

UNIVERSITY OF DUNDEE

UNIVERSITY RESEARCH COMMITTEE

**INTERNAL FRAMEWORK FOR ENGAGEMENT WITH REF 2014 INCLUDING THE CODE OF PRACTICE
ON THE SELECTION OF STAFF**

It is recommended that this document be read in electronic format as it contains URL links. It can be accessed in electronic format on the University's internal REF website <https://secure.dundee.ac.uk/ref/> or by e-mailing ref@dundee.ac.uk. Should you be unable to access it electronically, a paper-copy is available by e-mailing ref@dundee.ac.uk.

Should you require this document in an alternative format please e-mail your requirements to ref@dundee.ac.uk.

Any questions regarding the content of this document should be referred in the first instance to Professor John Connell, Vice-Principal for Research & Enterprise (Tel: 01382 383171; e-mail: j.m.connell@dundee.ac.uk).

INTERNAL FRAMEWORK FOR ENGAGEMENT WITH REF 2014 INCLUDING THE CODE OF PRACTICE ON THE SELECTION OF STAFF

Purpose

This document has been produced on behalf of the Research Committee of the University Senate which is chaired by the Vice-Principal for Research and Enterprise and is responsible for the overall preparation of the University's return to REF 2014. The return will be formally submitted by the Principal under the delegated authority of the University Court. This document, which will be publicised to all staff associated with the University's submission:

1. sets out the strategic and operational framework within which the University will engage with REF 2014;
2. aims to ensure that academic and administrative staff involved in preparing the University's submission have a good understanding of the internal and external processes associated with REF, including those relating to the selection of staff for inclusion in the submission;
3. includes the University's 'Code of Practice on the Selection of Staff' which promotes (i) equality and diversity; (ii) compliance with legislation; and (iii) avoidance of discrimination in the process of preparing for the REF; the Code will help the University ensure that all staff who are judged to have reached the necessary level of excellence in their research are included in the submission; and
4. identifies the internal sources of training and support for staff engagement with REF.

Exceptional Circumstances

The University will not depart from the processes described within this document other than in exceptional circumstances that cannot be accommodated within the internal framework. In such cases, the reason(s) for and details of the variation will be reported to the Vice-Principal for Research and Enterprise and formally recorded.

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Section 1: Summary of REF 2014

1.1 Purpose

The Research Excellence Framework (REF) is the new system for assessing the quality of research in UK Higher Education Institutions (HEIs). It replaces the Research Assessment Exercise (RAE) and will be completed in 2014. The exercise is managed by the UK REF Team based at the Higher Education Funding Council for England (HEFCE) and is overseen by the REF Steering Group, consisting of representatives of the four UK higher education funding bodies.

The purpose of the REF is to:

- inform the selective allocation of quality related research funding to HEIs; in Scotland this award is made annually by the Scottish Funding Council (SFC) and is called the Research Excellence Grant (REG) – for 2012/13 the University will receive £20.3M in REG funding;
- provide benchmarking information and establish reputational yardsticks; and
- provide accountability for public investment in research and demonstrate its benefits.

The REF is expected to inform the allocation of REG (or its successor funding stream) from 2015/16 onwards.

1.2 Key Features of Submission

The REF will be a process of expert review, informed by indicators where appropriate. Expert sub-panels for each of the 36 Units of Assessment (UoAs) will carry out the assessment, working under the guidance of four main panels (A, B, C and D). Nine University staff have been appointed to the membership of expert panels, details of which are available at:

<https://secure.dundee.ac.uk/ref/groupscommittees/expertpanels/>.

Institutions will be invited to make submissions by 29 November 2013, in each UoA they elect to submit to. Each submission will contain, in summary:

- information on staff in post on the census date of 31 October 2013, who have been selected by the institution to be included in the submission;
- details of publications and other forms of assessable output produced during the publication period (1 January 2008 to 31 December 2013); up to four outputs may be listed against each submitted member of staff;
- a description of the submitted unit's approach during the assessment period (1 January 2008 to 31 July 2013) to enabling impact from its research, and case studies describing specific examples of impacts achieved during the assessment period, underpinned by excellent research undertaken from 1 January 1993 (1 January 1988 for UoA 16) to 31 December 2013;

- data about research doctoral degrees awarded and research income for the period 1 August 2008 to 31 July 2013;
- a description of the research environment for the period 1 January 2008 to 31 July 2013.

Three elements of submissions will be assessed:

- **Outputs** - a primary focus of the REF will be to identify excellent research of all kinds, as demonstrated by the quality of research publications and other outputs; outputs will be assessed by peer review, informed by citation data where judged appropriate by assessment panels.
- **Impact** - the focus here will be on the changes or benefits to the economy, society, culture, public policy or services, health, the environment or quality of life from excellent research.
- **Environment** - the REF will also assess how far the research environment supports a continuing flow of excellent research and its effective dissemination and application.

The following weightings will be applied to the three elements of assessment across all UoAs:

Outputs	Impact	Environment
65%	20%	15%

1.3 Outcomes

Panels will produce a sub-profile for each element (outputs, impact and environment), to be combined into an overall excellence profile. The profiles will show the proportion of submitted work at each point on a 5 point scale (unclassified; 1*; 2*; 3*; 4*). Research classified as 2* or below will not attract quality related research funding (REG in Scotland) from the Funding Councils.

1.4 National Level Guidance Documents

The following two documents give a description of the information required in submissions to the REF, and how the REF panels will assess submissions.

- *'Assessment framework and guidance on submissions (REF 02.2011)'*

This sets out the framework and generic criteria for assessment in the REF; specifies the content, data requirements and related definitions for submissions; and guides HEIs on policy and practical matters in preparing submissions.

It is available at: <http://www.ref.ac.uk/pubs/2011-02/>.

and

- *'Panel Criteria and Working Methods (REF 01.2012)'*

This sets out the assessment criteria and working methods of the main and sub-panels for the REF.

It is available at: <http://www.ref.ac.uk/pubs/2012-01/>.

There are various other guidance documents produced by the UK REF Team which relate to the administrative, operational and technical aspects of preparing submissions.

All information published by the UK REF Team is available on the following website:
<http://www.ref.ac.uk/>.

1.5 Eligibility for Inclusion

The 'Assessment framework and guidance on submissions (REF 02.2011)' (paragraphs 78 to 83) sets out the full eligibility criteria for inclusion of staff in the REF submission. Briefly, staff selected for submission to the REF must be listed in one of two possible categories:

- Category A - 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'.
- Category C - individuals employed by an organisation other than an HEI, whose contract or job role (as documented by their employer) includes the undertaking of research, and whose research is primarily focused in the submitting unit on the census date (31 October 2013).

Research assistants 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.

1.6 Equality and Diversity

The UK funding bodies (SFC in Scotland) are committed to supporting and promoting equality and diversity in research careers, and have strongly encouraged institutions to submit the work of all their excellent researchers to the REF. The UK REF Team is assisting the funding bodies in taking this forward. Further details, including the University's equality and diversity obligations within REF, are provided in Section 4: 'Code of Practice on the Selection of Staff'.

1.7 National REF Timetable

The national REF timetable, the precise details of which may change, can be accessed at:
<http://www.ref.ac.uk/timetable/>.

Key dates, which are unlikely to change, include:

October - December 2012	Survey of submissions intentions
January 2013	Launch of submissions system

31 July 2013	End of assessment period (for research impacts, the research environment and data about research income and research doctoral degrees awarded)
31 October 2013	Census date for staff eligible for selection
29 November 2013	Closing date for submissions
31 December 2013	End of publication period (cut-off point for publication of research outputs, and for outputs underpinning impact case studies)
December 2014	Publication of outcomes
Spring 2015	Publication of submissions, panel overview reports and sub-profiles

The University's internal REF timetable is available at: <https://secure.dundee.ac.uk/ref/timetables/>.

1.8 Frequently Asked Questions

The UK REF Team has produced a set of frequently asked questions to assist with understanding of the REF process – these are available at: <http://www.ref.ac.uk/FAQ/>. Additional categories and further FAQs will be added as necessary.

1.9 Further Information

The information contained within this section aims to provide an overview of the main elements of REF 2014. The University is committed to working with all staff involved in the REF process to assist them in gaining a full understanding of the requirements of the submission process and of how to achieve the best submission.

Any questions regarding the content of this section of the document should be referred to the REF and Policy Manager, Dr Clive Randall (Tel: 01382 385896; e-mail: c.randall@dundee.ac.uk) or the University's Administrative Lead for REF, Graeme Findlay, Deputy Director of Research and Innovation Services (Tel: 01382 385649; e-mail: g.r.w.findlay@dundee.ac.uk).

Section 2: University REF Strategy

The University of Dundee has adopted the following strategy in order to achieve the best possible result within REF 2014.

The University submission should:

- capture the breadth, depth, intensity and impact of its international excellence in research, and the vibrancy of its research environment;
- include all eligible staff who have met the University-wide minimum quality threshold for inclusion (see section 4.5); and
- reflect the recent SFC guidance¹ that REG funding will be restricted to 3* and 4* research to help focus resources on international excellence and world-leading research and ensure the international competitiveness of the Scottish research base.

To achieve these aims the University will:

- ensure that the preparation of the submission has strong and informed academic and administrative leadership, and that support is provided to staff, particularly those with little experience of previous research assessment exercises;
- ensure that all aspects of preparing the submission are transparent to staff and are consistent with the University's policies on equality and diversity and the avoidance of discrimination;
- draw on the outcomes of externally assisted research reviews and other relevant information in order to inform the selection of staff; and
- ensure that all eligible staff are informed of their inclusion in REF or otherwise by 7 June 2013 and of the associated appeals process.

Staff who are not returned in REF should be fully reassured that their contribution to the work of the University is valued as highly as that of colleagues who are. The exercise is not designed to obtain an external assessment of all the research that we do, but rather to secure the best possible result for the University in the context of REF 2014.



Professor C P Downes
Principal
11 June 2012

¹ Circular SFC/05/2012 (30/03/12): Updated funding allocations to universities for academic year 2012-13 (http://www.sfc.ac.uk/news_events_circulars/Circulars/2012/SFC0512.aspx).

Section 3: Management of the REF Process

3.1 Overview

Overall responsibility for the University's engagement with the REF process lies with the Principal of the University. This responsibility is delegated to the University's Research Committee (a Committee of Senate), chaired by the Vice-Principal for Research and Enterprise. The Research Committee established a REF Sub-Group responsible for ensuring that the University's submission is the best it can be, is prepared in accordance with the guidance issued by the UK REF Team, and meets the University's legal obligations and the strategic objectives set out in the University's REF strategy (described in section 2 of this document). The REF Sub-Group is chaired by the Vice-Principal for Research and Enterprise.

To secure the best possible performance in the REF, the University will employ a robust, transparent and informed system of planning, decision-making and reporting:

REF Planning and Reporting Structure

REF Sub-Group (Sub-Group of University Research Committee)

Coordinating Groups for Main Panels A, B, C and D

Unit of Assessment Planning Groups (Chaired by Unit of Assessment Coordinators)

Deans will be responsible for ensuring that the process for the selection of staff by the UoA Planning Groups is undertaken in a transparent manner in accordance with the principles of the Code of Practice. Deans are also responsible for ensuring effective communication with staff on the preparations for REF within their Schools.

Terms of reference, membership, reporting and details of how the above groups were formed are given below.

3.2 REF Sub-Group (Sub-Group of the University Research Committee)

a. Terms of Reference

The REF Sub-Group is responsible for:

- raising institutional awareness of the University's preparations for REF and implementation of the University's REF strategy;
- appointment of members of the Main Panel Coordinating Groups, Unit of Assessment Coordinators and members of the Unit of Assessment Planning Groups;

- in collaboration with the University's REF Equality and Diversity Working Group, the membership of which is set out in Appendix 1 of this document, ensuring that all aspects of the preparation of the University's REF submission are informed by and meet the University's equality and diversity obligations;
- ensuring that the minimum quality threshold for including staff in the University's REF submission, as described in section 4.5 of this document, is communicated to all staff who are eligible for inclusion in the submission; and
- leading the preparation and final approval of the University's REF submission, including taking responsibility for setting the internal timetable, deciding which Units of Assessment to submit to and final decisions on staff inclusion and exclusion.

b. Membership

The REF Sub-Group, which is chaired by the Vice-Principal for Research and Enterprise, is appointed by and has its authority delegated from the University Research Committee (the membership of which is listed in Appendix 1), which is a standing committee of the University Senate. The members of the Sub-Group, comprising staff with experience of previous research assessments or other relevant expertise, are listed in Appendix 1.

The Sub-Group may co-opt additional members of staff or invite additional staff to its discussions in order to best inform decision-making in relation to the REF submission.

The University's Equality and Diversity Officer will attend meetings of the Sub-Group in order to ensure that members are kept fully informed of the University's and the Sub-Group's equality and diversity obligations.

All members of the Sub-Group are required to have undertaken the University's centrally-provided REF-specific training in equality and diversity; a record of this training will be held by Human Resources.

c. Reporting

Meetings of the REF Sub-Group will be minuted and will include a record of discussions regarding the selection of staff for inclusion in the submission. Sections of this record, specific to a member of staff, will be made promptly available to the particular individual if they so request.

Minutes of meetings of the REF Sub-Group will be submitted to the University Research Committee.

As a member of the University's Senior Management Team (SMT), the Chair of the REF Sub-Group will be responsible for ensuring that SMT is regularly updated on the Sub-Group's work.

3.3 Coordinating Groups for Main Panels A, B, C and D

a. Terms of Reference

Four Coordinating Groups have been established by the REF Sub-Group, one for each of the Main Panels A, B, C and D. Each Main Panel Coordinating Group is responsible for:

- overseeing the development of, and recommending to the REF Sub-Group approval of, the submissions from each of the Units of Assessment (UoAs) within its remit;
- maintaining an active and informed dialogue with UoA Planning Groups on all aspects of their work associated with the preparation of their overall submissions;
- receiving and commenting on drafts of proposed submissions as developed by the relevant UoA Planning Groups and communicating with the REF Sub-Group on the basis of this assessment;
- reviewing the recommendations made by UoA Planning Groups on the inclusion or exclusion of staff from the REF submission and either endorsing those recommendations or inviting their reconsideration. The decision of a Main Panel Coordinating Group on the selection of staff, and the UoA they will be returned in, will take precedence over the recommendation of a UoA Planning Group, subject to any appeal from a member of staff against their exclusion from the submission in accordance with the procedure set out in section 4.10 of this document; the Dean of School is responsible for the communication of the final decision on the inclusion or exclusion of a member of staff from the submission to the member of staff concerned;
- in collaboration with the University's REF Equality and Diversity Working Group, ensure that preparation of the REF submission complies fully with the University's Code of Practice on the Selection of Staff.

b. Membership

Membership of the four Main Panel Coordinating Groups, comprising staff with experience of previous research assessments or other relevant expertise, is listed in Appendix 1. Each Panel will be chaired either by a Head of College or a nominated deputy; the Vice-Principal for Research and Enterprise or a nominated deputy will be a member of each Coordinating Group.

A Main Panel Coordinating Group may co-opt additional members of staff to its membership or invite additional staff to its discussions in order to best inform decision-making in relation to the REF submission, in particular with regard to any cross-College or UoA boundary issues.

The University's Equality and Diversity Officer will attend meetings of Main Panel Coordinating Groups in order to ensure that members are kept fully informed of the University's and the Group's equality and diversity obligations.

All members of Main Panel Coordinating Groups are required to have undertaken the University's centrally-provided REF-specific training in equality and diversity; a record of this training will be held by Human Resources.

c. Reporting

Meetings of Main Panel Coordinating Groups will be minuted and will include a record of discussions regarding the selection of staff for inclusion in the submission. Sections of this record, specific to a member of staff, will be made promptly available to the particular individual if they so request.

The Chairs of the Main Panel Coordinating Groups will be responsible for ensuring that the REF Sub-Group and College Boards are given regular updates on progress with preparations for the REF submission. Minutes of meetings of Main Panel Coordinating Groups will be submitted to the REF Sub-Group.

3.4 Unit of Assessment (UoA) Planning Groups and Coordinators

a. Terms of Reference

- The UoA Planning Groups are appointed by and have their authority delegated from the REF Sub-Group of the University Research Committee. Each UoA Planning Group is responsible for:
 - (i) preparing drafts of the UoA submission, informed by dialogue with staff potentially eligible for return within the UoA, and submitting these for feedback and approval by the relevant Main Panel Coordinating Group;
 - (ii) adopting the criteria and level definitions for assessing the quality of individual outputs and impact case studies published in the 'Assessment framework and guidance on submissions (REF 02.2011)' and 'Panel Criteria and Working Methods (REF 01.2012)' documents (section 1.4 refers);
 - (iii) making recommendations to the relevant Main Panel Coordinating Group on the inclusion of staff within the submission, informed by:
 - their judgement of the quality of individual outputs, guided by the adopted published criteria;
 - the University-wide minimum quality threshold (as defined in Section 4.5);
 - the results of externally assisted research reviews;
 - any decision of the University's Individual Circumstances Review Group (section 4.6(f) of this document refers) that the number of outputs required from a member of staff should be reduced.
 - (iv) providing feedback to staff on (i) their REF profile, including the outcome of any externally assisted reviews, and (ii) the UoA Planning Group's recommendation to the relevant Main Panel Coordinating Group on whether or not they should be included in the REF submission;
 - (v) informing staff of the appeals procedures against exclusion from the REF submission (section 4.10 of this document refers).
- Each UoA Planning Group will be chaired by the relevant UoA Coordinator. The responsibilities of the UoA Coordinator, working in collaboration with other members of the UoA Planning Group, are to:
 - (i) familiarise themselves with the rules and guidance governing the REF process and the University's engagement with it;

- (ii) lead on the planning and drafting of the UoA submission;
- (iii) identify and draw on good internal/external practice in the preparation of the UoA submission, taking full advantage of centrally-provided training and support;
- (iv) work to clarify any boundary issues between their UoA and any other UoAs;
- (v) ensure that clear recommendations are reached by the UoA Planning Group on the inclusion and exclusion of staff within the UoA submission;
- (vi) support staff in understanding the REF processes, in particular those with little or no experience of research assessment;
- (vii) liaise with support staff who are involved in supporting the REF process and in particular the Administrative Lead for REF, the REF & Policy Manager, and the REF Technical and Research Systems Manager – contact details available at: <https://secure.dundee.ac.uk/ref/>;
- (viii) report on progress to the relevant Main Panel Coordinating Group, on behalf of the UoA Planning Group.

b. Membership

UoA Planning Groups comprise the UoA Coordinator as Chair and at least two (or one if the size of the submission makes this impractical) members of staff from the same Unit of Assessment with experience of previous research assessments or other relevant expertise. The UoA Coordinators and other members of UoA Planning Groups are listed in Appendix 1.

A UoA Planning Group may co-opt additional members of staff or invite additional staff to its discussions in order to best inform decision-making in relation to the UoA submission, in particular with regard to any boundary issues between UoAs.

The University's Equality and Diversity Officer will brief the UoA Planning Groups to ensure that members are kept fully informed of the University's and the Group's equality and diversity obligations.

All members of UoA Planning Groups are required to have undertaken the University's centrally-provided REF-specific training in equality and diversity; a record of this training will be held by Human Resources.

c. Reporting

Meetings of UoA Planning Groups will be minuted and will include a record of discussions regarding the selection of staff for inclusion in the submission. Sections of this record, specific to a member of staff, will be made promptly available to the particular individual if they so request.

UoA Coordinators are responsible for ensuring that the relevant Main Panel Coordinating Group and School Boards are kept informed about progress with the preparation of the UoA submission on a regular basis.

Minutes of meetings of UoA Planning Groups will be submitted to the relevant Main Panel Coordinating Group.

Section 4: Code of Practice on the Selection of Staff

4.1 Introduction

- a. Each institution making a submission to the REF is required to draw up and implement a code of practice on the fair and transparent selection of staff. This will aid institutions in including all their eligible staff who are conducting excellent research, as well as promoting equality, complying with legislation and avoiding discrimination. On making a submission the head of institution will be required to confirm adherence to the code. Each institution's code will be published at the end of the assessment process together with its REF submission.
- b. Institutions must submit their codes of practice to the UK REF Team. A REF Equality and Diversity Advisory Panel (EDAP) will then examine all codes of practice and will advise the four UK higher education funding bodies (the Scottish Funding Council in Scotland) on conformity of the codes with the published REF requirements. The EDAP comprises experts from the higher education sector and members of REF panels – membership and terms of reference of the EDAP are available at: <http://www.ref.ac.uk/equality/equalityanddiversitypanel/>.
- c. This Code of Practice has been developed by the University's REF Equality and Diversity Working Group, chaired by the Director of Human Resources. The membership of the Working Group is listed in Appendix 1 and available at: <https://secure.dundee.ac.uk/ref/groupscommittees/equalityanddiversityworkinggroup/>. The Code has been developed in accordance with the guidance provided in the REF 2014 document 'Assessment framework and guidance on submissions (REF 02.2011)' available at: <http://www.ref.ac.uk/pubs/2011-02/>.

The Code sets out the procedures governing the selection of staff for inclusion in the REF submission and explains the responsibilities of the groups and committees within the University who will make decisions on the University's REF submission.

4.2 The Context

- a. The University must ensure that its preparations for the REF comply with its obligations as a public sector organisation and employer. A summary of the equality legislation with which the University is required to comply in preparing its REF submission is included in the 'Assessment framework and guidance on submissions (REF 02.2011)' (paragraph 201) and is reproduced in Appendix 2 of this document.
- b. The essential purpose of this Code of Practice is to ensure that the University's existing policies and codes of practice for meeting its obligations as a public sector organisation and employer apply to its preparations for REF in exactly the same way as they apply to all its other activities. None of the University's existing policies or codes of practice are replaced by this Code of Practice.
- c. The University will accordingly ensure through this Code of Practice, and the training provided to staff involved in the selection of staff to include in its REF submission, that its REF procedures do not discriminate unlawfully against individuals because of age, disability, gender identity, gender

reassignment, marriage and civil partnership, race, religion or belief, sex or sexual orientation or because they are pregnant or have recently given birth.

- d. The University will also ensure that fixed-term employees and part-time workers are not treated any less favourably than comparable employees on open-ended contracts or full-time workers.
- e. The University is fully committed to providing equality of opportunity for its staff, and it will approach the selection of staff to include in the REF submission on that basis.
- f. It will also conduct Equality Impact Assessments on this REF Code of Practice in order to evaluate any differential impact it may have on particular groups, in accordance with its public sector equality duty under the Equality Act 2010 (section 4.8 refers).

4.3 Principles

- a. Selection of staff for inclusion will be conducted solely in accordance with this Code of Practice.
- b. All eligible Category A and C staff as defined in the 'Assessment framework and guidance on submissions (REF 02.2011)' (paragraphs 78 to 83) will be considered for inclusion in the University's REF submission.
- c. All eligible staff who meet the University's minimum quality threshold for inclusion will be included within the REF submission; the minimum quality threshold is defined in section 4.5 below.
- d. Normally four research outputs will be required from each member of staff; staff may however be returned with fewer than four outputs without penalty where their circumstances have significantly constrained their ability to produce four outputs or to work productively throughout the assessment period (section 4.6).
- e. The decision to include or exclude staff will be solely based on the quality of their research outputs over the assessment period.
- f. An eligible staff member who is not selected for submission to REF will continue to receive mentoring and appropriate support through the normal management process.

4.4 Training

The University will ensure that it fulfils its obligations under current equality legislation and employment law, and meets the requirements of the REF, by providing REF-specific training on equality and diversity to all staff involved in the selection or appeals processes. The training will focus on REF processes and will be based on this Code of Practice along with the guidance, training materials and examples of case studies provided by EDAP and the Equality Challenge Unit (ECU). Participation in this training will be mandatory and a record of staff participation will be maintained by Human Resources.

4.5 Minimum Quality Threshold

The University has set a University-wide quality threshold for inclusion in the submission which is designed to ensure that its submission comprises research which meets the REF definitions of

internationally excellent (3*) and world-leading (4*). However, in recognition that some staff on an upward trajectory may not be able to meet this standard for all of their outputs, a maximum of one 2* (internationally recognised) output will be allowed for each member of staff returning four outputs. To be included in the submission therefore staff will need to have the majority of their outputs at 3* or 4* with the other output being not less than 2*.

Unit of Assessment Planning Groups and Main Panel Coordinating Groups (see section 4.9 below) will take care to ensure that the quality of the reduced number of outputs submitted by staff with individual circumstances (see section 4.6 below) is consistent with the above threshold.

4.6 Individual Staff Circumstances and Reduced Number of Outputs

- a. Eligible staff may be returned with fewer than four outputs without penalty in the assessment where their individual circumstances have significantly constrained their ability to produce four outputs or to work productively throughout the assessment period.
- b. The full set of arrangements concerning individual staff circumstances are set out in paragraphs 64 to 91 of Part 1 of the 'Panel criteria and working methods' document (REF 01.2012), which are reproduced in Appendix 3 of this document. The following paragraphs provide a summary of the arrangements. It is essential that staff also read Appendix 3.
- c. Within REF there are two categories of individual circumstances which may lead to a reduction in outputs. These are classified as 'clearly defined' and 'complex'.

(i) Clearly Defined Circumstances

In summary these are:

- being an early career researcher
- part-time working; career breaks or secondment outside Higher Education during which the individual did not undertake academic research
- periods of maternity, paternity or adoption leave
- Category A staff who are junior clinical academics and still completing their clinical training
- Category C staff who are employed primarily as clinical, health or veterinary professionals

Where a member of staff has one or more of the above clearly defined circumstances during the assessment period, the reduction in the number of outputs for that individual is based on a tariff system as explained below:

Early Career Researchers

The permitted reduction in outputs for early career researchers is shown in Table 1 below; the definition of an early career researcher is contained in paragraphs 85 to 86 within the 'Assessment framework and guidance on submissions (REF 02.2011)' available at <http://www.ref.ac.uk/pubs/2011-02/>:

Table 1

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

Part-time Working, Secondments or Career Breaks

The permitted reduction in outputs for part-time working, secondments or career breaks is shown in Table 2 below:

Table 2

Total months absent between 1 January 2008 and 31 October 2013 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

For part-time working, the equivalent 'total months absent' should be calculated by multiplying the number of months worked part-time by the full-time equivalent (FTE) **not** worked during those months. For example, for an individual who worked part-time for 30 months at 0.6 FTE the number of equivalent months absent = $30 \times 0.4 = 12$.

Qualifying periods of maternity, paternity or adoption leave

Staff outputs may be reduced by one, for each discrete period of:

- statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2008 to 31 October 2013, regardless of the length of the leave;

- additional paternity or adoption leave lasting for four months or more, taken substantially during the period 1 January 2008 to 31 October 2013.²

Any period of maternity, adoption or paternity leave that qualifies for the reduction of an output as described above may, in individual cases, be associated with prolonged constraints on work that justify the reduction of more than one output. In such cases, the circumstances should be explained using the arrangements for **complex circumstances** as described in section 4.6(c)(ii) below.

Combining clearly defined circumstances

Where individuals have had a combination of circumstances with clearly defined reductions in outputs, these may be accumulated up to a maximum reduction of three outputs. For each circumstance, the relevant reduction should be applied and added together to calculate the total maximum reduction. Paragraphs 82 to 85 of Appendix 3 set out the rules surrounding this.

Confidentiality

Information submitted about individuals' clearly defined circumstances will be kept confidential to the relevant REF sub-panel, the REF panel secretariat and the UK REF Team, and will be destroyed on completion of the REF.

(ii) **Complex Circumstances**

Circumstances that are more **complex** will require a judgement about the appropriate reduction in outputs; these are listed below:

- disability (as defined in Part 4, Table 2 of the 'Assessment framework and guidance on submissions (REF 02.2011)')
- ill health or injury
- mental health conditions
- constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances described in section 4.6(c)(i) above
- other caring responsibilities (such as caring for an elderly or disabled family member)
- gender reassignment
- other circumstances relating to the protected characteristics listed at paragraph 190 of the 'Assessment framework and guidance on submissions (REF 02.2011)' or relating to activities protected by employment legislation

² The definition of 'additional paternity or adoption leave' is given in paragraph 75b of Appendix 3; while the clearly defined reduction of outputs due to additional paternity or adoption leave is subject to a minimum period of four months, shorter periods of such leave can be taken into account as described in paragraph 80 in Appendix 3.

As far as is practicable, the information in the REF submission should provide an estimate – in terms of the equivalent number of months absent from work – of the impact of the complex circumstances on the individual's ability to work productively throughout the assessment period, and state any further constraints on the individual's research work in addition to the equivalent months absent. A reduction in the number of outputs required should be made according to Table 2 in section 4.6(c)(i) above in relation to estimated months absent from work, with further constraints taken into account as appropriate.

To aid institutions the Equality Challenge Unit (ECU) has published worked examples of complex circumstances, which will indicate how these calculations can be made and the appropriate reduction in outputs for a range of complex circumstances. These are available at: <http://www.ecu.ac.uk/documents/ref-materials/complex-circumstances-examples>.

Where staff have had one or more complex circumstances – including complex circumstances in combination with clearly defined circumstances – the institution will need to make a judgement on the appropriate reduction in the number of outputs submitted, and provide a rationale for this judgement. A combination of clearly defined and complex circumstances should be treated as complex circumstances so that a single judgement can be made about the appropriate reduction in outputs.

Confidentiality

Information submitted about individuals' complex circumstances will be kept confidential to the REF Equality and Diversity Advisory Panel, the REF Main Panel Chairs and the UK REF Team, and will be destroyed on completion of the REF. This information will not be seen by REF sub-panels.

d. 'Unclassified' Grading

Where an institution submits an individual with fewer than four outputs and they are not judged by the REF assessment process to have satisfied the criteria described in sections 4.6(c)(i) and (ii) above, any 'missing' outputs will be graded as 'unclassified'. It is therefore vital that the University applies these criteria in line with the REF guidance.

e. Written Statements

For each member of staff returned with fewer than four outputs, submissions must provide written details about the nature of the circumstance(s). For staff with clearly defined circumstances the written statement is limited to 200 words; for staff with complex circumstances it is limited to 300 words. Paragraphs 96 to 100 of the 'Assessment framework and guidance on submissions (REF 02.2011)' describe the reporting requirements in detail. The University will ensure that such statements are treated confidentially in accordance with the Data Protection Act 1998 and all other legal obligations.

f. The Individual Circumstances Review Group

Acting in accordance with the arrangements concerning individual staff circumstances outlined in section 4.6, the Individual Circumstances Review Group is responsible for:

- (i) determining whether or not the individual circumstances disclosed by a member of staff qualify them for return to the REF with fewer than four outputs;
- (ii) advising individual members of staff and the relevant UoA Planning Group and Main Panel Coordinating Group (sections 3.3 and 3.4 of this document refer) of its decisions; and
- (iii) preparing written statements of clearly defined and complex circumstances for inclusion in the REF submission; these will be used by the UK REF Team and/or EDAP to determine whether or not the reduction in outputs claimed is consistent with the guidance and is therefore accepted.

The UoA Planning Groups and Main Panel Coordinating Groups will receive information only on the number of outputs required for an individual; the nature of the circumstances leading to a reduction in the required number of outputs will be confidential to the Individual Circumstances Review Group.

The membership of the Individual Circumstances Review Group is set out in Appendix 1. Members of this group will have received REF-specific training on equality and diversity (section 4.4), and the administrative process associated with the disclosure of individual circumstances, prior to commencement of the process.

g. Completion of Individual Staff Circumstances Disclosure Form

All staff who wish to be considered for inclusion in the University's REF2014 submission, regardless of whether or not they have individual circumstances that they wish to be taken into account, should complete an Individual Staff Circumstances Disclosure Form; this can be found in Appendix 4 and via the University's REF 2014 web pages (<https://secure.dundee.ac.uk/ref/>). A request to complete this form will be circulated electronically in August 2012 with an initial deadline of **7 September 2012**. The procedure for completing and submitting this form will be circulated either electronically or by letter (as appropriate) to staff who are away from the University, using either their home or other contact details. The form should be returned to the University's Equality and Diversity Officer in accordance with the procedure set out in Appendix 4.

The Equality and Diversity Officer will ensure that the Individual Staff Circumstances Disclosure Forms are reviewed by the Individual Circumstances Review Group and a decision made on whether any individual circumstances reported qualify for a reduction in outputs. The decision of the Individual Circumstances Review Group will be promptly reported to the individual member of staff and the relevant Main Panel Coordinating Group and UoA Planning Group.

The University recognises that staff circumstances may change between 1 January 2008 and 31 October 2013. If the circumstances of a member of staff change (or continue for a further period) after they have returned their Individual Staff Circumstances Disclosure Form they should complete another copy of the form available from <https://secure.dundee.ac.uk/ref/> and return it to refequality@dundee.ac.uk for consideration by the Individual Circumstances Review Group.

All Individual Staff Circumstances Disclosure Forms will be destroyed on completion of the REF.

4.7 Fixed-Term and Part-Time Staff

The University has a positive approach to various alternative working arrangements such as fixed-term, part-time, flexible and job share patterns of working. All staff development and career development opportunities available to full-time staff are also available to staff on these different contractual arrangements. All such members of academic staff who meet the REF 2014 eligibility criteria will be considered for inclusion on the same basis as staff on open-ended and full-time contracts and will not be treated any less favourably. The University has a number of policies which are particularly relevant to fixed-term and part-time staff:

- Fixed-term Contract Policy: http://www.dundee.ac.uk/hr/policies-procedures/_lib/docs/fixed_term_contract_policy.doc
- Flexible Working: http://www.dundee.ac.uk/hr/work_life/flexible.htm
- Job Share / Part-Time Working: http://www.dundee.ac.uk/hr/work_life/jobshare-part-timeworking.htm
- Research Concordat - Summary of Activity and Action Plan to Support Implementation: http://www.dundee.ac.uk/hr/research/Research_Staff.htm

4.8 Equality Impact Assessment

An Equality Impact Assessment (EIA) has already been completed on the Code of Practice (see Appendix 5). The University will produce equality profiles in terms of age, disability, gender and ethnicity (and other protected groups for which data is available) of staff that are eligible for return as the REF submission is developed and will provide comparative profiles for those staff who are to be submitted and those who are not in order to determine whether the staff selection policy outlined in this Code of Practice has any differential impact on particular groups. Equality Impact Assessments (EIAs) will be conducted on the data gathered through: i) the preliminary assessment of all eligible staff; and ii) following final decisions on the selection of staff to be submitted in November 2013. If appropriate, EIAs will be conducted at other key stages of the process such as when considering appeals. If potential discrimination is identified, the University will either implement changes to the policy and procedures or justify the policy within the constraints of the law. EIAs will be published on the University's REF 2014 and Human Resources Equality and Diversity web pages.

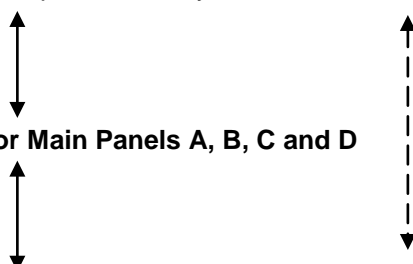
4.9 Decision-Making Process for REF

The University will employ a robust, transparent and informed system of planning, decision-making and reporting at all levels.

REF Sub-Group (Sub-Group of University Research Committee)

Coordinating Groups for Main Panels A, B, C and D

Unit of Assessment Planning Groups (Chaired by Unit of Assessment Coordinators)



The detailed terms of reference, membership, reporting and formation of the above groups are given in Section 3 of this document and it is essential that staff read this.

- a. Initial consideration of staff for inclusion will be carried out by the relevant Unit of Assessment (UoA) Planning Group, which is chaired by the relevant UoA Coordinator. The UoA Planning Groups (through the Coordinators) will report to the Main Panel Coordinating Groups with recommendations on which staff are to be included or excluded from the REF submission. Recommendations made by UoA Planning Groups on the inclusion or exclusion of staff are subject to the approval of the relevant Main Panel Coordinating Group and the appeals procedure set out in section 4.10. The Main Panel Coordinating Groups (through the Chairs) will report on progress with preparations for the REF to the REF Sub-Group, which has overall responsibility for implementing the University's REF strategy and managing the final submission, including final decisions on staff inclusion and exclusion, on behalf of the University Research Committee and the Principal. The Chair of the University Research Committee also chairs the REF Sub-Group and is responsible for ensuring that the University's Senior Management Team is fully briefed on the University's preparations for REF.
- b. The Chairs of the UoA Planning Groups, Main Panel Coordinating Groups and REF Sub-Group are responsible for ensuring that there is an informed dialogue between these groups on preparations for the REF.
- c. All members of staff who are members of the UoA Planning Groups, Main Panel Coordinating Groups and the REF Sub-Group are required to have undertaken the University's centrally-provided training in equality and diversity specific to the REF.
- d. As noted in Section 3, minutes of the proceedings of the UoA Planning Groups, Main Panel Coordinating Groups and REF Sub-Group will be kept. Sections of this record, specific to any staff member, will be made promptly available to that individual if he or she so requests.
- e. The Main Panel Coordinating Groups will ensure that staff who have not been selected for submission are informed within 5 working days of such a decision and in all cases by no later than **7 June 2013**; this communication will be carried out by the relevant Dean of School. The position of staff who start after the selection exercise has taken place will be considered on an individual basis.

4.10 Appeals Procedure

- a. Appeals against not being included in the University's REF submission will only be permitted on the grounds that the individual circumstances of a member of staff were not fully considered during the internal selection process (see section 4.6: 'Individual Staff Circumstances and Reduced Number of Outputs') or that the processes of selection outlined in this Code of Practice were not applied or were applied incorrectly or inconsistently.

Appeals will not be considered which are based solely on claims that an individual's research performance has been assessed by the University as being below the minimum quality threshold (section 4.5) for inclusion in the REF submission.

b. Informal Appeals Procedure

- (i) On the grounds that individual circumstances have not been fully considered:

Any member of staff who disagrees with a decision of the Individual Circumstances Review Group should, in the first instance, discuss the matter informally with either the Equality and Diversity Officer or the Director of Human Resources. If this discussion fails to resolve the matter the member of staff can ask the Individual Circumstances Review Group to reconsider their decision by providing: 1) an explanation of why they think the decision reached was incorrect, with reference to the published guidance on individual circumstances (reproduced in Appendix 3); and 2) any additional information on the nature of their individual circumstances they wish to disclose that was not included on their original Individual Staff Circumstances Disclosure Form. The information should be sent to refequality@dundee.ac.uk within 30 working days of receiving the decision from the Individual Circumstances Review Group or by **28 June 2013**, whichever is earlier. Staff who prefer not to discuss the matter initially with the Equality and Diversity Officer or the Director of Human Resources can request that the decision of the Individual Circumstances Review Group is reviewed by sending the required information to refequality@dundee.ac.uk according to the same timescales.

The Individual Circumstances Review Group will review the original decision, taking into account the information provided by the member of staff, and inform the member of staff of its final decision via the Equality and Diversity Officer or Director of Human Resources within 20 working days of receiving the information. If the final decision results in a change to the number of outputs required for the member of staff to be returned in the University's REF submission, this information will be promptly reported to the relevant UoA Planning Group and Main Panel Coordinating Group.

No further informal appeals to the Individual Circumstances Review Group will be allowed in respect of the particular circumstances considered, but should the individual circumstances of staff change subsequent to the appeal they can disclose the new circumstances by completing another Individual Staff Circumstances Disclosure Form available from the University's REF2014 web pages (<https://secure.dundee.ac.uk/ref/>) and submitting it to refequality@dundee.ac.uk.

- (ii) On the grounds that the procedures governing selection set out in the Code of Practice were not applied or were applied incorrectly or inconsistently:

Any member of staff who disagrees with a decision to exclude them from the REF submission on the basis that the procedures governing the selection of staff outlined in this Code of Practice were not applied or were applied incorrectly or inconsistently should, in the first instance, raise the matter informally with their Dean. It is the responsibility of the Dean to investigate the matter and to attempt to resolve it within 10 working days of his/her being first notified. The Dean will arrange to meet with the member of staff and will be free to seek advice and guidance from other members of staff as he/she deems necessary, including the relevant Head of College and the Vice-Principal for Research and Enterprise.

An informal appeal may not be submitted after **28 June 2013** unless the individual circumstances of a member of staff change after this date; staff who start after the selection exercise will be considered on an individual basis.

All staff involved in the informal appeals procedures will respect the confidentiality of the process and the individual member of staff.

c. Formal Appeal Procedure

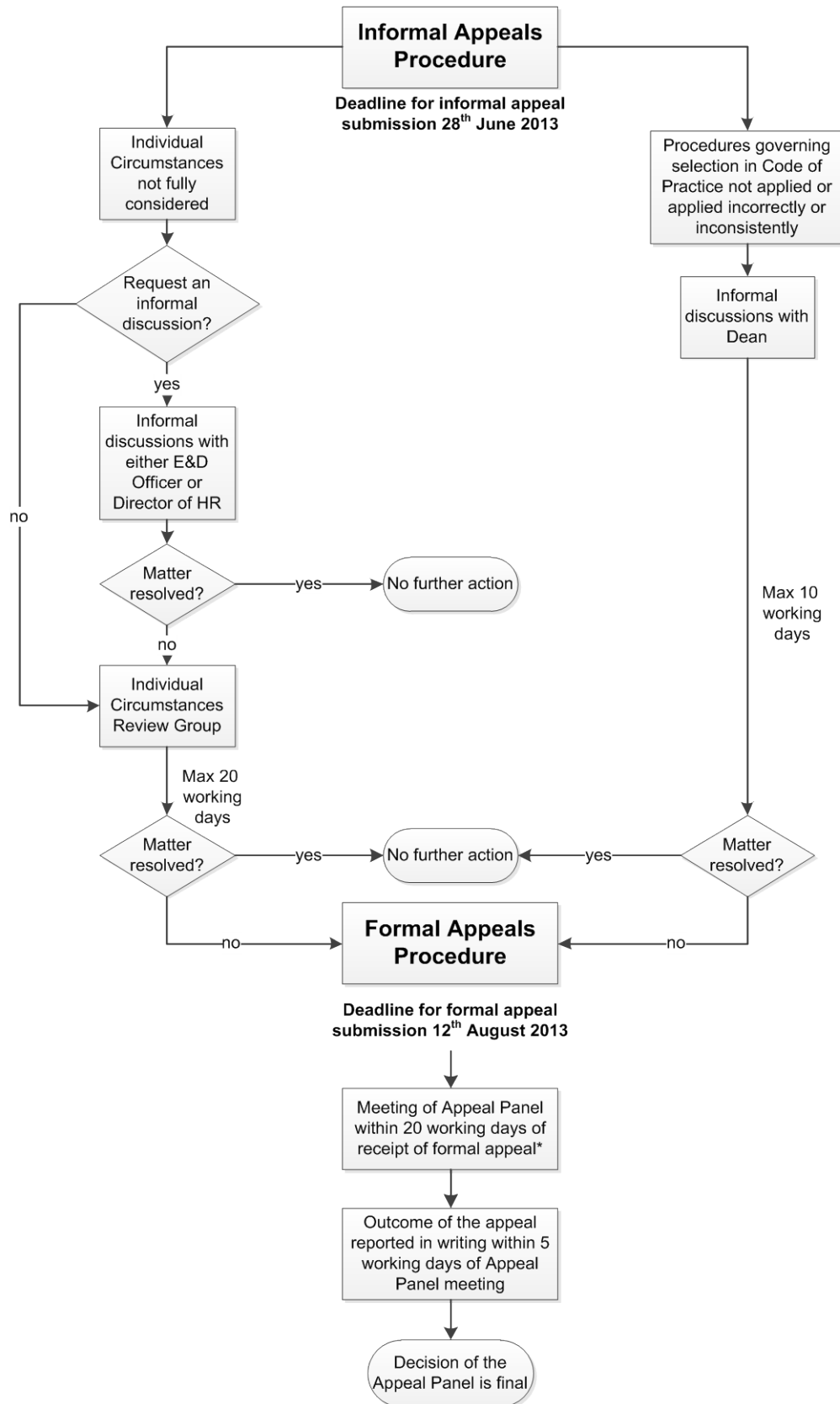
- (i) Should the informal appeals procedures set out above fail to resolve the matter, it shall, if the member of staff concerned wishes, become subject to the following formal appeals procedure.
- (ii) Any formal appeal by an individual member of staff must be lodged in writing with the Director of Policy, Governance and Legal Affairs by **12 August 2013** clearly stating the grounds for appeal; staff who start after the selection exercise will be considered on an individual basis.
- (iii) All eligible academic staff that have been identified for exclusion will have the right to appeal on the grounds that:
 - their 'individual circumstances' as outlined in section 4.6 above, have not been properly taken into account;
 - the procedures governing the selection of staff set out in this Code of Practice were not applied or were applied incorrectly or inconsistently.
- (iv) In order to take the appeal forward the Director of Policy, Governance and Legal Affairs or nominated Deputy will set up an Appeal Panel constituted as follows:
 - two members of academic staff who have received REF-specific equality and diversity training, at least one of whom will be selected from the academic members of staff serving on REF 2014 UoA expert sub-panels, and neither of whom must be from the same School as the appellant, or have been previously otherwise involved in the case.
 - the University Secretary or nominated Deputy will act as Panel Chair;
 - a member of administrative staff will act as a secretary to the Appeal Panel and provide a written note of the appeal hearing.

The Appeal Panel will meet at the latest within 20 working days of the appeal being lodged. Subject to section 4.10(c)(ii) above, the appellant is entitled to:

- reasonable written notice (normally up to 5 working days, but less by mutual agreement) of the date of the appeal hearing;
- the opportunity to be accompanied by a trade union representative or a colleague from work for the purpose of presenting their case;
- have the meeting postponed to another mutually agreed time but within 5 working days of the original date, if the appellant or their representative will not be available on the original date;

- have access to all material relevant to their case;
 - present their perspective of the issues under consideration;
 - be given the decision of the Appeal Panel in writing.
- (v) The Panel hearing the case will:
- conduct the meeting to establish the relevant facts, ensuring good order and acting in good faith;
 - have access to all material relevant to the case;
 - reject any invalid grounds of appeal and explain their reasons for doing so;
 - consider valid grounds of appeal;
 - review the decision taken during the informal appeals process informed by any documentation considered during that process or a report from the relevant Dean;
 - review the formal appeals paperwork submitted by the appellant;
 - confirm its decision and the reasons for it, in writing, to the individual and the Vice-Principal for Research and Enterprise, within 5 working days of the hearing, who in turn will inform the REF & Policy Manager and the relevant Dean and UoA Coordinator.
- (vi) The Panel will have the ultimate power to reinstate an individual into the REF 2014 submission or to reject the appeal. The decision is final in respect of the University's REF 2014 submission.
- (vii) There is no further right of appeal under this procedure, although future changes in individual circumstances can be considered by the Individual Circumstances Review Group.

A summary of the appeals timeline is given below:



* Staff receive up to 5 working days notice of date of meeting but may delay the meeting by up to 5 working days if they and/or their representative are not available.

4.11 Data Protection

The University has an obligation to provide specified personal information about its staff within the REF submission. The University will only provide that information which it is obliged to submit. University staff involved in preparing the University's REF submission will exercise due care and ensure that information is accurate and processed in accordance with the requirements of the Data Protection Act 1998. Staff being considered for submission to the REF, or included in the return, have a right of access to their personal data.

4.12 External Assessors

External assessors may be invited to comment on the quality of the University's research on the basis of the published REF criteria. However, they will not decide which staff will be submitted or be given any information relating to individual staff circumstances.

4.13 Joint Submissions

In the event of any joint submission, the University will make this Code of Practice available to any collaborating institution, and will ensure that joint decision-making does not compromise adherence to the principles and processes set out in the Code.

4.14 Communication

- a. The University has introduced a programme of communication activity in order to raise awareness of the Internal Framework for Engagement with REF 2014 including this Code of Practice on Selection of Staff. This includes:
- b. Involvement of all relevant committees and groups of the University, including equality staff networks and academic staff;
- c. Publication on the University's REF 2014 website: <https://secure.dundee.ac.uk/ref/codeofpractice/>;
- d. Informing all academic staff once the Code of Practice is available via the University's internal distribution list;
- e. Human Resources, in collaboration with Deans, communicating the Code of Practice directly to staff who are absent from work or are known to be unable to access e-mails or the internet;
- f. Announcing the launch of the Code of Practice via other communication channels such as 'Contact', the magazine of the University of Dundee;
- g. Briefings and training sessions.

4.15 Relevant Equality Legislation

- a. Equality Act 2010 - see Table 2, Part 4 'Codes of practice on the selection of staff', pages 36 to 38 of the 'Assessment framework and guidance on submissions (Ref 02.2011)' and as contained in Appendix 2

- b. Fixed-Term Employees (prevention of less favourable treatment) Regulations 2002
- c. Part-Time Workers (prevention of less favourable treatment) Regulations 2000

4.16 Relevant University Policies

- a. Equal Opportunities Policy: http://www.dundee.ac.uk/hr/equality/equal_opportunity.htm
- b. Race Equality Policy and Action Plan: <http://www.dundee.ac.uk/hr/equality/race.htm>
- c. Dignity at Work and Study Policy: <http://www.dundee.ac.uk/hr/equality/dignity.htm>
- d. Family Friendly Policies: http://www.dundee.ac.uk/hr/work_life/

4.17 Useful Contacts/Websites

- a. Internal Equality and Diversity website: <http://www.dundee.ac.uk/hr/equality/>
- b. Internal University REF 2014 website: <https://secure.dundee.ac.uk/ref/>
- c. National REF 2014 website: <http://www.ref.ac.uk/>
- d. Equality Challenge Unit: <http://www.ecu.ac.uk/our-projects/REF>
- e. Equality & Human Rights Commission: <http://www.equalityhumanrights.com/>
- f. Disability Equality Scheme:
<http://www.dundee.ac.uk/studentservices/disabilityservices/des2010-12/index.htm>

4.18 Further Information

For primarily academic and strategic matters relating to REF2014, please contact Professor John Connell, Vice-Principal for Research and Enterprise (Tel: 01382 383171; e-mail: j.m.connell@dundee.ac.uk).

For matters primarily associated with the interpretation of the REF guidelines and administrative support for REF please contact Dr Clive Randall, REF and Policy Manager (Tel: 01382 385896; e-mail: c.randall@dundee.ac.uk) or Graeme Findlay, Deputy Director of Research and Innovation Services and Administrative Lead for REF (Tel: 01382 385649; e-mail: g.r.w.findlay@dundee.ac.uk).

For information on Equality and Diversity matters, please contact Ajit Trivedi, Equality and Diversity Officer (Tel: 01382 388951; e-mail: a.trivedi@dundee.ac.uk) or Pamela Milne, Director of Human Resources (Tel: 01382 384014; e-mail: p.a.milne@dundee.ac.uk).

Section 5: Support Functions

5.1 REF Equality and Diversity Working Group

The REF Equality and Diversity Working Group is responsible for overseeing the preparation and development of the Code of Practice on the Selection of Staff for REF 2014. The Working Group will consider and approve the final draft version of the Code of Practice for forwarding to the University Research Committee (a Committee of the Senate), Human Resources Committee (a Committee of the University Court), Senate and Court for final approval. Once approved the Code of Practice will be published and disseminated widely within the University. All staff with REF responsibilities will be directed to the Code of Practice.

The Working Group will be responsible for organising appropriate equality and diversity training for all individuals and groups involved in making decisions regarding REF submissions. The Working Group is chaired by the Director of Human Resources.

Membership of the Group is listed in Appendix 1.

5.2 REF 2014 Support Group

The Group's remit is to:

- a. fully understand the REF submission methodologies and mechanisms;
- b. assist with the drafting of a Code of Practice on the Selection of Staff to promote equality and diversity, compliance with legislation and avoidance of discrimination in the process of preparing for REF;
- c. assist with the implementation of information systems necessary to support the submission, in particular a Research Information Management System;
- d. maintain links at a sector level, including membership of the Scottish REF 2014 Managers' Group.
- e. ensure that the academic community and in particular the UoA Coordinators, UoA Planning Groups, Main Panel Coordinating Groups and REF Sub-Group are promptly and fully informed of REF rules, guidance, criteria and initiatives;
- f. provide support, in particular for UoA Coordinators and UoA Planning Groups, with the preparation of submissions, working in collaboration with the established network of local level staff;
- g. provide support, in particular to UoA Coordinators and UoA Planning Groups, in identifying strengths and weaknesses in submissions and having identified weaknesses, assist with improving the quality of submissions;
- h. maintain an effective dialogue with staff who have been appointed to expert assessment panels;
- i. informed by the UK REF timetable, assist the REF Sub-Group in establishing an internal timetable of events leading up to the REF submission;

- j. support the collation and submission of data as part of the REF submission liaising as necessary with the Finance Office, Research and Innovation Services, External Relations, the Library & Learning Centre, Information Services, Human Resources and the Registry;

Membership of the Group is listed in Appendix 1.

5.3 University REF 2014 Website

The University's internal REF website contains information on all aspects of the REF and the University's plans for engagement with it. Details of past and future REF training events are included in the site, which can be accessed at: <https://secure.dundee.ac.uk/ref/>.

University Research Committee

10 May 2012

Appendices

Appendix 1: Membership of Committees with Designated REF Responsibilities

Committee memberships will be updated on the University's REF 2014 website should there be any changes prior to the deadline for submission.

University Research Committee

NAME	POSITION
Prof John Connell	Vice-Principal, Research and Enterprise (Convenor)
Prof Jill Belch	R&D Director of Tayside Medical Science Centre
Prof Julian Blow	Director of Wellcome Trust Centre for Gene Regulation and Expression
Prof Peter Davies	Director of Research, School of Engineering, Physics and Mathematics
Prof Vicki Hanson	Professor of Inclusive Technologies, School of Computing
Prof Alan Page	Dean of School of Law
Prof Stephen Partridge	Dean of Research, Duncan of Jordanstone College of Art and Design
Professor Frank Sullivan	Head of Population Sciences, School of Medicine
Ms Diane Taylor	Director, Research and Innovation Services
Prof Christopher Whatley	Vice-Principal and Head of College of Arts and Social Sciences

REF Equality and Diversity Working Group

NAME	POSITION
Mrs Pamela Milne	Director, Human Resources (Convenor)
Prof John Connell	Vice Principal, Research and Enterprise*
Dr Maria Ana Cataluna	Lecturer, Division of Electronic Engineering, Physics and Renewable Energy
Prof Nicholas Davey	Professor of Philosophy
Mr Graeme Findlay	Deputy Director, Research and Innovation Services and Administrative Lead for REF
Dr Carlo Morelli	Representative, Dundee University and College Union
Prof Alan Page	Dean of School of Law
Dr Clive Randall	REF and Policy Manager
Prof Charlotte Rees	Professor of Education Research and Director, Centre for Medical Education
Mr Ajit Trivedi	Equality and Diversity Officer

* Prof Irene Leigh served on the Group as Vice-Principal for Research and Enterprise until 31 December 2012.

REF Sub-Group

NAME	POSITION
Prof John Connell	Vice Principal, Research and Enterprise (Convenor)
Prof Sue Black	Professor of Anatomy and Forensic Anthropology
Prof Julian Blow	Director of Wellcome Trust Centre for Gene Regulation and Expression
Prof Michael Coughtrie	Operations Director, Medical Research Institute
Prof Peter Davies	Director of Research, School of Engineering, Physics and Mathematics
Prof Alan Fairlamb	Head of Division of Biological Chemistry and Drug Discovery
Prof Malcolm Horner	Acting Head of College of Art, Science and Engineering
Prof Peter Kitson	Academic and Research Leader, English programme, School of Humanities
Prof Tracy Mackenna	Professor of Contemporary Art Practice
Prof Alan Page	Dean of School of Law
Prof Stephen Partridge	Dean of Research, Duncan of Jordanstone College of Art and Design
Prof Charlotte Rees	Professor of Education Research and Director, Centre for Medical Education
Prof Robert Steele	Professor of Surgery

Main Panel Coordinating Groups:**Panel A**

NAME	POSITION
Prof Doreen Cantrell	Vice Principal and Head of College of Life Sciences (Convenor)
Prof Jill Belch	R&D Director of Tayside Medical Science Centre
Prof John Connell	Vice Principal, Research and Enterprise
Prof Trevor Harley	Dean of School of Psychology
Prof Mark Hector	Dean of School of Dentistry
Prof Hari Hundal	Deputy Head of Division of Cell Signalling and Immunology
Prof Margaret Smith	Dean of School of Nursing and Midwifery
Prof Roland Wolf	Co-Director of Medical Research Institute

Panel B

NAME	POSITION
Prof Rod Jones	Dean of School of Engineering, Physics and Mathematics (Convenor)

Prof John Connell	Vice Principal, Research and Enterprise
Prof Stephen Decent	Vice-Principal and Head of College of Art, Science and Engineering*
Prof Sandy Fitzgerald	Emeritus Professor (Physics)
Dr Janet Hughes	Dean and Head of School of Computing

* From 1 September 2012

Panel C

NAME	POSITION
Prof Christopher Whatley	Vice-Principal and Head of College of Arts and Social Sciences (Convenor)
Prof Rob Duck	Dean of the School of the Environment
Prof Catia Montagna	Deputy Dean of the School of Business
Prof Yolande Muschamp	Dean of the School of Education, Social Work and Community Education
Prof Alan Page	Dean of School of Law

Panel D

NAME	POSITION
Prof David Finkelstein	Dean of School of Humanities (Convenor)
Prof Nicholas Davey	Professor of Philosophy
Prof Stephen Decent	Vice-Principal and Head of College of Art, Science and Engineering*
Prof Tom Inns	Dean of Duncan of Jordanstone College of Art and Design
Prof Alan Page	Dean of School of Law
Prof Andrew Roberts	Professor of English
Dr Sandra Wilson	Senior Lecturer and Course Director, Duncan of Jordanstone College of Art and Design

* From 1 September 2012.

UoA Planning Groups/Coordinators*

UNIT OF ASSESSMENT	Panel	NAME	POSITION
1: Clinical Medicine	A	Prof Michael Coughtrie (Coordinator)	Operations Director, Medical Research Institute
		Prof Paul Clarke	Professor of Cancer Cell Biology
		Prof Chim Lang	Professor of Cardiology
2: Public Health, Health Services and Primary Care	A	Prof Blair Smith (Coordinator)	Professor of Population Health Sciences
		Prof Peter Donnan	Professor of Epidemiology and Biostatistics
		Prof Bruce Guthrie	Professor of Primary Care

3: Allied Health Professions, Dentistry , Nursing and Pharmacy**	A	Prof Nigel Pitts (Coordinator)	Professor of Dental Health
		Prof Peter Mossey	Associate Dean for Research, School of Dentistry
		Prof David Ricketts	Professor of Cariology and Conservative Dentistry
3: Allied Health Professions, Dentistry, Nursing and Pharmacy**	A	Prof Martyn Jones (Coordinator)	Professor, Nursing and Midwifery
		Dr Bridget Johnston	Senior Research Fellow, Nursing and Midwifery
		Prof Nora Kearney	Professor of Nursing and Cancer Care
		Prof Mary Renfrew	Professor, Nursing and Midwifery
4: Psychology, Psychiatry and Neuroscience	A	Prof Timothy Hales (Coordinator)	Head of Neuroscience (non-clinical)
		Dr Roger van Gompel	Senior Lecturer, Psychology
		Keith Matthews	Head of Neuroscience (clinical)
		Dr Benjamin Tatler	Reader in Psychology
5: Biological Sciences	A	Prof Julian Blow (Coordinator)	Director of Wellcome Trust Centre for Gene Regulation and Expression
		Prof Alan Fairlamb	Head of Division of Biological Chemistry and Drug Discovery
		Prof Mike Ferguson	Dean of Research, College of Life Sciences
		Prof Kate Storey	Head of Division of Cell and Developmental Biology
10: Mathematical Sciences	B	Prof Mark Chaplain (Coordinator)	Professor, Mathematics
		Dr Fordyce Davidson	Reader in Mathematics
		Dr Gunnar Hornig	Reader in Mathematics
11: Computer Science and Informatics	B	Prof Chris Reed (Coordinator)	Professor of Computer Science and Philosophy
		Prof Vicki Hanson	Professor of Inclusive Technologies
		Dr Ekaterina Komendantskaya	Lecturer, Computing
		Prof Emanuele Trucco	Professor of Computational Vision
14: Civil and Construction Engineering	B	Prof Peter Davies (Coordinator)	Professor of Fluid Dynamics
		Prof Ping Dong	Head of Division of Civil Engineering
		Dr Jonathan Knappett	Lecturer, Civil Engineering
15: General Engineering	B	Dr Paul Campbell (Coordinator)	Reader in Physics
		Prof Sandy Cochran	Professor of Biophysical Science and Engineering
		Prof Peter Davies	Professor of Fluid Dynamics
		Dr Robert Keatch	Head of Division of Mechanical Engineering and Mechatronics

		Prof Mervyn Rose	Head of Division of Electronic Engineering and Physics
16: Architecture, Built Environment and Planning	C	Dr Lorens Holm (Coordinator)	Reader in Architecture
		Dr Neil Burford	Senior Lecturer, Architecture
		Mr Graeme Hutton	Associate Dean and Head of Architecture and Planning
17: Geography, Environment Studies and Archaeology	C	Prof Terry Dawson (Coordinator)	Professor of Global Environmental Change
		Dr John Rowan	Reader in Geography
		Dr Lorraine Van Blerk	Senior Lecturer, Geography
18: Economics and Econometrics	C	Dr Arnab Bhattacharjee (Coordinator)	Reader in Economics
		Dr Paul Allanson	Head of Economic Studies
		Prof Hassan Molana	Professor of Economics and Economic Studies
19: Business and Management Studies	C	Prof Robin Roslender (Coordinator)	Professor of Accounting and Finance
		Dr Bruce Burton	Reader in Finance
		Prof David Collison	Head of Accounting and Finance
		Dr Anne Fearfull	Senior Lecturer, Accounting and Finance
20: Law	C	Prof Pamela Ferguson (UoA Coordinator)	Professor of Scots Law
		Prof Peter McEleavy	Professor of International Family Law
		Prof Fiona Raitt	Professor of Evidence and Social Justice
		Prof Peter Cameron (Coordinator for Graduate School)	Associate Dean for Research, Graduate School of Natural Resources Law, Policy and Management
21: Politics and International Studies	C	Dr Cameron Ross (Coordinator)	Reader in Politics
		To be appointed [†]	
		To be appointed [†]	
22: Social Work and Social Policy	C	Prof Tim Kelly (Coordinator)	Professor of Social Work
		Prof Jennifer Harris	Professor, Social Work
		Dr Murray Simpson	Senior Lecturer, Social Work
25: Education	C	Prof Brian Hudson (Coordinator)	Professor of Education
		Prof David Miller	Senior Lecturer, Education
		Prof Charlotte Rees	Professor of Education Research and Director, Centre for Medical Education
		Prof Divya Jindal-Snape	Professor, Education

29: English Language and Literature	D	Prof Peter Kitson (Coordinator)	Professor of English
		Dr Keith Williams	Senior Lecturer, English
		Prof Andrew Roberts ^{††}	Professor of English
30: History	D	Prof James Tomlinson (Coordinator)	Professor of History
		Prof Callum Brown	Professor of Religious and Cultural History
		Dr Alan MacDonald	Senior Lecturer, History
		Prof Perry Willson	Professor, History
32: Philosophy*	D	Prof James Williams (Coordinator)	Professor of European Philosophy
		Dr Beth Lord	Senior Lecturer, Philosophy
34: Art and Design: History, Practice and Theory	D	Prof Stephen Partridge (Coordinator)	Dean of Research, Duncan of Jordanstone College of Art and Design (DJCAD)
		Prof Calum Colvin	Professor, DJCAD
		Prof Nigel Johnson	Professor, DJCAD
		Prof Murdo MacDonald	Professor, DJCAD
		Prof Tracy Mackenna	Professor of Contemporary Art Practice
		Dr Anna Notaro	Lecturer, DJCAD
		Dr Shaleph O'Neill	Senior Lecturer, DJCAD
		Prof Mike Press	Professor, DJCAD
		Mr Graham Pullin	Senior Lecturer, DJCAD
		Mr Peter Richardson	Lecturer, DJCAD
		Dr Jon Rogers	Senior Lecturer, DJCAD
		Prof Elaine Shemilt	Professor, DJCAD
		Dr Louise Valentine	Lecturer, DJCAD
		Mr Arthur Watson	Senior Lecturer, DJCAD
		Ms Mel Woods	Lecturer, DJCAD

* Note: The appointment of a UoA Coordinator and formation of a UoA Planning Group does not guarantee that the University will make a submission to that UoA; final decisions on which UoAs the University will submit to are the responsibility of the REF Sub-Group.

** An application will be made to the UK REF Team for permission to make a multiple submission (separate submissions in Dentistry and Nursing) for UoA3.

† The membership of the UoA21 Planning Group will be confirmed following the appointment of new staff in the latter half of 2012.

†† Will be a member of both Main Panel Coordinating Group D and the UoA29 Planning Group until December 2012, while the UoA29 Coordinator is on research leave. Thereafter, will only be a member of Main Panel Coordinating Group D.

Individual Circumstances Review Group

NAME	POSITION
Mrs Pamela Milne	Director of Human Resources (Convenor)
Prof Rami Abboud	Chair, Black and Minority Ethnic Staff Network
Prof Sue Black	Professor of Anatomy and Forensic Anthropology
Dr Martin Glover	Policy Officer, Policy Governance and Legal Affairs (Secretary)*
Ms Shirley Hill	Head of Disability Services
Dr Christine Milburn	Policy Officer, Policy Governance and Legal Affairs (Secretary)*
Dr Clive Randall	REF and Policy Manager
Prof Charlotte Rees	Professor of Education Research and Director, Centre for Medical Education
Dr Alison Reeves	Reader in Environmental Sciences
Mrs Isla Reid	Occupational Health Nurse
Dr Pieta Schofield	Chair, Lesbian, Gay, Bisexual and Transgender (LGBT) Staff Network
Mr Ajit Trivedi	Equality and Diversity Officer

* Joint responsibility for secretarial support.

REF 2014 Support Group

NAME	POSITION
Dr Clive Randall	REF and Policy Manager, Research and Innovation Services (RIS) (Convenor)
Miss Judith Barnard	Director of External Relations
Dr Ann Brown	REF Technical and Research Systems Manager, RIS
Mr Tony Burns	Deputy Director, Registry
Miss Sarah Christie	HR Systems Officer, Human Resources
Prof Michael Coughtrie	Operations Director, Medical Research Institute
Mr Graeme Findlay	Deputy Director, RIS, and Administrative Lead for REF
Mrs Michelle Hendry	Administrative Assistant and PA to VP for Research and Enterprise
Dr Caroline Hyland-Crichton	Head of Research Business Development, RIS
Mr Ajit Trivedi	Equality and Diversity Officer, Human Resources
Mrs Hannah Whaley	Assistant Director (Research and Systems), Library and Learning Centre
Miss Susan Young	Senior Management Accountant, Finance Office

Appendix 2: Summary of Equality Legislation

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

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

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

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

Appendix 3: Individual Staff Circumstances

The full set of arrangements concerning individual staff circumstances are set out below (extract from 'Panel Criteria and Working Methods' document (REF 01.2012), paragraphs 64-91):

64. Up to four research outputs must be listed against each member of staff included in the submission. A maximum of four outputs per researcher will provide panels with a sufficient selection of research outputs from each submitted unit upon which to base judgements about the quality of that unit's outputs. Consultations on the development of the REF confirmed that this is an appropriate maximum volume of research outputs for the purposes of assessment.
65. As a key measure to support equality and diversity in research careers, in all UOAs individuals may be returned with fewer than four outputs without penalty in the assessment, where their individual circumstances have significantly constrained their ability to produce four outputs or to work productively throughout the assessment period. This measure is intended to encourage institutions to submit all their eligible staff who have produced excellent research.
66. HEIs are allowed to list the maximum of four outputs against any researcher, irrespective of their circumstances or the length of time they have had to conduct research. A minimum of one output must be listed against each individual submitted to the REF.
67. In order to provide clarity and consistency on the number of outputs that may be reduced without penalty, there will be a **clearly defined** reduction in outputs for those types of circumstances listed at paragraph 69a. Circumstances that are more **complex** will require a judgement about the appropriate reduction in outputs; these are listed at paragraph 69b. Arrangements have been put in place for complex circumstances to be considered on a consistent basis, as described at paragraphs 88-91.
68. Where an individual is submitted with fewer than four outputs and they do not satisfy the criteria described at paragraphs 69-91 below, any 'missing' outputs will be graded as 'unclassified'.
69. Category A and C staff may be returned with fewer than four outputs without penalty in the assessment, if one or more of the following circumstances significantly constrained their ability to produce four outputs or to work productively throughout the assessment period:
 - a. Circumstances with a **clearly defined** reduction in outputs, which are:
 - i. Qualifying as an early career researcher (on the basis set out in paragraph 72 and Table 1 below).
 - ii. Absence from work due to working part-time, secondments or career breaks (on the basis set out in paragraphs 73-74 and Table 2 below).
 - iii. Qualifying periods of maternity, paternity or adoption leave (on the basis set out in paragraphs 75-81).
 - iv. Other circumstances that apply in UOAs 1-6, as defined at paragraph 86.
 - b. **Complex circumstances** that require a judgement about the appropriate reduction in outputs, which are:
 - i. Disability. This is defined in 'guidance on submissions' Part 4, Table 2 under 'Disability'.

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

Clearly defined circumstances

- 70. Where an individual has one or more circumstances with a clearly defined reduction in outputs, the number of outputs that may be reduced should be determined according to the tables and guidance in paragraphs 72-86 below. All sub-panels will accept a reduction in outputs according to this guidance and will assess the remaining number of submitted outputs without any penalty.
- 71. In REF1b, submissions must include sufficient details of the individual’s circumstances to show that these criteria have been applied correctly. The panel secretariat will examine the information in the first instance and advise the sub-panels on whether sufficient information has been provided and the guidance applied correctly. The panel secretariat will be trained to provide such advice, on a consistent basis across all UOAs. Where the sub-panel judges that the criteria have not been met, the ‘missing’ output(s) will be recorded as unclassified. (For example, an individual became an early career researcher in January 2011 but only one output is submitted rather than two. In this case the submitted output will be assessed, and the ‘missing’ output recorded as unclassified.)

Early career researchers

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

Table 1 Early career researchers: permitted reduction in outputs

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

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

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

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

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

Total months absent between 1 January 2008 and 31 October 2013 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

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

Qualifying periods of maternity, paternity or adoption leave

75. Individuals may reduce the number of outputs by one, for each discrete period of:
- a. Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2008 to 31 October 2013, regardless of the length of the leave.
 - b. Additional paternity or adoption leave³ lasting for four months or more, taken substantially during the period 1 January 2008 to 31 October 2013.
76. The approach to these circumstances is based on the funding bodies' considered judgement that the impact of such a period of leave and the arrival of a new child into a family is generally sufficiently disruptive of an individual's research work to justify the reduction of an output. This judgement was informed by the consultation on draft panel criteria, in which an overwhelming majority of respondents supported such an approach.
77. The funding bodies' decision not to have a minimum qualifying period for maternity leave was informed by the sector's clear support for this approach in the consultation; recognition of the potential physical implications of pregnancy and childbirth; and the intention to remove any artificial barriers to the inclusion of women in submissions, given that women were significantly less likely to be selected in former RAE exercises.

³ 'Additional paternity or adoption leave' refers to leave of up to 26 weeks which is taken to care for a child where the person's spouse, partner or civil partner was entitled to statutory maternity leave or statutory adoption leave, and has since returned to work. The term 'additional paternity leave' is often used to describe this type of leave although it may be taken by parents of either gender. For the purposes of the REF we refer to this leave as 'additional paternity or adoption leave'.

78. The funding bodies consider it appropriate to make the same provision for those regarded as the 'primary adopter' of a child (that is, a person who takes statutory adoption leave), as the adoption of a child and taking of statutory adoption leave is generally likely to have a comparable impact on a researcher's work to that of taking maternity leave.
79. As regards additional paternity or adoption leave, researchers who take such leave will also have been away from work and acting as the primary carer of a new child within a family. The funding bodies consider that where researchers take such leave over a significant period (four months or more), this is likely to have an impact on their ability to work productively on research that is comparable to the impact on those taking maternity or statutory adoption leave.
80. While the clearly defined reduction of outputs due to additional paternity or adoption leave is subject to a minimum period of four months, shorter periods of such leave can be taken into account as follows:
 - a. By seeking a reduction in outputs under the provision for complex circumstances, for example where the period of leave had an impact in combination with other factors such as ongoing childcare responsibilities.
 - b. By combining the number of months for shorter periods of such leave in combination with other clearly defined circumstances, according to Table 2.
81. Any period of maternity, adoption or paternity leave that qualifies for the reduction of an output under the provisions in paragraph 75 above may in individual cases be associated with prolonged constraints on work that justify the reduction of more than one output. In such cases, the circumstances should be explained using the arrangements for complex circumstances.

Combining clearly defined circumstances

82. Where individuals have had a combination of circumstances with clearly defined reductions in outputs, these may be accumulated up to a maximum reduction of three outputs. For each circumstance, the relevant reduction should be applied and added together to calculate the total maximum reduction.
83. Where Table 1 is combined with Table 2, the period of time since 1 January 2008 up until the individual met the definition of an early career researcher should be calculated in months, and Table 2 should be applied.
84. When combining circumstances, only one circumstance should be taken into account for any period of time during which they took place simultaneously. (For example, an individual worked part-time throughout the assessment period and first met the definition of an early career researcher on 1 September 2009. In this case the number of months 'absent' due to part-time working should be calculated from 1 September 2009 onwards, and combined with the reduction due to qualifying as an early career researcher, as indicated in paragraph 83 above.)
85. Where an individual has a combination of circumstances with a clearly defined reduction in outputs **and** complex circumstances, the institution should submit these collectively as 'complex' so that a single judgement can be made about the appropriate reduction in outputs, taking into account all the circumstances. Those circumstances with a clearly defined reduction in outputs should be calculated according to the guidance above (paragraphs 72-84).

Other circumstances that apply in UOAs 1-6

86. In UOAs 1-6, the number of outputs may be reduced by up to two, without penalty in the assessment, for the following:
- a. Category A staff who are junior clinical academics. These are defined as clinically qualified academics who are still completing their clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or its equivalent prior to 31 October 2013.
 - b. Category C staff who are employed primarily as clinical, health or veterinary professionals (for example by the NHS), and whose research is primarily focused in the submitting unit.
87. These allowances are made on the basis that the staff concerned are normally significantly constrained in the time they have available to undertake research during the assessment period. The reduction of two outputs takes account of significant constraints on research work, and is normally sufficient to also take account of additional circumstances that may have affected the individual's research work. Where the individual meets the criteria at paragraph 86, and has had significant additional circumstances – for any of the reasons at paragraph 69 – the institution may return the circumstances as 'complex' with a reduction of three outputs, and provide a justification for this.

Complex circumstances

88. Where staff have had one or more complex circumstances – including in combination with any circumstances with a clearly defined reduction in outputs – the institution will need to make a judgement on the appropriate reduction in the number of outputs submitted, and provide a rationale for this judgement.
89. As far as is practicable, the information in REF1b should provide an estimate – in terms of the equivalent number of months absent from work – of the impact of the complex circumstances on the individual's ability to work productively throughout the assessment period, and state any further constraints on the individual's research work in addition to the equivalent months absent. A reduction should be made according to Table 2 in relation to estimated months absent from work, with further constraints taken into account as appropriate. To aid institutions the Equality Challenge Unit (ECU) will publish worked examples of complex circumstances, which will indicate how these calculations can be made and the appropriate reduction in outputs for a range of complex circumstances. These will be available at www.ecu.ac.uk/our-projects/REF from February 2012.
90. All submitted complex circumstances will be considered by the REF Equality and Diversity Advisory Panel (EDAP), on a consistent basis across all UOAs. The membership and terms of reference of the EDAP are available at www.ref.ac.uk under Equality and diversity. The EDAP will make recommendations about the appropriate number of outputs that may be reduced without penalty to the relevant main panel chairs, who will make the decisions. The relevant sub-panels will then be informed of the decisions and will assess the remaining outputs without any penalty.
91. To enable individuals to disclose the information in a confidential manner, information submitted about individuals' complex circumstances will be kept confidential to the REF team, the EDAP and main panel chairs, and will be destroyed on completion of the REF (as described in 'guidance on submissions', paragraphs 98-99).

Appendix 4: Procedure for Disclosure of Individual Staff Circumstances

Guidance for Disclosure of Individual Circumstances for REF 2014

The University of Dundee 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 Internal Framework for Engagement with REF 2014 Including the Code of Practice on the Selection of Staff which can be found at: <https://secure.dundee.ac.uk/ref/codeofpractice/>.

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

In determining whether eligible staff may be considered for submission to the REF with fewer than four research outputs, the REF Individual Circumstances Review Group at the University will take the following circumstances into consideration:

- Early career researcher (started career as an independent researcher on or after 1 August 2009)
- Junior clinical academic staff who have not gained a Certificate of Completion of Training by 31 October 2013
- Part time employment
- Career break or secondment outside of the higher education sector in which the individual did not undertake academic research
- Maternity leave, statutory adoption leave, and additional paternity leave (taken by partners of new mothers or co-adopters)
- Disability (including conditions such as cancer and chronic fatigue)
- Ill health or injury
- Mental health conditions
- Constraints relating to pregnancy, maternity, breastfeeding, adoption, paternity or childcare **in addition to** periods of maternity, statutory adoption or additional paternity leave taken. This could include for example, pregnancy related illness and health and safety restrictions in laboratory and field work.
- Other caring responsibilities (including caring for an elderly or disabled relative)
- Gender reassignment
- Other circumstances, not listed above, that have affected your research output (Note: other professional commitments or duties such as teaching, management or administration will NOT be taken into account)

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' and reproduced in Appendix 3 of the University's Internal Framework for Engagement with REF 2014 Including the Code of Practice on the Selection of Staff.

Individual circumstances may be classified as either "clearly defined" or "complex" and the decision process established by the University of Dundee reflects this. A combination of clearly defined and complex circumstances will be treated as complex circumstances.

In order to ensure the appropriate level of confidentiality, the disclosure process will be managed centrally by the University's Equality and Diversity Officer, Ajit Trivedi.

What action do I need to take?

A request to complete the Individual Staff Circumstances Disclosure Form will be circulated electronically (with a web-link to the form) in August 2012 with an initial deadline of **7 September 2012**. All staff who wish to be considered for inclusion in the University's REF submission⁴ should complete Part 1 of the form to indicate whether or not they have individual circumstances for which they are seeking a reduction in outputs. Staff who wish to disclose their individual circumstances should complete Part 2 of the form and return it to refequality@dundee.ac.uk.

The information returned for any type of circumstances must be based on verifiable evidence. If further information is required about any circumstances disclosed, you will be contacted by the Equality and Diversity Officer.

Who will see the information that I provide?

Within the University, the information that you provide will be seen by members of the Individual Circumstances Review Group. The information may also be accessed by the REF Technical and Research Systems Manager for the sole purpose of uploading data to the UK REF submission system and by members of the University's REF Appeals Panel in the event of a formal appeal. Members of the Individual Circumstances Review Group and other staff handling individual staff circumstances will observe confidentiality and information will be stored securely.

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

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

⁴ See paragraphs 77-83 of [Assessment Framework and Guidance on Submissions](#) for staff eligibility criteria.

mental health conditions, gender reassignment, caring responsibilities or constraints relating to pregnancy, maternity, breastfeeding, adoption and paternity (in addition to the period of leave taken). This information will **not** be seen by the REF sub-panel.

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

The 'REF Assessment Framework and Guidance on Submissions (REF 02.2011)' (<http://www.ref.ac.uk/pubs/2011-02/>) requires all higher education institutions participating in the REF to ensure appropriate confidentiality in handling individual staff circumstances. Should a joint submission be made it may be necessary to share the information provided with another institution.

What can I do if I'm not happy with the outcome?

If you would like to appeal against the decision of the Individual Circumstances Review Group, details of the appeals process can be found in section 4.10 of the University's Code of Practice for the Selection of Staff on the University's REF 2014 website (<https://secure.dundee.ac.uk/ref/codeofpractice/>).

What if my circumstances change?

The University recognises that staff circumstances may change between 1 January 2008 and 31 October 2013. If your circumstances change after you have returned your Individual Staff Circumstances Disclosure Form, or continue for a further period, you can complete another copy of the form available from <https://secure.dundee.ac.uk/ref/> and return it to refequality@dundee.ac.uk for consideration by the Individual Circumstances Review Group.

Individual staff circumstances disclosure form: REF2014

First Name *

Last Name *

Staff Identification Number *

College *

School *

Select which Unit of Assessment best describes your area of research *

Please select...



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 (REF2014).

☐

I have individual circumstances for which I am seeking a reduction in research outputs. (You will be presented with a further option once you click the "submit" button below).

Submit

This form is to be completed **only** by members of staff who have individual circumstances for which they are seeking a reduction in research outputs. Once completed please send the form to refeququality@dundee.ac.uk

Title:	<input type="text"/>	First Name:	<input type="text"/>	Last Name:	<input type="text"/>
Staff ID:	<input type="text"/>	This is the 6 digit code which you will find on your Staff ID Card or Pay Slip			
School:	<input type="text"/>				
Unit of Assessment*:	<input type="text"/>				

* Which UoA aligns most closely with your research area.

☐ I wish to be contacted by a member of Human Resources staff to discuss my circumstances and requirements and/or the support offered by the University of Dundee. My contact details for this purpose are:

Email: Telephone:

Preferred method of communication:

Clearly Defined Circumstances	
Please provide information required on all relevant circumstance(s) over the period 1st January 2008 to 31st October 2013:	
Early Career Researcher (started career as an Independent Researcher on or after 1st August 2009) ¹	
Date on which you became an early career researcher (DD/MM/YYYY)	<input type="text"/>
Please provide brief details of your research career history including your first "research" or "teaching and research" appointment:	
maximum of 1500 chars	

Junior clinical academic staff who have not gained Certificate of Completion of Training by 31st October 2013

Please state whether or not this circumstance will apply:

Part time employee

Full-Time Equivalent (FTE), Timing and Duration of each period of part-time work:

maximum of 1500 chars

Career break or secondment outside of the higher education sector

Please state the start and end date of each period (DD/MM/YYYY). The duration (in months) will be calculated automatically.

	Start Date	End Date	Duration
Add Row			
Total:			

Please provide brief details about the nature of the circumstances:

maximum of 1500 chars

Statutory maternity leave², statutory adoption leave, or additional paternity or adoption leave³

For each period of leave state which type of leave was taken (DD/MM/YYYY). The duration (in months) will be calculated automatically.

	Leave Type	Start Date	End Date	Duration
Add Row				
Total:				

Any additional comments relating to the period(s) of leave may be noted below:

maximum of 1500 chars

If you wish to disclose any complex circumstances please complete "Section 4 - Complex Circumstances" starting on page 4.

2. Note that maternity leave may also involve related constraints on an individual's ability to conduct research in addition to the defined period of maternity leave itself (paragraphs 92a(iii) and 92b(iv) of [Assessment Framework and Guidance on Submissions](#)); these should be recorded in the relevant section of the complex circumstances section of the form.

3. Additional paternity or adoption leave refers to leave lasting for four months or more (up to 26 weeks) which is taken to care for a child where the person's spouse, partner or civil partner was entitled to statutory maternity leave or statutory adoption leave, and has since returned to work. The term 'additional paternity leave' is often used to describe this type of leave although it may be taken by parents of either gender.

Section four:

Complex Circumstances				
Disability (including conditions such as cancer and chronic fatigue) ⁴				
	Start Date	End Date	Duration	
Add Row				
Total:				
Impact on ability to fulfil contractual hours and other impacts on ability to undertake research:				
<div>maximum of 3000 chars</div>				

4. This is defined in Appendix 2 of the University’s Code of Practice on the Selection of Staff and in Part 4, Table 2 of the [Assessment Framework and Guidance on Submissions](#).

Mental Health Conditions

	Start Date	End Date	Duration
Add Row			
Total:			

Impact on ability to fulfil contractual hours and other impacts on ability to undertake research:

maximum of 3000 chars

III Health or Injury

	Start Date	End Date	Duration
Add Row			
Total:			

Impact on ability to fulfil contractual hours and other impacts on ability to undertake research:

maximum of 3000 chars

Constraints linking to pregnancy, maternity, breastfeeding, paternity, adoption or childcare in addition to the period of maternity, adoption or additional paternity leave taken (see note 3)

	Start Date	End Date	Duration
Add Row			
Total:			

Impact on ability to fulfil contractual hours and other impacts on ability to undertake research:

maximum of 3000 chars

Gender reassignment

	Start Date	End Date	Duration
Add Row			
Total:			

Impact on ability to fulfil contractual hours and other impacts on ability to undertake research:

maximum of 3000 chars

Other exceptional and relevant reasons⁵, not including teaching or administrative work

	Start Date	End Date	Duration
Add Row			
Total:			

Impact on ability to fulfil contractual hours and other impacts on ability to undertake research:

maximum of 3000 chars

5. Other circumstances related to the protected characteristics of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

Declaration:

☐ In completing this form I confirm that:

- The information provided is a true, accurate and verifiable description of my circumstances;
- I consent to the information being used as required for REF purposes including being seen internally by appropriate individuals and, where necessary, shared 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 (EDAP);
- I understand that by disclosing information on this form I am making the University, as my employer, aware of my personal circumstances and that, given that the University has a duty of care to all staff under the relevant legislation, it will offer appropriate adjustment and support.

If you do not agree with the above statements the University of Dundee will not be able to progress your application for a reduction in outputs.

The information disclosed by you on this form will be stored securely in compliance with the Data Protection Act 1998. Forms will be destroyed following the completion of the REF 2014 exercise. The University will only retain that personal data necessary to fulfil its obligations to you under relevant equality legislation.

Name:

Date:

(Staff member)

Please send the form to refequality@dundee.ac.uk . If preferred you may send a printed copy to Ajit Trivedi, Equality and Diversity Officer, Human Resources, Tower Building, Perth Road, Dundee DD1 4HN.

Decision of the Individual Circumstances Review Group: REF 2014

Name	
Staff Identification Number	
College	
School	
Unit of Assessment(s)	

Following consideration of the personal circumstances described in your Individual Staff Circumstances Disclosure Form submitted on [insert date], the Individual Circumstances Review Group:

- ☐ Has decided that you qualify for a reduction of [insert number] research outputs.
Therefore, total number of outputs required: [insert number]
Rationale for the proposed number of outputs:
(e.g. this decision is based on the tariffs outlined in the REF Panel Criteria and Working Methods.)
- ☐ Requires further information on the circumstances described as follows (please send to refequality@dundee.ac.uk):
(e.g. where the impact on ability to fulfil contractual hours and/or other impacts on ability to undertake research are not sufficiently clear)
- ☐ Has decided that you do **not** qualify for a reduction in outputs, based on the criteria outlined within the REF 'Panel Criteria and Working Methods'. The reason(s) for this decision are:
(e.g. circumstances detailed are not recognised within the assessment framework and guidance on submissions)

If you wish to appeal against the decision of the Individual Circumstances Review Group please do so by [insert date]; details of the appeals process can be found in section 4.10 of the University's Internal Framework for Engagement with REF 2014 Including the Code of Practice for the Selection of Staff at <https://secure.dundee.ac.uk/ref/codeofpractice/>.

If your circumstances change, or continue for a further period, you can complete another copy of the Individual Staff Circumstances Disclosure Form available at <https://secure.dundee.ac.uk/ref/> and return it to refequality@dundee.ac.uk for consideration by the Individual Circumstances Review Group.

Signature: Date:
(Convenor of Individual Circumstances Review Group)

Signature: Date:
(REF and Policy Manager)



REF 2014 Code of Practice on the Selection of Staff

Equality Impact Assessment

1. Introduction

The Research Excellence Framework (REF 2014) is the new system for assessing the quality of research in UK Higher Education Institutions (HEIs), replacing the previous Research Assessment Exercises (RAEs).

It is a requirement of the REF submission process that each institution develops, adopts and implements an internal Code of Practice on the fair and transparent selection of staff. This will aid the University in including all their eligible staff who are conducting excellent research, as well as promoting equality, complying with legislation and avoiding discrimination.

The University of Dundee, as a public sector employer, is committed to the promotion of equality and diversity and the provision of a supportive environment for all its staff and students and members of the wider community. The University, in carrying out its functions, is actively working towards fulfilling the requirements of the public sector equality duty of the Equality Act 2010 to:

- Eliminate discrimination, harassment and victimisation
- Advance equality of opportunity
- Foster good relations

In addition, the University of Dundee is required to carry out Equality Impact Assessments (EIAs) of its policies as part of the Scottish specific duties of the Act.

The University is committed to conducting three EIAs during the REF 2014 process.

- EIA 1: This will be conducted on the Code of Practice on the Selection of Staff.
- EIA 2: Preliminary assessment of all eligible staff; this will include comparative data on the equality profiles of protected characteristics with those who may be submitted and those who may not be submitted to the REF.
- EIA 3: This will be conducted after the University's final selection decisions are made on staff for submission to REF.

EIAs will be reviewed by the University's REF Equality and Diversity Working Group on behalf of the University's Research Committee. All completed EIAs will be published on the University's REF 2014 and Human Resources Equality and Diversity web pages.

2. What is the policy?

The policy is an Internal Framework for Engagement with REF 2014 and includes a Code of Practice on the Selection of Staff.

3. What is the purpose of the policy?

The University has developed and will implement a Code of Practice for the selection of staff as required for the REF 2014 submission process.

The purpose of this policy is to:

- Apply the Code of Practice to all members of staff involved in the REF processes as well as any REF external advisers engaged by the University.

- Outline the processes by which the University will select eligible staff for submission to REF 2014.
- Demonstrate that the University is operating in a fair, transparent, consistent, accountable and inclusive manner, and within the confines of the relevant equalities and employment legislation.
- Promote an inclusive environment where processes established enable the University to identify all eligible staff who have produced excellent research for submission to REF 2014.
- Provide transparent information about the selection process, about the appropriate committees, their operating criteria, terms of reference and composition of the membership.
- Ensure that staff selection is coordinated in a uniform and consistent manner across the University.
- Clearly define the responsibilities of individuals and identify their roles in relation to the selection of staff.
- Ensure that all eligible staff are fully aware of the decision making processes of how, when and who will make decisions on the inclusion and exclusion of staff in the University's final submission to REF 2014.
- Inform staff about the processes and mechanisms available for making appeals.
- Provide clear information and guidance that is accessible to all eligible staff who wish to disclose their individual circumstances for REF submission and ensure that this process is clearly set out in the Code of Practice.
- Detail how confidentiality and sensitive issues will be processed and dealt with.
- Ensure that all stakeholders are aware of the University's communication plan regarding the REF process.
- Provide clear guidance on what training needs to be provided and which staff will need to participate to fulfil the requirements of the REF process.

4. Who is affected by or benefits from the policy? Who are the stakeholders (e.g. staff, students, trade unions)?

The policy will directly affect individual staff members who hold a contract categorised as 'Research only' or 'Teaching and Research' as defined by the 'Assessment Framework and Guidance on Submissions (REF 02.2011)' (paragraphs 78 to 83), which sets out the full eligibility criteria for inclusion of staff in the REF submission.

In terms of benefit, it will be beneficial to the wider University community, especially for people not directly involved in the REF decision making process but who have a responsibility for managing people in the institution. The policy will help staff to understand better, and enhance their awareness of, other equality and diversity related activities which the University is pursuing; the REF process in itself will have a positive impact on promoting an inclusive culture. An example of this is: advancing the careers of women working in science, technology, engineering and maths (STEM) areas by implementing the good practices of the Athena SWAN Charter.

5. Who implements the policy?

Responsibility for the University's Code of Practice and overall direction of the REF process sits with Professor John Connell, Vice Principal for Research and Enterprise. Supporting the Vice-Principal for Research and Enterprise are various groups, committees, panels and individuals, such as the REF Sub-Group, Main Panel Coordinating Groups, Unit of Assessment Planning Groups/Coordinators, Deans of Schools, Appeal Panels, REF Equality and Diversity Working Group and Individual Circumstances Review Group, which will be responsible for implementing the Code of Practice.

Human Resources will deliver REF-specific equality and diversity training to all staff who have a direct input to the implementation of this Code of Practice. This will involve some 160 people.

A variety of training methods will be used, such as briefing sessions and including online training modules.

The Code of Practice will be disseminated widely and published on the University's REF 2014 web pages to raise awareness of the internal REF process.

6. What information is available to facilitate the equality analysis of the policy?

To conduct an analysis on this Code of Practice prior to the initial selection of staff, a University-wide consultation was carried out. The response and feedback received from a range of stakeholders was constructive and helped to inform the development of the Code of Practice.

Currently, of the nine protected characteristics as defined by the Equality Act 2010, the University collects data on age, disability, gender and race. The University recognises that there is a gap in availability of data in relation to other equality groups. It is the intention of the University to exhibit comparative data when it fulfils its commitment to undertake further EIAs as stated in the Code of Practice.

7. Has consultation taken place with any of the protected characteristic groups or other relevant bodies in the development or revision of the policy? Please provide details of engagement.

This Code of Practice was developed by the University's REF Equality and Diversity Working Group on behalf of the University Research Committee. The Code of Practice was revised and modified several times since December 2011 following on-going extensive consultation with the University community. This involved many meetings of the REF Equality and Diversity Working Group, several workshops and open meetings with the academic staff of the University, as well as the distribution of the draft document to the entire academic staff and various equality groups in the University for feedback.

Feedback from various equality groups in the University was sought and received. The Groups that provided feedback included the: Lesbian, Gay, Bisexual and Transgender (LGBT) Group, Disability Services and the Black and Minority Ethnic (BME) Staff Network. The final Code of Practice reflects their input.

Further groups who were consulted as the Code of Practice was developed include:

Dundee University College Union (DUCU); the DUCU was engaged in the preparation of the Code of Practice, through having a member on the REF Equality and Diversity Working Group and through the University/Union Local Joint Committee.

Equality and Diversity Working Group of the University, which has an overall responsibility for progressing the equality and diversity agenda in the University.

Dundee University Student Association (DUSA), which was circulated the Code of Practice for feedback.

The Code of Practice was discussed and reviewed twice by the University Research Committee and Human Resources Committee, on three separate occasions by the University Senate, and had two hearings at the University Court before final approval.

The University will conduct further consultations when it carries out its commitment to undertake EIAs on the preliminary assessment and on the final submission to REF.

8. Is there any evidence of varying levels of participation by any of the following protected characteristic groups? (Protected Characteristics groups to be listed separately)

Protected Characteristic ¹	Positive Impact ²	Negative Impact ³	Unclear	Comments
Age	Yes			As part of the Clearly Defined circumstances, Early Career Researchers (ECRs) are permitted a reduction in outputs. ECRs can be of any age.
Disability	Yes			As part of the Clearly Defined and Complex circumstances eligible staff can seek a reduction in outputs due to the impact of disability or mental health conditions.
Gender Reassignment	Yes			Under Complex circumstances, eligible staff can seek a reduction in outputs due to gender reassignment.
Marriage and Civil partnership		No		All academic staff are eligible regardless of their marital or civil partnership status.
Pregnancy and Maternity	Yes			Under Clearly Defined and Complex circumstances eligible staff can seek a reduction in outputs due to maternity, paternity, or adoption leave and due to constraints related to pregnancy, maternity, paternity, adoption or childcare.
Race		No		All academic staff are eligible regardless of race.
Religion or Belief, or none		No		All academic staff are eligible regardless of religion or belief or none.
Sex		No		All academic staff are eligible regardless of sex.
Sexual orientation		No		All academic staff are eligible regardless of their sexual orientation.

9. Are there any concerns or is there evidence that any of the protected groups have different issues, experiences or needs in relation to the policy? Please give details.

The following concerns were raised by the various equality groups during the consultation process:

The Lesbian, Gay, Bisexual and Transgender (LGBT) Group were specifically concerned about confidentiality issues around disclosing individual staff circumstances, primarily focussed around who would have access to all the sensitive information. LGBT concerns were considered and they have been addressed in the development of the final Code of Practice. The Code of Practice clearly details how the process of individual staff circumstances will be handled by way of centralising the whole process which will be coordinated by the University's Equality and Diversity Officer. The process of reviewing individual staff circumstances will be dealt with by a small central group specifically established to deal with matters relating to staff disclosure.

Disability Services had similar issues around disclosure confidentiality and ensuring that the Code of Practice was accessible and available in an alternative format if required. To ensure that the University was complying with accessibility requirements, an IT Disability Support Specialist was consulted to review the Code of Practice and confirmed that the document fulfilled accessibility requirements.

The University's Records Manager and Information Compliance Officer was consulted to confirm that the

¹ As defined in the Equality Act (2010), includes: age, disability (including carers of disabled people), gender reassignment, pregnancy and maternity, race, religion or belief, or none, sex (includes breastfeeding and childcare) and sexual orientation.

² Good practice to comply with the Public Sector Equality Duty (2011) to: eliminate discrimination, advance equality of opportunity, and foster good relations.

³ Adverse effect on people of different 'protected characteristics' as defined in the Equality Act (2010).

document met the requirements of the Data Protection Act 1998. Based on his recommendations changes were made to the Individual Staff Circumstances Disclosure Form.

The BME Staff Network concerns revolved around the lack of representation of BME staff on University REF Committees. The University considered this issue along with the gender balance of the Committees. The University actioned further changes to address the lack of diversity in the Committees; this is reflected in the final Code of Practice.

The DUCU had raised an issue regarding what training staff involved in the decision-making process will undertake and whether it will be mandatory. The same concern had also been raised by some of the equality groups and some individual academic members of staff. The University has addressed these concerns by emphasising in the Code of Practice, that all staff involved in the REF process will be required to undertake REF-specific equality and diversity training in addition to the equality and diversity online training modules the University already offers.

10. Are there any gaps in your information that you need to fill to get a full picture of how well the policy works or will work for different protected groups?

The University for monitoring purposes currently collects data on age, disability, gender and race and also has information on staff who have taken maternity, long-term sick and adoption leave, and on staff who work part-time and fixed-term. The Human Resources department is intending to collect data on other protected characteristics from 2013 to monitor outcomes of not only the REF process but also to address equality of opportunity in other activities of the University.

11. What conclusions can you draw from analysis of the evidence base?

The University of Dundee's Code of Practice supports the promotion of equality and diversity. The University is confident that it is demonstrating with its Code of Practice that it is not disadvantaging or discriminating against any of the protected groups as defined by the Equality Act 2010. The Code of Practice has clearly laid out procedures on how it intends to deliver on the selection of staff to the REF submission by being open, transparent, consistent, accountable and inclusive.

12. In view of this analysis, are there further actions or adjustments required to ensure the policy promotes and reflects equality of opportunity for all?

This Code of Practice will be monitored for its effectiveness throughout the REF process and updated with any changes if it is found to have a negative impact on any of the protected groups. A key point raised from staff consultation was the requirement to ensure that all staff involved in the selection process undertake and understand the importance of equality and diversity training. Other aspects to consider are: to publicise the Code of Practice widely and to raise awareness throughout the University regarding the REF process.

Persons involved in the EIA:

Prof John Connell, Vice-Principal for Research & Enterprise
Pamela Milne, Director of Human Resources
Dr Clive Randall, REF and Policy Manager
Ajit Trivedi, Equality and Diversity Officer

Signed off by:

Professor John Connell

Position:

Vice- Principal for Research & Enterprise

Date of EIA Completion:

25 July 2012