

1. Purpose and Aims of the Code of Practice

The 2014 Research Excellence Framework (REF) requires each submitting institution to develop, document and apply a Code of Practice on selecting staff for inclusion in their submission. The REF Equality and Diversity Panel (EDAP) will examine these codes and advise HEFCE on their adherence to the REF guidance. All institutions' Codes of Practice will be published at the end of the assessment process.

In this document, York St John University (YSJU) sets out:

- The means by which the University will ensure that all processes connected with the REF are transparent and consistent across all subjects and at all levels within the institution;
- The responsibilities of individuals and groups in relation to the REF submission;
- The means by which we will publish and make available the criteria and working methods to be used.

2. Equality & Diversity

2.1 The Equality Act 2010 strengthens and harmonises previous equalities legislation and places additional responsibilities on Universities to eliminate discrimination, advance equality of opportunity and foster good relations between people who share a relevant characteristic and people who do not. As an employer, YSJU has a legal responsibility to ensure that its policies, including this Code of Practice, do not directly or indirectly discriminate against its employees on the grounds of their age, disability, gender, gender identity, marriage or civil partnership, race, religion or belief, sex or sexual orientation or if they are pregnant or have recently given birth. The University is required to ensure that its REF selection processes are subject to Equality Assessment (see section 9 of this Code).

2.2 In addition, under the Part-time Workers (Prevention of Less Favourable Treatment) Regulations Act 2000 and the Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations Act 2002, part time and fixed term employees have a legal right to be treated equally to comparable 'permanent' employees.

2.3 YSJU has a Code of Conduct for Staff which is available at <http://www.yorks.ac.uk/human-resources/hr/performance--behaviour.aspx> and an Equality, Diversity and Human Rights Policy, available at <http://www.yorks.ac.uk/human-resources/hr/equality--diversity.aspx>.

Both documents promote equality & diversity and emphasise the importance of embracing and valuing difference at YSJU. YSJU is committed to the fair treatment of all its employees. This Code of Practice for the 2014 REF complements these documents, but does not replace them.

3. Principles

This Code of Practice aims to demonstrate fairness by addressing the following principles:

- **Transparency:** This Code makes clear the process for selection for submission to the REF at YSJU. To maximise the accessibility of this Code of Practice it is made available to all staff in PDF and Word format through publication in the Research section of the University's Document Directory. All staff on academic contracts will be e-mailed the links to the Code on publication, in addition a hard copy will be posted to staff who are absent at the time of distribution. Academic staff starting after the date of publication will be provided with the Code as part of their induction.
- **Consistency:** The policy for staff selection will be consistently applied across the University and the Code of Practice implemented uniformly. The size of the University and the use of the Research Office for central REF support aid this process.
- **Accountability:** Ultimate responsibility for the REF process rests with the Deputy Vice Chancellor. Responsibility for staff selection and submissions rests with the REF Strategy Group, of which the Deputy Vice Chancellor is a member. Initial recommendations for selection are made by Units of Assessment¹ (UoA) Leaders to the REF Strategy Group (REFSG). Detail of the roles of these individuals and groups in the submission and selection process is provided in section 4.
- **Inclusivity:** All research-active academic staff in UoAs where the University can make a viable submission are encouraged and supported to be included in the University's REF submission, principally through the work of the Faculty Research Professors and UoA Leaders. The REFSG will endeavour, where possible, to include staff whose outputs would most obviously fall within a UoA that turns out not to be viable at YSJU within an alternative UoA that will be viable.

4. The role of individuals, groups and Committees

4.1 Submission Decisions

4.1.1 Overall responsibility for the University's REF submission sits with the **Deputy Vice Chancellor**, who is responsible for designating staff, committees or groups to be responsible for the REF selection process.

4.1.2 Submission decisions are made by the **REFSG**, of which the Deputy Vice Chancellor is a member. The Dean of Education and Theology has been

¹ Submissions to the REF are made in 36 units of assessment, listed at <http://www.ref.ac.uk/panels/unitsofassessment/>. YSJU does not carry out teaching or research in all of these units and in many cases a submission is not viable.

designated the Chair of the REFSG on the basis of research expertise, breadth of knowledge and as the Chair of the Research Committee.

- 4.1.3 **UoA Leaders** will provisionally select staff for inclusion in their UoA and will recommend their inclusion to the REFSG.
- 4.1.4 The **Research Committee** will oversee the preparation of the University's submission to the 2014 Research Excellence Framework (REF) through the operation of the REFSG in order to assure that the processes undertaken are appropriate and equitable. Terms of Reference for the Committee can be found at Appendix 1.
- 4.1.5 The **Vice Chancellor** will hear appeals arising from the selection process.
- 4.1.6 If a change in circumstances occurs very late in the submission process and after the final decisions of the REFSG, such as the departure or arrival of a member of staff that impacts on the University's REF submission, decisions on the most appropriate course of action may be taken by the Deputy Vice Chancellor on the advice of the Chair of REFSG and the Deputy Registrar: Research. This may include the inclusion of a newly appointed member of staff in the REF submission.

4.2 The REF Strategy Group

- 4.2.1 The REFSG is responsible for the management of the REF submission process with a remit to develop a strategy on behalf of the University for the REF and to oversee and advise on its implementation. Its Terms of Reference can be found at Appendix 2. The Group's role includes making decisions about strategy, the viability of UoAs and the best fit for individual researchers, balancing any issues raised by UoA Leaders. The Group will oversee the drafting of submissions and will decide which UoAs and colleagues should be submitted in the 2014 REF.
- 4.2.2 In carrying out their functions, members will ensure that the Group's selection decisions are based purely on academic criteria as set out in the national REF panels' criteria and working methods (to be found at: <http://www.ref.ac.uk/pubs/2012-01/>) and are not subject to any bias on account of age, childcare or other caring responsibilities, disability, gender reassignment, marriage or civil partnership, pregnancy, race, religion or belief, sex or sexual orientation.
- 4.2.3 The Group will consider recommendations from the UoA Leaders about the individuals to be submitted to the REF. Material of a sensitive personal nature, such as personal circumstances, will not be discussed by the Group as a whole but will be considered in confidence by the UoA Leader and the Chair of REFSG, with advice from Human Resources as necessary (see Section 6).
- 4.2.4 The REFSG will keep detailed records of all its meetings. These will be circulated to all members of the Group, including any who were absent from a particular meeting, and to the Research Committee. Material of a personal

confidential nature will not be included and will be dealt with as set out in Section 6.

4.3 The selection of Units of Assessment

The criteria for the selection of Units of Assessment are:

- the existence of at least three colleagues* who fulfil or exceed the minimum criteria for inclusion in the 2014 REF;
- the existence of high quality research outputs in the subject area that are believed to fulfil or exceed the minimum criteria for a one star rating in the 2014 REF;
- the existence of an appropriate research environment and track record of research within the subject area;
- the existence of appropriate evidence of impact;
- the existence of a sustainable research strategy within the subject area that fits with the University's central strategy for research.

**Where the number of colleagues within a UoA drops below three and the UoA becomes unviable it will be withdrawn.*

4.4 The selection of individuals to be submitted

UoA Leaders will provisionally select staff for inclusion in the UoA and will recommend their inclusion to the REFSG. The UoA Leaders should supply the REFSG with the information on individuals to enable the group to make an informed decision about whether to include them in the 2014 REF, taking into account any individual staff circumstances (see section 6). Staff will be advised by UoA Leaders of the initial recommendations and decisions made by the REFSG on 21 May 2013 following the Mock REF exercise to ensure they are kept informed about their potential submission.

The academic criteria to be used for the selection of individuals will be:

- the quality of the individual's research outputs in relation to the originality, rigour and significance of the research, in the context of the UOA panel's criteria and working methods;
- the fit between the individual's research and that of the unit of assessment concerned;
- the evidence for the individual's contribution to the research culture of the University, including the supervision of research students, where appropriate.

4.5 Communication of UoA and individual selection criteria

The above criteria will be communicated to colleagues through dissemination of this Code of Practice.

5. Equality and Diversity training

5.1 All staff within the University are required to attend mandatory Equality and Diversity training provided by Staff Development. By the end of these workshops participants are more aware of:

- what equality, diversity and respect means in practical terms
- their statutory and legal obligations
- how to recognise discrimination and other barriers to diversity and equality
- what is meant by dignity and respect at work
- the many forms that harassment and bullying can take
- steps they can take to prevent discrimination, harassment and bullying within the organisation
- their personal and organisational responsibilities
- actions they can take in the workplace
- their role in relation to the institutional management framework.

In addition, all those with line management responsibility are required to attend a mandatory Managing Equality & Diversity Workshop.

5.2 All individuals contributing to the development of REF submissions will be expected to familiarise themselves with the '*REF 2014 Assessment Framework and Guidance on Submissions*', including part 4 covering the legislative context and summary of legislation, which can be found on the Equality Challenge Website at www.ecu.ac.uk/our-projects/REF

In addition, as a minimum, members of the REFSG will have to study the training materials made available from the Equality Challenge Unit (<http://www.ecu.ac.uk/documents/ref-materials/training-pack>). Additional REF Equality and Diversity training will be provided where required.

6. Individual Staff Circumstances

6.1 As a measure to support equality and diversity in research careers the University acknowledges that some individuals' ability to produce four outputs of work throughout the assessment period may be constrained. Where such circumstances are identified and confirmed the University will reduce the number of expected outputs according to the guidance outlined in Part 4 of '*REF 2014 Assessment Framework and Guidance on Submissions*.'

6.2 The University will adopt a sensitive and pro-active approach to identifying any equality-related personal circumstances, centralised in the Research Office. All eligible staff will be sent the University's *REF 2014 Individual Staff Circumstances Disclosure Form* (Appendix 3). This will be used to identify staff wishing to be submitted with fewer than four outputs and the individual circumstances supporting their request. Staff wishing to discuss individual circumstances in confidence can do so either through their UoA leader or through the Chair of REFSG. There is also the option within the disclosure form of requesting a meeting with a member of staff from Human Resources.

6.3 Individual staff circumstances (whether 'Clearly Defined' or 'Complex') will be considered in confidence by the UoA Leader and the Chair of REFSG, with

advice from Human Resources². They will be considered on a consistent basis across all UoAs. Definitions of what are classified as 'Clearly Defined' or 'Complex' circumstances are detailed on the *REF 2014 Individual Staff Circumstances Disclosure Form*.

- 6.4 For 'Complex' circumstances, the University will need to make a judgement on the appropriate reduction in the number of outputs submitted. The judgment will be made with reference to the worked examples provided by the Equality Challenge Unit and the appropriate reduction indicated (see <http://www.ecu.ac.uk/documents/ref-materials/complex-circumstances-examples>).
- 6.5 In cases where there is a combination of 'Clearly Defined' and 'Complex' circumstances relating to an individual, the University will return the individual as 'Complex' so that a single judgement can be made about the appropriate reduction in outputs, taking into account all the circumstances.

7. Fixed-term and Part-Time Staff

The University supports its fixed-term, part-time and contract research staff and will treat them in the same way as it treats permanent and full-time staff in relation to the REF.

8. Feedback and Appeals

- 8.1 Final decisions on the inclusion or not of individual staff in submissions will be made in September 2013. Regular feedback will be given to potential submitters prior to the submission deadline so that any decision not to include an individual does not come as any surprise to those concerned. Final decisions of the REFSG and feedback on the reasons for these decisions will be communicated to individuals by the Faculty Research Professor within 5 working days of the decision being made. The Faculty Research Professor will in turn inform the relevant UoA Leader and the individual's line manager.
- 8.2 Following feedback, a member of staff not included in the REF will have the right of appeal to the Vice Chancellor. This can be against the decision not to submit on the grounds of quality of research or quantity of research or related to the assessment of individual circumstances. In all cases, the appellant should set out why he or she feels the University's assessment is incorrect.
- 8.3 Any appeal should be submitted in writing to the Vice Chancellor within 10 working days of receiving feedback.
- 8.4 The appeal will be considered within 15 working days of being received and, in any case, before the final REF submission is made. The appeal panel will also comprise a Pro Vice Chancellor and the Director of Human Resources. The panel will take into account any need to protect confidentiality.

² This advice may include speaking to the individual's line manager

- 8.4 It is expected that most matters will be considered by written representation, although an appeal can be heard in person if preferred by the individual or should the Panel feel it necessary for this to happen. Should the Panel need to meet an individual, the individual may be accompanied by a work colleague or trade union representative.
- 8.5 The Panel will make its judgement based on its assessment of the strength of each case (taking into account the grounds stated) and in so doing will refer to the criteria and processes established by the REF 2014 team in accordance with the document '*Assessment Framework and Guidance on Submissions*'. In all cases the decision of the Appeals Panel will be final.

9. Equality Analysis (Impact Assessment)

YSJU has conducted an initial Equality Analysis of this Code of Practice in line with its established procedures. As part of this the equality profile of the University's academic staff has been examined. Monitoring of the Equality Analysis is the responsibility of the University's Deputy Registrar: Research who has received training in undertaking Equality Analysis. The Analysis will be reviewed at key stages in the process, e.g. when considering eligible staff to be selected when conducting the Mock REF, when considering individual staff circumstances, when considering appeals and when preparing the final submission. The Deputy Registrar: Research will advise the Research Committee or REFSG of any concerns who will then seek to address them as necessary.

Research Committee Constitution and Terms of Reference

Purpose: Within the powers delegated by Academic Board, to be responsible for advising on research policy in the University and the monitoring and support of research activity.

Constitution

[Note: the Vice Chancellor is entitled to attend all University committees and is not therefore listed]

1	Chair of Research Committee (nominated by Deputy Vice Chancellor)	Prof Julian Stern
2	Deputy Vice Chancellor	Prof David Maughan Brown
3	Deputy Registrar: Research (Executive Officer)	Dr John Rule
4	Chair of Research Ethics Committee	Dr Simon Rouse
5	Head of Learning and Teaching Development (ex officio)	Mandy Asghar
6	A Research Professor from each Faculty: Arts Business School Education & Theology Health & Life Sciences	Prof Gary Peters Prof Bob Garvey Prof Sebastian Kim Prof Patrick Doherty
7	One further member from each Faculty: Arts Business School Education & Theology Health & Life Sciences	Dr Sunil Manghani Dr Chris Hall Prof Pauline Kollontai Prof Pam Dawson
8	One representative of the research students	Gareth Jowett
9	The YSJU representative on University of Leeds Graduate Board (if not already a member of the Research Committee by virtue of fulfilling another role listed above).	Prof Howard Hall

In attendance

The Committee Secretary, Ms Joanne Ripley.

The Committee will consider other individuals or officers to attend specific meetings as appropriate.

Terms of Reference

To advise Academic Board on:

- All matters of policy and policy implementation relating to research.

To advise the Strategic Leadership Team on:

- The appropriate allocation of funds for research.

On behalf of Academic Board, to be responsible for:

- Oversight of the University's strategic plans for research.
- Determining the outcome of bids for centrally managed research funds.
- Promoting the alignment of faculty research plans with the University's policies and monitoring their implementation.
- Consideration of issues relating to postgraduate research students and to advise and monitor their progress through the Research Degrees Sub Committee.
- Approving reports to HEFCE and other bodies on research activities or delegating such approval appropriately.
- Overseeing the preparation of the University's submission to the 2014 Research Excellence Framework (REF) through the operation of the REF Strategy Group.
- Overseeing the preparation of the University's application for Research Degree Awarding Powers (RDAP) through the operation of the RDAP Strategy Group.
- Considering quality issues as they pertain to research degrees.
- Considering research student experience issues.

To refer to:

- The Quality and Standards Committee: Quality issues as they pertain to research degrees as appropriate.
- The Enhancement and Student Experience Committee: Research student experience issues as appropriate.

Delegated responsibilities:

Within the powers delegated by YSJU Academic Board and the University of Leeds Graduate Board, the Research Committee delegates responsibility for providing a

formal mechanism for monitoring the progress of postgraduate research students, discussing student progress and performance and making decisions in relation to progression to the Research Degrees Sub Committee.

Within the powers delegated by YSJU Academic Board, the Research Committee delegates responsibility for considering proposals for research or other research related projects from an ethical standpoint with a view to protecting voluntary subjects and clients, to the Research Ethics Sub Committee.

To receive reports and minutes from:

- Research Degrees Sub Committee
- Research Ethics Sub Committee
- Research Excellence Framework Strategy Group
- Research Degree Awarding Powers Strategy Group
- Faculty Research Committees

Procedural rules:

Frequency: Four per year.

Quorum: Half the listed membership plus one, including alternates but excluding co-opted members.

Alternates: In cases where members are unavailable they may designate an appropriate alternate to attend in their place. Alternates to have full voting rights in any vote.

Chair's actions: There are no routinely delegated powers to the Chair, but the Research Committee may delegate specified decision making rights between meetings to the Chair. Any other urgent decisions must be circulated by e-mail to all members, with provision for e-mail or phone discussion, before being approved as a Chair's Action. All Chair's actions are to be recorded by the Minuting Secretary and reported (with the provision of access to any accompanying documentation) at the next meeting of the Research Committee.

Criterion for co-opted member: A member of staff with a significant role relating to research within the University may be co-opted by the Research Committee by a majority vote.

Reporting

To YSJU Academic Board (full minutes being provided).

Annually to the YSJU Board of Governors.

To the University of Leeds Graduate Board through the YSJU Representative on UoL GB (minutes will not normally be provided).

Annually to the University of Leeds (UoL) through the UoL Accreditation Meeting.

RESEARCH EXCELLENCE FRAMEWORK STRATEGY GROUP

Function

The *Research Excellence Framework Strategy Group* is a working group of the *Research Committee* with a remit to develop a strategy on behalf of the University for the *Research Excellence Framework (REF)* and to oversee and advise on its implementation.

Constitution and Membership

Vice Chancellor (<i>Ex Officio</i>)	Prof D Fleming
Deputy Vice Chancellor (<i>Ex Officio</i>)	Prof D Maughan Brown
Chair of the Research Committee	Prof J Stern
Deputy Registrar: Research (<i>Executive Officer</i>)	Dr J Rule

Research Professors from each Faculty (or their nominee):

Arts	Prof G Peters
Business School	Prof B Garvey
Education & Theology	Prof S Kim
Health & Life Sciences	Prof P Doherty

Up to eight subject leads for potential Unit of Assessment submissions (to be determined by the Group) may be added as full members

Representatives from key services (e.g. Finance, Human Resources, the Library) to be invited as required.

Chair: Prof Julian Stern.

In Attendance: The Research Officer - Secretary

Alternates: Members who are unable to attend are asked to send an appropriate alternate.

Terms of Reference:

- to task data collection to support the University's REF submission (e.g. staff data from HR, income from Finance, HESA data from Registry)
- to advise on the review and selection of material for submission
- to decide on the viability of Units of Assessment and the best fit for individual researchers
- to oversee external review and 'mock REF' reviews
- to decide on the University's final submission

Frequency

Normally four per year, approximately three weeks before the Research Committee, in 2009-10. This may need to be reviewed and revised depending on external developments.

Quorum: Half plus one

Reporting Lines: Research Committee

Executive Officer: Deputy Registrar: Research

York St John University REF 2014 individual staff circumstances disclosure form

To: All members of staff eligible for return in REF 2014
 From: Research Office
 Subject: REF 2014, consideration of individual staff circumstances

YSJU 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 YSJU's Code of Practice which can be found at [insert web address].

To ensure that REF processes are fair, YSJU is collecting data on individual circumstances from all staff eligible for submission. The data will be used to identify which members of staff are eligible for submission with fewer than four outputs. Summary level data collected may also inform YSJU's 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, the YSJU REF Strategy Group (REFSG) will take the following clearly defined 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)

For these **clearly defined** circumstances, YSJU REFSG will apply the following REF tariffs:

Table 1 Early career researchers: permitted reduction in outputs

Date at which the individual first met the REF definition of an early career researcher:	Number of outputs may be reduced by up to:
On or before 31 July 2009	0
Between 1 August 2009 and 31 July 2010 inclusive	1
Between 1 August 2010 and 31 July 2011 inclusive	2
On or after 1 August 2011	3

Table 2 Part-time working, secondments or career breaks: permitted reduction in outputs

Total months absent between 1/1/08 and 31/10/13 due to working part-time, secondment or career break:	Number of outputs may be reduced by up to:
0-11.99	0
12-27.99	1
28-45.99	2
46 or more	3

The YSJU REFSG will also take the following **complex circumstances** into consideration:

- 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

For these complex circumstances YSJU REFSG will make a judgement on the appropriate reduction in the number of outputs submitted and the REF Equalities and Diversity Advisory Panel (EDAP, a national body) will consider these cases on a consistent basis across all UoAs.

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, you will be contacted by the Research Office.

Who will see the information that I provide?

Within YSJU, the information that you provide will be seen by a subgroup of REFSG comprising the relevant UoA Leader and Chair of the REFSG. Members of these subgroups and the Research Office handling individual staff circumstances will observe confidentiality and information will be stored securely. Information provided on the form may be shared externally for the purposes of evidencing any reduction in the number of research outputs:

- For circumstances with a clearly defined reduction in outputs, information will be seen by the relevant REF sub-panel, the REF panel secretariat and the UK funding bodies' REF team. This will be information about early career researcher status, part-time working, career breaks or secondments, and periods of maternity, additional paternity or adoption leave taken.
- For more complex circumstances, information will be seen only by the REF EDAP, 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?

YSJU recognises that staff circumstances may change or may have changed between 1 January 2008 and 31 October 2013. If your circumstances change you can download a further copy of the attached form at [insert web address] and return it to the Research Office.

YSJU REF individual staff circumstances disclosure form

Name	
Faculty	
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 Human Resources staff to discuss my circumstances and requirements and/or the support provided by YSJU. My contact details for this purpose are:

Email	
Telephone	
Preferred method of communication	

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

Section three

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

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

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	
Junior clinical academic staff who have not gained Certificate of Completion of Training by 31 October 2013 [Delete as appropriate: applies to specific units of assessment within Panel A]	Please place a tick in this box if the circumstance applies:
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 a subgroup of YSJU REFSG.

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 YSJU 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 REFSG subgroup:

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

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