

## Southampton Solent University Code of Practice on the Selection of Staff for REF 2014 Submissions

### 1. Principles

Southampton Solent University (SSU) will submit Units of Assessment for REF 2014 where the likely outcome will maintain and enhance its academic reputation and where there is a reasonable probability of a subsequent funded return. The University will not submit work in areas where the outcomes are equivocal.

In selecting individual staff, the overriding consideration is whether their outputs are suitable for a submission meeting the above criteria. Specifically, the University wishes to make it clear that an internal decision not to submit a member of staff *does not* imply unsatisfactory research performance; and that, in particular, SSU continues to celebrate the very broad range of Research and Enterprise activities which are captured by the Annual R&E Audit, only a small proportion of which are likely to be submitted to the REF since SSU recognises a much broader range of outputs in that process.

The University's Equality and Diversity Policy is fully compliant with the current Equality Act (2010) legislation and will observe all aspects of the Act in staff selection. This code of practice is designed to complement and enhance existing policy and practice within the specific framework of the REF. It therefore seeks to meet the HEFCE requirement to "...develop, document and apply a code of practice on selecting staff to include in their REF submissions".<sup>1</sup> The procedures adopted for REF 2014 selection will be subject to impact assessment by the SSU Human Resources Service and the outcomes used to guide decision making and amend procedures where necessary.

The University's Code of Practice is designed to meet the REF 2014 tests of *transparency*, *consistency*, *accountability* and *inclusivity* as set out in the guidance documentation.<sup>2</sup> *Viz.*

**Transparency** - all processes relating to staff selection for REF 2014 are clearly detailed in this Code of Practice. The working draft has been drawn to the attention of all SSU staff through direct personal communication. It is also accessible via the SSU intranet.

**Consistency** - staff selection is coordinated centrally by the REF Sub Group, which is responsible for ensuring the Code of Practice is implemented uniformly. Specific training related to equality and diversity issues within the REF 2014 is mandatory for all those involved in decision making.

**Accountability** - the Code of Practice clearly defines the responsibilities of individuals involved in staff selection and provides also for an entirely separate Appeals Procedure.

**Inclusivity** - the Code promotes an inclusive environment with processes established to enable the University to identify all REF-eligible staff who have produced excellent research for submission to the REF through both peer nomination and self-nomination.

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<sup>1</sup> Assessment Framework and Guidance on Submissions, REF 02.2011, Part 4, paragraph 188.

<sup>2</sup> Assessment Framework and Guidance on Submissions, REF 02.2011, Part 4, paragraph 204

## 2. Governance

The final decision as to the University's submissions will lie with the Vice-Chancellor, acting in the light of the advice of the SSU Research and Enterprise Committee (REC), a standing committee of Academic Board. The Chair of this REC is one of the three SSU Deputy Vice Chancellors. The Deputy Chair of SSU REC is a second SSU DVC. To oversee the detailed construction of REF 2014 submissions, including compliance with this Code, SSU REC has established a REC 2014 REF Sub Group composed of senior researchers and other relevant professionals, some of whom are members of REC itself. The Chair of the REF Sub Group has been co-opted onto REC to facilitate communication and enhance scrutiny.

### Selection of the REF Sub Group

Each faculty nominated one member to the University REF Sub Group from its senior research staff without regard to other committee memberships. The University's Research and Enterprise Committee nominated one additional member. Further members were nominated by the Dean of Academic Services and Human Resource Service. The Secretary to the Sub Group is one of the HEFCE nominated contacts at SSU. She is ordinarily a research administrator in one of the faculties and for the duration of REF 2014 has been seconded to Academic Services. The Sub Group will first undertake the preparation of the University level materials for the REF submissions, and then make provisional recommendations for Units of Assessment for submission based on the strength of the associated staff outputs. It will then co-opt additional members to represent each of those chosen Units of Assessment. Membership, including core SSU role, as at October 2012 is given below.

### Appeals Procedure

In the interests of transparency and natural justice, the Appeals Procedure is *outside and independent of the normal committee structure*. It comprises: (i) as Chair, the third Deputy Vice Chancellor, with a membership comprising; (ii) the three Deans of Faculty, or their nominee from among the Associate Deans, the criterion being that no individual should have played any part in the selection process through participation in the REF Sub Group or the SSU REC; and (iii) A senior nominee of the Director of Human Resources having particular expertise in equality and diversity issues but not involved in the selection processes.

SSU stresses that it expects the Appeals Procedure to be invoked rarely, if at all, since it would wish to resolve any issues of (non-)submission informally and to enter the maximum number of staff who meet the criteria set out above.

Any staff member not selected for REF submission may appeal in writing to the designated Deputy Vice Chancellor within twenty eight days of receiving the decision and associated feedback. The Appeal will be determined within a further twenty eight days and communicated to the staff member concerned. In the event of a successful appeal, the result will be communicated to the Vice Chancellor with a recommendation to refer back to the REF Sub Group. If the appeal is unsuccessful this will be communicated directly to the REF Sub Group and to the individual concerned.

Although it is likely that any appeals will arise early on in the process, since the construction of the REF submission is determined by the determination of final outputs, and peer review of these, the appeals process will be kept open until late summer 2013. This accommodates in particular staff who may find themselves just short of the submission threshold during the early part of the preparation period. This balances a desire to be as inclusive as possible with the need to finalise the final submission in a timely and

professional manner.

Further details of the Appeals Procedure are given as Appendix 2:3

### Consultation on the Code of Practice and on Progress with REF 2014

The draft Code of Practice on the Selection of Staff for REF 2014 was subject to consultation before formal adoption by Academic Board. It was sent to the staff trade unions for comment and placed on the portal (staff intranet) to provide all staff, including those in protected groups as defined by the Equality Act 2010, with an opportunity to make anonymous comments. An option of confidential personal or group discussion with a member of the REF Sub Group is included to ensure full accessibility.

Following agreement by HEFCE, the finalised Code of Practice will be placed on the Portal and also made available externally through the public internet site. Since any recommendations or conditions by HEFCE are likely to comprise only enhancements reflecting sector best practice, a further general period of consultation on the finalised Code is thought unnecessary. Any changes would however be reviewed by the Sub Group for compatibility with internal and external timescales. In addition, comments from the groups above continue to be welcome and will be taken into account in the operation of the Sub Group if this enhances the overall goals of *transparency, consistency, accountability and inclusivity*.

Beginning with the annual Research and Enterprise Conference in May, and continuing through discussions at faculty and research group level on possible UoA submissions to the REF 2014, the Code of Practice itself has been brought to the attention of all staff as an integral part of the overall REF development process.

### 3. Operation of the Sub Group

The REF Sub Group was formed as indicated above.

The membership comprises:-

	Faculty or Service	Role or Job Title
Professor David Watkins, Chair As from 1 <sup>st</sup> October 2012	Faculty of Business, Sport and Enterprise	Professor of Management Development, Faculty Director of Postgraduate Research Students, FBSE, Chair SSU Professoriate Nominated by Chair of REC
Professor John Rees, Chair Until 30 September 2012	Maritime and Technology Faculty	Former Dean and now Head of Research, Martec; Chair, Research Degrees Committee
Helen Marland,	Faculty of the	Research Administrator

Secretary	Creative Industries and Society / Academic Services	Academic Services and FCIS Research Centre
Professor Steven Henderson	Faculty of Business, Sport and Enterprise	Professor of Business Strategy Faculty nominee, FBSE
Professor Mike Barnett As from 1 <sup>st</sup> October 2012	Maritime and Technology Faculty	Head of Maritime Research Faculty nominee, Martec
Professor Maurice Owen	Faculty of the Creative Industries and Society	Head of FCIS Research Centre; Faculty Director of Postgraduate Research Students, FCIS Faculty nominee, FCIS
Professor Elizabeth Mytton	Faculty of Business, Sport and Enterprise	Professor of Legal Education; Chair, SSU IP Committee REC nominee
Caroline Old	Human Resources Service	Equalities Officer
Dr. Helen Thomas	Academic Services	Head of Programme Development (including central R&E support function)

The Sub Group is engaged in overseeing the preparation of the University level materials for the REF submissions, and making recommendations for Units of Assessment for submission based on the strength of the associated staff outputs to the REC. REC will consider these before making a recommendation to the Vice-Chancellor. It also has responsibility for ensuring compliance with this Code.<sup>3</sup> All members of the Sub Group are required to have participated in the specialised training on equality and diversity issues, tailored to the REF processes, as indicated under ‘Equality Training...’ in section 5 of this Code.

The University will undertake a formal equality impact assessment of the REF selection process which will report to the Sub Group and amendments to process will be made as necessary.

The Sub Group has been assessing the REF-readiness of established research groups and clusters through knowledge gained by virtue of their central positions in the research community and access to the regular internal data collection processes. It is on the basis of this information that an initial assessment of likely areas of submission is being made. Impact statement exemplars and income data are being gathered for the groups likely to submit. This process is expected to identify the greater proportion of staff likely to be eligible for submission

However, during July 2012 *all staff* received a request to self-nominate if they felt they

<sup>3</sup> For full terms of reference please see Appendix 2:2

met the full submission criterion of four outputs or the equivalent during the REF census period, or met any of the various published criteria for staff with special circumstances that could reduce the number of outputs required. This has enabled staff working in areas currently not part of an established group to be considered for submission. An initial opinion on likely rating will be made by the relevant member(s) of the REF Sub Group with expertise at the UoA level before the cut of date for submission of interim intentions.

It should be noted that to meet the requirements of the Data Protection Act and the Equalities Act, an individual's line manager is not involved in the selection process unless they are also a UoA lead. UoA leads are cautioned via the training programme that information disclosed to them must not be communicated outside the REF processes described or used in any other way.

External expertise, primarily at UoA or sub-discipline levels, will be used to evaluate the draft REF submission. In addition, input will also be sought from an experienced external general consultant to advise on whether judgements have been applied equitably across academic fields. Decisions as to final recommendations of submitted staff will occur only after this point and will be made by the REF sub-group and not by external advisers. The **sole** criterion for determination of submission is the likely contribution to a positive outcome.

This timetable ensures sufficient time to consider and determine any appeals in advance of final submission.

#### **4. Criteria for the Selection of Staff for Entry to REF 2014**

##### **Selection Criteria**

SSU will submit Units of Assessment for REF 2014 where the likely outcome will maintain and enhance its academic reputation and where there is a reasonable probability of a funded return. The University will not submit work in areas where the outcomes are equivocal.

In selecting individual staff, the sole consideration is whether their outputs are suitable for a submission meeting the above criteria.

The working definition of maintenance and enhancement of academic reputation in this context will be regarded as suitable for achievement of REF 4\* (world leading in terms of originality, significance and rigour) to REF 2\*(recognised internationally in terms of originality, significance and rigour) in this context. Such outcomes cannot be predicted perfectly, since they depend on academic judgements. However, the processes described above, including in particular the peer review elements which mirror on a small scale the operation of the REF itself, are intended to secure fairness and consistency.

##### **Communication of Criteria**

SSU's intention is to make the REF 2014 process as open and transparent as possible. The staff intranet (Portal) is being used to issue news of progress with REF

preparations in addition to the formal documentation being available in a dedicated part of the site.

Staff initially received a full introduction to the REF process and criteria during the University Research and Enterprise Conference in May 2012. The forthcoming REF 2014 was a particular focus of the annual event. This annual celebration of our research and enterprise activity takes place in a week when there is no teaching, and is attended by all research active staff and those considering research activity in future. From March to June, REF Sub Group solicited initial position information from individuals and the UoAs previously submitted, interviewing individuals and meeting groups/research clusters to establish formally the current situation. All staff then received a REF briefing note during July 2012 detailing the criteria and timings of REF, and notifying them of the opportunity for self-nomination. In parallel, extra opportunities for support were offered to staff nearing the submission threshold (see below).

All staff are required to check their University email accounts on a regular basis, hence this is the vehicle of choice for primary communication throughout the REF process. For staff on long term absence, the briefing has been sent to their registered home address in letter form. The Faculty Human Resources Managers liaised with the REF Sub Group and verified the associated staff lists in order to ensure full coverage. This process was repeated in October 2012 to capture any new appointees and as a safety net to ensure a further opportunity for staff to engage in the selection process.

Regular REF updates are being included in the staff news element of the University staff portal home page, which is a routinely and extensively used mode of staff communication.

This University level communication process is being reinforced at faculty level for the whole REF period since the key REF decision makers on the REF Sub Group are well placed (through the selection criteria) to cascade down information about progress with REF at the faculty and research group level.

Since it is important to build in a degree of redundancy to any internal communication strategy, additional 'all staff e-mails' will be sent out to reinforce knowledge of the processes outlined and general progress with the REF submission. This keeps open the general lines of communication with all staff. In addition, staff who are absent from work have been contacted directly by HR Service to inform them of the REF criteria and procedures for disclosure of individual circumstances. They have been encouraged to study the criteria in the light of their own circumstances and self-nominate if appropriate.

Finally, following ratification by HEFCE, the agreed Code of Practice will not only be placed on the Portal, but also made available externally through the public internet site.

### **Encouragement to meet Criteria**

Following the annual Research and Enterprise Conference in May, and ongoing faculty audit of potential REF contributors, extra funds were released for staff research support with a focus on those who had some prospect of inclusion, but insufficient outputs. This bidding process attracted wide interest. Allocation was made by the Chair of the REC on the advice of faculty REF Sub Group members and a large number of staff received extra support.

## 5. Timescales for Selection of Staff

Southampton Solent University's REF timetable for selection of staff is laid out below:

Timescale	Action
March - June 2011	REF Sub Group solicit initial position information from individuals and the UoAs previously submitted, interviewing individuals and meeting groups and clusters to establish formally the current situation. REF awareness sessions and workshops run by each faculty.
March 2012	Verification of candidate UoAs for submission against HEFCE guidance
June 2011	Initial REF readiness survey
July 2012	Initial contact with highly research active individuals for REF 2014 submission based on anticipated UoAs. First general call for self-nomination
September - November 2012	Preparation of initial research environment and impact statements. Drafting of REF submissions by each UoA
October - November 2012	Provisional decisions on selection of UoAs and individuals to be submitted
January 2013 - February 2013	External advice taken on each prospective submission
February 2013- March 2013	Selection concretised subject to timing of final outputs
March 2013- April 2013	Feedback to non-selected applicants
March 2013- June 2013	Appeals process open
June 2013 - September 2013	Refinement of selection in light of final outputs
August 2013- September 2013	Final opportunity for appeals
Oct 2013 - period end	Preparation of final University submission to REF 2014 and submission.

### Feedback on Selection Decisions to Individual Staff Members

The members of the REF Sub Group will feedback individually to staff putting themselves forward but not subsequently selected for REF submission. Staff who are considering

contesting this decision are urged to contact the Chair of the REF Sub Group initially and attempt an informal resolution. Notwithstanding this, there is an additional formal appeals process as described above under 'Governance'.

### **Disclosure of Staff Circumstances**

All staff eligible for submission will be asked to complete a confidential form detailing their individual circumstances in respect of REF 2014. These will be kept by the Human Resource Service under confidential cover and considered by the relevant Faculty's Human Resources Manager and the REF Sub Group member nominated by that faculty. The University will adopt the REF 2014 recommendations on equality and diversity in the categorisation of clearly defined circumstances. Where complex issues arise, these may be further discussed by the REF Sub Group as a whole in order to ensure equity in faculty approaches. Notes of such discussions will be recorded and kept by the Human Resources Service as part of the confidential record set.

The set of circumstances needing special consideration are necessarily open-ended and these will be considered on an individual basis at the request of the selected staff member.

### **Clearly Defined Circumstances**

- Qualifying as an Early Career Researcher (ECR)
- Part-time working
- Maternity, paternity or adoption leave
- Secondments or career breaks

### **Complex Circumstances requiring Individual Consideration**

- Disability
- Ill-health or injury
- Mental health conditions
- Constraints related to pregnancy or maternity
- Childcare or other caring responsibilities
- Gender reassignment
- Other exceptional and relevant reasons (not including teaching or administrative work)

The 'Disclosure of Circumstances' form is attached as Appendix 1: REF 2014 Staff Disclosure Forms.

As noted above, detailed training is in place to support the evaluation of staff circumstances which may effect REF 2014 eligibility and all those involved in the assessment of staff circumstance are expected to have undertaken the specific training developed to support this. This training includes case studies of potential simple circumstances, complex circumstances, and mixtures of the two categories.

### **Equal Opportunities for Submission for Fixed Term and Part-Time Staff**

The criteria for selection and other aspects of selection noted for full time staff will be applied without alteration to Fixed Term and Part-Time Staff, including communication, invitation for self-nomination, feedback and appeal processes, subject to general conditions of staff eligibility under REF guidelines REF regulations on *pro rata* outputs will be applied where appropriate.



## **Equality Training for Solent REF Sub Group Members**

Each of the members has undertaken the University's equality and diversity training programme and has additionally studied the training materials generated by HEFCE for REF taken from the Equality Challenge Unit website<sup>4</sup>. Additional members of the Sub Group, as added, and all participants in the Appeals Process will be required to participate in equivalent training provided by the SSU Human Resource Service. The Human Resources Service will additionally maintain a watching brief on specific further information arising around REF 2014 in relation to equality and diversity and will provide or facilitate any necessary additional training.

As noted previously, all members of the Sub Group, and any potential UoA leads, have undertaken specific training in the communication and application of both simple and complex factors influencing the eligibility of individuals for REF 2014. This has addressed the identification and communication of equality issues to colleagues, as well as specifics such as calibrating the effect on REF submission of simple and complex circumstances which might if not taken into account disadvantage specific individuals.

## **Equality Impact Assessment**

The University will undertake a formal equality impact assessment of the REF selection process which will report to the Sub Group and amendments to process will be made as necessary.

The impact assessment will be maintained under review throughout the period in which the REF submission is developed.

As a matter of good practice, SSU is committed to publishing the outcome of the EIA at the conclusion of the cycle.

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<sup>4</sup> [www.ecu.ac.uk/our-projects/REF](http://www.ecu.ac.uk/our-projects/REF)

## **Appendix One: Research Excellence Framework 2014 - Staff Disclosure Form**

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### **Research Excellence Framework 2014 - Staff Disclosure Form**

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

From: Professor S. J. Rees, Chair, REF Sub Group

Subject: Consideration of individual staff circumstances for REF 2014 submissions

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Southampton Solent University is committed to ensuring that decisions about selecting staff for the Research Excellence Framework (REF) are made in a fair, transparent and consistent manner. Information on how eligible staff will be selected for submission to the REF can be found in the Southampton Solent University's Code of Practice which can be found at <http://portal.solent.ac.uk/support/support-with-research/research-excellenceframework/resources/code-of-practice.pdf>.

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 REF Sub Group** will take the following circumstances into consideration:

- Early career researcher (started career as an independent researcher on or after 1 August 2009)
- 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' and any subsequent updates or amended advice.

## What action do I need to take?

If you are eligible for REF submission you are encouraged to complete the attached form. If further information is required about any circumstances disclosed, you will be contacted by your faculty member of the REF Sub Group

## Who will see the information that I provide?

Within the institution, the information that you provide will be seen by the **REF Sub Group and an appropriate member of the HR Service acting as advisor to the Group.** Members of the **REF Sub Group** or individuals handling individual staff circumstances will observe confidentiality and information will be stored securely.

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 Group, 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 may be seen by the REF Sub Group and HR advisor.**

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

## 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 <http://portal.solent.ac.uk/support/support-with-research/research-excellenceframework/resources/code-of-practice.pdf>.

# Individual staff circumstances disclosure form

Name

Faculty

Unit of Assessment

## 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 but I am not seeking a reduction in outputs. (Please complete sections two and three)
- .. In completing this form I am seeking a reduction in research outputs. (Please complete sections two and three)

## Section two:

Please select as appropriate:

- .. I would like to be contacted by a member of human resources staff to discuss my circumstances and requirements and/or the support provided by Southampton Solent University. My contact details for this purpose are:

Email Telephone Preferred method of communication
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- .. I do **not** wish to be contacted by a member of human resources staff

## Section three

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

Please provide information required on relevant circumstance/s and continue onto a separate sheet of paper if necessary:

Circumstance	Information required
Early career researcher (started career as an independent researcher on or after 1 August 2009)	Date on which you became an early career research
<b>Information</b>	
Junior clinical academic staff who has 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
<b>Information</b>	
Career break or secondment outside of the higher education sector	Dates and duration in months
<b>Information</b>	
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
<b>Information</b>	
Disability (including conditions such as cancer and chronic fatigue)	Impact on ability to fulfill contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Mental health condition	Impact on ability to fulfill contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Ill health or injury	Impact on ability to fulfill contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	

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 fulfill contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Other caring responsibilities (including caring for an elderly or disabled relative)	Impact on ability to fulfill contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Gender reassignment	Impact on ability to fulfill contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Other exceptional and relevant reasons, not including teaching or administrative work	Impact on ability to fulfill contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	

Please select as appropriate:

- I confirm that the information provided is a true and accurate description of my circumstances.
- I recognise that the information provided will be used for REF purposes and will be seen by... [insert information].
- 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 Southampton Solent University will be limited in the action it can take.

Signature:

Date:

## For official use only

Following consideration of the personal circumstances described above, the REF Sub Group:

- Will progress the staff member's inclusion in the REF submission with **[insert number]** of research outputs. [Subject to specified institutional criteria].  
Rationale for the proposed number of outputs:  
*e.g. this decision is based on the tariffs outlined in the panel criteria.*
- Requires further information of the circumstances described as follows:  
*e.g. please provide information from your occupational health assessment on the effectiveness of reasonable adjustments provided.*
- Does not feel that the staff member meets the criteria outlined within the REF 'Panel criteria and working methods' for submitting fewer than four research outputs. The reason(s) for this decision are:  
*e.g. circumstances detailed are not recognised within the assessment framework and guidance on submissions.*

If ..... **[insert name of staff member]** wishes to appeal against the decision of the REF Sub-Panel they will need to do so by ----- **[insert date]** and details of the appeals process can be found in the Southampton Solent University Code of Practice on Selection of Staff for REF 2014 Submissions **See Staff Portal**

Signature:

Date:

Chair of REF Sub Group

Signature:

REF Sub Group Member (insert Faculty)