



**UNIVERSITY  
OF LONDON**

**INSTITUTE  
IN PARIS**

Research Excellence Framework 2014

ULIP Code of Practice

June 2012

Version 2

## Notes:

- The funding bodies require that institutions' Codes of Practice be submitted to the HEFCE REF team by 31 July 2012.
- The HEFCE REF Equality and Diversity Advisory Panel (EDAP) will examine these Codes of Practice in advance of the submission deadline.
- Internally, the Code of Practice will be provisionally approved by the ULIP Research Committee. It will be periodically revised until 31 July 2012.
- All institutions' Codes of Practice will be published by HEFCE with the rest of the submissions at the end of the assessment process.
- The guidance from HEFCE requires the naming of individuals occupying posts involved in the activity of REF preparation. Names given in this version of the Code of Practice are correct as of June 2012. With changes of role and movement of staff any revisions will be incorporated into a new version in September 2012.

# Research Excellence Framework 2014

## Code of Practice on the Selection of Staff

### Purpose and Aim

1. This Code of Practice is intended to meet, with respect to ULIP, the requirement of the funding bodies and REF for an internal Code of Practice, as specified in REF 02.2011 July 2011 'Assessment Framework and Guidance on Submissions', §§ 39-43 and Part 4, §§187-232.
2. ULIP aims to submit to the REF 2014 all eligible staff who are conducting excellent research, including those whose ability to produce four outputs or work productively throughout the assessment period has been constrained for reasons covered by equality legislation. The selection of staff will be consistent with the research quality criteria laid down for each Unit of Assessment (UoA) and the provisions made with respect to individual staff circumstances.
3. The Code is conceived as a guide to the way in which decisions are to be made within the Institute. It is intended to provide a clear, consistent and appropriate basis for preparing submissions to the REF and the selection of staff for inclusion. It describes how the requirements of equality legislation will be met with respect to age, disability, gender reassignment, marriage and civil partnership, political opinion, pregnancy and maternity, race, religion and belief including non-belief, sex (including breastfeeding; additional paternity leave and adoption leave), sexual orientation, Welsh language, and part-time working and fixed-term employment (see REF 02.2011 'Part 4: Codes of Practice on the Selection of Staff'). In all aspects of this policy and its implementation, express consideration will be given to equality and diversity issues in order to promote equality, comply with legislation and avoid discrimination whilst maintaining the excellent quality of submissions.
4. ULIP commits itself to conduct equality impact assessments on its policies and processes for selecting staff for the REF.
5. The REF process is subject to the requirements of the various laws concerning data confidentiality and handling.
6. The Code has been approved by the ULIP Research Committee.

## The Process of Selection and Submission

### Procedure for identifying eligible staff

7. A list of all staff on a 'research' or a 'research and teaching' contract will be produced by the University of London's Director of Human Resources and updated every year in September. The collection of all data required by the REF is coordinated by the Head of Student and Academic Services acting as REF Administrative Officer, who liaises with all members of the REF Committee.
8. On the basis of the list of staff provided by the Director of Human Resources, each member of eligible academic staff is requested to:
  - a. submit details of at least four items of research for submission to the REF;
  - b. indicate to the University's Diversity Officer, Ms Susan Small, on the form provided, whether there are any 'individual staff circumstances' which have prevented him / her from publishing four suitable pieces of work for submission. See below, §19. Individual Staff Circumstances. This information will be kept confidential – REF committee members will only know that the Individual Circumstances rules apply and the number of items which have been agreed.
  - c. it is the responsibility of individual members of staff to provide a copy of their outputs when requested, either for external or internal assessment, or for the REF itself.

## Procedure for selecting staff

9. Firstly, the Internal REF Committee, which functions also as the UoA panel makes recommendations to the ULIP Research Committee regarding the inclusion of staff into submissions, taking into account the internal and external assessments of staff publications,. Subsequently, the ULIP Research Committee receives and reviews those recommendations regarding the inclusion of staff into submissions with a view to taking a final decision. The ULIP Board will receive reports on progress.
10. The responsibilities of the REF Committee are to:
  - a) undertake an internal assessment of individual submissions; publications are to be allocated for grading to senior or experienced staff in research assessment.
  - b) seek external advice on the assessment of submissions; external advisors will be briefed about the ULIP Code of Practice and will be given guidance about the appropriate level of detailed comment on individual submissions.
  - c) assess to which UoA individuals would best be submitted, and which individuals ought to be cross-referred to other sub-panels.
  - d) exceptionally consider any academics from outside ULIP who might be given contractual status at ULIP for the purposes of the REF.
  - e) take account of all relevant issues relating to equality and diversity.
  - f) make an assessment of the individual submissions for each UoA on the basis of the above-mentioned internal and external assessments.
  - g) provide feedback (via the Head of Department) as and when appropriate to each member of staff eligible for submission to the REF.
  - h) make recommendations to the ULIP Research Committee regarding the inclusion of staff into submissions
  - i) oversee and assist with the drafting of the 'impact' and 'environment' sections of the submission to the REF.

# The ULIP Research Committee

## Membership

11. The ULIP Research Committee reports to the ULIP Board.

A review of the membership will be undertaken and if necessary the Institute will arrange the addition of any further members who might be required in the interests of appropriate representation of women and minority groups.

See Annex A for the current membership of the ULIP Research Committee.

## Roles

12. The ULIP Research Committee has the following responsibilities:

- a) On the basis of internal and external recommendations reported via the REF Committee, the ULIP Research Committee will decide which members of staff are to be submitted for the REF, to which UoAs, and where a suitable 'cut-off point' might be made in the best interests of the Institute.
- b) The ULIP Research Committee will report on inclusions and exclusions to the ULIP Board.
- c) It is the responsibility of the REF Administrative Officer to ensure that information concerning individual members of staff and their publications is suitably collected and collated. The REF Administrative Officer is to report directly to the REF Director, the Dean of the Institute.
- d) The ULIP Research Committee will refer to the Dean for feedback for any staff who are, in June 2013, definitely not to be submitted.
- e) The ULIP Research Committee will ratify the REF Committee's narratives with respect to the 'impact' and 'environment' sections of each UoA submission.
- f) On the basis of both research output, merit and the likely financial implications for the Institute, the ULIP Research Committee will make recommendations to the Dean and hence to Board concerning the retention or, exceptionally, the addition of members of staff who would not otherwise be employed by ULIP at the time of the REF deadline.
- g) The ULIP Board will consider and decide upon any such recommendations in the light of the then prevailing ULIP Consortium plans.

## Appeals

13. The reasons behind the final decision not to include a staff member's work will be made available to the individual concerned in June 2013. Prior to June 2013, regular feedback will be given to staff, and second opinions may be sought where an assessment is challenged. Any decision not to include, communicated in June 2013, should not come as a surprise to the individual concerned.
14. Reasons for rejection may concern the quantity (insufficient number of suitable outputs) or the quality (in terms of \* grading), or may relate to the overall balance of the submission or the subject profile of the submission itself.
15. Following that final feedback, should any academic member of staff wish to appeal against the REF procedure in regard to their non-submission, he / she has the right of appeal to a member of ULIP Board, who will not have been involved in the earlier process, and who will either personally investigate the matter, or request a senior member of academic staff (not involved in the original decision) to do so on his / her behalf. An individual will have the right to appeal against any aspect of the process, but not against the judgement. At that stage, further assessments of publications will not be carried out.
16. Any such appeal will ordinarily need to be completed and submitted no later than 7 July 2013. If any panel decision occurs too late for this deadline, an appeal must be submitted within seven working days of receipt of the decision by the staff member of the feedback from the Dean.
17. The outcome of such an appeal will be either: (a) to disallow the appeal; or (b) to find for the appellant in whole or in part and to refer the question back to the REF Committee for re-consideration. Any change of recommendation will be considered by the ULIP Research Committee and reported to the ULIP Board at the next opportunity.

## Individual Staff Circumstances

18. As a measure to support equality and diversity, the Institute will consider a defined number of individual circumstances that may have significantly constrained the academic's ability to produce four outputs or to work productively throughout the assessment period. The quality of publications of staff with such circumstances will be assessed in the same manner than those of staff without special circumstances.

## Eligible Individual Staff Circumstances

19. The following list enumerates individual staff circumstances which may have prevented the publication of four suitable pieces of work for REF submission:
  - a. Qualifying as an Early Career Researcher
  - b. Part-time working
  - c. Maternity, paternity or adoption leave. Note that maternity leave may involve related constraints on an individual's ability to conduct research in addition to the defined period of maternity leave itself. Constraints related to pregnancy or maternity will indeed be considered in addition to a clearly defined period of maternity leave. These may include but are not limited to: medical issues associated with pregnancy or maternity; health and safety restrictions in field work during pregnancy or breastfeeding; constraints on the ability to travel to undertake fieldwork due to pregnancy or breastfeeding.
  - d. Secondments or career breaks outside of the higher education sector, and in which the individual did not undertake academic research
  - e. Disability
  - f. Ill health or injury
  - g. Mental health conditions
  - h. Childcare or other caring responsibilities
  - i. Gender reassignment
  - j. Other circumstances relating to the protected characteristics described in the Equality Act 2010. Cf. 'Assessment Framework and Guidance on Submissions', §§ 187-201.



## Procedures related to individual staff circumstances

20. The Institute has put in place procedures to enable staff to disclose their circumstances in an appropriate and confidential manner.
  - a. All staff eligible for selection will be asked to complete a form about their individual circumstances. In order to ensure the appropriate level of confidentiality, this process will be managed centrally. Consequently, all such forms should be returned to the University's Diversity Advisor, Ms Susan Small.
  - b. Once the University's Diversity Advisor has collected the forms reporting individual staff circumstances, she will determine, with the agreement of the REF Director, the number of outputs to be submitted for those circumstances that are clearly defined. This will be done following criteria established by the ULIP Board.
  - c. Circumstances that are deemed 'complex', or circumstances that combine clearly defined and 'complex' circumstances, will be referred to a group consisting of the REF Director, a representative of HR, and the University's Diversity Advisor, who will make a judgement on the appropriate reduction in the number of outputs submitted, in light of worked examples provided by the HEFCE Equality Challenge Unit.
21. The REF Director will report the reductions in outputs to the REF Committee who will adjust individual submissions accordingly.
22. The Institute supports its fixed-term and part-time staff, including contract research staff, in relation to equality and diversity in the same manner as its full-time staff.

## Training

23. The University's Diversity Officer, Ms Susan Small, will provide training on equality and diversity. That training will be tailored to the REF processes and will include case studies that are used to explore issues such as the implications of dealing with personal circumstances. The following individuals will be required to undertake the training:
- a) Those who will handle appeals
  - b) Those who have the responsibility of selecting staff
  - c) The Dean (who will be feeding back to those staff who are not selected)

The training will be based upon the guidance and example case histories which will be issued by the REF's Equalities and Diversity Advisory Panel in due course.

## Dissemination of the present Code of Practice

24. The ULIP Code of Practice aims at making its REF preparations and submissions fair. Transparency will be achieved through the following programme of dissemination:

- a) the Code of Practice will be made public in an easily accessible format
- b) electronic copies will be sent to all academic staff via e-mail
- c) it will be drawn to the attention of staff absent from work

After distribution, the REF Director will be available to lead Q&A sessions specifically on the Code of Practice.

## Annex A

### REF-related Committee Membership 2011-2012

#### 1. ULIP REF Committee

Role: ULIP REF Committee is a sub-group of the ULIP Research Committee. This group will make recommendations on inclusion and exclusion of staff from submission, will review particularly difficult cases of inclusion, will take into account strategic issues, and will consider the components of each UoA submission. See §11 for a detailed list of its roles.

Membership:

Chair and REF Director: Dean of ULIP, Professor Andrew Hussey

Director of Post-Graduate Study and Research Collaborations: Dr Anna-Louise Milne  
Head of the Department of French and Comparative Studies: Dr Louise Lyle

In attendance:

REF Administrative Officer: Claire Miller

#### 2. ULIP Research Committee

Role: ULIP Research Committee reports to the ULIP Board. This group will take decisions on inclusion and exclusion of staff from submission. See §13 for a detailed list of its roles.

Membership:

Chair: Dean of the Institute, Professor Andrew Hussey

Ex-officio Member: Professor David Trotter, Aberystwyth University

Director of Post-Graduate Study and Research Collaborations: Dr Anna-Louise Milne  
Head of the Department of French and Comparative Studies: Dr Louise Lyle