

UNIVERSITY OF WALES

REF Equality and Diversity

Code of Practice

2012-2014

## **Foreword by the Vice-Chancellor**

The University of Wales is firmly committed to eliminating all forms of discrimination and promoting equality in all aspects of its activities as an employer, a provider of higher education and in its interaction with the wider community. The institution recognises its responsibilities under the Equality Act 2010 as outlined as the general duty to promote equality along with the associated specific duties which are outlined in this code.

The University regards the REF Equality Code of Practice as part of its continuing effort to ensure that the research activities of all its researchers, regardless of individual circumstances, is valued and properly considered for submission in REF 2014

The University of Wales will actively promote this REF Equality & Diversity Code of Practice and will implement the associated working methods detailed within. To assist with this task, the Governing Body and the Senior Management Team will provide leadership in relation to the implementation of this Code as part of its larger responsibilities. I commend this REF Equality Code of Practice to you as part of the University of Wales's overall commitment to equal opportunities.

Professor Medwin Hughes  
DL DPhil DPS FRSA  
Vice Chancellor

July 2012

## 1) Introduction

This code of practice refers specifically to the Centre for Advanced Welsh and Celtic Studies (CAWCS), which is the only UOA to be submitted to the Research Excellence Framework (REF 2014) by the University of Wales. The University of Wales is currently in the process of merging with the University of Wales, Trinity St David (TSD), and has therefore taken account of TSD's draft code of practice in its preparations for the REF. Once formal merger has taken place all policies and practices on equality issues will comply as far as possible with those of TSD.

As a Higher Education Institution, the University of Wales recognises that it has a central role to play in bringing about a fair and just society. The University is committed to equality of opportunity and will promote equality in all aspects of its activities as an employer, a provider of Higher Education and in its interaction with the wider community, in order to provide a working and learning environment which is free from discrimination. It is the policy of the University to ensure that no member of the University community should receive more or less favourable treatment on any grounds which are not relevant to good educational and employment practice.

The University endeavours to implement full equality of opportunity, and takes appropriate measures to ensure that no student, member of staff or visitor is subject to unfair discrimination. Direct and indirect discrimination resulting in unequal opportunities is not acceptable, including discrimination by perception or by association with a protected characteristic.

In addition to the University's overarching commitment to equality, it is required by HEFCW to develop, document and apply a code of practice on selecting staff to include in its REF submission. On making its submission, the Vice-Chancellor is required to confirm adherence to this code. The University will not be eligible to make any submission to REF 2014 without such a ratified code. The code will be reviewed and ratified by the newly convened REF Equality and Diversity Advisory Panel (EDAP). The panel comprises experts from the sector and members of REF panels. Its terms of reference and membership are available on the REF 2014 website at <http://www.hefce.ac.uk/research/ref/equality/>. The University's code will be published with the rest of the submission on completion of the assessment process.

The REF Equality & Diversity Code of Practice contains detailed standards of conduct, procedures and principles that will be followed regarding all actions undertaken in preparation for and submission to REF 2014. The code is based on the principles of:

- Transparency
- Consistency
- Accountability
- Inclusivity

Given these principles and the statutory requirements under the 2010 Equalities Act, this code sets out the processes by which staff will be selected for submission to REF 2014, details of

the decision making bodies involved, their working methods and the processes that will be adhered to. It also details the opportunities for feedback and appeal, in addition to various measures that will ensure that the impact of these procedures is assessed and the procedures revised in light of the results of such assessments.

## **2) The Legislative Context**

The Equality Act 2010 harmonises discrimination law and brings together the equality strands into a single, simplified piece of legislation. The Act replaces all existing equality legislation with regards to race, disability and gender, with a single duty to promote equality for all the protected characteristics. Section 4 of this code includes a full list of the protected characteristics, while Annex 1 provides a comprehensive overview of the legislation.

## **3) Scope of the Code of Practice**

In accordance with its commitment to equality and diversity, the University of Wales will ensure that positive steps are taken to identify and combat all forms of discrimination so that no potential or existing members of staff are discriminated against either directly or indirectly, or due to perception or association during the preparations for and submission to REF 2014. The University will investigate any alleged breach of this code by staff and all others who it has contact with during preparations for REF 2014. A specific appeals and grievance procedure is in place for REF 2014 and will be adhered to as detailed in this code. If the allegation is upheld, action will be taken which could result in disciplinary proceedings against the staff involved.

## **4) Aims of the Code of Practice**

The code has been created to achieve a targeted approach to equality and diversity for REF 2014 planning at the University. The aims of the REF 2014 Equality & Diversity Code of Practice are as follows:

- a) to comply with the legislation within the Equality Act 2010;
- b) to fulfil the University's statutory obligation to its research active staff;
- c) to ensure appropriate engagement with research staff and all those involved in REF 2014 through consultative processes;
- d) to monitor career progress and training opportunities for all members of staff considered for submission to REF 2014, taking action, where appropriate, to address any matters arising from monitoring;
- e) to ensure that all potential, new and existing members of staff are informed of the code and its implications for their academic work, research, and knowledge transfer relationships with those external to the University;
- f) to assess the impact of the University's preparations on staff:
  - o from different racial groups;
  - o with disabilities or who have had disabilities within the REF 2014 census period (including conditions such as cancer and chronic fatigue);

- who suffer, or have suffered in the past, from mental health conditions;
- who suffer, or have suffered in the past, from ill health or injury;
- of both genders including those within the gender reassignment category;
- of all ages;
- of any religious or belief affiliations;
- of any sexual orientation;
- who are pregnant;
- who have taken periods of maternity leave, statutory adoption leave, and additional paternity leave (taken by partners of new mothers or co-adopters);
- who face constraints relating to pregnancy, maternity, breastfeeding, adoption, paternity or childcare **in addition to** periods of maternity, statutory adoption or additional paternity leave taken. This could include for example, pregnancy related illness and health and safety restrictions in laboratory and field work;
- who are classified as early career researchers (i.e. those who started their careers as an independent researchers on or after 1 August 2009);
- who work on part-time or fixed term contracts;
- who have taken a career break or secondment outside of the Higher Education sector during which the individual did not undertake academic research;
- who have caring responsibilities (including caring for an elderly or disabled relative);
- who wish to communicate through the medium of Welsh. (The Welsh Language Act 1993 places a duty on public bodies in Wales to treat Welsh and English on an equal basis. This is reinforced by the provisions of the Welsh Language (Wales) Measure 2011 and is governed by the University's Welsh Language Scheme);
- whose work is affected by any other protected characteristic or complex combinations thereof.

As well as prohibiting direct discrimination the Equality Act 2010 prohibits indirect discrimination – following a policy that, although applied equally to everyone, is harder for those with a protected characteristic to comply with. However, indirect discrimination is not a breach of the Act if it is a proportionate means of achieving a legitimate aim, and direct discrimination on the grounds of age will not be unlawful if it is a proportionate means of achieving a legitimate aim. With the exceptions of marriage and civil partnership and pregnancy and maternity, protection from discrimination extends to people who are perceived to have or are associated with someone who has a protected characteristic.

## **5) Guidance to the Code of Practice:**

The Code of Practice contains the following practical advice and information about the University's working methods in preparation for submission to REF 2014:

- a) An extensive list and discussion of individual staff circumstances, such as will be taken into consideration when determining which staff are included in the University's REF 2014 submission, is included in Annex 1 and these are outlined in brief in section 4 above. The circumstances outlined there distinguish between

‘clearly defined circumstances’ such as Early Career Researchers, those working part-time, those having undertaken periods of, maternity, paternity, adoptive leave, secondments and career breaks) and ‘complex circumstances’ such as those associated with disability, ill-health, injury, mental health, constraints due to pregnancy or maternity, gender reassignment or any other circumstance related to a protected characteristic.

- b) The methodology for consideration of these circumstances by the panels, including tariffs for a reduction in outputs for clearly defined and complex circumstances, is detailed in Annex 2 ‘Staff and Individual Circumstances’.
- c) The mechanisms through which they will be considered by the University are detailed in Section 7 ‘Functional Responsibilities’.
- d) The University will monitor whether thresholds for quality in selection process have a negative impact on certain groups who may be eligible to submit reduced outputs through an Equality Impact Assessment. This is detailed in Section 8 ‘Equality Impact Assessment’.
- e) The robust and proactive procedures that enable staff within the University to disclose their circumstances in confidence are detailed in Annex 4 ‘Individual Staff Disclosure Form’.
- f) The procedure for appeals by staff is set out in Section 9 ‘Feedback and Appeals’.
- g) Further information and guidance is available on the Equality Challenge Unit (ECU) and HEFCE website at the following address:  
<http://www.hefce.ac.uk/research/ref/pubs/other/equality/REFequality.pdf>. This includes panel criteria and working methods documentation and further information on how REF panels will consider individual circumstances.

## **6) Communicating & Publishing the Code**

The University will promote its commitment to the code to both existing and potential members of the organisation and document the steps it will take to meet equality challenges in respect of REF 2014. The University will, in respect of this:

- a) publish the code on the University’s intranet under the Human Resources section. For staff who do not have regular IT access, and for those newly joining the institution, hard copies will be made available at CAWCS or may be obtained from the Human Resources Department. A copy of the Code will be sent to appropriate staff when the Code is published if staff are absent from work for any reason, e.g. maternity or paternity leave, parental leave, external secondment etc. This will be done either by email or hard copy, in accordance with individual circumstances.
- b) ensure that the code is available in both English and Welsh, and in a variety of alternative and accessible formats;
- c) ensure that the code is handed to new members of academic staff, and all others whose duties will involve preparations for REF 2014, during the induction process;
- d) publish the results of an equality policy impact assessment made on the University’s submission to REF 2014.

## **7) Functional Responsibilities**

CAWCS is a dedicated research institute in the field of Celtic Studies. Research is carried out in team-based projects, and project leaders are members of the Centre's Management Committee chaired by the Director. That committee has responsibility for all preparations for REF 2014, which is a standing item on the agendas of its monthly meetings. Membership of the Management Committee is currently as follows:

Professor Dafydd Johnston (chair)

Professor John Koch

Dr Ann Parry Owen

Dr Mary-Ann Constantine

Dr David Parsons

Mr Andrew Hawke

Initial consideration of REF outputs on an individual level takes place during regular appraisal meetings held by project leaders, which also provide an opportunity to discuss any personal circumstances which may have a bearing on the number of outputs required. Project leaders then report to the committee, with due regard for confidentiality of personal information. All project leaders have received training on equality and diversity issues for the purpose of staff appraisal, and training tailored to the REF processes will be provided before drawing up the final submission.

The committee is responsible for drawing up lists of individuals and their outputs for inclusion in the CAWCS REF submission, and also for planning impact activities and case studies. Reports on REF preparations are made by the Director to the CAWCS Advisory Committee, a committee of the University of Wales Council which meets three times a year. The Chair of the Management Committee is responsible for ensuring that all planning and preparations for REF 2014 are compliant with the REF Equality and Diversity Code of Practice. Responsibility for equality and diversity issues at institutional level lies with the Human Resources Committee.

## **8) Equality Impact Assessment**

CAWCS undertook a mock-submission exercise in autumn 2011, applying standards of research excellence consistent with its result in RAE 2008, and allowing for reductions in outputs as permitted by REF guidelines (see Annex 2). The management Committee concluded that all eligible research-active staff could be submitted (a total of 14 FTEs, including several part-time and fixed-term staff) . An Equality Impact Assessment was therefore not deemed to be necessary at that stage. However, should it become apparent that planned outputs are unlikely to appear in the public domain by the census date, or that any

staff might be placed under undue pressure to achieve this with regard to either workload or personal circumstances, then those individuals will not be selected for submission. In that case an Equality Impact Assessment will be undertaken, prior to the final submission, by a member of the Human Resources Department, a designated member of the Human Resources Committee, and the Chair of the University Research Committee, in order to review selection procedures and ensure that they are not discriminatory.

## 9) Feedback and appeals

The University is committed to conduct its preparations for REF 2014 in a transparent, consistent, accountable and inclusive manner, and has put in place a robust feedback and appeals procedure which is specific to the REF planning process. All staff who are to be included in the CAWCS submission will be informed of their selected outputs and of any reduction of outputs granted through consideration of protected characteristics. Any staff who cannot be included will be informed in writing of the reasons for that decision, and of the appeals procedure.

The University has established two separate mechanisms for individual members of staff who wish to dispute their treatment within the REF planning process on the grounds of the relevant equality and diversity legislation. Appeals will be concluded before the final submission date.

- i. **Informal appeal.** An appeal form is available to staff on the Human Resources intranet pages. This will be directed to the Chair of the Human Resources Committee who will undertake an informal review in the first instance. This will incorporate consideration of the staff member's Individual Staff Circumstances Disclosure Form (Annex 4). The Chair will report the outcome of the informal review to the Director of CAWCS who will decide whether or not to uphold the decision and take any relevant actions, if necessary, to prevent further breaches of the Equality Act.
- ii. **Formal appeal.** Staff who are still dissatisfied after the informal review will have the right to take the matter forward through the formal 'right of appeal' process. This process is a specific appeal on equality and diversity matters and is separate from other appeal processes, e.g. those incorporated in the University's Grievance or Disciplinary procedures, and is covered by Dispute Resolution legislation.

Staff who wish to formally appeal against the University's submission intentions, on the grounds covered by equality and diversity legislation should submit this request in writing to the Director of Human Resources, indicating the exact grounds for the appeal. The Director of Human Resources will acknowledge the request for an appeal within ten working days and will attempt to schedule the appeal meetings as soon as reasonably practicable. The appeal will be heard by University governors and an independent Human Resources representative trained in equality legislation. The University reserves the right to include trained members from other Higher Education Institutions.

## 10) Data Protection and confidentiality

The University recognises that under the terms of the Data Protection Act 1998 it is required to obtain explicit consent for the processing of personal data. The processing of personal data is essential for the proper administration of the employment relationship, both during and after employment. The University will provide an assurance that proper regard will be given to lawful data protection principles regarding information gathered for the purposes of REF 2014. The principles enshrined in the Act include ensuring such data are processed and used for limited purposes, and that the data are accurate and up-to-date. Members of any University bodies that are involved in the handling of individual staff circumstances will observe confidentiality and information will be stored securely.

### 10a) Sensitive Data

The Data Protection Act categorises certain types of data, including some of the data that the University will need to collect for REF purposes on individual staff circumstances, as sensitive personal data. Sensitive personal data are subject to stricter forms of processing which are outlined below. Most importantly, if a member of staff informs someone of their protected characteristics their permission must be sought before the information is passed on or stored. Where staff do not provide permission for information to be passed on or stored, the University may be limited in the actions that it can take. Staff cannot be compelled to provide information about their circumstances or to give permission for it to be stored or passed on.

Information of this sensitive nature, detailing personal circumstances covered by the protected characteristics of the Equality Act (2010) will be collected in the form provided in Annex 4 (Individual Staff Circumstances Disclosure Form). The form has been approved for this purpose by the Equalities Challenge Unit. Upon signing the form staff will permit the University to use the data collected for the purposes required of REF 2014, the scope of which is outlined in REF publications Assessment Framework and Guidance on Submissions (REF July 2011) and Panel Criteria and Working Methods (REF January 2012) both of which are available at <http://www.hefce.ac.uk/research/ref/>.

The types of information that **could** be included in the processing activity relate to:

- Mental and physical health, including dates of absence from work due to sickness, and the reason for the absence
- Pregnancy and maternity, adoption and paternity records
- Race or ethnic origin
- Qualifications and skills
- Information relating to discipline or to capability
- Age and years of service
- Declared disability

- Training records
- Religious belief
- Gender including reassignment

The University will process information of this nature for any of the following reasons, insofar as they are necessary for REF 2014:

- For REF 2014 planning and submission
- For training and development purposes
- For management planning
- For negotiations with trade union or staff representatives
- For compliance with the Equality Act 2010

#### **10b) Safeguards to protect staff members' confidentiality and privacy**

- i. In such instances that the University of Wales enters into negotiation and planning for joint submissions with another Higher Education Institution, any final reduction in outputs, as calculated through the approved tariffs (Annex 2) will be shared with that Institution. This wherever possible shall be limited to a statement of the minimum outputs required for an eligible submission. Under no circumstances will the sensitive data that underpins such a calculation be passed on or shared for verification to the organisation / organisations with whom a joint submission is being sought or made without the consent of the individual staff member concerned. Assessment Framework and Guidance on Submissions (REF July 2011) Paragraphs 53-57 detail submission arrangements in respect to joint submissions. These are available in Annex 6.
- ii. Notwithstanding Section 18c I, information provided on the Individual Staff Circumstances Disclosure Form (Annex 4) will be shared externally for the purposes of evidencing any reduction in the number of research outputs in the following ways:
  - For circumstances with a clearly defined reduction in outputs, information will be seen by the relevant REF sub-panel, the REF panel secretariat and the UK funding bodies' REF team. This will be information about early career researcher status, part-time working, career breaks or secondments, and periods of maternity, additional paternity or adoption leave taken.
  - For more complex circumstances, information will be seen only by the REF Equality and Diversity Advisory Panel, the REF Main Panel Chairs and the UK funding bodies' REF team. This will be information to explain the impact on your research of circumstances such as disability, ill health, injury, mental health conditions, gender reassignment, caring responsibilities or constraints relating to

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

All REF panel members, chairs and secretaries are bound by confidentiality requirements, and acceptance of the confidentiality requirements is a condition of their appointment to the role. No information relating to identifiable individuals' circumstances will be published by the funding bodies REF Team. All data collected, stored and processed by the UK funding bodies REF Team will be handled in accordance with the Data Protection Act 1998. The REF Assessment Framework and Guidance on Submissions requires all higher education institutions participating in the REF to ensure appropriate confidentiality in handling individual staff circumstances. However where joint submissions are made it may be necessary to share the information provided with another institution, which will be bound by the provisions of this code in addition to that of the external institution.

### **10c) Previously undisclosed personal Circumstances**

The University is aware that the data gathering exercises required for REF 2014 may bring to the attention of Human Resources an individual's personal circumstance that the University was previously unaware of (section 2 of the Staff Circumstances Disclosure Form, Annex 4). In such cases that consent is given members of staff may discuss their individual circumstances, requirements and the support provided by the University with a member of HR staff.

## Annex 1: Protected Characteristics

(Extracted from Assessment Framework & Guidance on Submissions, REF July 2011)

**Table 1: Summary of equality legislation**

Age	<p><b>All employees within the higher education sector are protected from unlawful age discrimination in employment under the Equality Act 2010 and the Employment Equality (Age) Regulations (Northern Ireland) 2006. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group. (These provisions in the Equality Act 2010 are partially in force, but should be fully in place by April 2012.)</b></p> <p>Age discrimination can occur when people of a particular age group are treated less favourably than people in other age groups. An age group could be for example, people of the same age, the under 30s or people aged 45-50. A person can belong to a number of different age groups.</p> <p>Age discrimination will not be unlawful if it is a proportionate means of achieving a legitimate aim. However, in the context of the REF, the view of the funding bodies is that if a researcher produces excellent research an HEI will not be able to justify not submitting them because of their age group.</p> <p>It is important to note that early career researchers are likely to come from a range of age groups. The definition of early career researcher used in the REF (see paragraph 85) is not limited to young people.</p> <p>HEIs should also note that given developments in equalities law in the UK and Europe, the default retirement age will be abolished from 1 October 2011 in England, Scotland, Wales and Northern Ireland.</p>
Disability	<p><b>The Equality Act 2010, the Disability Discrimination Act (1995) (Northern Ireland only) and the Disability Discrimination (Northern Ireland) Order 2006 prevent unlawful discrimination relating to disability. Individuals are also protected if they are perceived to have a disability or if they are associated with a person who is disabled, for example, if they are responsible for caring for a disabled family member.</b></p> <p>A person is considered to be disabled if they have or have had a physical and/or mental impairment which has ‘a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities’. Long-term impairments include those that last or are likely to last for at least 12 months.</p> <p>Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities.</p> <p>The definition of disability is different in Northern Ireland in that a list of day-to-day activities is referred to. There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people, not individuals, carry out on a daily or frequent basis.</p>

	<p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p> <ul style="list-style-type: none"> <li>• sensory impairments</li> <li>• impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy</li> <li>• progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer</li> <li>• organ-specific impairments, including respiratory conditions and cardiovascular diseases</li> <li>• developmental impairments, such as autistic spectrum disorders and dyslexia</li> <li>• mental health conditions such as depression and eating disorders</li> <li>• impairments caused by injury to the body or brain.</li> </ul> <p>It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.</p> <p>Equality law requires HEIs to anticipate the needs of disabled people and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a disabled researcher's impairment has affected the quantity of their research outputs, they may be submitted with a reduced number of outputs (see paragraphs 90-100 and the panel criteria).</p>
Gender reassignment	<p><b>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect from discrimination trans people who have proposed, started or completed a process to change their sex. Staff in HE do not have to be under medical supervision to be afforded protection because of gender reassignment and staff are protected if they are perceived to be undergoing or have undergone gender reassignment. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.</b></p> <p>Trans people who undergo gender reassignment will need to take time off for appointments and in some cases, for medical assistance. The transition process is lengthy, often taking several years and it is likely to be a difficult period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole.</p> <p>The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a transsexual may commit a criminal offence if they pass the information to a third party without consent.</p> <p>Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care.</p> <p>Staff whose ability to work productively throughout the REF assessment period has been constrained due to gender reassignment may be submitted</p>

	<p>with a reduced number of research outputs (see paragraphs 90-100, and the panel criteria). Information about the member of staff will be kept confidential as described in paragraph 98.</p>
Marriage and civil partnership	<p><b>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 as amended, individuals are protected from unlawful discrimination on the grounds of marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and treatment in employment. The protection from discrimination does not apply to single people.</b></p> <p>In relation to the REF HEIs must ensure that their processes for selecting staff do not inadvertently discriminate against staff who are married or in civil partnerships.</p>
Political opinion	<p><b>The Fair Employment and Treatment (Northern Ireland) Order 1998 protects staff from unlawful discrimination on the grounds of political opinion.</b></p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their political opinion.</p>
Pregnancy and maternity	<p><b>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 women are protected from unlawful discrimination related to pregnancy and maternity.</b></p> <p>Consequently researchers who have taken time out of work or whose ability to work productively throughout the assessment period because of pregnancy and/or maternity, may be submitted with a reduced number of research outputs, as set out in paragraphs 90-100 and in the panel criteria documents.</p> <p>In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process.</p> <p>For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.</p>
Race	<p><b>The Equality Act 2010 and the Race Relations (Northern Ireland) Order 1997 protect HEI staff from unlawful discrimination connected to race. The definition of race includes colour, ethnic or national origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race.</b></p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their race or assumed race (for example, based on their name).</p>
Religion and belief including	<p><b>The Equality Act 2010 and the Fair Employment and Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination to do with religion or belief. Individuals are also</b></p>

non-belief	<p><b>protected if they are perceived to be or are associated with a person of a particular religion or belief.</b></p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their actual or perceived religion or belief, including non-belief. ‘Belief’ includes any structured philosophical belief with clear values that has an effect on how its adherents conduct their lives.</p>
Sex (including breastfeeding and additional paternity and adoption leave)	<p><b>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect HEI staff from unlawful discrimination to do with sex. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex.</b></p> <p>The sex discrimination provisions of the Equality Act explicitly protect women from less favourable treatment because they are breastfeeding. Consequently the impact of breastfeeding on a women’s ability to work productively will be taken into account, as set out in paragraph 90-100 and the panel criteria documents.</p> <p>From 3 April 2011, partners of new mothers and secondary adopters will be entitled to up to 26 weeks of additional paternity and adoption leave. People who take additional paternity or adoption leave will have similar entitlements to women on maternity leave and barriers that exist to taking the leave, or as a result of having taken it, could constitute unlawful sex discrimination. Consequently researchers who have taken additional paternity and adoption leave may be submitted with a reduced number of outputs, as set out in paragraphs 90-100 and in the panel criteria documents.</p> <p>HEIs need to be wary of selecting researchers by any criterion that it would be easier for men to comply with than women, or vice versa. There are many cases where a requirement to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women.</p>
Sexual orientation	<p><b>The Equality Act 2010 and the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003 protect HEI staff from unlawful discrimination to do with sexual orientation. Individuals are also protected if they are perceived to be or are associated with someone who is of a particular sexual orientation.</b></p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their actual or perceived sexual orientation.</p>
Welsh Language	<p><b>The Welsh Language Act 1993 places a duty on public bodies in Wales to treat Welsh and English on an equal basis. This is reinforced by the provisions of the Welsh Language (Wales) Measure 2011.</b></p> <p>The arrangements for the assessment of outputs in the medium of Welsh by the REF panels are set out in paragraphs 128-130.</p>

## Annex 2: Staff and individual staff circumstances

(Extracted from Panel Criteria and Working Methods, REF Jan 2012)

64. Up to four research outputs must be listed against each member of staff included in the submission. A maximum of four outputs per researcher will provide panels with a sufficient selection of research outputs from each submitted unit upon which to base judgements about the quality of that unit's outputs. Consultations on the development of the REF confirmed that this is an appropriate maximum volume of research outputs for the purposes of assessment.
65. As a key measure to support equality and diversity in research careers, 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. This measure is intended to encourage institutions to submit all their eligible staff who have produced excellent research.
66. HEIs are allowed to list the maximum of four outputs against any researcher, irrespective of their circumstances or the length of time they have had to conduct research. A minimum of one output must be listed against each individual submitted to the REF.
67. In order to provide clarity and consistency on the number of outputs that may be reduced without penalty, there will be a **clearly defined** reduction in outputs for those types of circumstances listed at paragraph 69a. Circumstances that are more **complex** will require a judgement about the appropriate reduction in outputs; these are listed at paragraph 69b. Arrangements have been put in place for complex circumstances to be considered on a consistent basis, as described at paragraphs 88-91.
68. Where an individual is submitted with fewer than four outputs and they do not satisfy the criteria described at paragraphs 69-91 below, any 'missing' outputs will be graded as 'unclassified'.
69. Category A and C staff may be returned with fewer than four outputs without penalty in the assessment, if one or more of the following circumstances significantly constrained their ability to produce four outputs or to work productively throughout the assessment period:
- a) Circumstances with a **clearly defined** reduction in outputs, which are:
    - i. Qualifying as an early career researcher (on the basis set out in paragraph 72 and Table 1 below).
    - ii. Absence from work due to working part-time, secondments or career breaks (on the basis set out in paragraphs 73-74 and Table 2 below).

- iii. Qualifying periods of maternity, paternity or adoption leave (on the basis set out in paragraphs 75-81).
- iv. Other circumstances that apply in UOAs 1-6, as defined at paragraph 86.

b) **Complex circumstances** that require a judgement about the appropriate reduction in outputs, which are:

- i. Disability. This is defined in 'guidance on submissions' Part 4, Table 2 under 'Disability'.
- ii. Ill health or injury.
- iii. Mental health conditions.
- iv. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances made in paragraph 75 below.
- v. Other caring responsibilities (such as caring for an elderly or disabled family member).
- vi. Gender reassignment.
- vii. Other circumstances relating to the protected characteristics listed at paragraph 190 of 'guidance of submissions' or relating to activities protected by employment legislation.

### **Clearly defined circumstances**

70. Where an individual has one or more circumstances with a clearly defined reduction in outputs, the number of outputs that may be reduced should be determined according to the tables and guidance in paragraphs 72-86 below. All sub-panels will accept a reduction in outputs according to this guidance and will assess the remaining number of submitted outputs without any penalty.

71. In REF1b, submissions must include sufficient details of the individual's circumstances to show that these criteria have been applied correctly. The 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. The panel secretariat will be trained to provide such advice, on a consistent basis across all UOAs. Where the sub-panel judges that the criteria have not been met, the 'missing' output(s) will be recorded as unclassified. (For example, an individual became an early career researcher in January 2011 but only one output is submitted rather than two. In this case the submitted output will be assessed, and the 'missing' output recorded as unclassified.)

### **Early career researchers**

72. Early career researchers are defined in paragraphs 85-86 of 'guidance on submissions'. Table 1 sets out the permitted reduction in outputs without penalty in the assessment for early career researchers who meet this definition.

**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

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

73. Table 2 sets out the permitted reduction in outputs without penalty in the assessment for absence from work due to:

- a. part-time working
- b. secondments or career breaks outside of the higher education sector, and in which the individual did not undertake academic research.

**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

74. The allowances in Table 2 are based on the length of the individual's absence or time away from working in higher education. They are defined in terms of total months absent from work. For part-time working, the equivalent 'total months absent' should be calculated by multiplying the number of months worked part-time by the full-time equivalent (FTE) **not** worked during those months. For example, an individual worked part-time for 30 months at 0.6 FTE. The number of equivalent months absent =  $30 \times 0.4 = 12$ .

## **Qualifying periods of maternity, paternity or adoption leave**

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

- a. Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2008 to 31 October 2013, regardless of the length of the leave.
- b. Additional paternity or adoption leave<sup>1</sup> lasting for four months or more, taken substantially during the period 1 January 2008 to 31 October 2013.

76. The approach to these circumstances is based on the funding bodies' considered judgement that the impact of such a period of leave and the arrival of a new child into a family is generally sufficiently disruptive of an individual's research work to justify the reduction of an output. This judgement was informed by the consultation on draft panel criteria, in which an overwhelming majority of respondents supported such an approach.

77. The funding bodies' decision not to have a minimum qualifying period for maternity leave was informed by the sector's clear support for this approach in the consultation; recognition of the potential physical implications of pregnancy and childbirth; and the intention to remove any artificial barriers to the inclusion of women in submissions, given that women were significantly less likely to be selected in former RAE exercises.

78. The funding bodies consider it appropriate to make the same provision for those regarded as the 'primary adopter' of a child (that is, a person who takes statutory adoption leave), as the adoption of a child and taking of statutory adoption leave is generally likely to have a comparable impact on a researcher's work to that of taking maternity leave.

79. As regards additional paternity or adoption leave, researchers who take such leave will also have been away from work and acting as the primary carer of a new child within a family. The funding bodies consider that where researchers take such leave over a significant period (four months or more), this is likely to have an impact on their ability to work productively on research that is comparable to the impact on those taking maternity or statutory adoption leave.

80. While the clearly defined reduction of outputs due to additional paternity or adoption leave is subject to a minimum period of four months, shorter periods of such leave can be taken into account as follows:

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<sup>1</sup> 'Additional paternity or adoption leave' refers to leave of up to 26 weeks which is taken to care for a child where the person's spouse, partner or civil partner was entitled to statutory maternity leave or statutory adoption leave, and has since returned to work. The term 'additional paternity leave' is often used to describe this type of leave although it may be taken by parents of either gender. For the purposes of the REF we refer to this leave as 'additional paternity or adoption leave'.

- a. By seeking a reduction in outputs under the provision for complex circumstances, for example where the period of leave had an impact in combination with other factors such as on-going childcare responsibilities.
- b. By combining the number of months for shorter periods of such leave in combination with other clearly defined circumstances, according to Table 2.

81. Any period of maternity, adoption or paternity leave that qualifies for the reduction of an output under the provisions in paragraph 75 above may in individual cases be associated with prolonged constraints on work that justify the reduction of more than one output. In such cases, the circumstances should be explained using the arrangements for complex circumstances.

### **Combining clearly defined circumstances**

82. 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.

83. Where Table 1 is combined with Table 2, the period of time since 1 January 2008 up until the individual met the definition of an early career researcher should be calculated in months, and Table 2 should be applied.

84. When combining circumstances, only one circumstance should be taken into account for any period of time during which they took place simultaneously. (For example, an individual worked part-time throughout the assessment period and first met the definition of an early career researcher on 1 September 2009. In this case the number of months 'absent' due to part-time working should be calculated from 1 September 2009 onwards, and combined with the reduction due to qualifying as an early career researcher, as indicated in paragraph 83 above.)

85. Where an individual has a combination of circumstances with a clearly defined reduction in outputs **and** complex circumstances, the institution should submit these collectively as 'complex' so that a single judgement can be made about the appropriate reduction in outputs, taking into account all the circumstances. Those circumstances with a clearly defined reduction in outputs should be calculated according to the guidance above (paragraphs 72-84).

### **Other circumstances that apply in UOAs 1-6**

86. In UOAs 1-6, the number of outputs may be reduced by up to two, without penalty in the assessment, for the following:

- a. Category A staff who are junior clinical academics. These are defined as clinically qualified academics who are still completing their clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or its equivalent prior to 31 October 2013.
- b. Category C staff who are employed primarily as clinical, health or veterinary professionals (for example by the NHS), and whose research is primarily focused in the submitting unit.

87. These allowances are made on the basis that the staff concerned are normally significantly constrained in the time they have available to undertake research during the assessment period. The reduction of two outputs takes account of significant constraints on research work, and is normally sufficient to also take account of additional circumstances that may have affected the individual's research work. Where the individual meets the criteria at paragraph 86, and has had significant additional circumstances – for any of the reasons at paragraph 69 – the institution may return the circumstances as 'complex' with a reduction of three outputs, and provide a justification for this.

### **Complex circumstances**

88. Where staff have had one or more complex circumstances – including in combination with any circumstances with a clearly defined reduction in outputs – the institution will need to make a judgement on the appropriate reduction in the number of outputs submitted, and provide a rationale for this judgement
89. As far as is practicable, the information in REF1b should provide an estimate – in terms of the equivalent number of months absent from work – of the impact of the complex circumstances on the individual's ability to work productively throughout the assessment period, and state any further constraints on the individual's research work in addition to the equivalent months absent. A reduction should be made according to Table 2 in relation to estimated months absent from work, with further constraints taken into account as appropriate. To aid institutions the Equality Challenge Unit (ECU) will publish worked examples of complex circumstances, which will indicate how these calculations can be made and the appropriate reduction in outputs for a range of complex circumstances. These will be available at [www.ecu.ac.uk/our-projects/REF](http://www.ecu.ac.uk/our-projects/REF) from February 2012.
90. All submitted complex circumstances will be considered by the REF Equality and Diversity Advisory Panel (EDAP), on a consistent basis across all UOAs. The membership and terms of reference of the EDAP are available at [www.ref.ac.uk](http://www.ref.ac.uk) under Equality and diversity. 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 make the decisions. The relevant sub-panels will then be informed of the decisions and will assess the remaining outputs without any penalty.

91. To enable individuals to disclose the information in a confidential manner, information submitted about individuals' complex circumstances will be kept confidential to the REF team, the EDAP and main panel chairs, and will be destroyed on completion of the REF (as described in 'guidance on submissions', paragraphs 98-99).

## Annex 3: Early Career Researchers

(Extracted from Assessment Framework and Guidance on Submissions REF July 2011)

85. Early career researchers are defined as members of staff who meet the criteria to be selected as Category A or Category C staff on the census date, **and** who started their careers as independent researchers on or after 1 August 2009. For the purposes of the REF, an individual is deemed to have started their career as an independent researcher from the point at which:

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

86. The following do **not** meet the definition of an ECR (this list is not exhaustive):

- a. Staff who first acted as an independent researcher while at a previous employer – whether another HEI, business or other organisation in the UK or elsewhere – before 1 August 2009, with a contract of 0.2 FTE or greater.
- b. Staff who first acted as an independent researcher before 1 August 2009 and have since had a career outside of research or an extended break from their research career, before returning to research work. Such staff may reduce the number of outputs submitted according to paragraph 92a.iv. (career breaks).
- c. Research assistants who are ineligible to be returned to the REF, as defined in paragraphs 80-81.

87. ECRs may be submitted with fewer than four outputs without penalty in the assessment, as described in paragraphs 90-100 and in the panel criteria and working methods documents. Regardless of whether or not they are submitted with fewer than four outputs, all staff included in a submission who meet the definition of an ECR must be identified as ECRs in the submission. This is to enable the funding bodies to analyse the selection rates for ECRs across the sector as a whole, as part of our wider analysis of selection rates. To enable this analysis, the HESA staff return for 2013-14 will include a field for HEIs to identify all academic staff on 'research' or 'teaching and research' contracts who meet the REF definition of an ECR.

## Annex 4: Template covering note and staff disclosure form

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

**From:** Human Resources

**Subject:** REF 2014, consideration of individual staff circumstances

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The University of Wales is committed to ensuring that decisions about selecting staff for the Research Excellence Framework (REF 2014) are made in a fair, transparent and consistent manner. Information on how eligible staff will be selected for submission to the REF can be found in the University's REF 2014 Equality and Diversity Code of Practice which can be found on the Human Resources pages of the intranet.

To ensure that REF 2014 processes are fair, the University is collecting data on individual circumstances from all staff eligible for submission. The data will be used to identify which staff are eligible for submission with fewer than four outputs. Summary level data collected may also inform the University's monitoring of staff selection procedures at the institutional level.

In determining whether eligible staff may be submitted to the REF 2014 with fewer than four research outputs, the following circumstances will be taken into consideration:

- Early career researcher (started career as an independent researcher on or after 1 August 2009)
- Part time employment
- Career break or secondment outside of the higher education sector in which the individual did not undertake academic research
- Maternity leave, statutory adoption leave, and additional paternity leave (taken by partners of new mothers or co-adopters)
- Disability (including conditions such as cancer and chronic fatigue)
- Ill health or injury
- Mental health conditions
- Constraints relating to pregnancy, maternity, breastfeeding, adoption, paternity or childcare **in addition to** periods of maternity, statutory adoption or additional paternity leave taken. This could include for example, pregnancy related illness and health and safety restrictions in laboratory and field work.
- Other caring responsibilities (including caring for an elderly or disabled relative)
- Gender reassignment

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

**In determining the number of outputs staff are required to submit, the institution will observe the definitions of individual staff circumstances provided in the published REF 'Panel criteria and working methods' (January 2012) available at [www.ref.ac.uk](http://www.ref.ac.uk) under 'Publications'. These are also available in Annex 2 of the REF Equality and Diversity Code of Practice.**

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

If you are eligible for REF submission you are encouraged to complete the attached form.

If further information is required about any circumstances disclosed, you will be contacted by the Director of Human Resources.

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

Within the institution, the information that you provide will be seen by the Human Resources Committee.

Members of the Human Resources Committee who will be involved in handling individual staff circumstances will observe confidentiality and information will be stored securely.

Information provided on the form may be shared externally for the purposes of evidencing any reduction in the number of research outputs:

- For **circumstances with a clearly defined reduction in outputs**, information will be seen by the relevant REF sub-panel, the REF panel secretariat and the UK funding bodies' REF team. This will be information about early career researcher status, part-time working, career breaks or secondments, and periods of maternity, additional paternity or adoption leave taken.
- For **more complex circumstances**, information will be seen only by the REF Equality and Diversity Advisory Panel, the REF Main Panel Chairs and the UK funding bodies' REF team. This will be information to explain the impact on your research of circumstances such as disability, ill health, injury, mental health conditions, gender reassignment, caring responsibilities or constraints relating to pregnancy, maternity, breastfeeding, adoption and paternity (in addition to the period of leave taken). This information will **not** be seen by the REF sub-panel.

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

The REF Assessment Framework and Guidance on Submissions

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

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

The University recognises that staff circumstances may change between 1 January 2008 and 31 October 2013. If your circumstances change you can download a copy of the attached form on the Human Resources pages of the intranet, or by contacting the Human Resources Department..



## Individual Staff Circumstances Disclosure Form

<b>Name</b>	
<b>Directorate</b>	

### *Section one:*

**Please select one of the following:**

- I have no individual circumstances that I wish to be taken into consideration for the purposes of the Research Excellence Framework (REF).
- I have individual circumstances that I wish to make known but I am not seeking a reduction in outputs. (Please complete sections two and three)
- In completing this form I am seeking a reduction in research outputs. (Please complete sections two and three)

### *Section two:*

**Please select as appropriate:**

- I would like to inform Human Resources of my circumstances and requirements, and wish to discuss these requirements and the support provided by the University, with a member of HR staff. My contact details for this purpose are:

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

- I do **not** wish to be contacted by a member of Human Resources staff

### *Section three*

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

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

<b>Circumstance</b>	<b>Information required</b>
Early career researcher (started career as an independent researcher on or after 1 August 2009)	Date on which you became an early career researcher
<b>Information</b>	
Part time employee	<b>FTE and duration in months</b>
<b>Information</b>	
Career break or secondment outside of the higher education sector	<b>Dates and duration in months</b>
<b>Information</b>	
Maternity leave, statutory adoption leave, or additional paternity leave (taken by partners of new mothers or co-adopters)	<b>For each period of leave state which type of leave was taken and the dates and duration in months</b>
<b>Information</b>	
Disability (including conditions such as cancer and chronic fatigue)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Mental health condition	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	

Ill health or injury	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare <b>in addition to</b> the period of maternity, adoption or additional paternity leave taken.	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Other caring responsibilities (including caring for an elderly or disabled relative)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Gender reassignment	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Other exceptional and relevant reasons, not including teaching or administrative work	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	

Please select as appropriate:

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

I recognise that the information provided will be used for REF purposes and will be seen by the Human Resources Committee.

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

Signature: ..... Date: .....

(Staff member)

**For official use only**

Following consideration of the personal circumstances described above, the REF Equality and Diversity Sub-group:

- Will progress the staff member's inclusion in the REF submission with [insert number] of research outputs. [Subject to specified institutional criteria]. Rationale for the proposed number of outputs:

*e.g. this decision is based on the tariffs outlined in the panel criteria.*

- Requires further information of the circumstances described as follows:

*e.g. please provide information from your occupational health assessment on the effectiveness of reasonable adjustments provided.*

- Does not feel that the staff member meets the criteria outlined within the REF 'Panel criteria and working methods' for submitting fewer than four research outputs. The reason(s) for this decision are:

*e.g. circumstances detailed are not recognised within the assessment framework and guidance on submissions.*

If [insert name of staff member] wishes to appeal against the decision of the [insert name of the committee or individuals] they will need to do so by [insert date] and details of the appeals process can be found at [insert web address].

Signature: ..... Date: .....

(Equality & Diversity Committee Chair)

Signature: ..... Date: .....

(CAWCS Director)

## Annex 5. REF Quality Thresholds for Outputs

(extracted from Assessment Framework & Guidance on Submissions REF July 2011)

**Table A2: Outputs sub-profile: Criteria and definitions of starred levels**

The criteria for assessing the quality of outputs are 'originality, significance and rigour'.	
Four star	Quality that is world-leading in terms of originality, significance and rigour.
Three star	Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence.
Two star	Quality that is recognised internationally in terms of originality, significance and rigour.
One star	Quality that is recognised nationally in terms of originality, significance and rigour.
Unclassified	Quality that falls below the standard of nationally recognised work. Or work which does not meet the published definition of research for the purposes of this assessment.

### Notes:

1. The four main panels explain in more detail, within their statements on the panel criteria and working methods, how their group of sub-panels will apply the assessment criteria and interpret the level definitions in developing the sub-profiles.
2. 'World-leading' quality denotes an absolute standard of quality in each unit of assessment.
3. 'World leading', 'internationally' and 'nationally' in this context refer to quality standards. They do not refer to the nature or geographical scope of particular subjects, nor to the locus of research nor its place of dissemination. For example, research which is focused within one part of the UK might be of 'world leading' standard. Equally, work with an international focus might not be of 'world leading, internationally excellent or internationally recognised' standard.

## Annex 6. Joint Submission Process

(Extracted from Assessment Framework and Guidance on Submissions REF July 2011)

53. We encourage joint submissions in a UOA by two or more UK institutions, where this is the most appropriate way of describing research they have developed or undertaken collaboratively. The method for joint submissions is described in paragraphs 54-58 and is driven by two considerations:

- a. Panels should receive joint submissions in the form of a unified entity, enabling them to assess a joint submission in the same way as submissions from single institutions.
- b. The REF team must be able to verify data in a joint submission through the HEIs to which the data relates.

54. Purely for administrative purposes, one HEI needs to be identified as the lead in terms of management and data security of a joint submission. Two elements of the REF data (REF3a/b: Impact template and case studies; and REF5: Environment template) will be submitted by the lead HEI on behalf of all the other HEIs in the joint submission. Each HEI involved in the joint submission will submit separate REF data in the following forms: REF1a/b/c (Staff details), REF2 (Research outputs) and REF4a/b/c (Environment data).

53. In line with these submission arrangements, the submission system will include the facility for HEIs involved in joint submissions to give 'View' and 'Edit' permissions to the other HEIs involved in the relevant UOA. In order for panels to be able to judge the joint submission like a single submission, the REF team will aggregate the data for each HEI so that panels can receive and assess it as a coherent whole.

54. The following rules apply:

- a. Panels will assess the joint submission as they would a single submission, and the outcome will be a single quality profile. The quality profile for a joint submission will list the HEIs involved in alphabetical order, irrespective of which HEI took the administrative lead in making the submission.
- b. Panels will provide confidential feedback on joint submissions to the heads of all the HEIs concerned; but the panels and the REF team will not comment specifically on the contribution by an individual HEI to the overall quality profile.
- c. In line with a general REF rule that no individual may be submitted as Category A research active in more than one submission unless they hold a fractional employment contract with more than one HEI (see paragraph 78f), no individual can be submitted in a joint submission **and** in a submission from one HEI unless they hold two separate employment contracts with two different HEIs.

- d. Institutions involved in a joint submission that wish to make an additional individual submission in the same UOA would normally be permitted to do so.

55. Following the conclusion of the REF, each of the UK funding bodies will distribute research funding in line with its individual funding formula. Assuming that, as in former years, the FTE of staff submitted will be an element in those formulae, the funding bodies envisage using the actual FTE of staff submitted by each HEI involved in a joint submission, unless the HEIs involved propose a different, agreed percentage split of funding at the time of submission.