



The Code of Practice on the selection of staff for submission to the Research Excellence Framework 2014

Purpose

1. This Code of Practice (CoP) establishes the principles and procedures for ensuring the fair and transparent selection of staff for the Research Excellence Framework 2014 (REF 2014).
2. It sets out:
 - guidance on the equality and diversity principles, inclusive practices and legal requirements to which all involved in the selection process **must** adhere
 - the roles and responsibilities of committees and individuals involved in the selection process
 - details of equality and diversity training for staff involved in the selection process
 - the processes for selecting staff for submission to REF 2014
 - the processes for collecting information about staff circumstances
 - the processes for providing feedback to staff who are not selected for submission
 - the processes by which staff not selected for submission may appeal against this decision
 - the processes by which the selection process will be kept under review, primarily through the use of Equality Impact Assessments
3. The CoP has been developed by the REF Equality & Diversity Advisory Panel in consultation with recognised trades unions and reviewed and approved by the REF Working Group. It has subsequently been approved by the Vice Chancellor's Advisory Group and by the Academic Board. It has been reported to the Board of Governors.
4. The Vice Chancellor has confirmed that this CoP will be submitted to HEFCE by 31st July 2012.

Principles

5. These principles are enshrined in the CoP:
 - a) **Transparency:** all processes for the selection of staff for inclusion in REF submissions will be transparent. The CoP will be made available in an easily accessible format and publicised to all academic staff across the institution, including on the external website, intranet, and drawn to the attention of those absent from work. There will be a

programme of communication activity to disseminate the CoP and explain the processes related to selection of staff for submission.

- b) **Consistency:** the policy in respect of staff selection will be consistent across the institution and the CoP will be implemented uniformly. These principles will be applied to all aspects/stages of the process at all levels within the institution where decisions will be made.
- c) **Accountability:** responsibilities are clearly defined, and individuals and bodies that are involved in selecting staff for REF submissions are identified by name and/or role. Training will be provided for those involved in selecting staff. Operating criteria and terms of reference for individuals, committees, advisory groups and any other bodies concerned with staff selection will be published.
- d) **Inclusivity:** the aim of the CoP is to promote an inclusive environment, enabling the University to identify all eligible staff who have produced research outputs for submission to the REF.

Legal Framework

6. The Equality Act 2010 covers the nine protected characteristics of:

- age
- disability
- gender reassignment
- marriage and civil partnership
- pregnancy and maternity
- race
- religion or belief
- sex
- sexual orientation

7. As well as prohibiting direct discrimination the Act prohibits indirect discrimination i.e. where an organisation applies a policy equally to everyone but those with a protected characteristic find it harder to comply than others. Indirect discrimination is not a breach of the Act if it is a proportionate means of achieving a legitimate aim.

8. 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. For example, if a person is treated less favourably because they care for their disabled parent, that could be unlawful disability discrimination.

9. Similarly to previous legislation, it is lawful to treat a disabled person more favourably than a non-disabled person, and public bodies including HEIs are required to make reasonable adjustments for disabled people.
10. The public sector equality duty of the Act came into force in April 2011 and this requires the higher education funding bodies and HEIs, 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.
11. A summary of the equality legislation which will be taken into account when preparing submissions is set out in Appendix 1.

Roles and Responsibilities of Committees and Individuals

12. The following Committees and Groups have roles and responsibilities relating to REF 2014:
- REF Working Group
 - REF Equality & Diversity Advisory Panel
 - Research & Knowledge Transfer Committee
 - Diversity and Equality Committee
 - Vice-Chancellor’s Advisory Group/University Executive
 - Academic Board
 - Board of Governors
13. The membership, roles and responsibilities of these Committees and Groups is set out in Appendix 2.
14. Certain individual post-holders also have specific responsibilities as follows:

Vice Chancellor	for authorising the submission
Deputy Vice Chancellor	for establishing processes for evaluation and preparing the submission, as chair of the REF Working Group

Heads of Institutes	for ensuring that arrangements are in place for individual members of staff in each institute to maintain an up to date record of their research activities, including research outcomes and impact
Director of Research Development	for coordinating the collection of data and submission process
Director of Personnel	for undertaking Equality Impact Assessments (see section 43ff.), collecting information about individuals circumstances; and, in conjunction with members of the REF Equality Group, considering the impact of clearly defined and complex circumstances

15. In addition, external advisors may be invited to comment on the quality of the submissions being considered and to provide advice to the REF Working Group.

Training

16. Staff with responsibilities will be provided with training on equality and diversity which has been tailored to the REF processes. The training to be undertaken is set out for committee members in Appendix 2.

17. All will be required to undertake an on-line training module in equality and diversity which sets out the requirements of the Equality Act 2010.

18. Training for the REF Working Group, the Equality Group and the Appeals Panel will include case studies compiled by the Equality Challenge Unit as part of the REF Equality and Diversity Training Pack. These cover issues such as the implications of dealing with personal circumstances in the process of selecting staff for inclusion in the submission.

19. The REF Training Pack from the ECU will also be delivered as part of the staff development programme for 2012/13.

Processes for selecting staff for submission to REF 2014

20. All members of staff who meet the definition of Category A or Category C (as set out in the [Assessment framework and guidance on submissions](#)) are asked to complete a short survey which asks them if they wish to be considered for submission to REF 2014.¹ All members of staff who have answered “yes” to this question will automatically be considered for submission. All members of staff who have answered “no” will be contacted to review this decision and to

¹ The survey was initially run in spring 2011. Staff appointed subsequently have also been asked to complete the survey.

ensure it was made on an informed basis. Members of staff who do not complete the survey will be contacted on at least two occasions. If they still do not complete the survey it will be assumed that they have answered “no” to this question.

21. Staff will be selected for submission using objective quality criteria. Staff will not be excluded on the basis of one or more of the protected characteristics, or because their contracts of employment are part-time and/or fixed term.
22. The University will consider for selection a member of staff for submission if he/she fulfils the following criteria:
 - a. All outputs for submission have an anticipated quality rating of at least 1* as defined in the REF 2014 [Assessment framework and guidance on submissions](#).
 - b. The individual has the required number of outputs according to their circumstances.
 - c. The individual’s outputs fit within a Unit of Assessment to which the University decides to submit.
23. Outputs will be reviewed by a subject expert on the REF Working Group plus at least one other expert. Additional expert(s) may be external to the University. All reviewers, internal and external, will be briefed on the CoP and will be expected to have undertaken the appropriate training (see sections 16-19).
24. The University recognises that some staff may have been constrained in their ability to produce four outputs during the assessment period for a variety of circumstances. It will therefore ensure that all members of staff have the opportunity to disclose confidentially any circumstances that they feel may have constrained their ability to produce 4 outputs. The University will use this information, as appropriate, to make a case for a reduction in the required number of outputs according to the guidance given by HEFCE (see sections 28-33 below).
25. The University will make decisions on submission to Units of Assessment on the basis of a number of factors, of which the quality of an individual’s research outputs is just one. It will, for example, take into account the number of staff within a submission and the anticipated overall quality profile including assessment of environment and impact. There may, therefore, be cases where a member of staff has the required number of outputs at the required standard but the decision is taken not to submit to the Unit of Assessment with which his/her work best fits. In such a circumstance, every effort will be made to include that member of staff in another submission. This may not, however, always be possible.
26. When a member of staff might be included in a submission to more than one Unit of Assessment, the REF Working Group will decide to which submission he/she will be assigned. This decision will be made on the basis of quality criteria and/or on broader considerations of

strategy or the size and focus of submissions. Recommendations will be made to the University's Executive Group along with the underpinning evidence.

27. When an output is co-authored by staff within the same submission and a decision has to be made as to which co-authors the outputs should be assigned, the issue will be resolved through discussion between the individuals involved. If a resolution can't be reached in this manner, the matter will be referred to the REF Working Group who will decide on the basis of developing the highest quality submission.

Disclosure of individual staff circumstances

28. The circumstances that will be taken into account and the mechanisms by which panels and the University will take them into account are set out below. The University's approach will be consistent with the range of circumstances and procedures set out in both the guidance on submissions and panel criteria statements, and will be standard across the University.

29. 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. **Clearly defined circumstances**, which are:

- i. Qualifying as an ECR
- ii. Part-time working.
- iii. Maternity, paternity or adoption leave. The number of outputs in a submission will be reduced by one for each period of maternity leave taken during the REF period. (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. These cases will be returned as 'complex', so that the full range of circumstances can be taken into account in making a judgement about the appropriate number of outputs that may be reduced without penalty).
- iv. Secondments or career breaks outside of the higher education sector, and in which the individual did not undertake academic research.

b. **Complex circumstances** require a judgement about the appropriate number of outputs that can be reduced without penalty. These circumstances are:

- i. Disability
- ii. Ill health or injury.
- iii. Mental health conditions.
- iv. Constraints related to pregnancy or maternity, 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

laboratory or field work during pregnancy or breastfeeding; constraints on the ability to travel to undertake fieldwork due to pregnancy or breast-feeding.

- v. Childcare or other caring responsibilities.
- vi. Gender reassignment.
- vii. Other circumstances relating to the protected characteristics listed above.

30. For more complex circumstances, the University will make a judgement on the appropriate reduction in the number of outputs submitted, and the REF Equality and Diversity Advisory Panel will consider these cases on a consistent basis across all Units of Assessment.
31. Where there is a combination of clearly defined and more complex circumstances relating to an individual, this will be returned as 'complex' so that a single judgement can be made about the appropriate reduction in outputs, taking into account all the circumstances.
32. The University will provide a robust procedure to enable staff to disclose their circumstances with an appropriate degree of confidentiality. All staff potentially eligible for selection will be asked to complete a form about their individual circumstances using the template in Appendix 3.
33. The information provided by individuals about personal circumstances will be considered by the REF Equality & Diversity Advisory Panel. The information will be used to determine if a reduction in the number of outputs might be appropriate. The decisions made within this group will be reported to the REF Working Group, but the nature of the personal circumstances disclosed will remain confidential within the REF Equality & Diversity Advisory Panel.

Feedback

34. Appropriate and timely feedback to members of staff who are not selected will be given and staff will be made aware of the appeals process. Individual members of staff will be informed of their inclusion/exclusion in a REF submission by the relevant Head of Institute/Department (or their nominee). They will be invited to discuss the decision informally with a member of the REF Working Group within two weeks of being informed. If the individual is not satisfied with the explanation they may appeal in writing to the DVC, within two weeks of the informal discussion. A final cut off date for this process will be published early in 2013.
35. Those whose work is not selected for submission to REF 2014 will be provided with support and advice in order to develop their research activity in the future. They will be encouraged to seek support for research and appropriate staff development.

Appeals

36. Appeals procedures will allow members of staff to appeal after they have received feedback, and for that appeal to be considered before the final selection is made. The individuals who hear appeals will be independent of the decisions about selecting staff and will receive appropriate training.

37. A REF Appeals Panel will consist of:

- A member of the University Executive with no direct involvement in the selection process (Chair)
- A professor or other senior academic from another UoA, with no direct involvement in the selection process
- A nominee from the Diversity and Equality Committee
- A personnel adviser

38. The grounds for appeal will be:

- Exclusion based on personal protected characteristics – relating to age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex, sexual orientation, pregnancy or recently given birth
- Failure to take into account fully the impact of work pattern or absence according to the guidance provided by HEFCE.
- Inappropriate application of the criteria of this CoP
- Inappropriate application of the criteria as set out in the REF publications, [Assessment framework and guidance on submissions](#) and [Panel criteria and working methods](#)

39. The following are not grounds for appeal:

- Validity or standing of the University's review process and judgements concerning individual staff's research outputs
- University's overall strategy for submission related to selection of UoAs and the quality criteria for submission
- Allocation of individual's research outputs to a specific UoA

40. The Appellant and the Chair of the REF Working Group (or her nominee) will be given the opportunity to make written comments and both will meet with the REF Appeals Panel if either party request.

41. Having considered all the information, the Chair of the REF Appeals Panel will set out a recommendation in writing to the VC as Chair of the University Executive. A report will be made to the University Executive where the final decision will be made and individuals notified.
42. There is no further right of appeal under this CoP but, if an individual considers that other issues relating to their employment or treatment have been identified, they will be advised to follow the University's Grievance Procedure.

Equality impact assessment

43. The University will conduct an equality impact assessment (EIA) on the policy and procedures for selecting staff for the REF. This will be a thorough and systematic analysis to determine if the staff selection policy for the REF has had a differential impact on particular groups. It will inform the CoP and be kept under review as submissions are prepared.
44. EIAs will be informed by an analysis of data on staff in respect of all the protected characteristics for which data are available. The analysis will cover all eligible staff, and those who have expressed a wish to be considered for submission.
45. The University will also consider information on equality from previous RAEs in identifying possible barriers to participation and opportunities to advance equality.
46. The EIA will be reviewed at key stages of the selection process, to ensure that any necessary changes to prevent discrimination or promote equality are taken prior to the submission deadline. These will be:
 - a. when identifying all eligible staff – see Appendix 4
 - b. those who have expressed a wish to be considered for submission (and those who have declined or not responded to the invitation to express their interest) – see Appendix 4
 - c. those who are likely to be selected
 - d. when considering appeals
 - e. when preparing the final submission
47. The University will undertake equality impact assessments at the level of UoAs as well as at the institutional level, if there is an imbalance in particular UoAs.
48. A report will be made to the REF Working Group and to the Diversity and Equality Committee of the results of EIAs. The purpose of this report is to ensure that there is justification for those being included or excluded.

49. The University will publish the equality impact assessments after the submissions have been made, as a matter of good practice. The published information will include the outcomes of any actions taken to prevent discrimination or advance equality.

Appendix 1 - Summary of equality legislation

Age	<p>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.</p> <p>The University will take steps to ensure that age discrimination does not occur and that people of all age groups are treated equally.</p> <p>The University recognises that early career researchers are likely to come from a range of age groups and that the definition of early career researcher is not limited to young people.</p> <p>There is no defined retirement age in operation within the University.</p>
Disability	<p>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.</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>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"> • sensory impairments • impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy • progressive impairments, such as motor neurone disease, muscular

	<p>dystrophy, HIV and cancer</p> <ul style="list-style-type: none"> • organ-specific impairments, including respiratory conditions and cardiovascular diseases • developmental impairments, such as autistic spectrum disorders and dyslexia • mental health conditions such as depression and eating disorders • impairments caused by injury to the body or brain. <p>The University recognises that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.</p> <p>The University takes steps to anticipate the needs of disabled people and make reasonable adjustments for them and recognises that failure to make a reasonable adjustment constitutes discrimination. If a disabled researcher's impairment has affected the quantity of their research outputs, it is recognised that they may be submitted with a reduced number of outputs; this includes periods of absence related to disabilities.</p>
Gender reassignment	<p>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.</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>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>The University will ensure that the information received about gender reassignment is treated with particular care and with complete confidentiality.</p> <p>The University recognises that staff whose ability to work productively throughout</p>

	<p>the REF assessment period has been constrained due to gender reassignment may be submitted with a reduced number of research outputs.</p>
Marriage and civil partnership	<p>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.</p> <p>In relation to the REF the University will ensure that the processes for selecting staff do not inadvertently discriminate against staff who are married or in civil partnerships.</p>
Pregnancy and maternity	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 women are protected from unlawful discrimination related to pregnancy and maternity.</p> <p>The University recognises that researchers who have taken time out of work or whose ability to work productively throughout the assessment period because of pregnancy and/or maternity/primary adoption, may be submitted with a reduced number of research outputs.</p> <p>The University will ensure that female researchers who are pregnant or on maternity/adoption leave are kept informed about the submissions process.</p>
Race	<p>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.</p> <p>The University will ensure that those making judgements about the selection of staff for REF submissions do not take into account race or assumed race (for example, based on name).</p>
Religion and	The Equality Act 2010 and the Fair Employment and Treatment (Northern

<p>belief including non-belief</p>	<p>Ireland) Order 1998 protect HEI staff from unlawful discrimination to do with religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief.</p> <p>The University will ensure that judgements about the selection of staff for REF submissions do not consider 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>
<p>Sex (including breastfeeding and additional paternity and adoption leave)</p>	<p>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.</p> <p>The University will ensure that;</p> <ul style="list-style-type: none"> • the impact of breastfeeding on a woman's ability to work productively will be taken into account • those who have taken additional paternity and adoption leave may be submitted with a reduced number of outputs. • selection by any criterion that it would be easier for men to comply with than women, or vice versa, will be subject to scrutiny e.g. a requirement to work full-time has been held to discriminate unlawfully against women.
<p>Sexual orientation</p>	<p>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.</p> <p>The University will ensure that judgements about the selection of staff for REF submissions are not based on their actual or perceived sexual orientation.</p>

Appendix 2 – Membership, roles and responsibilities and training requirements for Committees and Groups involved in the selection of staff for submission to the Research Excellence Framework 2014

Name of group	Membership	Role in REF	Training in E and D
Board of Governors	Membership	To be kept informed and to receive reports	On-line diversity training module
Academic Board	Membership	To receive regular reports on preparations for the REF	On-line diversity training module
Vice Chancellor's Advisory Group (up to 31 August 2012)	VC, DVC, Registrar and Secretary, PVC Resources, Directors of Finance, Information and Learning Services, Quality Enhancement and Educational Development, Personnel, External and Regional Engagement	See University Executive	On-line diversity training module
University Executive (from 1 September 2012)	VC, DVC, Director of Strategic Partnerships, University Secretary & Pro Vice Chancellor Students, Academic Heads of Institute, Director of Finance, Deputy Vice Chancellor, Director of Information & Learning Services, Secretary to the University Executive and Head of Vice Chancellor's Office, Director of Estates & Facilities, Director of Communication & Development, Academic Registrar , Director of Personnel, Director of Quality & Educational Development	To receive regular reports and formally 'sign off' the submission. To receive recommendations from REF Appeals Panels.	a. On-line diversity training module. b. REF Training Pack (ECU)
Research and Knowledge Transfer Committee	DVC, Registrar and Secretary, Director of Regional Engagement, Director of Information and Learning Services or nominee, Director of Quality and Educational Development, Director of Research Development, Up to two nominees from each	To approve the strategy for the REF 2014. On behalf of the Academic Board, oversight of preparations for submission and	a. On-line diversity training module. b. REF Training Pack (ECU)

	academic institute, student representative, Manager of Graduate Research School	decisions on outputs.	
Diversity and Equality Committee	Membership	To receive reports on progress and to oversee EIAs at each stage.	a. On-line diversity training module b. Briefing on REF Training Pack (ECU)
REF Working Group	DVC, 1-2 Academic Representatives from academic subject areas, Representative from Information & Learning Services, Representative from Academic Support Units, Director of Research Development, Director of Personnel	a. to consider the criteria and working methods for REF 2014 and identify any strategic implications. b. oversight of the internal audit of research outputs, and the selection of staff included in the submission c. oversight of the impact statement and impact case studies, preparation of research environment narrative. d. provision of feedback to individual members of staff about decisions on submissions.	a. On-line diversity training module. b. REF Training Pack (ECU)
REF Equality Group	Director of Personnel, Director of Research Development, Head of Centre for Education and Inclusion	a. to review individual circumstances b. to provide training for other groups c. to undertake EIA at key stages.	a. On-line diversity training module. b. REF Training Pack (ECU)
REF Appeals Panel	Chair = A member of the University Executive (UE) with no direct involvement in the selection process Members = A professor or other senior academic from another	To consider any appeals following feedback from the Selection Panel. Appeals will be considered before the final selection for	a. On-line diversity training module. b. REF Training Pack (ECU)

	UoA, with no direct involvement in the selection process, a nominee from the Diversity and Equality Committee Support and advice = a personnel adviser	submission. Recommendations to the UE	
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Appendix 3 - Research Excellence Framework 2014 Staff disclosure

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

From: [insert]

Subject: REF 2014, consideration of individual staff circumstances

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

To ensure that REF processes are fair, we are 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 monitoring of staff selection procedures at the institutional level.

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

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

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

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

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 Personnel.

Who will see the information that I provide?

Within the institution, the information that you provide will be seen by the Equality Group consisting of Director of Personnel, Director of Research Policy, and Head of Centre for Education and Inclusion Studies (Gill Slater, John-Paul Wilson, and Richard Woolley). These individuals 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.

What if my circumstances change?

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

Individual staff circumstances disclosure form

Name	
Department	
Unit of Assessment	

Section one:

Please select one of the following:

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

Section two:

Please select as appropriate:

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

Email	
Telephone	
Preferred method of communication	

- I do **not** wish to be contacted by a member of the Personnel resources staff

Section three

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

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

Circumstance	Information required
Early career researcher (started career as an independent researcher on or after 1 August 2009)	Date on which you became an early career research

Information	
Part time employee	FTE and duration in months
Information	
Career break or secondment outside of the higher education sector	Dates and duration in months
Information	
Maternity leave, statutory adoption leave, or additional paternity leave (taken by partners of new mothers or co-adopters)	For each period of leave state which type of leave was taken and the dates and duration in months
Information	
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
Information	
Mental health condition	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	

Ill health or injury	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare in addition to the period of maternity, adoption or additional paternity leave taken.	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
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
Information	
Gender reassignment	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
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
Information	

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 authorised University staff.
- 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. Where permission is not provided the University 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 Group:

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

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

Signature: Date:
(Chair of the REF Equality Group)

Signature: Date:
(Chair of the REF Working Group)

Appendix 4 – Equality Impact Assessment on the REF Survey

The University undertook an equality impact assessment in Autumn 2011 on staff responses to a short survey on their intentions for REF 2014. These were set against the figures for all eligible staff for 6 of the protected characteristics. The outcomes are set out in the table below.

	%	%	%	%
	All eligible staff as at 31.7.11	REF Survey “Yes”	REF Survey “No”	REF Survey No reply
Disabled	6	4	4	6
BME	7	8	6	9
Female	56	53	57	55
Fixed Term Contract	5	5	2	9
Male	44	47	43	45
PT	20	15	16	23

These outcomes were considered by the REF Working Group in drawing up its Code of Practice on the selection of staff for submission to the Research Excellence Framework 2014.