalityhumanrights.com/](http://www.equalityhumanrights.com/)

## 1. Introduction

---

This document has been developed according to the requirements in Part 4 (Codes of practice on the selection of staff) of the REF 02.2011 document 'Assessment framework and guidance on submissions'. The code of practice accompanies the following University documents: the University Research Strategy; the strategy for maximising the University's REF2014 submission; and the criteria for the selection of staff for submission.

All HEIs preparing submissions for the Research Excellence Framework 2014 (REF2014) are required by the funding councils to develop and apply an internal operational code of practice on the selection of staff, and which also attends to existing institutional equal opportunities policies. The purpose of this code of practice is to promote equality and diversity to ensure that the maximum number of staff who are conducting excellent research have their work included in submissions to REF2014. To this end, this code of practice is applicable to all staff undertaking, or who are involved in research activities in all parts of the University, including the Royal Welsh College of Music and Drama (RWCMD), which is a subsidiary company of the University, and Merthyr Tydfil College, which is part of the University's Further Education Faculty. It also encompasses staff who have a research function at the University and who will be involved in the REF2014 process.

As required by the REF, this code of practice aims to demonstrate fairness in all processes concerned with the selection of staff for inclusion in the University's submission to REF2014 by addressing the following four principles; transparency, consistency, accountability and inclusivity. The code of practice, therefore, sets out the principles to be applied to all aspects/stages of the University's preparations and submission to REF2014 with responsibilities and terms of references for all bodies (e.g. staff, committees, and advisory groups) clearly defined. The Code of Practice will be communicated to staff via the University of South Wales 'new university' website (<https://www.yournewu.co.uk/>) which is accessible by staff from both former institutions.

## 2. Joint submissions

---

If the University intends to make a joint submission or submissions with other institutions, we will make available the code of practice to collaborating institutions. The University will ensure that joint decision-making across the institutions does not compromise the adherence to this code of practice.

## 3. Legislation

---

A summary of the equality legislation to which the University will comply and should be taken into account during the preparation of the REF2014 submission is provided in the REF2014 'Assessment framework and guidance on submission document', REF02.2011, Part 4, table 2 ([www.hefce.ac.uk/research/ref/pubs/2011/02\\_11/](http://www.hefce.ac.uk/research/ref/pubs/2011/02_11/)).

## 4. Roles and responsibilities - staff

---

The University has four academic faculties and is part of the University of South Wales (USW) Group which also comprises the RWCMD and Merthyr Tydfil College. The highest authority for the operational management of the University is the Vice Chancellor informed by four Deputy Vice Chancellors (DVCs) who collectively form the University Executive and who are responsible for the strategic direction of the institution.

### Senior Management – The Executive

The Vice-Chancellor and the DVC (Research and Student Experience) oversee the USW submission to REF2014, in line with their familiarity with the University research agenda and research-related strategies across the institution and the sector. The DVC (Research and Student Experience) has overall responsibility for the implementation of the University Research Strategy which includes performance indicators relating to the outcomes of the REF2014 submission. Thus, the DVC (Research and Student Experience) has overall responsibility for the management of the University REF2014 preparations and submission including Unit of Assessment (UOA) composition and staff selected for submission. The DVC (Research and Student Experience) is advised by the Research Office, who manages the process, submits the documentation via the REF2014 submission system, and will liaise with the REF team as required. The Executive and Deans will be fully involved in this process through the normal managerial processes and procedures including via regular updates at Executive and Deans meetings.

### Senior Management – Faculties

The University is organised into four academic faculties, each headed by a Dean of Faculty who is responsible for the delivery of research-related targets both at Faculty and University level. The Dean and Unit of Assessment (UOA) leaders (detailed below) in each Faculty have responsibility to ensure that the process of the selection of staff for submission to REF2014 is undertaken in a fair manner according to the principles of the code of practice. The former Heads of Research<sup>1</sup> were responsible for the development and implementation of their faculty research strategies which have been developed using the University Research Strategy as a framework.

### Research Office

Staff in the Research Office play a significant role in the submission process as the requirements for the REF encompasses the three main 'themes' of the work of the department namely research excellence, research income and postgraduate research degree student support. The Head of the Research Office is responsible to the DVC (Research and Student Experience) and for developing and delivering the University's Research Strategy. The Research Excellence Manager is responsible to the Head of the Research Office and manages all stages of the submission process including the development of the code of practice on behalf of the University and is supported by the Research Information and Systems Officer. The Postgraduate Research Manager and the Research Advisor are

<sup>1</sup>The role of the Faculty Heads of Research no longer exist. The University recently created Research Institutes, each lead by a Research Institute Director. As the Research Institutes are embedded it will be the role of the Research Institute Director to develop and implement the research strategy for their institute.

responsible for the preparation of data for research degree students and research income respectively as part of the environment element of the REF2014 submissions (REF4a/b).

The Research Excellence Manager provides support to the DVC (Research and Student Experience) for all aspects of the REF2014 preparations and final submission and liaises with the UOA leaders on a day to day basis. The Research Excellence Manager also provides regular detailed reports to the Executive, key University Committees (as detailed in section 5) and the Board of Governors on the progress of the submissions. The Research Excellence Manager also works with the University Equality and Diversity Advisor and UOA leaders where required in compiling Equality Impact Assessments required as part of the REF2014 process.

### **Equality and Diversity Advisor<sup>2</sup>**

The Equality and Diversity Advisor is a member of the Human Resources department and provides secretarial support to the University's Equality and Diversity Steering Group. For the former University of Wales, Newport, the Equality and Diversity Advisor was involved in the development of the Code of Practice for the institution and advised the former University REF Committee on Equalities issues. Following the merger, the Equality and Diversity Advisor works with the Research Office and the UOA leaders to compile equality impact assessments required as part of the REF2014 process and continues to provide advice and support to staff involved in the REF process on the implications of personal circumstances.

### **UOA leaders**

For each UOA, academic UOA leaders have been appointed to co-ordinate and develop the submission. At the former University of Glamorgan, the UOA leaders were appointed through an open selection process conducted at Faculty level during July and August 2011. Academic staff in each Faculty were provided with the opportunity to apply for the role of UOA leader through an expression of interest developed and emailed by the former Faculty Head of Research. A common template was adopted across Faculties resulting in a consistent approach to the appointments. Nominations for UOA leaders were submitted by the former Faculty Heads of Research to the PVC (Research) (now retired). The appointments were approved by the PVC (Research) (now retired) and were ratified at the University Research Committee (see section 5) in October 2011. The UOA leaders were appointed based on the following criteria: excellent research track record; leaders of University research groups or centres; previous experience as a UOA leader; or has been intimately involved in previous submission processes. Each UOA leader resides in the same faculty as the staff submitted unless cross-faculty submissions are being developed in which case joint leadership was established. Each UOA leader is responsible for identifying staff eligible for REF2014 and for liaising with the Dean of Faculty about the preparations for the submission.

<sup>2</sup> Please note that the 'University of Glamorgan' Equalities Manager was involved in the activities mentioned in this section including development of the code of practice for the institution pre-merger and the changes made in this document. At the time of submission of the revised code of practice for USW the Equalities Manager will have left the institution.

For the former University of Wales, Newport, UOA leaders were selected from a pool of staff selected for submission in REF2014 and were approved by the University REF Committee.

Following the merger, for the submissions that have been developed for entry to the same UOA, the UOA leaders appointed by both former institutions work together to develop a single submission to the UOA. If the University decide to prepare submissions to other UOAs or if a new UOA leader is required for an existing submission then a similar selection process for the appointment of a UOA leader as detailed for the former University of Glamorgan will be adopted. For these cases, applications for UOA leader will be facilitated through the Research Institutes.

Additionally, UOA leaders are supported appropriately by the Research Office. The Research Excellence Manager liaises directly with the UOA leaders on a day to day basis and provides guidance and support on the submission process. The DVC (Research and Student Experience) and Deans also assist and support the UOA leaders in preparing their submissions which includes the process for the selection of staff.

## **5. Roles and responsibilities – committees of the University**

---

### **Academic Board**

The University Academic Board meets on a quarterly basis and is chaired by the Vice Chancellor. The DVC (Research and Student Experience) is a member of the Board as one of the eight senior staff nominees of the Vice Chancellor. Broadly, the Academic Board is responsible for issues relating to research, scholarship, teaching and courses at the University. With regards to REF2014, at committee level, the Academic Board is responsible for the final approval for the submission of the University's submission to REF2014 and the code of practice will be considered and approved by its members prior to submission to HEFCW. The composition and full terms of reference can be found in Annex A.

### **Research Committee**

The University Research Committee is a committee of Academic Board and meets on a quarterly basis. The committee is chaired by the DVC (Research and Student Experience) and serviced by the Research Office which provides secretarial and clerking support. The composition of Research Committee is provided in Annex B. The Committee has responsibility to develop, implement and review the research strategy for the University and makes recommendations to the Vice-Chancellor and the Academic Board on the University's submissions to REF2014. The code of practice is considered at this committee and the progress of our preparations for REF2014 is a standard agenda item. Decisions regarding REF2014 are made at this Committee including the criteria for the selection of staff for submission. The Research Excellence Manager attends Research Committee and provides a written and oral report to update members of the progress of the submissions to REF2014 and to provide information on any other REF2014-related matters. Feedback from the REF Working Group (detailed below) and UOA leaders are also discussed as appropriate.

## **REF2014 Working Group**

Both former institutions established a working group to consider the development of their submission for REF2014. For the former University of Wales, Newport the REF Committee was established and for the former University of Glamorgan the REF2014 Working Group was established. The development of the code of practice has been assisted through discussion at these meetings, and the Equalities Manager and Equality and Diversity Advisor have used these meetings to brief members on the process of the selection of staff for submission and provide the necessary training required as part of the REF2014 process.

USW have adopted the REF2014 Working Group as the principal operational forum for discussion and development of the REF2014 submission. The meetings are chaired by the DVC (Research and Student Experience) with secretarial support provided by the Research Excellence Manager. The Dean of Research and Graduate Studies, UOA leaders, the Head of the Research Office, the Research Information and Systems Officer and the Equality and Diversity Advisor make up the remaining composition of the group.. As appropriate, additional staff with responsibilities to REF2014 or are able to provide assistance to the REF2014 preparations will also join the meetings to assist in planning of the submissions, for example the PGR Manager and the Research Advisor.

The meetings are held on an ad hoc basis, approximately every two to three months and are a means by which views are exchanged on the REF2014 documentation as it becomes available, and more detailed discussions on proposed submissions including data requirements and matters relating to the selection of staff for submission. Thus, the information discussed at these meetings help to inform UOA leaders to compile their submissions.

## **Equality and Diversity Steering Group**

The Equality and Diversity Steering Group provides advice to the Executive across all equality and diversity issues. Chaired by DVC (Research and Student Experience) with secretarial support provided by the Equality and Diversity Advisor, the group is responsible for supporting the development and review of the policy and taking an overall responsibility for equalities issues. The group receives Equality Impact Assessments undertaken throughout the University including those associated with REF2014 and considers the code of practice. The composition and full terms of reference are provided in Annex C.

## **6. Staff development on equality and diversity**

---

All staff with responsibilities relating to the selection of staff for submission will be provided with appropriate equality and diversity training that has been tailored to the REF2014 processes. Briefings and training have been provided by the University Equalities Manager and Equality and Diversity Advisor using training material provided by the Equality Challenge Unit (ECU). The training included lessons learnt from the RAE2008 exercise, updates on equality legislation (in particular the Equality Act 2012) and case studies developed by the ECU to explore issues such as the implications of dealing with more complex personal

circumstances in the process of the selection of staff for submission. Recipients of the training will be expected to attain an understanding of REF2014, the code of practice, equality legislation, roles and responsibilities and steps to ensure that the selection of staff is conducted fairly in accordance with the code of practice and REF2014 guidance on submissions. Ongoing support and advice on the implications of personal circumstances is provided by the Equality and Diversity Advisor and the Research Excellence Manager.

For the former University of Glamorgan, initial training was provided to members of the REF2014 Working Group in December 2011 which coincided with the University's internal mock REF assessment. On publication of the ECU case studies in March 2012, the Equalities Manager provided further training to the group on how clear and complex circumstances were to be considered. More extensive guidance sessions for those involved in consideration of complex personal circumstances have been held for the University REF Disclosure Panel (see section 9). For the former University of Wales, Newport, training was provided to the University REF panel and Heads of Schools on the REF and Equality issues, using training materials produced specifically by ECU. The training was delivered in May 2012 and ongoing guidance offered to the Individual Staff Circumstances Group on the occasions when the group has convened.

## **7. Selection of UOAs for submission to REF2014**

---

The principle criteria for the selection of UOAs for submission to REF2014 are outlined below:

- Previous submission with a funded quality profile.
- Previous submission to another UOA with an unfunded quality profile, so an alternative UOA is sought.
- Feedback from RAE2008 submission and actions taken subsequently.
- Responses to external expert advice.
- Development of the research content since a previous RAE submission makes an alternative submission more suitable.
- Development of a new submission based on new research.
- University strategic investment in a research group.
- Requirements by external accreditation bodies for a REF2014 research profile.
- Responding to the career ambitions of a group of staff.
- Staff outputs during the REF period and critical mass of staff in each potential UOA.

The decisions as to which UOAs the University will submit to REF2014 will be made through open discussions and through the iterative process of mock REF submission exercises, at least two, conducted over the assessment period. Formal recommendations on UOAs to submit to REF2014 will be submitted to Research Committee and Academic Board for approval.

Each potential submission must be viewed as a whole. For example, potential submissions that appear to be strong in terms of outputs may be weak in the elements of assessment 'research environment' and 'impact' so the overall predictive gradings may mean that no

submission will be made to the UOA. Lack of coherence may also be a key factor in excluding a group or individuals.

## **8. Selection of staff for submission to REF2014**

---

Each UOA entered to REF2014 will contain data in the submission on up to four research outputs produced by each member of submitted staff during the publication period 1 January 2008 to 31 December 2013. The University may only select individuals for submission if they fall into the following two staff categories as defined by the REF (further details are provided in the REF2014 'Assessment Framework and Guidance on Submissions', REF 02.2011, Part 3):

- **Category A:** defined as academic staff with a contract of employment of 0.2 FTE or greater, employed by the submitting institution on 31 Oct 2013, and whose primary employment function is to undertake either research only or teaching and research.
- **Category C:** defined as individuals employed by an organisation other than an HEI whose contract includes the undertaking of research.

Staff eligible as Category A or C members of staff must submit up to four outputs to be considered for inclusion in the University's submission to REF2014. Outputs will be assessed on quality against the REF2014 criteria and definitions of starred levels (REF2014 'Assessment Framework and Guidance on Submissions', REF 02.2011, Annex A, Assessment criteria and level definitions, table A2: Outputs sub-profile: Criteria and definitions of starred levels). Assessments on the quality of each output submitted will be conducted internally and also externally by a UOA critical friend. Feedback from the critical friend will consist of predictive sub-profiles for all elements of the assessment, a detailed critique highlighting strengths and weaknesses and recommendations for improvement. In some cases more than one critical friend may be appointed to a UOA for strategic purposes.

In cases where there are options for staff to be submitted in more than one UOA, the UOA leader will present a case to the DVC (Research and Student Experience) who will make a final judgement. The critical friend reports and additional relevant factors will also be taken into consideration when making this judgement.

It is important that the University can demonstrate that the selection of staff for submission to REF2014 has been carried out in a non-discriminatory manner. With appropriate support provided by the Faculty, Research Office, and the Equality and Diversity Advisor, each UOA leader will produce a statement at each mock submission process and upon final submission to REF2014 describing their selection and submission processes in detail, relating this to the REF2014 guidance and criteria stated in this Code of Practice. Sections of this record, specific to an individual, must be made available to that academic staff member if he or she so requests. This record will be required in any subsequent appeal process. Where possible a diversity profile of staff potentially eligible for submission within each UOA will be produced and compared to that of staff selected for submission. This will inform the Equality Impact Assessment that will be conducted as part of the requirements of REF2014.

## 9. Individual Staff Circumstances

---

During the process of the selection of staff for submission to REF2014, the University is required to take into account the personal circumstances which may have affected a person's ability to produce four outputs or work productively throughout the assessment period. Category A and C staff may be submitted with fewer than four outputs without penalty in the assessment, if one or more of the following circumstances significantly constrained their ability to produce four outputs or to work productively throughout the assessment period:

### Clearly defined circumstances

For clearly defined circumstances a tariff will be provided in the REF2014 panel criteria and working methods to determine the number of outputs that may be reduced without penalty. This will depend on the duration of the circumstance (or combination thereof). These circumstances are:

- Qualifying as an early career researcher (as defined at paragraphs 85-86 of the REF2014 'Assessment framework and guidance of submissions', REF 02.2011)
- Part time working
- Maternity, paternity or adoption leave
- Secondments or career breaks outside of HE sector and in which the individual did not undertake academic research.

In these cases, the University REF Disclosure Panel (Annex D) will use the guidance and tariff system produced by the REF to determine the appropriate level of reduction of outputs.

### Complex circumstances

Circumstances that are more complex require a judgement about the appropriate number of outputs that can be reduced without penalty. These circumstances are:

- Disability (as defined by the Equality Act 2010)
- Ill health or injury
- Mental health conditions
- Constraints due to pregnancy or maternity, in addition to a clearly defined period of maternity leave. (For example, health and safety restrictions in laboratory or field work during pregnancy or breastfeeding constraints on the ability to travel to undertake fieldwork due to pregnancy or breast feeding.)
- Childcare or other caring responsibilities
- Gender reassignment
- Other circumstances relating to the protected characteristics listed under the Equality Act 2010 (REF2014 'Assessment Framework and Guidance on Submissions' document REF 02.2011, Part 4, Codes of practice on the selection of staff, table 2: Summary of equality legislation)

In these cases, the University REF Disclosure Panel will make a judgement, consistent with the range of circumstances and procedures set out in both the REF2014 'Assessment framework and guidance on submissions' and 'Panel criteria and working methods' (documents REF 02.2011 and REF 01.2012 respectively), and will be standard across all Faculties and UOAs. The University REF Disclosure Panel will seek guidance on making these judgements from worked examples provided by the Equality Challenge Unit (ECU).

### **Communication and disclosure of individual staff circumstances**

Staff will be notified of the REF2014 process and will be asked to inform the University of any personal circumstances that need to be taken into account via email communication from the Research Excellence Manager, and the Equality and Diversity Advisor. Information will also be sent to those who are absent from work by line managers.

For both former institutions, all eligible members of staff were invited to be considered for submission to the REF via email correspondence. Staff were also provided with information with regards to the REF2014 process and an opportunity to inform the University of any personal circumstances which may have constrained their ability to produce the required four outputs during the assessment period.

Further email correspondence as above has been emailed to staff and further is planned prior to final submission to REF2014. Staff who wish to make a case for individual circumstances should do so in writing by completing and returning an individual staff circumstances disclosure form (Annex E) to the University REF Disclosure Panel. A blank form will be made available on the University intranet.

### **Confidentiality**

Internal - Any information relating to individual staff circumstances whether clearly defined or more complex circumstances will be treated with confidentiality and will only be made available to the University REF2014 Disclosure Panel and, subsequently if necessary, to members of an University REF2014 Appeals Panel (Annex F). UOA leaders will receive a decision on the appropriate numbers of outputs to reduce but will not have access to the reasons or circumstances.

External members of academic staff who are to be included in a submission with fewer than four outputs for reasons such as those set out above should be aware that the REF requires information on personal circumstances to be included in the submission documentation and that their permission will be requested at the time of disclosure of information.

Information contained within the REF submission documentation relating to individual staff circumstances will be kept confidential to the external REF team and panel members who will be judging the quality of the submission. For complex circumstances the information will be seen by the external Equality and Diversity Advisory Panel and the main panel members who are all subject to confidentiality undertakings in respect of all information contained in the submissions. These arrangements will enable individuals to disclose information in a

confidential manner, and also to enable consistent treatment of complex circumstances across the exercise.

### **Tariffs**

The appropriate level of reduction in the number of outputs is provided in the REF2014 'Panel criteria and working methods' (REF 01.2012; [www.ref.ac.uk/pubs/2011-02/](http://www.ref.ac.uk/pubs/2011-02/)).

### **Fixed-term and part-time staff**

The University is committed to the equality of staff on fixed-term and part-time staff contracts and will take into consideration individual circumstances relating to these staff during the selection process. Guidance has been produced to ensure that allowances are made in line with those outlined by the REF guidance for staff who have been constrained due to other personal circumstances. These are set out in the REF2014 'Panel criteria and working methods' (REF 01.2012) as referenced above.

## **10. Appeals**

---

The University will only consider appeals from staff based on potential discrimination on the grounds of personal circumstances and/or personal characteristics against the criteria, processes and procedures set out in this code of practice. Appeals will not be considered on the basis of academic judgement.

During October 2013, a two week appeals procedure will commence following the final request by UOA leaders to submit Category A and C staff to REF2014. The UOA leaders will inform staff of their status with regards to submission to the REF and the Research Excellence Manager will email all academic members of staff and research staff to inform them of the procedure should they wish to appeal and also to draw attention to this code of practice and other relevant REF2014 documentation.

A written appeal to the members of the internal REF2014 Appeals Panel (Annex F) should be made by the appellant. The appellant will be provided with an opportunity to attending a meeting to discuss their case. If the outcome is in favour of inclusion of the appellant appropriate adjustments will be made prior to the submission deadline (29<sup>th</sup> November 2013).

## **11. Equality impact assessment**

---

All HEIs are required to conduct an equality impact assessment (EIA) on their code of practice for selecting staff for the REF and at a number of stages throughout the process. Equality Impact Assessments consider the potential for a policy or function to have an unequal impact or a detriment on any protected characteristic outlined in the Equality Act

2010. The Act covers the protected characteristics of Age, Disability, Gender reassignment, Marriage and civil partnership, Pregnancy and maternity, Race, Religion or Belief, Sex, and Sexual orientation. An equality impact assessment can help to ensure that the procedures involved in the REF do not inadvertently discriminate against those with protected characteristics. An EIA will help to establish if the selection policy poses a barrier to eligible staff from a particular group.

For the former University of Glamorgan, an EIA was completed at the same time as this code of practice and an analysis of the selection of staff following the University mock REF exercise (August – October 2011) was conducted by the Equalities Manager. An EIA of the selection of staff will be reviewed at each University mock REF exercise and on final submission to the REF (Annex G).

In order to conduct an equality impact assessment the diversity profile of all those eligible for submission for the exercise will need to be established and compared to that of staff selected for the submission. The University HR department currently holds data on the gender, disability, ethnicity and age of all staff. Data can also be collected on those who have been on maternity leave or long term sick leave. However the University will also contact all academic staff to ensure that they have the opportunity to provide details of circumstances which have impacted on their ability to produce the number of outputs required for inclusion in the REF. Staff will be alerted to the importance of disclosing such information (in confidence) and the implications for inclusion for consideration in the REF process.

## **Annex A**

### **Academic Board**

---

#### **Composition:**

**Chairperson:** Vice Chancellor

**Secretary:** University Secretary

Deans of faculty or nominee

Chairpersons of faculty boards

Up to four heads of academic related areas nominated by the Vice-Chancellor

One member of teaching staff elected from each faculty

One member of support staff elected by the support staff

One member of the professoriate elected by the professoriate

Two students nominated by the Students' Union

Principal of RWCMD or nominee

Secretary: University Secretary

#### **Terms of reference:**

Subject to the Articles, the Academic Board shall be responsible for:

1. General issues relating to the research, scholarship, teaching and courses 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 validation and review of courses; procedures for the award of qualifications and honorary academic titles; and, the procedures for the expulsion of students for academic reasons;
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 the Board of Governors thereon; and
3. Advising on such other matters as the Board of Governors or the Vice Chancellor may refer to the Academic Board.

## **ANNEX B**

### **Research Committee**

---

#### **Composition:**

**Chairperson:** DVC (Research and Student Experience)

**Secretary:** Head of the Research Office

**Head of Research Office**

**Research Institute Directors Chair of Research Programmes Sub Group**

**Four persons nominated by the chairperson on the basis of their experience and expertise**

**The four faculty Postgraduate Research Student Voice Representatives  
One Faculty Ethics Champion nominated by the University Ethics Sub Group**

**Terms of reference:**

1. To develop, implement and review a research strategy for the University.
2. To develop, implement and review a scholarly activity strategy for the University.
3. To make recommendations to the Vice-Chancellor on the Research Excellence Framework.
4. To report to, and undertake any tasks allocated by Academic Board.
5. To consider any matters relating to research or scholarship raised by faculties.

## **ANNEX C**

### **Equality and Diversity Steering Group**

---

**Composition:**

**Chairperson (Vice-Chancellor's nominee):** DVC (Research and Student Experience)  
**Secretary:** Equality and Diversity Advisor

**Chairperson of Disability and Dyslexia Sub-Group: Chairperson of Race Equality Sub-Group: Chairperson of Gender Equality Sub-Group: Head of CELT: Dean of Faculty representatives: Director of Human Resources: Director of Estates: Director of LCSS: Academic Registrar: Disability and Dyslexia Manager: Students Union Representative: Nominees of the Trade Unions Alliance: 2 Co-opted members**

**Terms of reference:**

1. To advise Directorate, other internal groups to the University on all equality and diversity issues with particular reference to the protected characteristics as defined by the Equality Act 2010.
2. To support the planning and development and review of policy and taking an overall coordinating responsibility for equalities issues.
3. To establish sub-groups/working groups as required to advise on specific equalities matters.
4. Monitor and evaluate University policies and procedures relating to equalities legislation for both staff and students, in particular for compliance with the Equality Act and other internal equalities policies and procedures.
5. To consider and make recommendations on staff development opportunities and disseminate examples of good practice throughout the University.
6. To establish working partnerships with appropriate external bodies to further foster best practice within the institution.
7. To receive and evaluate equalities impact assessment reports on University policies and procedures.

## **Annex D**

### **REF2014 Disclosure Panel**

---

**DVC (Research and Student Experience)**  
**Dean of Research and Graduate Studies**  
**Equality and Diversity Advisor**  
**Member of the Equality and Diversity Steering Group**  
**Research Excellence Manager**

## Annex E

### Individual Staff Circumstances Disclosure Form

---

#### Template covering note and staff disclosure form

To: All members of staff eligible for return in REF 2014

From: [insert]

Subject: REF 2014, consideration of individual staff circumstances

---

The University of South Wales is committed to ensuring that decisions about selecting staff for the Research Excellence Framework (REF) are made in a fair, transparent and consistent manner. Information on how eligible staff will be selected for submission to the REF can be found in the University's Code of Practice which can be found at [insert web address].

The University is aware that some peoples' circumstances may have affected an individual's ability to carry out the required amount of research during the REF assessment period (01 January 2008 through to 31 December 2013). Staff may, therefore, be submitted with fewer than the required four research outputs without penalty in the assessment, if one or more of the circumstances described below has significantly constrained their ability to produce four outputs, or to work productively throughout the assessment period.

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

In determining whether eligible staff may be submitted to the REF with fewer than four research outputs, the University of South Wales REF Disclosure Panel (which consists of, the Deputy Vice Chancellor (Research & Student Experience), Dean of Research and Graduate Studies, the Equality and Diversity Advisor, the Deputy Head of Student Services and the Research Excellence Manager) will take the following circumstances into consideration:

- Early career researcher (started career as an independent researcher on or after 1 August 2009)
- Junior clinical academic staff who have not gained a Certificate of Completion of Training by 31 October 2013 [*Delete as appropriate: applies to specific units of assessment within Panel A*]
- Part time employment
- Career break or secondment outside of the higher education sector in which the individual did not undertake academic research
- Maternity leave, statutory adoption leave, and additional paternity leave (taken by partners of new mothers or co-adopters)

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

If your research output has been affected by other circumstances, (not including teaching and administration), that are not listed above, please detail them on this form as they may be considered.

*In determining the number of outputs staff are required to submit, the institution will observe the definitions of individual staff circumstances provided in the published REF 'Panel criteria and working methods' (January 2012) available at [www.ref.ac.uk](http://www.ref.ac.uk) under 'Publications'.*

#### **What action do I need to take?**

If you are eligible for REF submission and your personal circumstances have impacted on your ability to produce the required number of research outputs you are encouraged to complete the attached form to give details. Please note that you should complete this form even if the University is already aware of the situation.

If further information is required about any circumstances disclosed, you will be contacted by a member of the REF Disclosure Panel.

#### **Who will see the information that I provide?**

##### **Internally**

Within the institutions, the information that you provide will be seen by the REF Disclosure Panel. Those handling individual staff circumstances will observe confidentiality and information will be stored securely within an electronic system and in line with the Records Retention Policy.

##### **Externally**

- Information provided on the form may be shared externally for the purposes of evidencing any reduction in the number of research outputs: For *circumstances with a clearly defined reduction in outputs*, information will be seen by the relevant REF sub-panel, the REF panel secretariat and the UK funding bodies' REF team. This will be information about early career researcher status, part-time working, career breaks or secondments, and periods of maternity, additional paternity or adoption leave taken.
- For *more complex circumstances*, information will be seen only by the REF Equality and Diversity Advisory Panel, the REF Main Panel Chairs and the UK funding bodies' REF team. This will be information to explain the impact on your research of circumstances such as disability, ill health, injury, mental health conditions, gender reassignment, caring responsibilities or constraints relating to pregnancy, maternity, breastfeeding, adoption

and paternity (in addition to the period of leave taken). This information will **not** be seen by the REF sub-panel.

All internal and external REF panel members, chairs and secretaries are bound by confidentiality requirements, and acceptance of the confidentiality requirements is a condition of their appointment to the role. No information relating to identifiable individuals' circumstances will be published by the funding bodies REF Team. All data collected, stored and processed by the UK funding bodies REF Team will be handled in accordance with the Data Protection Act 1998.

The REF Assessment Framework and Guidance on Submissions [www.hefce.ac.uk/research/ref/pubs/2011/02\\_11/](http://www.hefce.ac.uk/research/ref/pubs/2011/02_11/), requires all higher education institutions participating in the REF to ensure appropriate confidentiality in handling individual staff circumstances. [Where joint submissions are made it may be necessary to share the information provided with another institution.]

***What if my circumstances change?***

The University recognises that staff circumstances may change between 1 January 2008 and 31 October 2013. If your circumstances change you can download a copy of the attached form at [insert web address].

## USW REF 2014 Individual staff circumstances disclosure form

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

### **Section one:**

Please select one of the following:

- In completing this form I have individual circumstances that I wish to make known and I am seeking a reduction in research outputs. (Please complete sections two, three and four)

### **Section two:**

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

Please provide information required on relevant circumstance/s and continue onto a separate sheet of paper if necessary and note that dates provided will be verified internally:

	<i>Circumstance</i>	<i>Information required</i>
<b>1.</b>	<b>Early career researcher (started career as an independent researcher on or after 1 August 2009)</b>	Date on which you became an early career research
	<b>Information</b>	
<b>2.</b>	<b>Junior clinical academic staff who have not gained Certificate of Completion of Training by 31 October 2013</b>	Please place a tick in this box if the circumstance applies: <input type="checkbox"/>
<b>3.</b>	<b>Part time employee</b>	<b>Full Time Equivalent (or hours per week) between which dates or duration in months.</b>
	<b>Information</b>	
<b>4.</b>	<b>Career break or secondment outside of the higher education sector</b>	<b>Dates and duration in months</b>
	<b>Information</b>	

5.	<b>Maternity leave, statutory adoption leave, or additional paternity leave (taken by partners of new mothers or co-adopters)</b>	<i>For each period of leave state which type of leave was taken and the dates and duration in months</i>
	<i>Information</i>	
6.	<b>Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare in addition to the period of maternity, adoption or additional paternity leave taken.</b>	Amount of time not in work and other impacts on ability to undertake research. Duration in months
	<i>Information</i>	
7.	<b>Other caring responsibilities (including caring for an elderly or disabled relative)</b>	Amount of time not in work and other impacts on ability to undertake research. Duration in months
	<i>Information</i>	
8.	<b>Disability (including conditions such as cancer and chronic fatigue)</b>	Amount of time not able to be in work and other impacts on ability to undertake research. Duration in months
	<i>Information</i>	
9.	<b>Mental health condition</b>	Amount of time not able to be in work and other impacts on ability to undertake research. Duration in months
	<i>Information</i>	
10.	<b>Ill health or injury</b>	Amount of time not able to be in work and other impacts on ability to undertake research. Duration in months
	<i>Information</i>	

<b>11.</b>	<b>Gender reassignment</b>	Amount of time not able to be in work and other impacts on ability to undertake research. Duration in months
	<i>Information</i>	

<b>12.</b>	<b>Other exceptional and relevant reasons, not including teaching or administrative work</b>	Amount of time not able to be in work and other impacts on ability to undertake research. Duration in months
	<i>Information</i>	

**Section three:**

*Preferred method of contact:*

<b>Email</b>	
<b>Telephone</b>	
<b>Preferred method of communication</b>	

**Section 4:**

Please select as appropriate:

*I confirm that the information provided is a true and accurate description of my circumstances.*

*I understand that I will be contacted if more details are required and, in the case of disability, to ensure that I am aware of possible support available to me.*

*I recognise that the information provided will be used for REF purposes and will be seen internally by the REF Disclosure panel and where necessary the Appeals panel.*

*I realise that it may be necessary to share information with the UK funding bodies' REF team, who may make the information available to REF panel chairs, members and secretaries and/or the Equality and Diversity Advisory Panel. I recognise that if a joint submission is made, information may be shared with another institution. Where permission is not provided The University of South Wales will be limited in the action it can take.*

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

## **Annex F**

### **REF2014 Appeals Panel**

---

**A member of the University Executive** (other than the DVC (Research and Student Experience))

**A Dean** (from a different faculty as the appellant)

**A University Corporate Head**

## Annex G

### Equality Impact Assessment

---

#### Equality Impact Assessment for policies and procedures

1. Policy/ Procedure to be considered:

---

2. Name of Faculty or Department:

---

3. Who is responsible for the decision/ changes/new policies/procedures?

---

4. Please give brief details of what is to be assessed:

---

5. Who will be affected, (other than staff employed in the department) e.g. service users – staff, students or wider community? If possible, attach a diversity profile of users (students or other clients) of the service and consider the impact on these people.

---

e.g. The people it covers - e.g. staff, students, potential students, visitors, general public etc. This will provide an indication of who should be consulted on its impact and what evidence you need to gather. If possible, attach a profile of users (students or other clients) of the policy by the protected characteristics and consider the impact on these people.

6. Is there any evidence to indicate that this policy will have more impact (negative or positive) on any of the protected characteristic groups?

---

Decisions should be based on evidence and consultation. Evidence could be statistical, survey opinions, anecdotal, observational. You could consider using:

- Demographic data and other statistics

- Recent research findings

- Results of any surveys or consultation

- Analysis of complaints

If you have insufficient data to help you to complete this section then probably the first actions in your action plan will be to gather further data.

**7. Outline the potential impact on those with protected characteristics and what has been done to mitigate this impact (if negative):**

Group	Evidence
Disabled people	
Women, men or transgender. Consider pregnant staff or those on maternity leave.  Married or in civil partnerships (for employment issues)	
People of different ages	
People of different races or ethnicity	
People of different religions or belief	
Sexual orientation	
Those who have undergone Gender reassignment	

**8. In policy making and in all aspects of policy decision-making, the needs of Welsh speakers must be considered with the aim of ensuring that the Welsh language is treated no less favourably than the English language. Is there any evidence to indicate this policy will have a positive or negative impact on the use of the Welsh language within the University? (You may want to consider numbers or proportion of Welsh speaking students/staff and/or provision of Welsh language services or teaching).**

**9. Who has been consulted?**

Trade Unions? Human Resources?, Student Services? Student Union/ Student Voice representatives? Welsh Language Scheme Facilitator? Those with protected characteristics e.g. disabled people, different ethnicities, religions, ages?

**10. Will this Scheme assist the institution in its ability to comply with the general duty of the Equality Act 2010 as set out below?**

<b>General Duty</b> (see Appendix 1 for explanation of the general duty)
1. eliminate unlawful discrimination, harassment, victimisation and other conduct that is prohibited by the Act.  If so, how?
2. advance equality of opportunity between persons who share a protected characteristic and those who do not;  If so, how?
3. foster good relations between persons who share a protected characteristic and those who do not  If so, how?

**11. When will the policy be reviewed?**

**12. What further actions need to be considered?**

Actions Required	Staff Member Responsible	Timescale

Contact:

Date:

Please send the completed form to the Equality and Diversity Advisor email: [rachel.demery@southwales.ac.uk](mailto:rachel.demery@southwales.ac.uk)