

St Mary's  
University College  
Twickenham  
London



**St Mary's University College  
Code of Practice on selection of  
staff for submission to the  
Research Excellence Framework 2014**

**Version 7, July 31<sup>st</sup> 2012**

## **1.0 Introduction to Equality and Diversity in the Research Excellence Framework 2014**

1.1 The REF team at HEFCE have developed a number of mechanisms tailored to the REF to encourage the submission of all excellent researchers. These were detailed in the publication '*Assessment framework and guidance on submissions*' published by HEFCE in July 2011 (REF 02.2011). In selecting excellent researchers institutions are required to promote equality and diversity through the design and implementation of a fair and transparent selection process that complies with current legislation and prevents discrimination.

1.2 It is a requirement of the REF that each submitting institution establishes a Code of Practice on the selection of staff for submission. Institutional decisions on which members of staff are selected to submit are at the discretion of HEIs but they need to be defensible. The funding bodies require the Head of each HEI making a REF submission to confirm that the HEI has, in preparing its submissions and selecting staff for inclusion, developed, adopted and documented an appropriate internal code of practice, which attends to all relevant equal opportunities legislation in force on the submission date. Each Higher Education Institution (HEI) will be required to submit its Code of Practice on or before July 31<sup>st</sup> 2012. Each code of practice will be examined by the REF Equality and Diversity Advisory Panel (EDAP) for alignment with the legislative requirements and the principles

### **1.3 Legislative context**

The public sector equality duty of the Equality Act (2010) came into force in April 2011. Under the public sector equality duty, the higher education funding bodies and HEIs in England, Scotland and Wales, in carrying out their functions, must have due regard to the need to:

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

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

The protected characteristics covered under the Equality Act (2010) and which form the basis for equality impact assessment referred to in the Code of Practice are as follows:

- Age
- Disability
- Gender reassignment
- Marriage and civil partnership
- Pregnancy and maternity
- Race
- Religion and belief including non-belief

- Sex (including breastfeeding and additional paternity and adoption leave)
- Sexual orientation

Additional information relating to these characteristics taken from the 'Assessment framework and guidance on submissions' Part 4, paragraph 200 will be provided at REF briefings, can be provided on request from the HR department and are freely available on the REF section of the staffnet.

The institution has also taken into account the Fixed-term Employee and Part-time Workers Regulations (2000) during the development of its Code of Practice.

Queries relating to any of the above can be discussed in confidence with the Unit of Assessment Lead or Panel members at School level, the Director of Academic Affairs, or a member of the HR department, in particular Tanya Allen who is the REF Equality and Diversity Officer.

#### **1.4 Principles**

The St Mary's Code of Practice on selection of staff for submission to the REF2014 follows the four principles set out in the REF Guidance (paragraph 18) as follows:

##### **1/ Transparency:**

- processes; of communication to all staff;
- publication of code of practice

##### **2/ Consistency:**

- in implementation of processes uniformly;
- in principles of decision-making explicit across all levels of institution

##### **3/ Accountability:**

- clearly defined identification of staff / bodies and their responsibilities in selecting staff for REF submission;
- staff training
- operating criteria for individuals, groups, and committees involved in staff selection

##### **4. Inclusivity:**

- promotion of an inclusive environment, enabling institutions to identify all eligible staff who have produced excellent research for submission to the REF.

The principles have been used as a guide during the development of the St Mary's University Code of Practice.

## **2.0 Preparation for REF2014 Submission at St. Mary's University College – Overview**

A copy of the REF preparation schedule is provided in Appendix 1.

2.1 The St. Mary's University College submission to REF2014 will be in selected areas of research excellence and impact identified through strategically-focused and rigorous internal and external review. The submission will reflect the diverse nature of research undertaken by staff at the institution, and will provide a basis for future development in defined areas of excellence. The REF2014 submission will maximize the institutional potential for QR funding from 2015-2016 and enhance the institutional reputation by achieving a higher percentage of staff submitting work at 3\* and 4\*. During REF preparation the institution, and in particular the REF Group members, have been mindful of the sensitivities surrounding staff selection for the REF, and have attempted to provide a supportive and motivating environment for staff research in a wider context during this time in line with the institutional Research Strategy.

2.2 The REF preparation process has been overseen by the Director of Academic Affairs, who is also the REF Institutional Contact, in close association with colleagues in the Human Resources Department. There have also been contributions from the REF Technical Contact and REF Information Officer during the preparation of the Code, primarily via a REF Group set up specifically to oversee institutional REF preparation.

2.3 The REF Group was formed in November 2010 and has overseen all aspects of REF preparation to date, including identification of the Units of Assessment likely to be submitted, the development and approval of the Code of Practice and the REF preparation schedule. In carrying out its role, the REF Group has considered a range of information including:

- the updated requirements of REF 2014
- a diagnostic analysis of RAE 2008
- equality and diversity guidance for REF 2014
- the St Mary's Research Strategy
- the internal infrastructure and the resources available to support the REF at St Mary's
- the outcomes of cyclical internal and external review of research outputs during preparation for UoAs under consideration for REF2014.

2.4 Early REF Group membership included senior academic representatives from all five Academic Schools. Four of the Schools had submitted to RAE2008. A thorough diagnostic analysis of RAE2008 was carried out at School level by a local group led by the REF Group representatives in early 2011.

2.5 Potential UoAs for submission to REF2014 were identified by the REF Group in early 2011. This was based on a local analysis of research performance at School level carried out by senior academics within the School and led by the School Ref Group representative(s). During mid 2011 School representatives organised an external review of a sample of outputs which had the potential to be submitted as part of the REF 2014 submission in likely UoAs. As a result of the initial reviews a number of UoAs which would

form the basis for the St Mary's submission were confirmed as provisional UoAs. A number of other potential UoAs have been kept under review, based on the number of research-active staff within a particular UoA and the plans for recruitment as a result of planning cycles in key areas of academic development.

2.6 Following the initial review process School representatives held early discussions with all staff known to be producing research outputs on a regular basis. These staff were asked to provide copies of their work (electronically where possible) for collation by the School representatives and by the Academic Affairs Co-ordinator centrally. All work which is available electronically either has already or will be uploaded onto the St Mary's Open Research Archive (SORA), in line with the St Mary's Repository Policy.

2.7 In December 2011 the role of Unit of Assessment Lead was outlined and agreed by the REF Group. At this time each Head of School was asked to nominate a Unit of Assessment Lead for each provisional UoA identified to date. The UoA Leads replaced the School Representatives on the REF Group membership.

2.8 Development of the provisional UoA submissions in terms of collating outputs and identifying potential Impact Case Studies has been ongoing on an iterative basis at a local level, driven by the timelines within the University College REF Preparation Schedule. Following the identification of provisional UoAs in mid-2011, and during the remainder of 2011, two cycles of meetings have been held between each Head of School, the Deputy Principal and the Director of Academic Affairs to assist in the identification of any resourcing issues and planning needs at the School level. UoA leads have also been reporting progress to the REF Group on a 1-2 monthly basis. Following identification and confirmation of the UoA leads in early 2012 regular meetings (2-3 monthly) have taken place between the Director of Academic Affairs, the Academic Affairs Co-ordinator and each UoA Lead to receive a more detailed update on progress outside the REF Group Meetings and to offer advice and guidance as appropriate in the development of the UoA submission.

### **3.0 St Mary's Code of Practice preparation**

3.1 This 7<sup>th</sup> version of the St Mary's Code of Practice has been updated significantly since the initial draft document was presented to the REF Group in November 2011. The Code of Practice has been informed by the key HEFCE publication *Assessment framework and guidance on submissions* published by HEFCE in July 2011 (REF 02.2011), and updated according to the amendments published following as part of '*Panel criteria and working methods*' documentation (REF 01.2012) in January 2012. The St Mary's Code of Practice has also been guided by ECU publications on best practice in equality and diversity identified from the RAE2008, and the latest additional information on the ECU website (<http://www.ecu.ac.uk/documents/ref-materials>). Previous versions have been presented to the REF Group, the Research and Scholarship Committee, Heads of Academic Schools and the institutional Equality and Diversity Sub-Committee for information and feedback.

3.2 The St Mary's Code of Practice submitted to HEFCE was authored by:

- Professor Lesley Haig, Director of Academic Affairs (also REF Institutional Contact)
- Tanya Allen, Human Resources Manager- Operations (also REF Equality and Diversity Officer).

3.3 The final version of the Code of Practice for submission to HEFCE was approved by the REF group on 11<sup>th</sup> July 2012, and by the Senior Management Team of the institution on 30<sup>th</sup> July 2012. It was also considered by a Panel of HR Representatives, including the Director of Human Resources on 13<sup>th</sup> July 2012.

3.4 The Code of Practice will be reviewed in the context of an Equality Impact Assessment carried out at the time of the mock REF exercise in late 2012, and again during final selection for submission to the REF. If as a result of a review the institution wishes to amend the Code of Practice, the proposed changes will be communicated to staff and in writing to the REF team at HEFCE.

#### **4.0 Aims of the Code of Practice:**

Through implementation of the Code of Practice the University College will:

- Develop open and transparent selection criteria for use by the University College's selection groups
- Identify and make available the roles of individuals and membership and terms of reference of groups involved in the process of selection for submission and consideration of individual staff circumstances
- Detail the communication channels to be used to convey the relevant information to all involved in the selection process and all those eligible for submission
- Take account of an individual's personal circumstances in accordance with the guidance set out by HEFCE regarding issues of equality and diversity in relation to the REF
- Ensure that selection for REF submissions does not discriminate on the grounds of protected characteristics according to the Equality Act (2010) as well as Fixed term or Part time status.
- Detail an appeals process that can be used by all members of eligible staff in order to seek further consideration for submission.
- Highlight the equality impact assessment process that will be undertaken in order to assess any adverse impact on the inclusion and exclusion rates of all eligible staff by protected characteristics, and fixed or part-time status.
- Mainstream our commitment to equality and the REF process by cross referencing the REF into the University College's key Equality and Diversity policies and documents, and cross referencing equality into the University College's Research Strategy.

## 5.0 Process for selection of staff for submission in REF 2014

### 5.1 Staff Eligibility

All eligible members of staff will be contacted during the first week of September 2012 asking them to confirm whether they wish to be considered for selection for submission to REF2014.

Staff eligibility is defined in the document 'Assessment Framework and Guidance for Submissions' (paragraphs 77-82) as:

- **Category A staff:**

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

- **Category C staff**

individuals employed by an organisation other than an HEI, whose contract or job role (as documented by their employer) includes the undertaking of research, and whose research is primarily focused in the submitting unit on the census date (31 October 2013).

### 5.2 Submission form

If staff wish to be considered for selection they will be asked to complete a 'Submission Form' and on this form indicate whether:

a/ copies of their research outputs have already been submitted for consideration by Unit of Assessment Panels or,

b/ outputs have been uploaded onto the St Mary's Open Research Archive (SORA) or,

c/ outputs are not already held on record by the UoA Panel or the SORA but they wish to be considered for selection.

In the latter case staff will be asked to provide electronic copies with their submission form (or hard copies where electronic copies are unavailable).

### 5.3 Individual circumstances form

At the same time (1<sup>st</sup> week September 2012) all eligible staff who wish to be considered for submission to the REF will be asked to complete an 'Individual staff circumstances form' asking them whether they wish to disclose any individual circumstances that *constrained their ability to produce four research outputs or work productively during the REF assessment period* (according to REF Panel Criteria and working methods paragraph 65).

All staff are required to complete this form indicating whether they wish to disclose any individual circumstances or not. Staff will be made aware that the disclosure of any circumstances is voluntary. It will also be made clear to staff on the form and during all REF communications that they are permitted to submit individual circumstances at any stage prior

to final submission to the REF but that early disclosure will assist in REF preparations and ensure that adequate documentation and evidence are collated (as appropriate) prior to final submission in the autumn of 2013.

5.4 Submission forms and individual circumstances forms should be returned (electronically where possible) to the Academic Affairs Coordinator by **5pm on September 21st 2012**. On receipt of the forms the Academic Affairs Coordinator will pass Submission Forms and any research work to the Director of Academic Affairs. The forms and the outputs of staff wishing to be considered will be forwarded to the most relevant UoA to which the staff may be submitted. All individual circumstances forms will be passed on directly to the REF Equality and Diversity Officer in the Human Resources Department.

5.5 All disclosed individual circumstances will be recorded and where possible verified by the Human Resources Department. All circumstances will be considered by the University College REF Equality and Diversity Panel including both defined and complex circumstances. All staff will be made aware that information will be managed confidentially. Additional information outlining individual circumstances is available in section 7.

5.6 Staff will also be made aware that if selected for the REF, form REF1b must be completed for each staff member submitted with fewer than 4 outputs. This form will provide information on the nature of the individual circumstances (defined or complex) based on verifiable evidence. Completion of this form will be overseen by the REF Equality and Diversity Officer and the Director of Academic Affairs, with involvement of the individual concerned as appropriate. It should be noted that in the case of *clearly defined circumstances* the information submitted in REF1b will be kept confidential to the relevant REF sub-panel, the REF panel secretariat and the UK funding bodies' REF team, and that in the case of *complex circumstances* this information will be seen by the REF Equality and Diversity Advisory Panel, the REF Main Panel Chairs and the UK funding bodies' REF team.

5.7 The outcomes of any individual circumstances considered by the SMUC REF Equality and Diversity Panel will be reported back to the member of staff involved in writing with a brief explanation given for the decision made. The relevant UoA Lead will receive information on any reduction in the number of outputs to be submitted for the individual concerned (if applicable), which will not include any details regarding the nature of the circumstances.

5.8 In November to December 2012, a mock REF event will be held for each UoA using appropriately qualified external reviewers. Following the mock event, in January 2013, a quality threshold will be proposed by each UoA panel for approval by the REF Submission Panel, taking into account the range and weighting of factors that contribute to the overall quality profile. In applying these criteria UoA Panels must take into account the relevant REF criteria and working method statements applicable to that UoA. It is likely that quality thresholds will vary between UoAs. Quality thresholds will be communicated to all staff in writing and details will be posted on the University College staffnet by the end of February 2013.

5.9 Any new eligible staff recruited after September 2012 will be asked to complete a submission form (with copies of research outputs) and an individual circumstances form if they wish to be considered for REF selection.

5.10 In the first week of February 2013 all eligible staff will be sent another communication to ask if they wish to be considered to be selected for submission to the REF. They should complete the relevant Submission Form if they have not already done so and an Individual Circumstances Form and return all forms to the Academic Affairs Coordinator by the 22<sup>nd</sup> February 2013.

In this communication all staff who have completed the submission form previously will be reminded to check that the outputs collated by the UoA Panel are accurate and up-to-date. In addition staff will be reminded that they are permitted to disclose individual circumstances and that the University College recognises that staff circumstances may change up to the end of the census period on 31<sup>st</sup> October 2013.

5.11 In April 2013 each UoA Panel will be asked to complete a penultimate draft submission.

5.12 In May 2013 each UoA Panel will meet with the University College's REF Submission Panel and make firm recommendations on the staff to be included in the submission based on the principles for selection outlined in this Code of Practice.

5.13 All staff who are to be included in the REF submission will receive confirmation by 15<sup>th</sup> June 2013. Any eligible staff who have not been selected for inclusion will also have this confirmed by 15<sup>th</sup> June 2013 and will be provided with feedback on the reason for this decision. All staff will be notified of the outcome via a letter sent to them by the UoA Lead. The letter will also provide details of the University College REF appeals process.

5.14 It is noted that changes to the submission involving staff are possible between June 2013 and 31<sup>st</sup> October 2013, for instance if a new staff member of staff was to be recruited who may be eligible for submission in a relevant UoA. Any new staff will be considered for selection in line with the processes outlined in this section and the principles for selection in section 6.

5.15 It will be made clear to all staff who have not been considered for inclusion that this does not affect their consideration as research-active individuals within the institution and will not have any bearing on them being considered in future REF submissions at the University College.

## **6.0 Principles for selection of staff for submission to the REF**

The UoA Panels will be asked to recommend staff for selection to the REF according to the following principles:

6.1 **Volume of work** – the number of research outputs classified as 'research' according to the REF definition of research and taking into account any reduction in outputs as

recommended by the SMUC Equality and Diversity Panel.

6.2 **Alignment** - the fit of an individual's research with the Unit of Assessment narrative and information provided in the REF Panel Criteria and Working Methods.

6.3 **Quality –**

6.3.1 A quality threshold has been included in the selection principles for the following reasons:

- the cessation of funding for research below 3\* quality
- the combined effects of the funding changes and the reduced contribution of outputs to 65% of the overall quality profile
- the current allocation method for RDP based on research quality (via HEFCE QR funding)
- an increasing focus on the quality of research as an institutional measure of success across the sector.

The quality of the outputs across the UoA will be scrutinised so that a balance is gained between the volume and quality of the outputs. This quality assessment will be based on estimates of quality gained through internal and external review, including information provided during the mock REF event as appropriate.

6.3.2 **Setting of the quality threshold**

In January 2013 following the mock event each UoA Panel will be asked to recommend a quality threshold for approval by the REF Submission Panel and to provide a statement justifying the threshold level selected.

In order to assist this decision-making process and to inform the discussions with the REF Submission Panel, each UoA Panel will be expected to provide the following information as supporting information:

- the quality profile of each individual being considered for selection (anonymously),
- the corresponding individual grade point average
- an estimate of the percentage of the outputs at each starred level as evidenced by external review
- the grade point average (GPA) across the UoA
- an estimate of the overall quality profile of the UoA based on external review of each element of the sub-profile and in line with the assessment criteria outlined in the *Panel criteria and working methods*.

## 7.0 Individual staff circumstances

7.1 Up to four research outputs must be listed against each member of staff included in the submission. In all UOAs individuals may be returned with fewer than four outputs without penalty in the assessment, where their individual circumstances have significantly constrained their ability to produce four outputs or to work productively throughout the assessment period. Irrespective of their circumstances or the length of time they have had to conduct research, four outputs can be submitted against any member of staff. A minimum of one output must be listed against each staff member submitted to the REF.

7.2 Where an individual is submitted with fewer than four outputs and they do not satisfy the criteria described, any 'missing' outputs will be graded as 'unclassified'.

7.3 In order to provide clarity and consistency on the number of outputs that may be reduced without penalty for REF2014, a differentiation has been made between **clearly defined circumstances** and **complex circumstances**.

7.4 **Clearly defined circumstances** which lead to a reduction in outputs are as follows:

- a/ Qualifying as an early career researcher (as outlined in Table 1)
- b/ Absence from work due to working part-time, or taking secondments or career breaks outside of the higher education sector, and in which the individual did not undertake academic research (as outlined in Table 2 ).
- c/ Qualifying periods of maternity, paternity or adoption leave. Individuals may reduce the number of outputs by one, for each discrete period of:
  - 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
  - paternity or adoption leave lasting for four months or more, taken substantially during the period 1 January 2008 to 31 October 2013.

**Table 1 Early career researchers: permitted reduction in outputs**

<b>Date at which the individual first met the REF definition of an early career researcher:</b>	<b>Number of outputs may be reduced by up to:</b>
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 2 Part-time working, secondments or career breaks: permitted reduction in outputs**

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

### 7.5 Combining clearly defined circumstances

Where individuals have had a combination of circumstances with clearly defined reductions in outputs, these may be accumulated up to a maximum reduction of three outputs. For each circumstance, the relevant reduction should be applied and added together to calculate the total maximum reduction.

7.6 **Complex circumstances** that require a judgment about the appropriate reduction in outputs include, but are not limited to:

- Disability
- Ill health or injury
- Mental health conditions
- Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of defined circumstances
- Other caring responsibilities (such as caring for an elderly or disabled family member)
- Gender reassignment
- Other circumstances relating to protected characteristics or relating to activities protected by employment legislation.

### 7.7 Taking account of disclosed circumstances

7.7.1 The SMUC Equality and Diversity Panel will consider all cases for a reduction in outputs based on either *defined* or *complex circumstances*.

7.7.2 Any appropriate reduction in output for defined circumstances will be determined using the definitions and tariffs provided in the *Panel criteria and working methods* paragraphs 72-86 and as outlined in section 7.4 of this document.

7.7.3 For more complex circumstances, the University College REF Equality and Diversity Panel will be required to make a judgment on whether the case for a reduction in the number

of outputs has been evidenced appropriately and if so, what the reduction should be. To inform this judgment the panel will provide an estimate of the number of months an individual has been unable to work productively to produce outputs during the assessment period, and any further constraint on the individual's research work in addition to this period. This estimate will be considered according to the tariffs in Table 2 and a recommendation will be made on this basis.

7.7.4 Where staff have had one or more complex circumstances – including in combination with any circumstances with a clearly defined reduction in outputs – the SMUC Equality and Diversity Panel will need to make a judgment on the appropriate reduction in the number of outputs submitted, and provide a rationale for this judgment.

7.7.5 In situations where circumstances are combined, only one circumstance will be taken into account for any period of time during which they took place simultaneously. Where an individual has a combination of circumstances with a clearly defined reduction in outputs **and** complex circumstances, the institution will submit these collectively as 'complex' so that a single judgment can be made about the appropriate reduction in outputs, taking into account all the circumstances.

## **7.8 Reporting the results of the SMUC Equality and Diversity Panel**

7.8.1 The decision reached by the SMUC REF Equality and Diversity Panel will be reported back to the member of staff concerned by the REF Equality and Diversity Officer with a brief explanation given for the decision made. The relevant UoA Lead will receive information on any reduction in the number of outputs to be submitted for the individual concerned (if applicable), which will not include any details regarding the nature of the circumstances.

7.8.2 Staff are able to appeal the outcome of the SMUC Equality and Diversity Panel as part of the appeals process, and they will be notified about this within the outcome letter.

## **7.9 Submission and assessment of individual circumstances by the REF team**

For staff submitted with fewer than four outputs, individual circumstances will be reported to the REF team as part of the submission via form REF1b.

### **7.9.1 Defined circumstances**

All REF1b submissions must include sufficient details of the individual's circumstances to show that these criteria have been applied correctly. The HEFCE REF panel secretariat will examine the information in the first instance and advise the sub-panels on whether sufficient information has been provided and the guidance applied correctly. Where the sub-panel judges that the criteria have not been met, the 'missing' output(s) will be recorded as unclassified.

### **7.9.2 Complex circumstances**

All submitted complex circumstances will be considered by the REF Equality and Diversity Advisory Panel (EDAP), on a consistent basis across all UOAs. The EDAP will make

recommendations about the appropriate number of outputs that may be reduced without penalty to the relevant main panel chairs, who will be responsible for the final decisions. The relevant sub-panels will then be informed of the decisions and will assess the remaining outputs without any penalty. The details relating to the complex circumstances provided in form REF1b 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 information will **not** be seen by the REF sub-panel.

## **7.10 Data management**

### **7.10.1 Internal use of data**

Any information returned via the Individual Circumstances Form will be handled confidentially as personal and sensitive data in accordance with the Data protection Act (1998). The information will be used to complete form REF1b by the HR department in conjunction with the Director of Academic Affairs and where necessary, the individual concerned.

### **7.10.2 External use of data**

All information submitted in REF1b will be used only for the purposes of the REF submission. It will not be published at any time and will be destroyed on completion of the REF.

## **8.0 Communication of the Code of Practice to all eligible staff**

St Mary's is committed to a comprehensive programme of communication to disseminate the Code of Practice explaining the processes related to selection of staff for submission as follows:

8.1 The Code of Practice (subject to approval by HEFCE) and its appendices will be disseminated via the staff portal (staffnet), the weekly staff Newsletter and in publicised REF briefings held every two months. It will also appear on the Research and Enterprise Development pages of the staffnet with alerts highlighting this on a monthly basis. Once the Code of Practice has been approved by HEFCE it will be made available on the St Mary's External website.

8.2 A letter will be sent to all eligible staff from the Human Resources department in the first week of September 2012 with a hard copy of the Code of Practice, asking them to complete a Submission Form and an Individual Circumstances Form as appropriate and return these by the 21<sup>st</sup> September 2012. This process will be repeated in February 2013. School administrators will be asked to circulate relevant information in School Newsletters and reminders will be provided via the staffnet and the University College newsletter.

8.3 All staff who are located off campus, or are absent from work, will be written to by HR directly to their home address with information about the Code of Practice, highlighting the processes involved and providing a copy of the Code of Practice, Submission Form and Individual Circumstances disclosure form.

8.4 All staff will be invited to attend the REF briefings on site and will be informed that they can arrange a one to one meeting with the REF Institutional Contact or REF Equality and Diversity Officer to discuss aspects of the Code in more detail, or to gain advice regarding the submission or individual circumstances process in confidence.

8.5 The Code of Practice will also be disseminated (as draft versions have been to date) at Research Supervisor Forum meetings and University College Committee meetings to ensure that staff representatives in a number of settings are aware of the document and its processes, and are able to support the dissemination of this information at School level.

## **9.0 Appeals**

9.1 Appeals against exclusion should be made in writing to the REF Equality and Diversity Officer in the HR Department within one calendar month of notification of the decision. The appellant will be required to provide a justification as to why their selection for submission to the REF should be reconsidered.

9.2 Human Resources will normally convene an appeals panel within 10 working days of an appeal request which will comprise:

- Vice Principal (Students and External Relations) as Chair
- an Academic Director of Research from a different School to the appellant
- a representative from HR.

The panel will take into account the need to protect confidentiality.

9.3 It is normally expected that an appeal will be considered by written representation. If preferred by the individual an appeal will be heard in person and the individual may be accompanied by a work colleague or trade union representative should they wish.

9.4 In the case of an appeal based on equality and diversity grounds, the SMUC REF Equality and Diversity Officer will also be included in the membership of the REF Appeals Panel to maintain consistency.

## **9.5 The outcome of the Appeals Panel**

The appeal will result in one of the following:

- a/ the appeal is upheld in which case the relevant UoA Lead is directed to amend the original submission and the individual is included in the REF submission
- b/ the appeal is dismissed – the original recommendation would stand.

9.6 There will be no further right of appeal under this REF Appeals Process against the decision taken by the University College REF Appeals Panel.

9.7 The outcome of the appeal will be communicated in writing by HR within 10 working days where practicable.

#### **9.8 Grounds of Appeal**

Appeals can be made on any grounds relevant to the REF process with respect to the selection of staff.

### **10.0 Roles and Responsibilities associated with the St Mary's University College Code of Practice**

#### **10.1 Individual Accountability**

##### **10.1.1 The Principal**

The Principal of St Mary's will have the final decision-making responsibility regarding submission of staff to the REF2014 as Chief Executive of the University College and Chair of the REF Submission Panel. The Principal is also responsible for submitting the St Mary's Code of Practice to HEFCE by 31<sup>st</sup> July 2012.

##### **10.1.2 Deputy Principal**

The Deputy Principal has oversight of the REF process as Chair of the REF Group and line management responsibility for the Director of Academic Affairs and Heads of School. The Deputy Principal is also a member of the REF Submission panel.

##### **10.1.3 Director of Academic Affairs**

The Director of Academic Affairs is the REF Institutional Contact and has oversight of REF preparation at the institution. This individual works closely with the Unit of Assessment Leads, Human Resources and other REF Officers in preparing the REF submission.

This post-holder is also responsible for conveying information regarding the REF to the Principal and Deputy Principal, Heads of Schools, relevant committees and for preparing updates to staff across the institution.

##### **10.1.4 Academic Affairs Coordinator**

The Academic Affairs Coordinator acts as Secretary to the REF Group and provides administrative support to the Director of Academic Affairs, Unit of Assessment Leads and other officers in support of REF preparation across the institution.

##### **10.1.5 REF Information Officer – Human Resources Analyst**

The REF Information Officer works closely with the REF team and the technical contact to source and supply the data required for the institutional REF submission. This individual also conducted the data analysis and initial Equality Impact Assessment in association with other colleagues in HR and Academic Affairs.

##### **10.1.6 REF Technical Contact – Deputy Director of Information Services**

The REF Technical Contact is the institution's main contact with the REF team regarding the REF submission software and system support. This individual is also responsible for overseeing the development and implementation of the institutional repository (the St Mary's Open Research Archive).

#### **10.1.7 REF Equality and Diversity Officer – HR Manager – Operations**

The REF Equality and Diversity Officer at St Mary's is responsible for providing staff support and guidance in matters relating to equality and diversity. This individual will receive and record staff disclosures of individual circumstances and co-ordinate the SMUC Equality and Diversity Panel meetings. In association with the Director of Academic Affairs, this Officer also has oversight of the training of colleagues who have responsibility for selecting staff for submission to the REF.

#### **10.1.8 Unit of Assessment Leads**

The Unit of Assessment Leads are responsible for oversight of draft and final submissions of a designated Unit of Assessment. A more detailed description of this role is provided in Appendix 2.

#### **10.1.9 Heads of School**

Each Head of School is responsible for nominating a Unit of Assessment Lead for any Unit of Assessment which falls under their leadership. In association with the Unit of Assessment Lead, each Head of School is responsible for overseeing the support and development of staff at School level in order to optimise the volume and quality of the submissions in each Unit of Assessment. The Head of School is also a member of the UoA Panel.

#### **10.1.10 External Reviewers**

During REF preparation all aspects of the REF submission will be subjected to external scrutiny and feedback from experts in specific UoA fields. These reviewers will be asked to provide feedback on the quality of an individual's outputs, which will be submitted to them anonymously. The reviewers will not decide which staff should be submitted to the REF and will not be provided with information relating to individual staff circumstances.

### **10.2 Group Membership and Responsibility**

Full membership and terms of reference are of the following groups is provided in Appendix 3.

#### **10.2.1 REF Group**

REF Group membership and Terms of Reference were discussed and agreed by Heads of School at their monthly meeting on 15<sup>th</sup> November 2010 and were presented and formally approved at the Research and Scholarship Committee (RSC) on 2<sup>nd</sup> February 2011. The REF group reports to the RSC which in turn reports to Academic Board.

The group is responsible for overseeing the progress of the University College's REF submission and ensuring compliance with the Code of Practice. An updated version of the REF Group Membership and Terms of Reference was agreed by the Group in May 2012.

### **10.2.2 Research and Scholarship Committee**

The Research and Scholarship Committee (which from September 2012 will be reformed as the Research and Enterprise Committee) is one of the Academic Board Committees of the University College. This Committee receives regular updates on the progress of the REF Group and is asked to approve key REF Group proposals to ensure that these are consistent with the Research Strategy. This Committee reports to Academic Board.

### **10.2.3 Unit of Assessment Panel**

Each Unit of Assessment Panel consists of the Unit of Assessment Lead, at least one other Unit of Assessment representative in proportion to the size of the UoA, and includes the Head of School responsible for the Unit of Assessment.

The Unit of Assessment Panel will be responsible for recommending the UoA quality threshold. It will also be responsible for finalising the case for staff submission in each UoA and for presenting this to the REF Submission Panel.

### **10.2.4 REF Submission Panel**

The REF Submission Panel will be responsible for the final selection of staff in each Unit of Assessment taking into account the institutional REF Strategy, the Principles for Selection, and the recommendations made by each of the Unit of Assessment Panels.

### **10.2.5 University College REF Equality and Diversity Panel**

The REF Equality and Diversity Panel will review all forms returned by all staff eligible for submission to the REF who disclose individual circumstances (clearly defined or complex) that have constrained their ability to produce four research outputs or work productively during the REF assessment period.

### **10.2.6 REF Appeals Panel**

The REF Appeals Panel will consider the case for appeal for staff not included for submission to the REF made on any grounds relevant to the REF process.

## **11.0 Training of individuals involved in the selection of staff for REF submission**

11.1 All individuals with decision-making responsibility for the selection of staff for submission to the REF will be provided with training. The training will be carried out jointly by the Director of Academic Affairs (REF Institutional Contact) and either the REF Equality and Diversity Officer or another member of the HR department who is fully conversant with the Equality and Diversity issues for the REF and the institutional Code of Practice.

11.2 All staff will be provided with a training programme which will incorporate material provided in the REF Train the Trainers Handbook and slides.

The training will include the following:

- the legislative context for REF2014
- the role of the institutional REF Code of Practice in promoting equality and diversity, and preventing discrimination
- the role of individuals and groups in relation to REF selection
- the importance of confidentiality in relation to REF processes
- SMUC processes for handling clearly defined and complex circumstances
- case studies provided by the ECU illustrating the relationship between individual circumstances and reduced research outputs.

11.3 For staff who are members of the SMUC Equality and Diversity Panel additional training will take place to work through a series of case studies (provided by the ECU) involving complex circumstances. The case studies provide example decisions on the reduction of outputs and information on the REF Equality and Diversity Advisory Panel's (EDAP) rationale for accepting and rejecting the number of outputs. The training is intended to increase awareness of the factors involved in the decision-making process in relation to complex circumstances. As a result it is hoped that institutional decisions are consistent and in line with those made by the REF EDAP.

## **12.0 Equality impact assessment (EIA)**

12.1 The University College is committed to assessing the impact of its policies on protected groups and has in place comprehensive arrangements for the management and completion of equality impact assessments. The EIA process should help to identify both positive and negative outcomes and can help ascertain where outcomes can be prevented or justified within the permits of the law.

12.2 At key points in the selection process, the University College will undertake equality impact assessments on its REF Code of Practice and submission.

12.3 Prior to submission of the Code of Practice an analysis will be carried out of current eligible staff (census date 1<sup>st</sup> July 2012) and an Equality Impact Assessment Form will be completed in relation to the SMUC Code of Practice for the selection of staff to the REF in order to explore the equality impacts of the proposed processes. Both the analysis and the EIA Form are provided in Appendix 4.

12.4 Comparison and analysis of the protected characteristics (including part and full-time working) of HESA staff data that are eligible to submit to the REF, and those that are actually selected will be carried out:

- following the mock REF in January 2013
- when preparing the final REF submission in autumn 2013

12.5 The EIAs will be presented to the REF Group, the Research and Enterprise Committee and the Equality and Diversity Sub-Committee in a timely manner following their preparation.

The EIAs will be published on the St Mary's website after the REF submission has taken place in December 2013.

### **13.0 Other important documents**

This Code of Practice should be read in conjunction with the following related documents:

- the University College Research Strategy 2012-2016
- Equality and Diversity Policy Statement and Code of Practice.

Prof Lesley Haig  
Ms Tanya Allen

July 31<sup>st</sup> 2012

## Appendix 1

### REF preparation Schedule at St Mary's University College October 2011 – November 2013

Updated July 27<sup>th</sup> 2012

Action – 2011-12	By	Target Date	Date Achieved
Review REF group membership - UoA reps	REF Group	October 2011	January 2012
Update REF lists – electronic copies / hard copies of material	REF Group	Monthly – complete version ready in January 2012	January 2012 – updates ongoing as appropriate
Agree schedule for preparation and submission	REF group	October 2011	October 2011
Review progress of REF preparation to date with HoS and resource implications	Deputy Principal Director Academic Affairs Heads of School	October 2011 – February 2012	November 2012 and February 2012
Review CoP in light of ECU information / agree schedule for training and communication	EDSC REF Group	November 2011	2 <sup>nd</sup> Draft Completed December 2012
Identify School-based REF administrators	REF Reps / HoSs – list	November 2011	February 2012
Develop policy and schedule for institutional repository development - to be worked into main schedule	ISS with working group as appropriate	November 2011	Policy approved by RSC and Academic Board June 2012
Impact Review – identify and discuss impact case studies from current and previous researchers within potential UoAs	REF Group / staff / Review Centrally	January 2012	Impact template circulated March 2012 – for discussion in REF Group meeting April 2012
Prepare draft impact case studies	UoA Leads	May 2012	Initial outlines / drafts completed June 2012
Collate lists of eligible staff Carry out equality analysis and EIA	HR	July 2012 -	July 2012
Staff E and D Training	HR / Academic Affairs	July – September 2012	July 2012
Submit CoP to HEFCE	Principal	31 <sup>st</sup> July 2012	July 2012
<b>Academic Year 2012-13</b>			
Ongoing review and action plan through to final submission in late 2013 with UoA Leads	Individual - UoA Lead Director Academic Affairs Academic Affairs Co-coordinator REF Group meetings	1-2 monthly  1-2 monthly	
<b>Academic staff approach – all eligible staff (1)</b> Circulate CoP and memos to all eligible staff with submission forms and individual	HR	September 2012	

circumstances forms. 2012.			
Consideration of individual circumstances - recorded and verified against existing records E and D Panel assess potential for reduction Outcomes reported	HR REF Equality and Diversity Panel	<b>Sept – October 2012</b>	
Staff training for writing REF submission	Academic Affairs	<b>September 2012</b>	
Prepare draft environment narratives	UoA Leads	<b>September 2012</b>	Templates provided May 2012
<b>Mock REF</b> Preparation of first collation of material according to REF Templates for consideration by external reviewers (Dry Run)	UoA Leads	<b>November - December 2012</b>	
Feedback from mock and implementation of recommendations from external advisors	UoA Leads	<b>December 2012 - January 2013</b>	
Setting UoA quality thresholds	UoA Leads / Panel REF submission panel	<b>January 2013</b>	
Quality thresholds communicated to all staff	HR Academic Affairs	<b>February 2013</b>	
<b>Academic staff approach – all eligible staff (2)</b> Memos and forms re-circulated	HR	<b>February 2013</b>	
Download software and ensure data input elements operational	REF Technical contact	<b>March 2013</b>	
Penultimate draft submission	UoA Lead / Panel	<b>April 2013</b>	
Staff selected for submission	REF Submission Panel UoA Panel	<b>May 2013</b>	
Staff notification of inclusion or not	UoA Leads	<b>June 2013</b>	
Appeals	REF Appeals Panel	<b>July 2013</b>	
Update on progress - designated review meeting	REF group	<b>September 2013</b>	
Complete final draft for internal review and feedback	UoA Leads	<b>September 2013</b>	
Feedback on final draft	Director Academic Affairs	<b>September 2013</b>	
Submit to REF Team	REF Team	<b>November 2013</b>	

## **Appendix 2**

### **Role of Unit of Assessment Lead**

To make recommendations to the Research Excellence Framework (REF) Group) on the shape and content of draft and final submissions for a designated Unit of Assessment in accordance with the University College's REF Strategy and its Code of Practice on the Preparation of Submissions to the Research Excellence Framework, including:

- responsibility for the preparation of draft submissions
- monitoring the development of official REF guidance and panel criteria in relation to the relevant Unit of Assessment
- making proposals for the inclusion of staff in association with the Head of School, taking into account the University's College's Code of Practice and Panel criteria and working methods
- drafting or compiling the narrative sections of submissions
- acquiring and editing relevant information from staff on their research activities and publications
- overseeing the compilation of relevant research data
- providing feedback to staff regarding their inclusion or exclusion
- receiving and responding to feedback on draft and mock submissions, including any external evaluations
- liaising with other Schools, in relation to staff who may be eligible for inclusion in the relevant Unit of Assessment
- gathering intelligence on the REF from colleagues and from the wider academic community in relation to the relevant Unit of Assessment

## Appendix 3 – Group Membership and Terms of Reference

### i/ REF Group

Terms of reference	Membership
<p>1.To ensure institutional knowledge of evolving REF 2014 information and arrangements, including aspects relating to impact.</p> <p>2.To oversee the development of an institutional strategy for a successful submission to REF 2014.</p> <p>3.To oversee the implementation of the institutional REF strategy. The strategic actions will include:</p> <ul style="list-style-type: none"> <li>• analysing thoroughly the institutional performance in RAE 2008;</li> <li>• developing and implementing a transparent, consistent and inclusive institutional process which will identify Units of Assessment and staff to be included in the REF submission via the Code of Practice;</li> <li>• generating evidence for KE/impact activities that have already occurred, and developing further KE/impact activities, to ensure the preparation of REF-appropriate recording and presentation of output from this activity;</li> <li>• conducting a mock REF exercise with external review.</li> <li>• promoting other areas of REF submission including aspects related to research environment such as the promotion of a sustainable research culture, research collaborations, income generation, and PGR student completion.</li> </ul> <p>4. To be the focus for knowledge concerning institutional research and KE/impact capacity and achievement.</p> <p>5. To oversee the implementation of the processes for the selection of staff for the REF via an agreed Code of Practice, including guidance provided to external reviewers.</p> <p>6. To develop and ensure implementation of appropriate data management procedures, to include:</p> <ul style="list-style-type: none"> <li>• ensuring researchers have access to web-based tools to support the sharing of documents and data across institutional boundaries;</li> <li>• review of the training provided for researchers in relation to the effective management of research data, especially in relation to data protection, copyright, Freedom of Information and open access;</li> <li>• establishing a repository of St. Mary's research outputs and impact backed up with an institutional policy on deposits</li> </ul> <p>7. To oversee expenditure of the REF Preparation Budget.</p>	<p>Prof Janine Griffiths-Baker – Deputy Principal and Chair</p> <p>Prof Lesley Haig – Director of Academic Affairs – REF Institutional Contact</p> <p>Unit of Assessment Leads: Drs Christine Campbell and Peary Brug – UoA 4 Mrs Maria James – UoA 25 Dr Charlie Pedlar – UoAs 9, 26 Prof Pauline Foster – UoAs 29 Dr Glenn Richardson – UoA 30 Dr Peter Tyler – UoA 33 Prof Lance Pettit – UoA 36 Dr Marije Altorf – UoA 32</p> <p>Ms Claire Tapia – Academic Affairs Co-ordinator Mrs Anne Hutchinson – Deputy Director IS - REF Technical Contact Ms Nicola Gore – HR Analyst - REF Information Officer MsTanya Allen – HR Manager – Operations - REF Equality and Diversity Officer</p>

**ii/ Research and Scholarship Committee)**

Terms of reference	Membership										
<p>1. To consider and keep under review the University College's research and scholarship policy and its implementation including the Guidelines on Good Research Practice.</p> <p>2. To monitor research and scholarship outputs, including external research and scholarship grants.</p> <p>3. To advise on the ways in which research and scholarship can be stimulated and enhanced within the University College.</p> <p>4. To be responsible for overseeing the University College's submission to future assessments of research quality.</p> <p>5. To be responsible for overseeing the policy and code of practice for the supervision of research students and to identify and promote good practice in the supervision of research students.</p> <p>6. To make recommendations in relation to the progress and assessment of research students.</p> <p>7. To keep ethical guidelines for research under review and to monitor the work of the Ethics sub-committee.</p> <p>8. To promote equality and diversity within the remit of the Committee, particularly in relation to disability, gender and racial equality by means of an annual action plan.</p> <p><b>Delegated Authority from Academic Board subject to reporting:</b></p> <ul style="list-style-type: none"> <li>• The implementation of the Research and Scholarship Strategy and Action Plan.</li> <li>• To approve and monitor the implementation of the associated Research and Scholarship Strategies and Action Plans of individual Schools.</li> <li>• The oversight of research students' progress.</li> </ul>	<p>Senior Staff Member (Chair) Prof J Griffiths-Baker Director of Academic Affairs Prof L Haig</p> <p>1 representative from each School*</p> <table border="0"> <tr> <td>CCCA</td> <td>Prof A Simmons</td> </tr> <tr> <td>EDU</td> <td>Ms M James</td> </tr> <tr> <td>HUM</td> <td>Dr M Glaister</td> </tr> <tr> <td>MSS</td> <td>Dr P Brug</td> </tr> <tr> <td>TPH</td> <td>Dr G Richardson</td> </tr> </table> <p>2 research students: Ms M Burgoyne Ms N Airs</p> <p>External member: Prof R Barnett</p> <p>Additional members appointed by the Academic Board to reflect the research interests of the University College: Prof P Foster Dr P Tyler</p> <p><b>In Attendance:</b> Director of Finance Academic Affairs Coordinator (Secretary) Ms C Tapia</p> <p><b>School Alternates:</b> CCCA Prof P Foster/Dr M Paul/Dr C Ruddell EDU Dr M Glackin HUM Prof G McInnes MSS Dr S Oliver/Dr G Paul TPH Dr S Bullivant</p>	CCCA	Prof A Simmons	EDU	Ms M James	HUM	Dr M Glaister	MSS	Dr P Brug	TPH	Dr G Richardson
CCCA	Prof A Simmons										
EDU	Ms M James										
HUM	Dr M Glaister										
MSS	Dr P Brug										
TPH	Dr G Richardson										

### iii/ Unit of Assessment Panels

Terms of reference	Membership
<p><b>The Unit of Assessment Panels will:</b></p> <ul style="list-style-type: none"> <li>• prepare the UoA submission to REF, including draft submissions according to the REF schedule</li> <li>• prepare a recommendation for a quality threshold to be approved by the REF Submission Panel which will be applied during final selection</li> <li>• prepare and present final recommendations for the inclusion of staff for submission to the UoA to the REF submission Panel, in line with the Principles of Selection outlined in the Code of Practice. This case will also be based upon HEFCE and sector-based information regarding Panel and Sub-panel criteria, and feedback from internal and external review. The parameters of the decision must be clear, and records must be kept regarding the decisions made</li> <li>• be aware of the outcomes of the institutional REF Equality and Diversity Panel relating to individual circumstances.</li> <li>• notify members of staff about decisions made with regard to inclusion or not in the REF submission and provide feedback to members of staff who are not included</li> <li>• notify members of staff about methods of appeal.</li> <li>• maintain confidentiality at all times in line with the Code of Practice</li> </ul>	<p><b>UoA 29 – English Lang &amp; Lit</b>            Professor Pauline Foster (Lead)            Professor Allan Simmons            Dr Cian Duffy            Professor Lance Pettitt</p> <p><b>UoA 36 – Communication, Culture and Media Studies</b>            Professor Lance Pettitt (Lead)            Dr Caroline Ruddell</p> <p><b>UoA 26 – Sports-related Studies</b>            Dr Charles Pedlar (Lead)            Dr Mark Glaister            Dr Steve Talbot</p> <p><b>UoA 4 – Psychology</b>            Dr Christine Campbell (Lead)            Dr Peary Brug            Mr Adrian Wilkins</p> <p><b>UoA 25 – Education</b>            Ms Maria James (Lead)            Dr Christine Edwards-Leis            Ms Linda Saunders            Dr Maureen Glackin</p> <p><b>UoA 32 – Philosophy</b>            Dr Marije Altorf (Lead)            Dr Yasemin Erden            Dr Anthony Towey</p> <p><b>UoA 30 – History</b>            Dr Glenn Richardson (Lead)            Dr Anthony Towey</p> <p><b>UoA 33 – Theology and Religious Studies</b>            Dr Peter Tyler (Lead)            Dr Anthony Towey</p> <p><b>UoA 9 – Physics</b>            Professor John Nicholson (Lead)            Dr Steve Talbot</p>

#### iv/ REF Submission Panel

Terms of reference	Membership
<p>The Submission panel will:</p> <ul style="list-style-type: none"> <li>• be responsible for approving the quality threshold criteria for each UoA, based on the UoA Panel recommendations and supporting evidence</li> <li>• be responsible for the final selection of staff in each UoA, taking into account the institutional REF Strategy and Code of Practice. and the UoA Panel recommendations</li> <li>• maintain confidentiality at all times in line with the Code of Practice</li> </ul>	<p>Principal (Chair) Deputy Principal Director of Academic Affairs</p>

#### v/ University College REF Equality and Diversity Panel

Terms of reference	Membership
<p>The REF Equality and Diversity Panel will:</p> <ul style="list-style-type: none"> <li>• familiarise itself through appropriate training the guidance provided by the REF team and ECU on Equality and Diversity in the REF, including the case studies involving complex circumstances</li> <li>• review all forms returned by all staff eligible for submission to the REF who disclose individual circumstances</li> <li>• consider all cases for a reduction in outputs based on either <i>defined</i> or <i>complex circumstances</i></li> <li>• for defined circumstances, to determine whether the definition applies and if so to confirm the appropriate reduction in outputs.</li> <li>• for more complex circumstances, to make a judgment on whether the case for a reduction in the number of outputs is justified on the basis of the evidence provided and if so, what the reduction should be</li> <li>• to document clearly all decisions made and the reasons for those decisions</li> <li>• to report the outcome back to the member of staff concerned with a brief explanation given for the decision made</li> <li>• inform the relevant UoA Lead of any reduction in the number of outputs to be submitted for the individual concerned (if applicable),</li> <li>• to notify staff of the appeals process in relation to the REF</li> <li>• Maintain confidentiality at all times in line with the Code of Practice</li> </ul>	<p>Director of Human Resources – Chair – Mrs Rachel Libby-Chiaa HR Manager – Operations (REF Equality and Diversity Officer) - Ms Tanya Allen Director of Academic Affairs (REF Institutional Contact) – Prof Lesley Haig Director of Student Services – Mr Kevin Germaine</p>

## vi/ REF Appeals Panel

Terms of reference	Membership
<p>The REF Appeal Panel will:</p> <ul style="list-style-type: none"> <li>• consider any appeals against non-selection made in writing to the REF Equality and Diversity Officer within one calendar month of notification of the decision.</li> <li>• meet within 10 working days of an appeal</li> <li>• consider the case made by the appellant as to why their selection for submission to the REF should be reconsidered.</li> <li>• Communicate the outcome of the appeal via HR within 10 working days of the meeting where practicable</li> <li>• Maintain confidentiality at all times in line with the Code of Practice</li> </ul>	<p>Vice Principal (Students and External Relations) - Chair An Academic Director of Research from a different School to the appellant A representative from HR.</p> <p>In the case of an appeal based on equality and diversity grounds, the SMUC REF Equality and Diversity Officer will also be included in the membership of the REF Appeals Panel to maintain consistency.</p>

## Equality Impact Assessment Form

### 1 Introduction

The aim of this document is to assist all staff to conduct and evaluate equality impact assessments effectively. The form will be reviewed after one year to ensure that it is an appropriate tool for this purpose. The form is available on the portal under Strategies, Policies and Forms.

### 2 The purpose of the impact assessment

In order to fulfil its equality duties, the University College is committed to ensuring that an impact assessment is undertaken for all policies, strategies and procedures. The purpose of equality impact assessment is to ensure that there are no barriers to equality in the policies, strategies and procedures used by the University College and to ensure that none of its activities are discriminatory.

### 3 Process

This form will take you through all the necessary stages in completing an impact assessment.

Please answer all the questions and add any additional information to the form to demonstrate how equality impact has been assessed. In terms of a strategy, it will depend upon its nature whether an impact assessment can be undertaken at the top level or for individual actions within the accompanying implementation plan.

Please note that no new or revised policies, strategies or processes will be approved without this form.

Where a negative impact is found for a new policy, this should be mitigated prior to approval of the policy/procedure/strategy. Where an impact assessment of an existing policy etc has found any issues an action plan to mitigate the issues raised should be attached to the impact assessment.

Finalised forms should be submitted to a Committee where appropriate with the strategy, policy or procedure. Forms should also be sent to the Secretary of the Equality and Diversity Sub-Committee who will ensure that they are published on the external website.

### 4 Support for the process

If you would like any help in undertaking the impact assessment, please contact Rachel Libby-Chiaa regarding HR matters and Matthew Taylor, Deputy Registrar if the issues concern students. Rachel and Matthew can also advise on who are appropriate groups for consultation.

### 5 Data and consultations to support the impact assessment

In order to support the impact assessment you should examine appropriate data. This might be national or local information from nationally published sources or from benchmarking groups or data on staff/students or users gathered by the University College. Data on staff and students will be made available by either HR or Registry

respectively. Other sources may be the Planning Support Officer or Careers. You may have your own data.

You should also use appropriately gathered evidence (from consultations or surveys etc.) in order to assess whether there is a positive or negative impact. This might be using results from periodic satisfaction surveys, results from specially convened focus groups etc. Consult with a representative sample of people where it is considered that there may be an impact such as the Disability Forum, a focus group of potential applicants, a cross section of staff etc. Supporting evidence should be attached to the paper record of the Equality Impact Assessment Form.

#### **6 Approval of the Impact Assessment**

All impact assessments must be approved by the Head of School/Service. They must also be approved by the relevant Committee where Committee approval for the new policy/procedure/strategy is required.

#### **7 Review of impact assessments**

Policies/procedures and strategies should be reviewed every three years where no issues were raised by the impact assessment. Where issues were raised, a review should be conducted after one year and re-submitted to the relevant committee along with the completed action plan.

#### **8 Record keeping**

You must ensure that you maintain records of the impact assessment. This form must accompany any new or revised policy etc through the Committee process. A copy must also be lodged with the Secretary of the Equality & Diversity Sub-Committee, Mrs Ann Claiden ([claidena@smuc.ac.uk](mailto:claidena@smuc.ac.uk), ext 4024)

**Section 1: About the policy/procedure/strategy**

School/Service	Human Resources /Academic Affairs
Policy title / service/ procedure / strategy	Code of Practice for the selection of staff for the Research Excellence Framework 2014
New or review of existing policy / service / procedure / strategy	New
Name and job title of assessor	Nicola Gore, Human Resources Analyst
Date of assessment	01/07/2012

Please complete the following questions:

1. Who is responsible for leading the policy / service / procedure/ strategy?	Director of Academic Affairs Director of Human Resources
2. Describe the aims and objectives of the policy / service / procedure / strategy.	To outline and implement a fair and transparent process of selection of all excellent researchers from those who are eligible for submission.
3. Are there any statutory / funding body requirements (eg TDA, HEFCE etc) with regard to the policy?	No
4. Who will benefit from this policy / service/ procedure / strategy?	All staff who are eligible for selection for REF 2014
5. What is the purpose?	The purpose of the Code of Practice is to promote equality and to avoid discrimination to those with protected characteristics or who are part-time / fixed term workers.

**Section 2: Considering the impact on different groups: issues to consider**

Complete the following questions. If the answer is yes, state what action will be taken to take account of the issues?

6. Do different groups have different needs, experience, issues and priorities in relation to the policy/procedure?	Yes	Certain individuals may have circumstances that they wish to disclose and that should be taken into account during the selection process. Action – a form has prepared which will be circulated to ALL eligible staff asking them to disclose any individual circumstances
7. For existing policies/procedures/strategies is there any evidence of higher or lower participation/uptake/performance or other difference by different equality groups?	No	
8. Have consultations with relevant groups, organisation or individuals indicated that the policy/procedure creates problems that are specific to them?	No	
9. Is there an opportunity to promote equality of opportunity or better relations by alternating the policy or working with others?	Yes	Equality and Diversity training provided to all staff involved in selecting staff for submission to REF.

**Section 3: Considering the impact in relation to the different equality groups and according to current legislation of what are legal categories**

10. In the table below, for each group of people tick whether the policy / service / procedure / strategy is or would be:

- a) experienced as positive action for that group compared to other groups of people (e.g. a disabled only service is positive action for disabled staff/students);
- b) experienced more negatively for that group compared to other groups;
- c) neither positive nor negative for any one group (equality group) compared to others.

Equality group	Positive impact	Negative impact	Neither	Reason / Comment
Men			✓	See data analysis
Women			✓	See data analysis
People from black and ethnic minorities			✓	See data analysis
Disabled people			✓	See data analysis
Gay, lesbian and bisexual people			✓	See data analysis
Transgender people			✓	
Faith groups			✓	See data analysis
Different age groups please consider 17-25, over 50 and those who may have family responsibilities			✓	See data analysis
Pregnant/Maternity Leave			✓	See data analysis
Nationality			✓	See data analysis

11. Please give a brief description of how this policy / service / procedure/ strategy promotes equality for the groups above.	It applies equally to all REF eligible staff
12. Is there a negative impact on any equality target group? If yes, complete the action plan with actions, responsibilities and dates, should be developed to mitigate the negative impact.	No
13. Is any training necessary and if so who for?	Equality and Diversity training provided to all staff involved in selecting staff for submission to REF.
14 Has the Staff Development Manager been informed?	Yes

**Section 4: Action Plan**

If there is a negative impact on any equality target group you should complete the action plan below. Please add in further rows where necessary

Negative impact identified	Action to mitigate negative impact	Completion date	Person responsible	Progress

**Section 5: Recommendations and review**

**Tick as appropriate**

There is no evidence of negative impact to the equality target groups



There is evidence of negative impact and an action plan to mitigate this is attached



The following data consultation / survey etc. supports the equality impact assessment (information to be attached to paper record of the equality impact assessment form):

.....

.....

.....

**Date of Next Review: 31 January 2013 in line with REF Code of Practice**

Policy / practice should be reviewed every 3 years if there is no evidence of negative impact.

Policy / practice should be reviewed after 1 year if evidence of negative impact is identified. The results should be reviewed by the appropriate committee with the completed action plan.

Equality Impact Assessment at 1<sup>st</sup> July 2012 – Research Excellence Framework  
 Data extracted on: 19/07/2012

As of the 1<sup>st</sup> July 2012 there were 197 academic members of staff employed at St Mary's University College, 179 academic staff members are eligible to be submitted to the Research Excellence Framework. To meet eligibility for submission academic staff members are required to hold either a research only or a teaching and research academic contract and be contracted to work a minimum total FTE of 0.2 from 1<sup>st</sup> October 2008 to 31 October 2013.

This Equality Impact Assessment (EIA) will examine the following protected characteristics; Gender, Age profile, Ethnicity, Disability, Sexual Orientation, Religion or Belief, Nationality and Pregnancy and Maternity status. These variables will be examined by mode of employment and terms of contract.

The Equality and Human Rights Commission advise against gender reassignment monitoring due to the sensitivities and complexities of this matter consequently information on gender reassignment is not requested from staff members.

Therefore, this protected characteristic is not included in this equality impact assessment.

Gender

Male academic employees represent the majority (51.4%) of staff eligible for submission; female employees represent the minority (48.6%) of eligible staff. The difference between male and female representation is minimal.

	All staff	
	Count	%
Female	87	48.6
Male	92	51.4
Total	179	100.0

*Gender – eligible for REF submission staff count and percentage*

Three quarters (74.9%) of eligible female academics hold full-time contracts, a quarter (25.1%) hold part-time contracts.

	Full-time		Part-time	
	Count	%	Count	%
All Staff	134	74.9	45	25.1
Female	64	73.6	23	26.4
Male	70	76.1	22	23.9

*Gender – eligible for REF submission staff count and percentage by mode of employment*

Nearly three quarters (72.4%) of eligible female academics are contracted on a continuous basis, over a third (34.1%) of females hold fixed-term contracts.

	Continuous		Fixed-term	
	Count	%	Count	%
All Staff	118	65.9	61	34.1
Female	63	72.4	24	27.6
Male	55	59.8	37	40.2

*Gender – eligible for REF submission staff count and percentage by terms of contract*

### Age Profile

Employees aged 25 years or under that are eligible for submission represent 1.1% of staff, employees aged 30 years or under represent a tenth of eligible staff.

Employees aged between 41-50 years represent the largest majority, nearly a third (30.2%). Employees aged between 51-60 years represent over a quarter (26.3%) of eligible staff and employees aged 31-40 represent a quarter (25.1%). Employees aged 61 years or more represent under a tenth (8.4%) eligible staff.

	All staff	
	Count	%
< 25	2	1.1
26 - 30	16	8.9
31 - 40	45	25.1
41 - 50	54	30.2
51 - 60	47	26.3
61 - 65	13	7.3
66 +	2	1.1
Total	179	100.0

*Age Profile – eligible for REF submission staff count and percentage*

All (100%) staff aged 25 years and under, and over two-thirds (68.8%) of 26-30 years eligible for submission are employed on a full-time basis. The majority of 31-40 year olds (84.4%), 41-50 year olds (72.2%) and 51-60 year olds (76.6%) are also employed on full-time basis.

	Full-time	Part-time
	%	%
All Staff	74.9	25.1
< 25	100.0	0.0
26 - 30	68.8	31.3
31 - 40	84.4	15.6
41 - 50	72.2	27.8
51 - 60	76.6	23.4
61 - 65	53.8	46.2
66 +	50.0	50.0

*Age Profile– eligible for REF submission staff count and percentage by mode of employment*

All (100%) of 25 years and under staff members, and over two-thirds (68.8%) of 26-30 years eligible for submission are contracted on a continuous basis. The majority of 31-40 year olds (68.9%), 41-50 year olds (66.7%) and 51- 60 year olds (70.2%) are also contracted on continuous basis. Conversely the majority (61.5%) of eligible staff members aged 61 years or more are on fixed-term contracts.

	Continuous	Fixed-term
	%	%
All Staff	65.9	34.1
< 25	100.0	0.0
26 - 30	68.8	31.3
31 - 40	68.9	31.1
41 - 50	66.7	33.3
51 - 60	70.2	29.8
61 - 65	38.5	61.5
66 +	0.0	100.0

*Age Profile – eligible for REF submission staff count and percentage by terms of contract*

### Ethnicity

Eligible staff from a Black, Minority or Ethnic (BME) background represent under a tenth (7.3%) of staff eligible for submission to the REF. The majority (89.9%) of eligible staff are declared as being from a White background.

	All staff	
	Count	%
BME	13	7.3
White	161	89.9
Unknown	5	2.8

### *Ethnicity – eligible for REF submission staff count and percentage*

The majority (84.6%) of BME eligible staff are employed on full-time contracts, 15.4% of BME staff are employed on a part-time basis. Eligible staff members from a White background have a similar composition, three-quarters (74.5%) are employed on a full-time basis and a quarter (25.5%) are employed on a part-time basis.

	Full-time	Part-time
	%	%
All Staff	74.9	25.1
BME	84.6	15.4
White	74.5	25.5
Unknown	60.0	40.0

### *Ethnicity– eligible for REF submission staff percentage by mode of employment*

The majority (53.8%) of BME staff eligible for submission hold a fixed-term contract, 46.2% of BME staff are employed on a continuous basis. Conversely over two-thirds (68.9%) of White eligible staff are employed on a continuous basis, under a third (31.1%) are employed on a fixed-term contract.

	Continuous	Fixed-term
	%	%
All Staff	65.9	34.1
BME	46.2	53.8
White	68.9	31.1
Unknown	20.0	80.0

*Ethnicity – eligible for REF submission staff percentage by terms of contract*

## Disability

Employees that have declared a disability represent 5.6% of staff eligible for submission to the REF. The majority (94.4%) of eligible staff are not known to be disabled.

	All staff	
	Count	%
Disability Declared	10	5.6
No known disability	169	94.4
Total	179	100.0

### *Disability – eligible for REF submission staff count and percentage*

The majority (60%) of declared disabled staff eligible for submission are employed on a full-time basis, two-fifths (40%) are employed on a part-time basis.

	Full-time	Part-time
	%	%
All Staff	74.9	25.1
Disability Declared	60.0	40.0
No known disability	75.7	24.3

### *Disability– eligible for REF submission staff percentage by mode of employment*

The majority (60%) of declared disabled staff eligible for submission are employed on a continuous basis, two-fifths (40%) are employed on a fixed-term contract.

	Continuous	Fixed-term
	%	%
All Staff	65.9	34.1
Disability Declared	60.0	40.0
No known disability	66.3	33.7

### *Disability – eligible for REF submission staff percentage by terms of contract*

### Sexual Orientation

The majority (59.2%) of eligible staff members have declared their sexual orientation as Heterosexual. Nearly two-fifths (39.1%) of eligible staff have not declared their sexual orientation. Eligible staff that declared a sexual orientation as Lesbian, Gay or Bisexual (LGB) represents 1.7% of submittal employees.

	All staff
	%
Heterosexual	59.2
LGB	1.7
Unknown	39.1
Total	100.0

### *Sexual Orientation – eligible for REF submission staff percentage*

Further analysis of this protected characteristic is not possible due to the possible identification of individual staff members.

### Religion and belief

The majority (43.6%) of eligible staff have not declared a religion or belief. Christian – Catholic represent nearly a fifth (24.6%) of eligible staff, Christian – Other represent under a fifth (17.9%), and staff that declared to have No religion represent just over a tenth (11.7%) of eligible staff. Buddhist, Hindu, Islam, Jewish or Sikh represent 2.2% of eligible staff.

	All staff	
	Count	%
Buddhist, Hindu, Islam, Jewish or Sikh	4	2.2
Christian - Catholic	44	24.6
Christian - Other	32	17.9
No religion	21	11.7
Unknown	78	43.6
Total	179	100.0

#### *Religion and belief – eligible for REF submission staff count and percentage*

Buddhist, Hindu, Islam, Jewish or Sikh eligible staff are distributed equally between full and part-time contracts, the significance of this is minimal due to the small numbers of eligible staff within this religious grouping. Over two-fifths (68.2%) of Christian – Catholics hold full-time contracts, nearly a third (31.8%) are on part-time contracts. The majority (81.3%) of Christian - Other eligible staff are on full-time contracts. 71.4% of eligible staff with No Religion hold full-time contracts.

	Full-time	Part-time
	%	%
All Staff	65.9	34.1
Buddhist, Hindu, Islam, Jewish or Sikh	50.0	50.0
Christian - Catholic	68.2	31.8
Christian - Other	81.3	18.8
No religion	71.4	28.6
Unknown	78.2	21.8

#### *Religion and belief – eligible for REF submission staff percentage by mode of employment*

Three-quarters (75%) of Buddhist, Hindu, Islam, Jewish or Sikh eligible staff are on fixed-term contracts. Nearly two-fifths (65.9%) of Christian – Catholic and three quarters (75%) of Christian – Other eligible staff are employed on a continuous basis. Two - thirds of eligible staff with either No Religion (66.7%) or an Unknown (64.1%) religion or belief are employed on a continuous basis.

	Continuous	Fixed-term
	%	%
All Staff	65.9	34.1
Buddhist, Hindu, Islam, Jewish or Sikh	25.0	75.0
Christian - Catholic	65.9	34.1
Christian - Other	75.0	25.0

No religion	66.7	33.3
Unknown	64.1	35.9

*Religion and belief – eligible for REF submission staff percentage by terms of contract*

### Nationality

Eligible staff members with a UK nationality represent the majority (82.1%). Eligible staff members from the EU represent 8.9% and staff with Non-EU nationality represent 7.8% of staff eligible to be submitted to the REF.

	All staff	
	Count	%
United Kingdom	147	82.1
EU	16	8.9
Non-EU	14	7.8
Unknown	2	1.1
Total	179	100.0

#### *Nationality – eligible for REF submission staff count and percentage*

Three quarters (74.8%) of UK nationals eligible for submission are employed on a full-time basis. The majority of EU nationals (81.3%) and Non-EU nationals (71.4%) are employed on a full-time basis.

	Full-time	Part-time
	%	%
All Staff	74.9	25.1
United Kingdom	74.8	25.2
EU	81.3	18.8
Non-EU	71.4	28.6
Unknown	50.0	50.0

#### *Nationality – eligible for REF submission staff percentage by mode of employment*

Two-thirds (67.3%) of UK nationals eligible for submission are employed on a continuous basis. The majority of EU nationals (62.5%) and Non-EU nationals (57.1%) are employed on a continuous basis.

	Continuous	Fixed-term
	%	%
All Staff	65.9	34.1
United Kingdom	67.3	32.7
EU	62.5	37.5
Non-EU	57.1	42.9
Unknown	50.0	50.0

#### *Nationality – eligible for REF submission staff percentage by terms of contract*

Pregnancy/Maternity status

At the 1<sup>st</sup> July 2012 3.4% of eligible staff members have either declared a pregnancy or on maternity leave. The majority (96.6%) of staff have an unknown maternity or pregnancy status.

	All staff	
	Count	%
Pregnancy/Maternity Leave	6	3.4
Unknown	173	96.6
Total	179	100.0

*Pregnancy/Maternity – eligible for REF submission staff percentage*

Further analysis of this protected characteristic is not possible due to the possible identification of individual staff members

**Section 6: Approval**

**Signature of assessor: ..... Date: 31<sup>st</sup> July 2012**

**Authorised by:**

**Vice Principal/Head of School/Service**

**Signature: ..... Date: 31<sup>st</sup> July 2012**

**Chair of Committee**

**Signature: ..... Date: 31<sup>st</sup> July 2012**

**Date sent to Secretary of EDSC: 31<sup>st</sup> July 2012**