

Code of Practice for the Selection of Staff for the REF2014

1. Aim

1.1. This code provides the framework in which decisions about the composition of submissions to the 2014 Research Excellence Framework (REF) will be made. The University is committed to the production of the best submission for the University as a whole, while ensuring that the process is transparent, fair and equitable to all staff.

2. Context

2.1. Research is funded by two principal mechanisms: competitively awarded direct support for specified projects from external research funding bodies, and generic support from the funding council (Quality Related research grant or QR). QR is made available to the University of York in recognition of the University's substantial achievements in research and is intended to provide an appropriate research environment. The allocation of QR is principally determined by the quality of research, determined by the national research assessment process, now known as the Research Excellence Framework (REF), and the number of staff declared.

2.2. In the 2014 REF, the assessment will be based on Units of Assessment (UOAs) research outputs, research environment and impact, and will be graded using a 5-point scale. UoA Panels assess outputs not the individual members of staff. However, the selection of outputs is regulated by the eligibility of their authors for submission. It is likely that disproportionately large amounts of QR will be applied to the higher points on the scale, and almost certainly little or none to the lowest points, as follows:

<i>Four star</i>	<i>Quality that is world-leading in terms of originality, significance and rigour.</i>
<i>Three star</i>	<i>Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence.</i>
<i>Two star</i>	<i>Quality that is recognised internationally in terms of originality, significance and rigour.</i>
<i>One star</i>	<i>Quality that is recognised nationally in terms of originality, significance and rigour.</i>
<i>Unclassified</i>	<i>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.</i>

3. Potential issues relating to staff not submitted to REF (no detriment)

- 3.1. REF selection decisions are influenced by a number of factors and not solely by the individual research achievements of a member of staff. For that reason the University does not intend to use staff selection or non-selection to determine other decision making. Where staff have not been included in a REF submission this will not be used by the University as the measure of research performance of an individual member of staff or as a reason for contractual changes, nor will it be regarded as material to the University's promotion procedures.
- 3.2. Issues about the level of achievement of members of staff in research will be identified by the mechanisms described in the University's Statement on Research Performance Expectations and the University Capability Procedure. Ongoing management of performance issues will take place separately from REF selection and will be addressed by normal management processes within Departments.

4. Communication

- 4.1. Equality and Diversity issues relating to REF have already been raised with Heads of Department and Chairs of Departmental Research Committees. This has taken place at Research Forums the termly meeting of all Departmental Chairs of Research Committees), Head of Department Forums, in emails relating to REF development and through a programme of REF specific equality training for all staff involved in decision making.
- 4.2. Following submission to HEFCE in August 2012, the Code of Practice will be put on the University's REF webpages, together with a separate section on the non-detriment clause as noted above. There will also be a section for staff on how to declare circumstances to their Head of Department together with the flow chart of the decision making process.
- 4.3. Once the equality and diversity training for REF has been completed, a reminder that the document is available will be put on YorkExtra (the electronic news service for the institution) and staff will be asked to raise issues with their Heads of Department as outlined in this document.
- 4.4. In addition, Heads of Department will be required to inform all staff, by email using the standard text provided centrally and at a full departmental meeting, and via other appropriate means such as internal departmental web pages, of the need to declare any relevant issues to them as outlined in this document. Heads of Department will need to ensure that all staff are aware and will therefore be required to contact any staff not currently in the department, such as those on long term absence or maternity/paternity leave. Heads of Department will be required to

submit evidence to the Research Strategy and Policy Office that such communication have occurred.

5. Staff involved in selection decisions

5.1. Heads of Department

- 5.1.1. Heads of Departments will be expected to have oversight for making the recommendations to the Pro-Vice-Chancellor for Research for the selection and non-selection of staff within a UoA submission. Where a department is involved in a cross departmental submission, the lead for the UoA will discuss the selection with the Head of the relevant Departments, but the Head of Department will still be required to oversee the selection process within their departments, including ensuring that personal circumstances have been fully considered. This is in line with the University governance and managerial framework.
- 5.1.2. In making recommendations, the Head of Department may draw on the expertise of their colleagues, such as the Departmental Research Committee. Where this is the case, the Head of Department must make it clear that such expertise relates to the assessment of the quality of the output or the overall UoA submission and does not relate to a specific decision on the non-submission of a member of staff. The Head of Department will make recommendations in consultation with the Chair of the Departmental Research Committee or their named nominee where the REF management has been delegated to another member of the department. The use of a named nominee must be formally approved to the Pro-Vice-Chancellor for Research and reported to staff within the department.
- 5.1.3. The Head of Department will make recommendations to the Pro-Vice-Chancellor for Research in relation to which staff should not be submitted and those at risk of non-submission. The Head of Department will keep the Pro-Vice-Chancellor briefed on any material changes in circumstances (such as new research outputs).

5.2. Chairs of Departmental Research Committees

- 5.2.1. Chairs of Departmental Research Committees will act as advisors to the Head of Department in relation to staff selection and staff circumstances where the individual has not highlighted these as sensitive. Where a department has delegated the role of managing the REF submission to another member of staff, the Head of Department must ensure that all staff in the department are aware of this delegation.

5.3. Pro-Vice-Chancellor for Research

- 5.3.1. The Pro-Vice-Chancellor for Research will take the academic lead for the REF 2014 submission and will take the final decision on staff non submission and reductions in outputs. This is in line with the Pro-Vice-Chancellor's role as the principal manager of research within the Institution.
- 5.3.2. In making strategic decisions the Pro-Vice-Chancellor will draw on the expertise of the members of the University Research Committee and the Research Strategy and Policy Office.

5.4. University Research Committee

- 5.4.1. Members of the University Research Committee are acting as advisors to specific departments to support them in the development of their REF submissions. Whilst they will advise on the overall quality of the submission, it is not expected that they will comment on the submission of individual staff, other than in relation to the impact on the total quality of the submission. Their role is wholly advisory.

5.5. Research Strategy and Policy Office

- 5.5.1. The Research Strategy and Policy Office is the administrative office undertaking the management of the REF submission. The Officers will provide the expert advice on the REF framework and implications. Their role is advisory in relation to selection of staff, but they will be involved in quantifying the impact of personal circumstances and ensuring that the evidence fulfils the REF criteria.

6. Criteria for selection

- 6.1. The University will aim to include as many staff as possible; however, UoA submissions are expected to reflect the excellence of the research undertaken at York and submissions will be considered as a whole in the context of this stated aim. This will include decisions as to the unit of assessment within which staff are returned. In addition, staff selection will take into account the criteria of the individual UoA and the overall contribution that individuals make to the submission as a whole.
- 6.2. When deciding whether a member of staff will be submitted in the REF, the initial basis will be on whether they meet the REF rules on eligibility for submission, as defined by the REF Assessment Framework and Guidance on Submissions. Staff are

only eligible for submission as Category A¹ if they are defined as academic staff, in post and on the payroll of the institution and with a contract of employment which lists research or teaching and research as their primary function.

- 6.3. Research staff² can only be eligible for submissions as Category A if it can be demonstrated that they are independent researchers; that is they are either named as principal investigators on a research grant or have worked as the lead researcher on a significant piece of research work, which has not been directed by another researcher. Staff on grades Research Grades 8 and above will be assumed to be independent researchers, whereas staff on Grades 6 and 7 will be assumed not to be independent researchers unless there is evidence of a high quality independent research performance profile that meets the criteria defined above.³
- 6.4. Only staff with the requisite number of research outputs will be considered for submission. That decision will take into account the criteria for the specific UoA and any circumstances that might permit a reduced number of outputs.
- 6.5. Once a member of staff is deemed to be eligible, the next stage of selection will be on the grounds of the quality of their research outputs. As part of the normal research management processes of the Department, staff are made aware of the expected quality of their research work, as noted in the Terms of Reference for Departmental Research Committees. Outputs that are judged to be only of national significance (1*) will be submitted only in special circumstances where a strategic benefit to a submission overall can be identified. In addition, it is expected that the number of outputs of a 2*, internationally recognised level, will be limited.
- 6.6. Departmental Research Committees will seek to ensure that the overall profile of the submission in the UoA reflects the international excellence of the University's

¹ Category A staff are defined as academic staff with a contract of employment of 0.2 FTE or greater and on the payroll of the submitting HEI on the census date (31 October 2013), and whose primary employment function is to undertake either 'research only' or 'teaching and research'.

² Research assistants are individuals who are on the payroll of and hold a contract of employment with the institution. They are academic staff whose primary employment function is defined as 'research only'. They are employed to carry out another individual's research programme rather than as independent researchers in their own right (except in the circumstances described in paragraph 81). They are usually funded from research grants or contracts from Research Councils, charities, the European Union (EU) or other overseas sources, industry, or other commercial enterprises, but they may also be funded from the institution's own funds. Individuals who meet this definition may be described in HEIs' grading structures as something other than research assistant (for example research associate, assistant researcher).

³ Research assistants, as defined in paragraph 80, are **not** eligible to be returned to the REF unless, exceptionally, they are named as principal investigator or equivalent on a research grant or significant piece of research work on the census date **and** satisfy the definition of Category A staff in paragraph 78. Research assistants must not be listed as Category A staff purely on the basis that they are named on one or more research outputs.

research. In setting the overall profile, the UoA performance in 2008 and the University expectations for individual departments, will be taken into account. The University does not expect Departmental Research Committees to make decisions on the selection of individuals, but rather to agree the expected profile of the overall submission, taking all aspects into consideration (Outputs, Environment and Impact). The Model Terms of Reference for Departmental Research Committees, which all departments have adopted, is included in Annex A, and judgements on the research quality of papers forms part of those terms of reference. Decisions on the inclusion of individual members of staff rests with the Head of Department advised by the Chair of the Departmental Research Committee (or their named nominee where the REF management has been delegated to another member of the department), who will make recommendations to the Pro-Vice-Chancellor for Research. In this way, the disclosure of individual circumstances can be restricted to a limited number of individuals, who will be fully conversant with the REF Equality and Diversity Issues.

7. Personal Circumstances

- 7.1. The Assessment Framework and the Guidance on Submissions has identified clearly defined circumstances where an individual may be returned with fewer than four outputs. These include:-
- Qualifying as an early Career Researcher
 - Part time working
 - Maternity, Paternity or adoption leave
 - Secondments or career breaks outside higher education
- 7.2. In addition, there will be circumstances that are more complex and the institution will need to form a judgement on the appropriate number of outputs that can be reduced without penalty. These include (but not intended to be exhaustive):-
- Disability
 - Mental Health Conditions
 - Ill Health or injury
 - Additional constraints relating to pregnancy or maternity, in addition to maternity leave
 - Childcare or other caring responsibilities
 - Gender reassignment
 - Circumstances relating to protected characteristics (as defined by the Equality Act 2010)
- 7.3. There will be staff whose personal circumstances need to be taken into account when undertaking selection decisions. Personal circumstances will be taken into account where an individual does not have enough outputs of sufficient quality and where they impacted on the number of outputs available. As such, personal circumstances

will be taken into account in determining how many outputs are required of an individual researcher for submission to the REF. Personal circumstances cannot be taken into account in relation to the quality of the outputs.

- 7.4. Personal circumstances includes academic staff newly recruited to the profession (Early Career Staff)⁴ who may not have yet achieved their potential in research by the time of the submission. Similarly, parental leave, illness, part time work or personal circumstances may adversely impact on the opportunities of an individual member of academic staff to produce sufficient outputs of an international standard of research quality in a given period. Such factors will be taken into account when considering whether such staff have sufficient outputs to be submitted. Individuals are strongly encouraged to make explicit such circumstances as soon as practicable, in order that they may be given the fullest consideration. Once the required number of outputs has been identified, the quality of the outputs will be judged, in line with the standard criteria (as noted in para 6.4 above).
- 7.5. The aim is to ensure that staff who have personal circumstances that may have affected the quantity of their research outputs are considered on an equal footing in terms of selection for the REF, in comparison to other staff. This can only be achieved if the University is aware of the circumstances and it will be the responsibility of an individual member of staff to ensure that such circumstances are brought to the attention of the relevant Head of Department. All staff are strongly encouraged to disclose such circumstances. In addition, as noted above, Heads of Department will be required to put in place proactive mechanisms for eliciting the disclosure of personal circumstances, including those staff not present at the institution (eg on maternity/paternity leave, secondments etc). Standard text has been developed for Heads of Department to use in an email which they will send to all staff, in relation to disclosure together with a proforma, both of which are, based on the ECU template. These are attached as Annex E
- 7.6. It is then the responsibility of the Head of Department to ensure that these circumstances are taken fully into account when making recommendations for submission and to keep staff informed. Heads of Departments will be asked to confirm that this was so.
- 7.7. Where an individual does not feel in the position to raise these matters with the Head of Department directly, they should contact the Research Strategy and Policy Office. Where the circumstances are of a sensitive nature, individuals may also wish to discuss matter with Equality and Diversity Office, who can also offer advice. Staff

⁴ 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

- are assured that where these circumstances are of a sensitive nature, these will be treated as strictly confidential, in line with the REF processes (as noted in the REF Guidance on Submission paras 98-100). The Research Strategy and Policy Manager will review such evidence and it will be held securely within the Research Strategy and Policy Office. Access to these files will be strictly limited to the Office. Advice on equality issues will be available from the Equality and Diversity Office, who will also lead any training required.
- 7.8. When circumstances have been identified, the Head of Department will communicate them to the Research Strategy and Policy Office, via a standard form., The Research Strategy and Policy Office will offer initial guidance on whether the circumstances meet the REF criteria and are of sufficient merit to allow for outputs to be discounted and on the number of outputs that may be discounted or whether additional details are required. The members of this office will have been trained to be fully conversant with the REF criteria and equality and diversity issues.
- 7.9. Once the Research Strategy and Policy Office has provided this guidance, the Head of Department will be required to submit the form, together with any formal evidence required to the Pro-Vice-Chancellor for Research, via the Research Strategy and Policy Manager. This evidence will document the circumstances, and, for complex circumstances, the nature and timing of the circumstances, along with an explanation of effect on the individual's contracted hours, any other effects on the individual's ability to work and a recommendation for the number of outputs that may be reasonably waived, in line with the REF guidance. The Pro-Vice-Chancellor for Research will make the final decision and this will be confirmed via email to the Head of Department. Where the information is of a sensitive nature the Research Strategy and Policy will submit the formal evidence to the Pro-Vice Chancellor for Research directly. In this case, the Head of Department will be informed of the decision on the number of outputs, but not the circumstances.

8. Decision making process

- 8.1. All decisions should be transparent, consistent, accountable, inclusive and easily auditable, with the decision making process clearly communicated to staff. The method for decisions on whether staff will or will not be returned in the REF and whether a Research Assistant will be returned as Category A will be made in the following way, using the criteria noted above. A flow chart detailing the decision making process is attached as Appendix B:-
- 8.1.1. The starting point for the institution is that all staff defined as eligible for submission will be considered as part of the initial REF preparations. Decisions on individual staff inclusion will be made on the basis of the UoA overall profile

- 8.1.2. It is recognised that the development of the final submission will be an iterative process as outputs will be published throughout the assessment process. However, the initial iteration will be that the Departmental Research Committee will consider the overall quality profile for the submission, of which individual outputs will form only one part. Departmental Research Committees will restrict themselves to considering the quality of the outputs, and not consider the implications of selection of the specific individuals.
- 8.1.3. Having taken into account decisions relating to those staff who have reported personal circumstances and the number of outputs that can be discounted, each Head of Department, in consultation with their Chair of Departmental Research Committee (or their named nominee where the REF management has been delegated to another member of the department), will draw up the list of recommendations for which staff should be excluded from the submission, in light of the overall quality profile expected by the institution. This may also include a list of staff at risk of non-submission, but for whom a decision cannot yet be made, for example where an output has yet to be completed.
- 8.1.4. When a Head of Department recommends that an individual member of staff is not to be submitted they must provide the reasons for this decision in writing. This information will be sent in the first instance to the Research Strategy and Policy Office, who collate it for the Pro Vice Chancellor. Final decisions on the overall quality of submissions will be made by the Pro-Vice-Chancellor for Research in consultation with the University Research Committee (URC), but this will not include decisions on individual members of staff. Members of the committee are appointed in line with the procedures for appointing staff to University committees and nominations are ratified by the University Senate (Terms of Reference are included for Information in Annex C). In addition, the University Research Committee will undertake a systematic review of the assignment of staff to units of assessment. In relation to decisions on submission and allocation of staff to units of assessment, the final decision will rest with the Pro-Vice-Chancellor for Research.
- 8.1.5. The Head of Department will provide a written record of the reasons for non-selection, for the Pro-Vice-Chancellor for Research, as noted above in 8.1.4 and will also send this information to the individual member of staff. The Pro-Vice-Chancellor for Research will then write the formal letter to all eligible staff who are not selected.

- 8.1.6. The overall profile of individual Units of Assessment, the number of staff not submitted and the reasons for non-submission will be closely monitored by the Research Strategy and Policy Office. Any concerns will be raised with the Pro-Vice-Chancellor for Research
- 8.2. During the selection process, individual staff will be kept informed of those decisions and recommendations which relate to them, by the relevant Head of Department, who will offer feedback where appropriate. This will include feedback on the quality of research outputs. However, selecting staff for the REF will be made in the context of ensuring the best submission for the University as a whole.

9. Timescale

- 9.1. All eligible staff will be reviewed continually as part the ongoing REF preparations and departments are expected to discuss with individuals how their outputs are contributing to a potential submission
- 9.2. In January 2013, Heads of Departments will be asked to indicate those staff for whom it is clear that they will not be submitted for REF 2014, due to the number of suitable research outputs and where it is agreed there are not sufficient mitigating relevant personal circumstances to alter this position.
- 9.3. Heads of Department will also be asked to indicate those staff who are at risk of non-submission. A letter from the Pro-Vice-Chancellor for Research will be sent to the individual, indicating their potential non-submission. A close dialogue with the department will be maintained to identify whether submission is likely.
- 9.4. In the case of potential non-submission it is intended that all letters should be sent by March 2013. However, research is a dynamic environment and in some cases, an individual's submission is dependent on a forthcoming research output. As the submission is judged on the totality of the outputs, this may also include an expected output published by another individual. As such, a final decision may not be possible until after this date. Staff will be kept informed where this is the case and will be kept fully briefed. All decisions will be completed by 31 October 2013

10. Training

- 10.1. All staff involved in the decision making process, as set out in section 5 will be required to undertake generic training on Equality and Diversity and specific training on REF related equality issues will be required for those staff directly involved in the making decisions on selection .

10.2. This training will be led by the Equality and Diversity Office. In addition, staff making selection decisions will be able to seek additional support and guidance from the Equality and Diversity Office.

11. Equality and Diversity issues

11.1. The University is committed to excellence in recruitment, teaching and research and the pursuit of equality of opportunity for all its members. As such it has the following aims:-

- to operate in a manner which provides equal opportunities for all and not to discriminate on any improper grounds, for example in relation to age, race, colour, nationality, ethnic origin, creed, disability, sexual orientation, sex, gender identity, marital or civil partnership status, parental status, religion, belief or non-belief, social or economic class, employment status, or any other criteria that cannot be shown to be properly justifiable
- to treat all members of the University equally regardless of physical or mental abilities;
- to pursue actively an equal opportunities policy which addresses the need and right of everyone in the University to be treated with respect and dignity, in an environment in which a diversity of backgrounds and experiences is valued.

11.2. All staff involved in the selection of staff for the REF will be expected to be fully conversant with and act in accordance with equality principles, and the University's policy on equality of opportunity as noted above as well as with the legislative environment, as it relates to the REF. All decisions should therefore be both transparent and easily auditable, with the decision making process clearly communicated to staff. Training will be given to all staff undertaking selection decisions as appropriate.

12. Appeal process

12.1. Where an individual member of staff has reasonable grounds for considering that their circumstances have not been adequately taken into account in terms of non-selection for return in the REF and where the quality of their research outputs would be in line with the quality level of the UoA submission (as noted in 6.6), they should raise this informally with the relevant Head of Department in the first instance. Heads of Department must complete any informal discussions by 30 September 2013, in order to provide sufficient time for any appeal to be completed. If it is not possible to resolve the issue informally, an appeal process is available which will be via the existing grievance procedure . (<http://www.york.ac.uk/admin/hr/resources/policy/grievance/>)

As this procedure makes clear, those involved in the appeal will be fully independent and will not have been involved in any of the original decisions. It is expected that this will be a member of the Senior Management Group, but not the Pro-Vice-Chancellor for Research. The appeal will also be managed administratively via the HR department.

- 12.2. Where the Appeal relates to submission in REF, the appellant must write to the Director of HR within 10 working days of the final letter from the Pro-Vice-Chancellor for Research. A decision on the appeal will be made as soon as possible and certainly no later than 23 November 2013.

13. Fixed-term and part-time staff

- 13.1. In relation to the REF selection, the University treats all staff equally regardless of the nature of their contracts. The University has undertaken to support staff on fixed-term contracts, including the provision of specific training. Whether a staff member's contract is permanent or fixed-term will not be used as a criterion for inclusion nor for staff on fractional appointments above 0.2FTE⁵. The key issue, whatever the contract length, is whether or not staff can demonstrate the required level of independent research, as specified in 3.2.
- 13.2. As noted above, when considering the inclusion of part-time staff, the number of outputs that can be submitted will take into account the contracted FTE over the REF2014 assessment period.

14. Equality Impact Assessment

- 14.1. The Research Strategy and Policy Office has undertaken an equality impact assessment on this policy (attached as Annex D) and prepared baseline data pertaining to the membership of protected characteristics for all staff eligible staff who took part in the Mock REF exercise (no selection decision were made before or during this exercise). Once selection decisions are made a statistical analysis will be performed to compare those staff eligible for selection against those actually selected. This will be undertaken at both Unit of Assessment and institutional levels and will be fully anonymised. Where there is a significant difference further work will be undertaken to identify why such a difference may have occurred. This assessment will be undertaken once the preliminary decisions on the composition of submissions have been made in March 2013. This process will be repeated in October 2013 and again after the final submission is made. These results will be made public, but only at a level that does not allow individual staff to be identified

⁵ Staff with a fractional appointment less than 0.2FTE are not eligible for submission. REF Guidance on Submission para 78.

UNIVERSITY OF YORK

RESEARCH COMMITTEE

Departmental Research Committee: Model Terms of Reference

Committee Membership:

It is the expectation that Committee Membership is in line with prescribed model, and should be detailed here.

Schedule:

It is expected that meetings would occur no less frequently than once per term, and that the normal frequency should be detailed here.

Reporting:

It is the expectation that there is a clear reporting line between the Department's Research Committee and the Senior Management Team and that the Research Committee does not report to the Head of Department via the Board of Studies. The reporting structure should be detailed here.

Terms of Reference

1. Research Strategy and Culture

The requirements below are aimed at helping each department develop a strong and cohesive culture that promotes a unified approach to their research and links to external bodies.

The Departmental Research Committee should:

- a. Develop the Research Strategy of the Department, in conjunction with the Head of Department and Senior Management Team, ensuring due overlap with strategies in all associated research units (including Interdepartmental Research Centres)
- b. Ensure the Department Research Strategy allows the Department to play its part in achieving the goals of the University Research Strategy
- c. Promote the Research Culture of the Department by, for example,
 - i. providing a regular research seminar series and advocating attendance at these
 - ii. capitalising on external sources of funding to support research
 - iii. capitalising on University schemes to support research, such as the Strategic Initiative Fund, the Research Priming Fund and the Visitors Schemes
 - iv. strategic allocation of Departmental resources, such as equipment funds, travel/conference funds and sabbatical leave schemes.
- d. Develop appropriate models to allow the impact of the Department's research to be fully realised
- e. Explore and promote opportunities for the development of interdisciplinary research with other departments
- f. Explore and promote the development of national and international links and collaborations, with both academic and non-academic organisations

2. Conduct Expectations and Incentives

The requirements below are aimed at establishing a clear framework in which departments and individuals should operate, to ensure that research of the highest quality is undertaken with utmost integrity, and that findings are exploited effectively.

It is the responsibility of the Chair of the DRC and Committee to:

- a. Ensure that research in the Department is conducted in accordance with University Policy on Research Performance and that staff are aware of appropriate information pertaining to Academic Misconduct: Policy on Allegations, Investigations and Reporting
- b. Ensure that the Department complies with the University Code of Good Practice for Research, the University Code of Practice and Principles for Good Ethical Governance and any statutory regulations that may apply in their field of research (e.g. Home Office legislation)
- c. Ensure, along with the Head of Department, that management of staff is in line with the best practice and policies of the University, including those specifically aimed at early-career researchers if appropriate
- d. Support and mentor staff in the identification of research funding opportunities
- e. Ensure the Department complies with University grant application processes and policies
- f. Ensure that staff are aware that they are expected to take full responsibility for the fulfilment of Terms and Conditions associated with the grants they hold

- g. Ensure the creation and maintenance of a Departmental research income strategy to support the research strategy, and develop rolling, forward-projections of research income
- h. Ensure the creation and maintenance of a Departmental research publication strategy aimed at maximising the impact of research undertaken in the department
- i. Take steps to encourage staff to engage in activities which yield international esteem in research
- j. Encourage research commercialisation as appropriate, working with central support to this end
- k. Consider the use of the resources under their control (e.g. research leave or travel and conference funds) as incentives, rather than entitlements

3. Monitoring and Evaluation of Research

The requirements below are aimed at ensuring that clear and systematic processes are in place for the monitoring and reporting of research activities.

It is the responsibility of the Chair and Departmental Research Committee to:

- a. Ensure that research information is appropriately and accurately captured on a timely basis, including within the Research and Innovation Information System (RIIS)
- b. Ensure that research activities are appropriately monitored, including (but not exclusively) research outputs, grant applications and success rates, research impacts, training and external activities
- c. Ensure that robust benchmarking is performed to both internal and external comparators
- d. Ensure that critical external advice and input is sought at regular intervals to assist with research strategy and benchmarking
- e. Ensure that all members of staff are contributing to the fulfilment of the Department's research plans
- f. Ensure that the Department is prepared for external reporting requirements, including the development of a clear framework designating the roles and responsibilities of departmental staff in communication of such requirements, data capture and decision-making
- g. Provide research information for internal and external purposes upon reasonable request
- h. Ensure that departmental conduct with regard to ethics and governance is monitored, and that such information is available for audit purposes
- i. Monitor the outcomes of Departmental resource allocations (e.g. pump-priming funding or research leave)
- j. Ensure that the Department is fulfilling its Equal Opportunity requirements, such as compliance with University's Disability Equality Scheme, by regular reviews of Equal Opportunities data

4. Mentoring and Communication

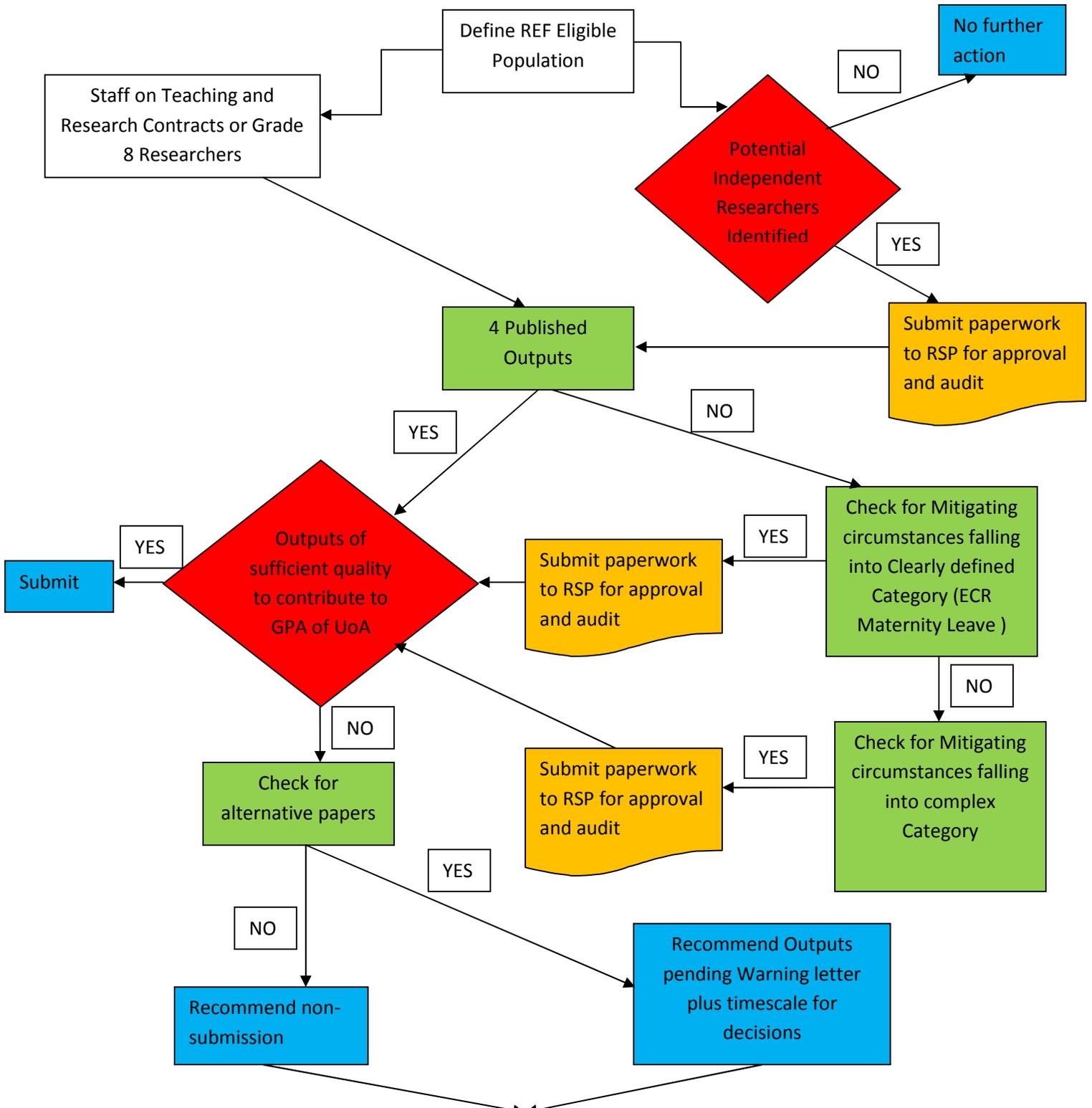
The requirements below are aimed at ensuring all members of staff within the department are able to contribute the development of its research, and that they are all appropriately supported.

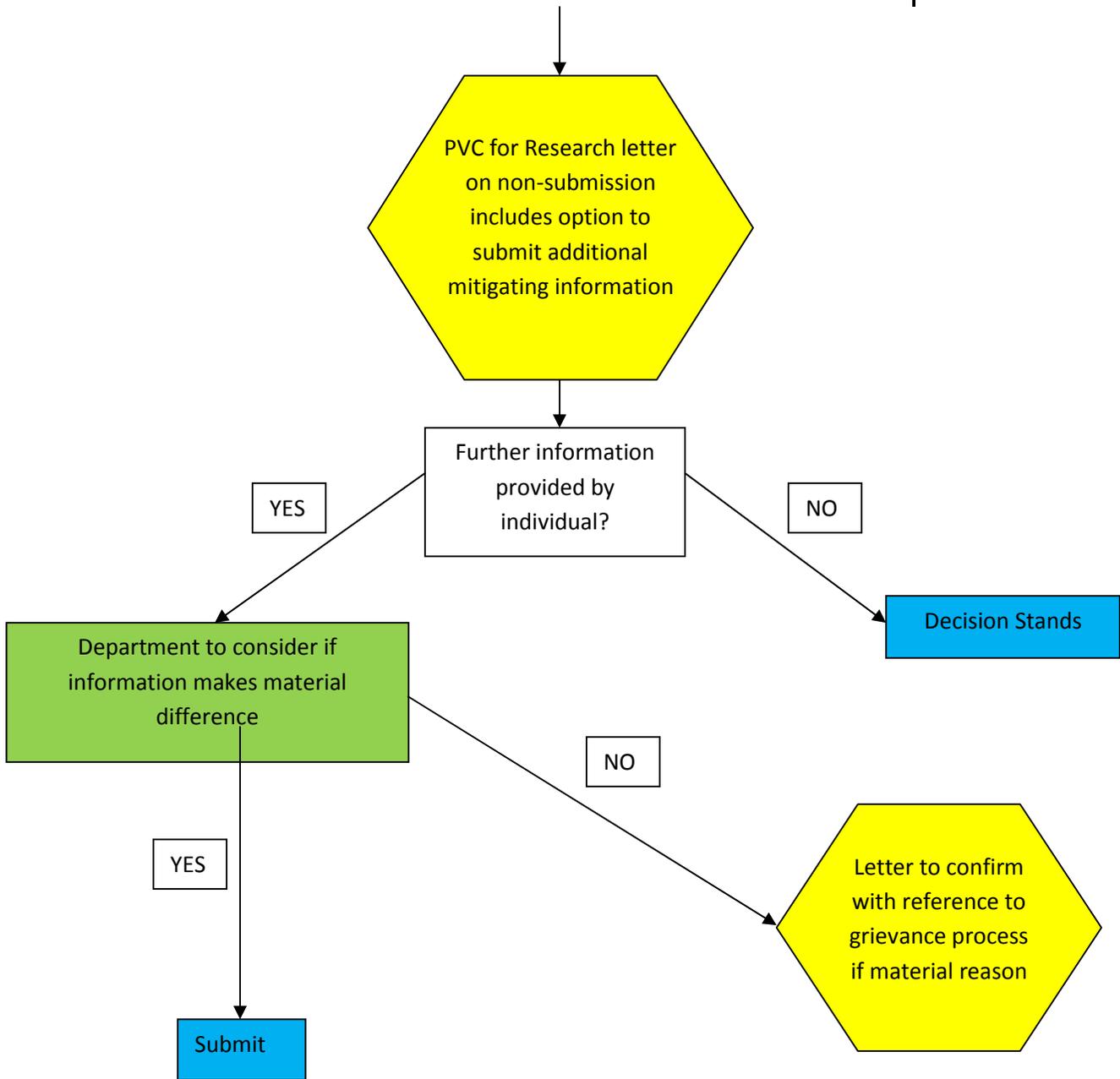
The Departmental Research Committee should:

- a. Ensure that clear channels of communication exist between the Departmental Management Team, DRC and all members of staff
- b. Ensure that matters of concern are reported to the PVC (Research), REO or Central Research Committee as appropriate
- c. Ensure that the Departmental Research Strategy is effectively communicated to all staff and is freely available
- d. Ensure that mentoring expectations and responsibilities are clear to all staff, especially with reference to post-graduate researchers and early-career researchers
- e. Ensure that all staff are made aware of the training available on research matters
- f. Ensure that appropriate career guidance is provided for all staff
- g. Encourage the promotion of public understanding and impact of research

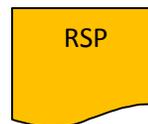
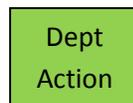
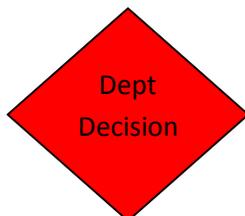
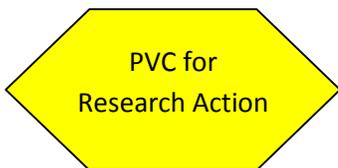
Advise staff on their involvement with research-related activities beyond the University, with a view to enhancing the individual research profiles of staff members while ensuring their time on research is not

Staff Selection Flow Chart





Key



UNIVERSITY OF YORK

RESEARCH COMMITTEE

Terms of Reference

- To advise and support the development and implementation of strategy and policy in relation to research
- To draw up a research strategy for the University and to advise on relevant issues as they arise during implementation of the strategy
- To have oversight of the overall research performance of the institution, including governance of research
- To take measures to raise research awareness and creativity, including possibilities for collaborative research.
- To promote innovation and the dissemination and exploitation of research and interdisciplinary activity where appropriate.
- To develop the strategy relating to the award of university postgraduate research scholarships and research student infrastructure.
- To develop a strategy to improve links with research funders, across the range of research activities.
- To oversee the distribution of funds relating to the pump priming of research and innovation
- To approve decisions relating to the implementation of full economic costing and consideration of the funding environment and trends and implications for the institution
- To advise Planning Committee on the selective distribution of resources within the University for research purposes. (any action to be taken by Planning Committee)
- The monitoring of national trends in funding, recruitment and completion of research degree programmes
- To have oversight of Clinical Trials Sponsorship
- In the regular course of its business to consider issues of equal opportunity

Research Committee reports to Senate

Constituency of Members

- 1 A Pro-Vice-Chancellor (ex officio) (Chair)
- 2-9 Eight members appointed by Planning Committee
- 10-12 Members co-opted by Planning Committee

In Attendance

- 13 The Intellectual Property Manager
- 14 The Research Grant Support Office Manager
- 15 The Research Strategy and Policy Manager
- 16 The Director of Research and Enterprise Office

SECTION A - ABOUT THIS EQIA	
Enter your responses here	
1. Name of item being assessed (policy, practice, provision, criterion, procedure, guidelines, code of practice, proposal of change to service etc)	Code Of Practice for the Selection of Staff for REF2014
2. Date of this assessment	9 July 2012
3. Policy-owner (person or group/committee with authority to make changes)	Pro-Vice-Chancellor for Research
4. When was the policy first approved and last reviewed?	6 June 2012 (new policy)
5. Names of those involved in this EQIA	Anna Grey
SECTION B - EVIDENCE	
1. What evidence is already available to help inform this impact assessment process?	<p>Data from Selection process for RAE 2008 showed that there was no statistical bias in the characteristics of those selected and those not selected for RAE. A similar process to the one described in this document was used.</p> <p>There were no appeals or grievances during the 2008 procedure, suggesting a robust process was in place</p> <p>The Union has also seen and commented on the selection process</p>

<p>2. What further evidence is required? How will this be obtained?</p>	<p>The characteristic of the staff who are eligible for REF 2014, as identified via the mock REF process will be statistically analysed to set a base line. When decisions are made on staff selection these will be monitored for ensure that there is no evidence of bias. Following submission a full statistical analysis, comparing submitted and non-submitted staff will be undertaken.</p>
<p>SECTION C – PROMOTING EQUALITY</p>	
<p>1. Does the item currently promote equality? Describe how the item has a positive impact or potential for positive impact on equality.</p>	<p>Yes, the purpose of the Code is to ensure the selection process is done equitably, within the REF framework. It will raise awareness of equality and diversity and ensure that such matters are fully considered within the research context</p>

EQUALITY IMPACT ASSESSMENT OF: Code Of Practice for the Selection of Staff for REF2014				DATE: 9 July 2012			
PROTECTED CHARACTERISTIC	NEGATIVE IMPACT	PROMOTE EQUALITY	ADJUSTMENT	HOW WILL IT HAPPEN?	TIMESCALE	WHO RESPONSIBLE?	DATE ADJUSTMENT COMPLETED
	Describe how the item currently does, or has potential to disadvantage	In what ways could equality be further promoted through this item?	Describe the adjustments that should be made to reduce adverse impact/promote positive outcomes	How will effects of adjustments be monitored	When will adjustments be incorporated and reviewed		
ALL/ COMBINATION OF CHARACTERISTICS	By definition the REF process is selective and will result in the exclusion of staff from the submission.	The code of practice will require all staff directly involved in the decision making process to undertaken equality and diversity training, thereby raising awareness of the issues in research more generally	Where individuals have circumstances that fall within the REF definition of circumstances that can be taken into account for the reduction in the number of outputs, these will be fully considered	Via monitoring of characteristics of staff not selected and full statistical analysis of submitted vs non-submitted staff	This is a policy written for a single activity	Pro-Vice-Chancellor for Research	
	Whilst the number of outputs to be submitted can be reduced, the REF framework does not allow for impact on the quality of research to be considered	Issues to do with potential indirect bias during the full research process (as opposed to selection) fall outside this policy and therefore this EIA. The University takes this matter seriously as demonstrated by its	It has been agreed that submission to REF will not be considered as part of any other assessment of staff performance (eg promotion) and that Heads of Department are strongly discouraged to use REF				

EQUALITY IMPACT ASSESSMENT OF: Code Of Practice for the Selection of Staff for REF2014				DATE: 9 July 2012			
PROTECTED CHARACTERISTIC	NEGATIVE IMPACT	PROMOTE EQUALITY	ADJUSTMENT	HOW WILL IT HAPPEN?	TIMESCALE	WHO RESPONSIBLE?	DATE ADJUSTMENT COMPLETED
	Describe how the item currently does, or has potential to disadvantage	In what ways could equality be further promoted through this item?	Describe the adjustments that should be made to reduce adverse impact/promote positive outcomes	How will effects of adjustments be monitored	When will adjustments be incorporated and reviewed		
		involvement with the Concordat on Researchers and Athena Swan	as a shorthand to describe research performance				
AGE	Staff who are new to the profession (ECRs) during the assessment period will be unlikely to have sufficient outputs. This is more likely to impact on younger staff, though it must be recognised that older staff who are new to profession also need to be considered	There are clear definitions on what constitutes an ECR and the number of outputs that can be discounted. Training will remind selectors that ECR refers to career point not age	Where applicable staff could be submitted with fewer than 4 outputs. The REF documentation gives clear guidance on how to calculate any dispensation	There will be a formal process of gathering the data and all staff who have started at the institution on a lecturing grade will be queried with departments	October 2012-Jan 2013 and on an individual basis thereafter as staff continue to be appointed	RSP	November 2013
DISABILITY	Staff may have disabilities resulting in	ECU has provided guidance on how a	Where applicable staff could be submitted	Staff will be encouraged to	October 2012-Jan 2013 and on an	RSP	November 2013

EQUALITY IMPACT ASSESSMENT OF: Code Of Practice for the Selection of Staff for REF2014				DATE: 9 July 2012			
PROTECTED CHARACTERISTIC	NEGATIVE IMPACT	PROMOTE EQUALITY	ADJUSTMENT	HOW WILL IT HAPPEN?	TIMESCALE	WHO RESPONSIBLE?	DATE ADJUSTMENT COMPLETED
	Describe how the item currently does, or has potential to disadvantage	In what ways could equality be further promoted through this item?	Describe the adjustments that should be made to reduce adverse impact/promote positive outcomes	How will effects of adjustments be monitored	When will adjustments be incorporated and reviewed		
	circumstances during the assessment period that will have impacted on the number of outputs that they have been able to complete	disability may have impacted on the number of outputs and therefore how many outputs can be discounted. Training will be given to explain who such circumstances should be considered	with fewer than 4 outputs	declare any issues that may have impacted on the number of outputs and the code refers to the formal process for gathering such information	individual basis thereafter as staff continue to be appointed		
GENDER RE-ASSIGNMENT	Staff undergoing a gender reassignment during the assessment period may have issues that will have impacted on the number of outputs that they have been able to complete, due to personal and	ECU has provided guidance on how a gender reassignment may have impacted on the number of outputs and therefore how many outputs can be discounted. Training will be given to explain who such circumstances	Where applicable staff could be submitted with fewer than 4 outputs	Staff will be encouraged to declare any issues that may have impacted on the number of outputs and there code refers to the formal process for gathering	October 2012-Jan 2013 and on an individual basis thereafter as staff continue to be appointed	RSP	November 2013

EQUALITY IMPACT ASSESSMENT OF: Code Of Practice for the Selection of Staff for REF2014				DATE: 9 July 2012			
PROTECTED CHARACTERISTIC	NEGATIVE IMPACT	PROMOTE EQUALITY	ADJUSTMENT	HOW WILL IT HAPPEN?	TIMESCALE	WHO RESPONSIBLE?	DATE ADJUSTMENT COMPLETED
	Describe how the item currently does, or has potential to disadvantage	In what ways could equality be further promoted through this item?	Describe the adjustments that should be made to reduce adverse impact/promote positive outcomes	How will effects of adjustments be monitored	When will adjustments be incorporated and reviewed		
	medical circumstances	should be considered		such information			
MARRIAGE & CIVIL PARTNERSHIP	No negative impact can be identified						
PREGNANCY & MATERNITY	Staff who have experienced pregnancy and/or maternity leave during the assessment period may not have been able to produce the expected number of outputs	There is clear framework within the REF guidance on how issues relating to maternity and pregnancy should be taken into account. Training will be given to explain who such circumstances should be considered	Staff who have taken maternity leave are granted an automatic dispensation of 1 output per period of leave, plus additional implications can also be taken into account, allowing for further discounting of outputs	Staff will be encouraged to declare any issues that may have impacted on the number of outputs and there code refers to the formal process for gathering such information	October 2012-Jan 2013 and on an individual basis thereafter as staff continue to be appointed	RSP	November 2013

EQUALITY IMPACT ASSESSMENT OF: Code Of Practice for the Selection of Staff for REF2014				DATE: 9 July 2012			
PROTECTED CHARACTERISTIC	NEGATIVE IMPACT	PROMOTE EQUALITY	ADJUSTMENT	HOW WILL IT HAPPEN?	TIMESCALE	WHO RESPONSIBLE?	DATE ADJUSTMENT COMPLETED
	Describe how the item currently does, or has potential to disadvantage	In what ways could equality be further promoted through this item?	Describe the adjustments that should be made to reduce adverse impact/promote positive outcomes	How will effects of adjustments be monitored	When will adjustments be incorporated and reviewed		
RACE	No negative impact can be identified						
RELIGION, BELIEF OR NON-BELIEF	No negative impact can be identified						
SEX	No negative impact can be identified	Whilst the University recognises the issues relating to gender issues and actively supports processes for promoting equality, these fall outside the scope of this					

EQUALITY IMPACT ASSESSMENT OF: Code Of Practice for the Selection of Staff for REF2014				DATE: 9 July 2012			
PROTECTED CHARACTERISTIC	NEGATIVE IMPACT	PROMOTE EQUALITY	ADJUSTMENT	HOW WILL IT HAPPEN?	TIMESCALE	WHO RESPONSIBLE?	DATE ADJUSTMENT COMPLETED
	Describe how the item currently does, or has potential to disadvantage	In what ways could equality be further promoted through this item?	Describe the adjustments that should be made to reduce adverse impact/promote positive outcomes	How will effects of adjustments be monitored	When will adjustments be incorporated and reviewed		
		policy.					
SEXUAL ORIENTATION	No negative impact can be identified						

SECTION E – CONSULTATION	
1. Who was consulted in the process of this assessment, and how? Please list for which protected characteristics	VC chancellor, University Research Committee, Equality and Diversity Office, HR representatives, Union Representatives. This is a generic policy, covered all protected characteristics
2. How will people be informed about the results of the EQIA including groups consulted?	The assessment will be circulated to the above.
SECTION F – APPROVAL OF THE EQUALITY IMPACT ASSESSMENT	
THIS FULL IMPACT ASSESSMENT WAS APPROVED BY: Name and title of person or group with authority to make changes to the item	John Local, Pro-Vice-Chancellor for Research
DATE:	13 July 2012
CONTACT DETAILS: Name, telephone number and email of person to contact with any queries about this assessment	Anna Grey, Research Strategy and Policy Manager Tel 4047 Anna.grey@york.ac.uk

Please send a copy to the Equality and Diversity Office, Block D, Sally Baldwin Buildings. Email: equality@york.ac.uk

To all members of staff eligible for return in REF 2014

From:

Subject: REF 2014 - Consideration of Individual Circumstances

Date:

The University of York 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 University's Code at www.york.ac.uk/staff/research/ref/staff-selection/.

The REF process enables staff whose personal circumstances may have had an impact on their ability to carry out research during the qualifying period to submit fewer outputs. In determining the number of outputs the University 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.

In order to ensure no eligible individual is overlooked, all staff wishing to claim a reduction in outputs must complete the attached form. You only need to complete the form if you wish to claim a reduction in the number of your research outputs for REF purposes.

The table below sets out the individual circumstances.

In all circumstances, unless otherwise indicated the qualifying period is between 1 January 2008 and 31 October 2013:

INDIVIDUAL CIRCUMSTANCES

- Early career researcher (started career as an independent researcher on or after 1 August 2009)
- Part-time employment
- Career break or secondment outside of HE
- Maternity leave
- Statutory adoption leave
- Additional paternity leave
- 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
- Other caring responsibilities

- Gender reassignment
- Other circumstances

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

Confidentiality

The REF Assessment and Framework Guidance on Submissions requires all higher education institutions participating in the REF to ensure appropriate confidentiality in handling individual staff circumstances.

The information you provide will be seen by the Head of Department and the Research Strategy and Policy Office. All staff handling individual staff circumstances will observe confidentiality and information will be stored securely.

In certain circumstances you may wish to provide the information directly to the Research Strategy and Policy Office. For information of a strictly confidential nature, the Head of Department will only be informed of any dispensation awarded and not the nature of the circumstances.

You may wish to discuss information of a sensitive nature with the Equality and Diversity Office or your Human Resource Manager prior to raising the issue with your Head of Department or the Strategy and Policy Office.

Information provided on the form may need to be shared externally for the purposes of evidencing any reduction in the number of outputs with the relevant REF sub-panel, the REF panel secretariat and the UK funding bodies' REF team. For more complex circumstances, the information will be seen by the REF Equality and Diversity Advisory Panel, the REF Main Panel Chairs and the UK funding bodies' REF team and not by the REF sub-panel.

INDIVIDUAL STAFF CIRCUMSTANCES DISCLOSURE FORM

Wherever possible you should complete this form with your Head of Department.

Name:	
Department:	
Unit of Assessment:	

In completing this form I am seeking a reduction in research outputs.

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 include the time period affected including dates and duration in months:

The Head of Department will agree with you the appropriate evidence required for the above

Please select as appropriate:

- I confirm that the information 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 Head of Department and the Research Strategy and Policy Office
- 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)

This form should be returned to your Head of Department, unless the circumstances are such that the matter has been dealt with directly by the Research Strategy and Policy Office