



## **Equality Code of Practice: Preparing Research Excellence Framework Submissions**

### **Introduction**

The REF Assessment Framework and Guidance on Submissions requires that we have an Equality Code of Practice. This Code is an amendment of one produced for the Research Assessment Exercise in 2008 which was approved by Executive Team, Senate (on 21 June 2006) and Council (on 3 July 2006). This amended version has been considered by Research Executive and Executive Team before approval by Senate (on 9 November 2011) and Council (on 28 November 2011). The Code was reviewed and amended following advice from HEFCE received in July 2012. Details of the amendments are given in Annex 4.

The Code has been written to include sufficient detailed procedural information to ensure consistency and transparency for all parties concerned. Separate guidance will be prepared specifically for decision makers on the use of the Code with examples of standardised documentation. The University has an e-learning diversity and equal opportunities training programme for all staff, available at <https://intranet.uea.ac.uk/hr/intranet/eod/elearning>. This will provide awareness training on equality & diversity legislation and will be available for all decision makers to use, in addition to the provision of specific REF training, before the Mock REF submission is finalised.

The Code (and any subsequent amended versions) will be broadly publicised and made available on the University's intranet (with directions for availability in other accessible formats), along with other supporting documents and resources: <https://intranet.uea.ac.uk/ref-staff>. Executive Deans of Faculty will make arrangements to notify Human Resources about eligible members of staff who are absent from the University so that the Code of Practice can be sent in hard copy format to their home/contact address.

As required by the published REF 'Assessment framework and guidance on submissions' (REF 02.2011, [http://www.hefce.ac.uk/research/ref/pubs/2011/02\\_11/](http://www.hefce.ac.uk/research/ref/pubs/2011/02_11/)), the Code will be submitted to the REF team (who are managing the REF on behalf of the Higher Education funding bodies) by July 2012. After the conclusion of the REF, the Code will be published by the REF team alongside the REF submissions.

Professor David J. Richardson  
Pro-Vice-Chancellor for Research, Enterprise and Engagement  
30 November 2011 (This version updated July 2012)

Approved by Senate (9 November 2011) and Council (28 November 2011)  
v2. Amended following feedback from HEFCE (06 July 2012)

# UNIVERSITY OF EAST ANGLIA

## Equality Code of Practice: Preparing Research Excellence Framework Submissions

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### 1. INTRODUCTION

- 1.1 The University of East Anglia is a research-rich university. This Code of Practice has been developed to codify the steps to be taken to ensure equality of opportunity in the selection of eligible staff (see 2) for inclusion within the University's submission for the Research Excellence Framework in 2014 (REF2014). The decision to submit staff is at the discretion of the University. All staff will benefit from the University making the best possible REF submissions. The University may decide, as for previous exercises of this type (e.g. the Research Assessment Exercise (RAE) of 2008), not to return some eligible staff to REF2014 in order to maximise the benefit of the REF outcome. This Code will ensure that fair consideration resulting in fair selection will be given to all eligible staff in determining who is returned.
- 1.2 This Code of Practice is underpinned by the University's Research, Human Resource and Equality & Diversity strategies. The University of East Anglia is committed to being an equal opportunities employer and aims to build equality, diversity and inclusiveness into everything that it does. It is committed to creating and enabling a working environment and culture where diversity in its

staff population is recognised as a strength and a reflection of its ability to attract the brightest talents from every community. UEA works to ensure staff are treated with dignity and respect, valued on their merit and abilities and treated fairly irrespective of their specific characteristics (including age, disability, gender, gender reassignment, status by marriage or civil partnership, race, colour, ethnic or national origin, nationality, disability, sexual orientation, religion or beliefs, political affiliation or Trade Union membership).

- 1.3 It is recognised that prior to the formal approval of this amended Code of Practice, some decisions will have been made concerning the submission of staff to the REF2014 based on existing University guidance. This amended Code wholly supersedes the RAE2008 Code and any decisions taken before the final approval of this Code of Practice will be considered provisional until reviewed in accordance with this Code of Practice.
- 1.4 The University's Equality and Diversity in Employment Strategy and Equal Opportunities in Employment Code of Practice can be found on the Human Resources Division intranet <https://intranet.uea.ac.uk/hr/public/eo>.
- 1.5 The University's internal planning documentation and guidance for the REF2014 can be found at <https://intranet.uea.ac.uk/ref-staff>.

## **2. SCOPE**

- 2.1 This Code of Practice applies to all staff involved in research activities who meet the definition of eligible staff as stated in paragraphs 78-81 of the published REF 'Assessment framework and guidance on submissions' (REF 02.2011, available at: [http://www.hefce.ac.uk/research/ref/pubs/2011/02\\_11/02\\_11.pdf](http://www.hefce.ac.uk/research/ref/pubs/2011/02_11/02_11.pdf)).
- 2.2 In selecting staff for submission to the REF2014, all ATR staff will be assessed according to the principles and processes specified in this Code. The University requires that all ATR staff conduct independent research as defined by the Higher Education funding bodies for REF purposes and are thus automatically category A staff. Other categories of staff that may fit the HEFCE definition of eligibility will be assessed on an exception basis, e.g. only Research Assistants with a portfolio of independent research will be assessed for possible inclusion against the same principles and processes as specified in this Code.

## **3. LEGISLATIVE FRAMEWORK**

- 3.1 There are statutory requirements that, as an employer, the University recognises and responds to in addressing equality and diversity issues. A list of the University's statutory responsibilities can be found in Annex 1.



## **4. POLICY REFERENCES**

4.1 This Code of Practice complements the following University documents:

- Equal Opportunities in Employment: Code of Practice
- Single Equality Scheme and Action Plan
- Promotion of Race Equality for Staff; Code of Practice
- Disability and Employment Code of Practice
- Guidelines for Dealing with Harassment
- Public Interest Disclosure (“Whistle-blowing”) Policy
- Grievance Procedure for Academic Staff (“Statute 7”)
- Adoption Leave and Pay Procedure
- Flexible Working Guidelines
- Guidelines on Maternity Leave and Pay
- Parental Leave Procedure
- Paternity Leave and Pay Procedure
- Time Off Work Procedure
- Fixed Term Employees: Code of Practice
- Sickness Absence Guidelines
- Study Leave Guidelines
- Academic Staff Promotions Procedure

4.2 Further information on each of these policies can be found on the Human Resources Division intranet <https://intranet.uea.ac.uk/hr/public/eo> and <https://intranet.uea.ac.uk/hr/intranet/policies>.

## **5. PRINCIPLES**

- 5.1 The University will observe the equality guidance documents and statements produced by HEFCE and endorses the published REF principles of transparency, consistency, accountability and inclusivity.
- 5.2 Taking into account 5.1, the University must seek to maximise the potential to enhance the University’s reputation in the REF2014 and recognises that as a consequence not all eligible staff may be returned.
- 5.3 This Code of Practice (and any future updates required by changes in the funding bodies guidelines or legislation) will be circulated to all staff by email and published on the intranet for general reference. Executive Deans of Faculty will make arrangements to notify Human Resources about eligible members of staff who are absent from the University (for example, those on secondment, maternity or long term sickness). Human Resources will then send a copy of the Code in hard copy format to the most recently held home or contact address.
- 5.4 The selection processes for determining which members of staff are included in the REF2014 will be transparent to individual staff through the decision process (see 9).

- 5.5 The University will ensure that consideration is given to individual personal circumstances in line with the relevant guidance from the Higher Education funding bodies governing REF2014.
- 5.6 The parameters of any discussions about the submission of staff will be clearly set out and records kept, and any committees (see 6) will be made fully aware of all the facts when specific individuals are discussed, subject to the provision of 14.2.

## **6. ROLES AND RESPONSIBILITIES OF DECISION-MAKERS**

- 6.1 The University's relevant standing committees and reporting systems will be applied to make decisions about the REF2014 submission, with leadership and support from relevant members of staff. Further information on this can be found in Annex 2.

## **7. TRAINING AND AWARENESS**

- 7.1 Every member of staff who is involved in the selection process for inclusion of staff in the REF2014 submission will be fully informed about the University's equality policies. Equality and diversity training and guidance material both generally and specifically to REF will be provided in an appropriate form to members of the University's Committees and individuals identified in Annex 2. This training shall also cover the handling of appeals (see 13).
- 7.2 The Pro-Vice-Chancellor for Research, Enterprise and Engagement is the University's senior manager with designated responsibility for the REF2014 (see 6). This person has undertaken full equalities training to an equivalent level of a Head of School to ensure he is fully informed of all the relevant issues and has the opportunity to call on expert professional advice from the relevant administrative Divisions of the University when necessary. All training, materials and information will be provided in accessible formats along with details of how to make more specific format requests.
- 7.3 The University shall also provide a copy of the Code and a hard copy of REF-relevant equality and diversity training materials to any individual outside UEA who is involved in the mock REF conducted during 2012 (see 8).

## **8. MOCK REF**

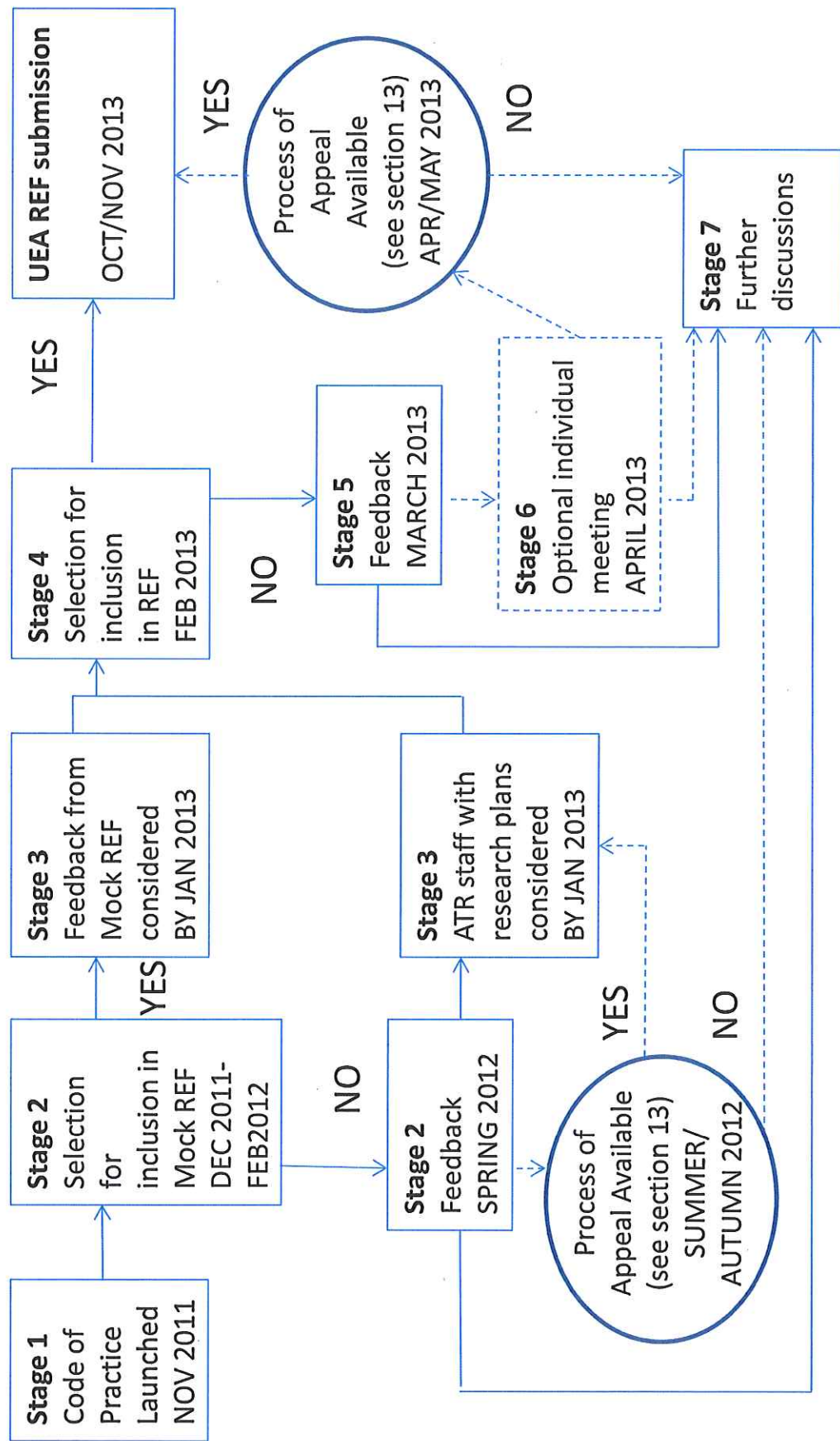
- 8.1 The University will undertake a mock REF during 2012, building on the interim review held during 2010-11. This Code shall be used to inform the selection of staff and preparations for the compilation of mock REF submissions. An equality impact assessment shall be undertaken on completion of the mock REF (see 11).

- 8.2 As part of their appointment, external assessors shall be provided with a copy of this Code along with guidance on the appropriate level of detailed comment they should provide on individual outputs. This is expected to include an evaluation of quality against the REF assessment criteria for outputs and an assessment of fit with the proposed unit of assessment. The appointment process shall also confirm to external assessors that their evaluation of outputs shall be considered alongside other information (see 9) and that it will be the University's responsibility to select staff for inclusion in the REF.

## **9. THE DECISION MAKING PROCESS**

### **9.1 The selection and submission process**

The decision-making process is made up of 7 key stages, which are described in the following flowchart including indicative deadlines, method of communications and identifying the decisions makers involved. The University's standing committees and reporting systems and roles of relevant members of staff apply (see 6). The selection process builds on existing management processes such as appraisal and performance management and structured feedback and support will be given.



NB. Dashed lines indicate stages that will not apply to all staff.

**Stage 1: Code of Practice and Individual Staff Circumstances.**

1. Code of Practice announced (by 30 November 2011) and the first request made for staff to submit any individual staff circumstances they wish to be taken into account to Human Resources (to be returned to HR by 22 December 2011).

*Please note:*

- i) *All staff will be encouraged to use the pro-forma in Annex 3 to set out any individual circumstances that they wish to be taken into account.*
- ii) *There will be more opportunities to submit or update details of individual circumstances, e.g. Stages 2 and 4-6.*
- iii) *Additional information will be circulated when further information is published by the Higher Education funding bodies and/or the Equalities Challenge Unit on the assessment of individual circumstances.*

**Stage 2: Selection for Inclusion in mock REF (December 2011 to February 2012)**

1. Heads of School responsible for applying the criteria for inclusion (see 9.2) to recommend the staff to be submitted.
2. A provisional list of staff for submission and non-submission to the REF2014 considered by relevant members of Faculty Executive (including the Executive Dean, Head of School, Associate Dean for Research and Human Resources Manager) together with relevant REF Unit co-ordinators in the case of UoAs that will draw on more than one School.
3. These lists to be submitted to Research Executive for approval.
4. Research Executive to discuss, endorse or request a reconsideration of the provisional lists.
5. ATR staff not selected for inclusion in the mock REF to be informed in writing by their Head of School to:
  - a) inform them of non-inclusion
  - b) give the opportunity to meet confidentially to explain the decision
  - c) give the opportunity to identify any unexplored individual circumstances
  - d) be informed that exclusion at this stage does not necessarily preclude inclusion for the REF 2014 itself.**
6. ATR staff selected for inclusion in the mock REF to be informed in writing by their Head of School.

*Please note:*

- i) *Any individual circumstances declared by staff to Human Resources shall be included in the assessment.*
- ii) *The selection of staff may necessarily involve discussions across Schools and Faculties because of the options for submission in staff in alternative units of assessment.*
- iii) *This process is separate from, but linked to, the on-going management of research performance through Heads of School and supported by Human Resources.*
- iv) *For ATR staff, whether submitted or not, in the Mock REF, the on-going management of research performance will continue.*
- v) *Where the opportunity is taken, unexplored personal individual circumstances must now be provided on the pro-forma in Annex 3 (the appeal process is described in 13).*



**Stage 3a. Feedback from Mock REF (January 2013).**

1. For staff submitted in the Mock REF, Heads of School, School Research Directors and/or REF Unit Co-ordinators, Executive Deans and Associate Deans for Research shall consider the assessment of quality and fit of selected outputs by the external assessor against the principles of this Code to provide further recommendations on the inclusion of staff in the REF2014 submission to the Pro-Vice-Chancellor for Research, Enterprise and Engagement.

**Stage 3b. Consideration of ATR staff with research plans not returned in Mock REF submissions (January 2013)**

1. ATR staff not submitted in the mock REF but with clear progression against agreed improvements in research performance shall be assessed against the same criteria and at the same time as for Stage 3a, and any recommendations for submission shall be submitted to the Pro-Vice-Chancellor for Research, Enterprise and Engagement in January 2013.

**Stage 4: Decision on inclusion in REF submission (by February 2013).**

1. Research Executive to discuss, endorse or request a reconsideration of the provisional lists. Research Executive to report decisions to Executive Team.

*Please note:*

- i) *Draft submissions will be taken into account, alongside any reports from external reviewers/assessors, updates or newly submitted individual staff circumstances (or the advice of those involved in the assessment of staff circumstances) and tactical considerations (see 9.2) to maximise the University's reputation and consequent returns (Stage 5 iii).*

**Stage 5: Confidential feedback (March 2013).**

1. The Pro-Vice-Chancellor for Research, Enterprise and Engagement will write to each member of staff who was returned in the mock REF but who was subsequently identified as a candidate for non-submission to:
  - a) inform them of non-submission
  - b) give the opportunity to meet confidentially to explain the decision
  - c) give the opportunity to identify any unexplored individual circumstances
  - d) confirm that a meeting with the Head of School to discuss career development is to be arranged (Stage 6)

*Please note:*

- i) *A member of staff can choose to have a union representative attend the meeting with them if they wish.*
- ii) *This feedback will refer to the standard criteria for selection (see 9.2) and, where relevant, will specify any conditions to be fulfilled before submission.*
- iii) *This feedback will also include the exceptional cases of ATR staff who are eligible for submission but where the decision is made for non-submission in order to maximise UEA's REF submission.*

**Stage 6. Optional confidential meeting for feedback and further discussion (April 2013).**

1. Where requested, the Pro-Vice-Chancellor for Research, Enterprise and Engagement, Executive Dean, Head of School and/or Associate Dean for Research meet with individuals to explain the decision and give the opportunity to raise any unexplored individual circumstances they wish to have taken into account.

*Please note:*

- i) *Where a reconsideration of the decision is seen as warranted by the representative of Research Executive, this will be reported back to Research Executive (Stage 4).*
- ii) *Where the opportunity is taken, unexplored personal individual circumstances must now be provided on the pro-forma in Annex 3 (the appeal process is described in 13).*

**Stage 7: Further discussions.**

1. Heads of School meet with those staff who will not be submitted to discuss future options in the context of on-going management of research performance.

*Please note:*

- i) *An appraisal by the relevant Head of School, including feedback, support and guidance will be given at the first practicable opportunity.*

## **9.2 Standard criteria that will be used for selection in all cases**

### **9.2.1 The following criteria will be taken into account:**

- Eligibility for submission based on guidance issued by HEFCE.
- Eligible staff will have produced research outputs and contributed to the research environment and impact of the research of the Unit of Assessment within the assessment period as defined in the guidance issued by HEFCE.
- Except for the individual circumstances published in the REF guidance, there is a requirement that four outputs of the appropriate quality per research active member of staff are included within a submission. Individual circumstances will be taken into account with regards to submitting fewer than four outputs, but not for lower quality of individual outputs.
- The majority of outputs submitted must be assessed as being at least of quality that is "internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence" – viz three star rating as defined in the published REF 'Assessment framework and guidance on submissions', (REF02.2011, Annex A).
- The threshold for the quality of the research activities which will qualify eligible staff for inclusion is subject to the University's judgement on what will be most advantageous for the overall profile of the Unit of Assessment and the University.

### **9.2.2 Whilst individual staff will be involved in identifying their best/most appropriate outputs, the final decision on which outputs are submitted is for the University, taking into account what will be most advantageous for the overall profile of the Unit of Assessment and the University.**

### 9.3 Individual staff circumstances to be taken into account

9.3.1 It is essential that any decision that relates to the inclusion of a member of staff for the REF2014 takes into account the following:

- i) the standard criteria in 9.2
- ii) guidance produced by REF on how individual circumstances that might have had an effect on an individual's contribution to a submission will be dealt with.

9.3.2 The individual circumstances that must be given due consideration by the University and the panels are detailed in the published REF 'Assessment Framework and Guidance on Submissions' (REF02.2011, paras 88-95). The following provides a list of applicable circumstances which may have affected an individual's ability to undertake research activities:

Clearly Defined Circumstances:

- Qualification as an Early Career Researcher (as defined in the 'Assessment Framework and Guidance on Submissions' (REF02.2011 paras 85-86). Table 1 below 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  |

From 'Panel Criteria and Working Methods' (REF01.2012 para 72).

- Absence from work due to working part-time, secondments or career breaks (outside the higher education sector and in which time the individual did not undertake academic research). Table 2 below sets out the permitted reduction in outputs without penalty in the assessment for absence from work in these circumstances.

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

| Total months absent between 01 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  |

From 'Panel Criteria and Working Methods' (REF01.2012 para 73).

- Qualifying periods of maternity, paternity or adoption leave: Individuals may reduce the number of outputs by one for each discrete period of:
  - a) Statutory maternity leave or statutory adoption leave taken substantively during the period 1 January 2008 to 31 October 2013 regardless of the length of the leave.
  - b) Additional paternity or adoption leave lasting four months or more, taken substantively during the period 1 January 2008 to 31 October 2013.

(From 'Panel Criteria and Working Methods' (REF01.2012 para 75)

- Other circumstances that may apply in UOAs 1-6 as defined in 'Panel Criteria and Working Methods' (REF01.2012 para 86). In UOAs 1-6 the number of outputs may be reduced by up to two, without penalty in the assessment for the following: 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; Category C staff who are employed primarily as clinical, health or veterinary professionals and whose research is primarily focused in the submitting unit.

#### Complex Circumstances:

- Disability (as defined in the 'Assessment Framework and Guidance on Submissions' (REF 02.2011 Part 4, Table 2).
- 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 clearly defined circumstances allowance.
- Other caring responsibilities
- Gender reassignment
- Other circumstances relating to the protected characteristics (age, disability, gender reassignment, marriage and civil partnership, political opinion, pregnancy and maternity, race, religion or belief,

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sex and sexual orientation, language) as listed in the 'Assessment Framework and Guidance on Submissions' (REF 02.2011 para 190 and table 2) or relating to activities protected by employment legislation.

The University will note and apply any changes published by the Higher Education funding bodies.

- 9.3.3 Where clearly defined circumstances are declared, these will be assessed by the Human Resources Division and the decision on the appropriate reduction of outputs will be communicated to the individual and Head of School. Where complex circumstances are declared, these will be assessed by the Director of Human Resources and the Pro-Vice-Chancellor for Research, Enterprise and Engagement and the decision on the strength of the case and the appropriate reduction in outputs communicated to the individual and Head of School. In communications about the appropriate reduction in outputs arising from the stated circumstances, Human Resources shall protect the confidentiality of individuals (see 14).

## **10. FIXED-TERM AND PART-TIME STAFF**

- 10.1 The University is committed to treating all staff fairly irrespective of whether they are employed on an indefinite, fixed-term, full-time or part-time basis.
- 10.2 The University has developed the Code of Practice: Fixed Term Staff and Code of Practice for the Employment and Career Management of Research Staff. Managers are encouraged to develop a recognised career structure and career development pattern for research staff.

## **11. MONITORING AND EQUALITY IMPACT ASSESSMENT**

- 11.1 The University will monitor and undertake an impact assessment to identify any imbalances in the selection of staff with all protected characteristics for the mock REF (stage 2), for final submission (stage 4) and of staff submitting an appeal (see 13). Equality monitoring data will be used for this purpose although it should be noted that not all protected characteristics are included, or included to the same extent, under current monitoring arrangements. If any *prima facie* imbalance is found, the University will investigate it.
- 11.2 The final equality impact assessment shall be published by the University after submissions have been made.

## **12. REVIEW**

- 12.1 The effectiveness of this Code of Practice will be monitored by the Research Executive and may be amended from time to time as changes in assessment requirements occur or in light of any recommendations arising from the University's equality impact assessments (see 11).
- 12.2 When new statutory employment law provisions come into force, the Code of Practice will be reviewed and updated as appropriate to reflect the change in legislation.

## **13. APPEALS**

- 13.1 The decision-making process (see 9.1) includes the provision of feedback to every eligible staff member on the likelihood of their submission to the REF2014. This feedback, including the grounds upon which the provisional judgement has been reached, will be provided with sufficient notice to allow meaningful reconsideration to take place, if necessary, and as part of the Appeals process. Feedback on whether an eligible staff member is to be included in the University's REF submission will be provided by 31 March 2013. Appeals will normally be considered during April/May 2013, and all appeals will conclude in time to inform the final selection of staff in October 2013.
- 13.2 At Stages 2 and 6, each staff member not selected will have the opportunity to appeal against the decision by providing additional information within 10 working days, setting out the grounds for the appeal. The only valid grounds for an appeal are:
  - i) the individual circumstances referenced in 9.3.2 have not been given appropriate consideration and/or
  - ii) the procedure was applied incorrectly.

It should be noted that there is no right of appeal against the academic judgement of those responsible for selecting staff for inclusion in the REF2014 submission.

The Pro-Vice-Chancellor (Research, Enterprise and Engagement) will be responsible for hearing the appeal. Where the grounds relate to consideration of individual circumstances, the additional information should be submitted to Human Resources who will liaise with the staff member to determine confidentiality issues prior to discussion with the Head of School. Where the grounds relate to procedure only, the additional information should be submitted directly to the Head of School.

- 13.3 If non-inclusion in the submission is confirmed, and the staff member believes that there is evidence of unlawful discrimination, he/she may

decide to pursue the matter further under the appropriate Grievance Procedure.

#### **14. CONFIDENTIALITY**

- 14.1 We will collect, store and process all information relating to the entire REF process in accordance with the Data Protection Act 1998. Information will be processed for the purposes of conducting and evaluating the University's REF submissions. This information may in turn be used by HEFCE in monitoring the diversity of the University's submissions in a national context.
- 14.2 The University will protect the confidentiality of any equal opportunities monitoring data on staff members and will safeguard any information disclosed voluntarily within the regulations set by the Data Protection Act 1998. The information will be used for statistical purposes only and the University will safeguard the confidentiality of personal information disclosed.
- 14.3 Any individual circumstances submitted by staff to Human Resources will be treated in confidence. Where specific discussion of individual circumstances is required prior to an assessment of the appropriate level of output reduction, the relevant member of Human Resources shall seek the individual's permission prior to disclosing only relevant information to identified members of staff. Where that permission is not granted but where the discussion is needed to ensure the fullest assessment of that individual's circumstances, then it is likely that the individual will need to fulfil all the requirements for inclusion in the REF.

#### **15. CONTACT DETAILS**

- 15.1 For further information or guidance regarding any of the issues covered in this Code of Practice, please contact Research and Enterprise Services.

## **16. ACCESSIBLE FORMATS**

**16.1 This document is available in alternative formats e.g. large print, disc and on-line. If you need this document in an alternative format, please contact Research and Enterprise Services on:**

**Tel: 01603 591574**

**Fax: 01603 591550**

**Email:**

**[researchandenterprise@uea.ac.uk](mailto:researchandenterprise@uea.ac.uk)**



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Annex 1: The University's statutory responsibilities include, but are not limited to:

- 2003 Equality Act 2010 (Specific Duties) Regulations 2011
- The Equality Act 2010
- Employment Rights Act 1996
- Part-Time Workers (Prevention of Less Favourable Treatment) Regulations 2000 (amended 2002)
- Fixed-Term Workers (Prevention of Less Favourable Treatment) Regulations 2002
- Public Interest Disclosure Act 1998 ("Whistleblowers" Act)
- The Human Rights Act 1998
- Civil Partnership Act 2004
- Gender Recognition Act 2004
- Maternity and Paternity Regulations 1999 as amended by the Maternity and Parental Leave (Amendment) Regulations 2002
- Paternity and Adoption Leave Regulations 2002

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### Annex 2. Roles and responsibilities of decision-makers

#### 1. Committees with REF 2014 responsibilities

| Committees                   | Formation and Mode of Operation  | Membership includes:   | Roles, as pertaining to REF2014   |
|------------------------------|--|--|---|
| Executive Team               | <ul style="list-style-type: none"> <li>Group of senior staff required by Council to advise the Vice Chancellor on the development and implementation of the strategies and policies of the University.<sup>1</sup></li> <li>Meets fortnightly (except August).</li> </ul>  | Vice-Chancellor (Chair)<br>Registrar & Secretary<br>Pro-Vice-Chancellor (Academic)<br>Pro-Vice-Chancellor (Research, Enterprise and Engagement)<br>Executive Deans of Faculty<br>Registrar & Secretary | <ul style="list-style-type: none"> <li>Responsibility for strategic direction of all University activities for the REF2014.</li> <li>Ratifies decisions made by the Research Executive on the REF2014 and reports these to Council.</li> <li>Ensures equality and diversity standards are adhered to throughout the decision-making process.</li> </ul>   |
| Research Executive Committee | <ul style="list-style-type: none"> <li>Standing University committee with responsibility for the strategic direction of all research activities, reporting to the Executive Team.</li> <li>Meets at least four times per year (more frequently when necessary).</li> </ul> | PVC-REE (Chair)<br>Faculty Associate Deans for Research<br>Director and Assistant Director Research & Enterprise Services  | <ul style="list-style-type: none"> <li>Finalises REF2014 submission for approval by Executive Team.</li> <li>Ensures feedback is made to staff who will not be returned in the REF2014 submission.</li> <li>Receives and appraises reports from Faculty Research Executives on REF2014 submissions.</li> <li>Responsible for the development and approval of this code of practice and</li> </ul> |

<sup>1</sup>University Ordinances (Ordinance 2 – Governance and Organisation) <http://www.uea.ac.uk/calendar/Ordinances>  
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|  |   |   | <p>the monitoring of its effectiveness throughout the institution.</p> <ul style="list-style-type: none"> <li>• Undertakes equality impact assessments.</li> <li>• Monitors the adherence to equality and diversity standards throughout the decision-making process.</li> </ul> |
| Faculty Executive Committees (4)               | <ul style="list-style-type: none"> <li>• Standing University committees with responsibility for the strategic direction of all School activities in the Faculty.</li> <li>• Report to the Executive Team.</li> <li>• Meet fortnightly (except August).</li> </ul>   | <p>Executive Deans (Chair)</p> <p>Heads of Schools</p> <p>Associate Deans</p> <p>Director of University Services</p> <p>Faculty Finance Manager</p> <p>Faculty HR Manager</p> | <ul style="list-style-type: none"> <li>• Receives reports from Heads of School and Associate Dean for Research on REF2014 submissions.</li> <li>• Ensures equality and diversity standards are adhered to throughout the decision-making process.</li> </ul>                     |
| Faculty Research Executives (4)                | <ul style="list-style-type: none"> <li>• Standing University committees with responsibility for the strategic direction of all School research activities in the Faculty.</li> <li>• Reporting to the Research Executive Committee.</li> <li>• Meet at least four times per year (more frequently when necessary).</li> </ul> | <p>Associate Deans for Research (Chair)</p> <p>School Directors of Research</p> <p>Research &amp; Enterprise Manager</p>  | <ul style="list-style-type: none"> <li>• Receives and appraises reports from School Directors of Research on REF2014 submissions.</li> <li>• Ensures equality and diversity standards are adhered to throughout the decision-making process.</li> </ul>                          |
| School Research Committees (where these exist) | <ul style="list-style-type: none"> <li>• Informal School-based groups reporting to School Executive Team/School Board.</li> </ul>   | <p>Director of Research (Chair)</p> <p>Representatives from professoriate/ research groups of the school</p> <p>Project Officer (Research &amp; Enterprise Services)</p>      | <ul style="list-style-type: none"> <li>• Supports the preparation of REF2014 submissions.</li> <li>• Ensures equality and diversity standards are adhered to throughout the decision-making process.</li> </ul>  |

## 2. Individual members of staff with REF2014 responsibilities

| <b>Position</b>   | <b>Role as pertaining to REF2014</b>   | <b>Rationale and selection</b>  |
|---|--|---|
| Vice-Chancellor (VC)  | <ul style="list-style-type: none"> <li>The principal academic and administrative officer of the University.<sup>2</sup></li> <li>Overall responsibility for leadership and management of the University, including the REF2014.</li> </ul>   | <ul style="list-style-type: none"> <li>Ex-officio.</li> <li>Appointed by, and reports to, Council.</li> <li>Chair of Executive Team and Senate.</li> </ul>  |
| Pro-Vice-Chancellor for Research, Enterprise and Engagement (PVC-REE) | <ul style="list-style-type: none"> <li>Lead responsibility for establishing REF2014 strategy and managing the University's submission, reporting regularly to the VC and Executive Team.</li> <li>Determines University REF2014 strategy and ensure its effective communication throughout the institution.</li> <li>Assures the quality and robustness of the University's submission to REF2014 across all Units of Assessment (UoAs).</li> <li>Appoints external advisors.</li> <li>Lead responsibility for overseeing the optimisation of UEA REF2014 submissions within and across Faculties. Including final decisions on staff submission.</li> <li>Provides resolution of disputes concerning the allocation of staff to UoAs.</li> <li>Ensures equality and diversity standards are adhered to throughout the decision-making process.</li> </ul> | <ul style="list-style-type: none"> <li>Ex-officio.</li> <li>Appointed by the VC on behalf of Council.</li> <li>Reports to the VC.</li> <li>Chair of Research Executive.</li> <li>Member of Executive Team and Senate.</li> </ul>  |
| Executive Deans of Faculty  | <ul style="list-style-type: none"> <li>Overall responsibility for leadership and management of the Faculties, including the REF2014.</li> <li>Informing HR of eligible staff who are absent from the University for the purposes of communicating this Code of Practice.</li> <li>Consider recommendations on which staff to be submitted including the optimisation of UEA REF2014 submissions within Faculties. Make recommendations to the PVC REE on final</li> </ul>  | <ul style="list-style-type: none"> <li>Ex-officio.</li> <li>Appointed by the VC on behalf of Council.</li> <li>Report to the VC.</li> <li>Members of Executive Team and Senate.</li> <li>Chairs of Faculty Executives.</li> </ul> |

<sup>2</sup> University Ordinances (Ordinance 4 The Role of the Vice Chancellor and Registrar & Secretary) <http://www.uea.ac.uk/calendar/Ordinances>  
 Approved by Senate (9 November 2011) and Council (28 November 2011)  
 v2. Amended following feedback from HEFCE (06 July 2012)  
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|                             | decisions on staff submission.  |  |
|-----------------------------|---|--|
| Associate Deans of Research | <ul style="list-style-type: none"> <li>• Liaise with, and providing advice to Executive Deans of Faculty, Faculty Executives/Research Executives, other Associate Dean(s) for Research and /or PVC-REE on the preparation of REF2014 submissions where they have implications for the inclusion or non-inclusion of members of their Faculty.</li> <li>• Consider recommendations on which staff to be submitted, including the optimisation of UEA REF2014 submissions within Faculties. Making recommendations to the PVC REE on final decisions on staff submission.</li> <li>• Co-ordinate the preparation of REF2014 submissions, provide advice to UoAs, summarise good practice and identify common issues/themes within and between Faculties.</li> <li>• Ensure equality and diversity standards are adhered to throughout the decision-making process.</li> </ul> | <ul style="list-style-type: none"> <li>• Ex-officio.</li> <li>• Appointed by the VC on behalf of Council.</li> <li>• Report to the Executive Dean.</li> <li>• Chairs or Faculty Research Executives.</li> <li>• Members of Research Executive and Faculty Executives.</li> </ul> |
| Heads of School             | <ul style="list-style-type: none"> <li>• Liaise with, and provide advice to Executive Dean, Associate Dean(s) for Research and /or PVC-REE on the preparation of draft REF2014 submissions where they have implications for the inclusion or non-inclusion of members of their school and/or potential for submission to a UoA led by another School/ Faculty.</li> <li>• Communicate the process to staff.</li> <li>• Produce a UoA specific statement on selection based on standard criteria in the Code (if applicable)</li> <li>• Ensuring that feedback is provided as soon as possible to staff excluded from the submission or for whom non-inclusion in the final submission is a reasonable possibility.</li> <li>• Ensuring equality and diversity standards are adhered to throughout the decision-making process.</li> </ul>                                   | <ul style="list-style-type: none"> <li>• Ex-officio.</li> <li>• Appointed by Senate and Council.</li> <li>• Report to the Executive Dean.</li> <li>• Members of Senate, and Faculty Executives.</li> </ul>   |
| School Research Directors   | <ul style="list-style-type: none"> <li>• Liaise with and provide advice to Head of School and Associate Dean(s) for Research on the preparation of submissions where there are implications for the inclusion or non-inclusion of members of their School.</li> </ul>   | <ul style="list-style-type: none"> <li>• Appointed by School Board.</li> <li>• Report to Head of School.</li> <li>• Members of Faculty Research</li> </ul>   |

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|                       | <ul style="list-style-type: none"> <li>Communicate the process to staff (with Heads of School).</li> <li>Ensure equality and diversity standards are adhered to throughout the decision-making process.</li> <li><i>NB: where there is no direct mapping of a School to a particular REF UoA, these activities may be undertaken by the REF Unit Co-ordinator with Head of School and ADR input.</i></li> </ul>  | <p>Executives and School Executives.</p> <ul style="list-style-type: none"> <li>Chair School Research Executive (if exists in School).</li> </ul>  |
| REF Unit Coordinators | <ul style="list-style-type: none"> <li>Prepare draft REF2014 submissions in collaboration with those being returned, liaising with other coordinators and other REF roles detailed above as appropriate.</li> <li>Liaise with Research &amp; Enterprise Service on preparation of submission.</li> <li>Ensure equality and diversity standards are adhered to throughout the decision-making process.</li> </ul> | <ul style="list-style-type: none"> <li>Nominated by PVC REE in consultation with Executive Deans, ADRs and Heads of School.</li> <li>Responsible to PVC REE through appropriate ADRs and Heads of School.</li> </ul> |

### 3. University Administration Divisions with REF2014 responsibilities

|                                     |  |  |
|-------------------------------------|--|--|
| Research & Enterprise Services(REN) | <ul style="list-style-type: none"> <li>Make recommendations on, co-ordinate and oversee the details of REF2014 planning and preparations across the University.</li> <li>Institutional contact with HEFCE on REF 2014.</li> <li>Liaise with ADRs on data requirements and practicalities of preparing REF 2014 submissions.</li> <li>Liaise with other University services on data requirements for REF 2014.</li> <li>Ensure equality and diversity standards are adhered to throughout the decision-making process.</li> <li>Support REF 2014 Unit Co-ordinators in the preparation of submissions.</li> </ul> | <ul style="list-style-type: none"> <li>Director appointed by Senate and Council and is member of University Research Executive.</li> <li>All roles appointed by Director of REN, Assistant Director reports to Director and all other roles report to next in line, in order given below.</li> <li>Assistant Director is member of University Research Executive, Research Enterprise Managers are members of Faculty Research Executives and Project Officers are secretaries to School Research Committees.</li> </ul> |
| Human Resources (HR)                | <ul style="list-style-type: none"> <li>Lead responsibility for HR activities in preparation for the REF and providing advice to ET members.</li> <li>Advise on the content and delivery of the Code of Practice.</li> </ul>  | <ul style="list-style-type: none"> <li>Director appointed by Senate and Council.</li> <li>Human Resource Managers appointed</li> </ul>   |

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|   | <ul style="list-style-type: none"> <li>• Provides advice and guidance to Executive Deans of Faculty and Heads of School on HR- related planning and preparations for REF.</li> <li>• Assists Director and Associate Director of University Services with REF2014 planning and preparations across the University</li> <li>• Ensuring equality and diversity standards are communicated and adhered to throughout the decision-making process. Including to staff who are absent from campus.</li> </ul> | by and report to Director of HR and are members of Faculty Executives.  |
| Equality and Diversity Office within Partnerships, PGR, Equality & Diversity (PPE). | <ul style="list-style-type: none"> <li>• Advises on the content and delivery of the Code of Practice.</li> <li>• Develops and delivers training on the Code of Practice.</li> <li>• Ensures equality and diversity standards are communicated and adhered to throughout the decision-making process.</li> </ul>   | <ul style="list-style-type: none"> <li>• Equality and Diversity Manager appointed by and reports to Director of PPE.</li> </ul> |

# UNIVERSITY OF EAST ANGLIA

## Equality Code of Practice: Preparing Research Excellence Framework Submissions

Annex 3: pro-forma for statement of individual circumstances

*This will be reviewed against any template produced by the Equalities Challenge Unit in advance of its being issued to UEA staff.*

|  |   |
|--|---|
| <b>Name:</b>   |   |
| <b>Job Title:</b>  |   |
| <b>School:</b>   |   |
| <b>Unit of Assessment (if known):</b>  |   |
| <b>Nature of individual circumstances:</b><br>(please refer to paras 85-87 for "Early Career Researcher" and/or paras 88-95 for "Clearly Defined" or "Complex Circumstances" in REF 02.2011, available at <a href="http://www.hefce.ac.uk/research/ref/pubs/2011/02_11/">www.hefce.ac.uk/research/ref/pubs/2011/02_11/</a> ) | Clearly Defined/<br>Complex/<br>Early Career Researcher/<br>Other circumstances that may have had an impact on research outputs<br>(please delete those not applicable) |

Please provide details below of any individual circumstances that you wish to be taken into consideration when examining your research profile (continue on a separate sheet as necessary). Provide as much information as you feel is necessary.

**For Early Career Researchers:** state the date you consider you started your career as an independent researcher (see para 85b) (must be after 1 Aug 2009) and provide brief details of your research career history to date including employing organisations.

**For all other cases,** your statement must include as a minimum: a broad description of the nature of the circumstances; when they occurred; their duration; the extent of the impact on your ability to carry out research activities, (eg. completely unable, 50% reduction in time).

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| I declare that the information given here is correct and hereby give my permission for it to be made available, on a confidential basis, to the relevant decision makers who are considering my research profile for the REF2014 and for the purposes of the University's equality monitoring and equality impact assessment. |  |
| Signature:  |  |
| Date:   |  |

Please return this form to your Human Resource Manager (or in exceptional circumstances you may wish to return this form to the Director of Human Resources).

Approved by Senate (9 November 2011) and Council (28 November 2011)

v2. Amended following feedback from HEFCE (06 July 2012)



## **UNIVERSITY OF EAST ANGLIA**

### **Equality Code of Practice: Preparing Research Excellence Framework Submissions**

Annex 4: Amendments to the Code of Practice following feedback from the REF Equality and Diversity Advisory Panel (EDAP) received in July 2012.

- Addition to para 3 of the Introduction detailing communication of the plan to eligible members who are absent from the University.
- 5.3 Addition of a description of the process to be used to communicate the Code to eligible staff who are absent from the University.
- Amendments to Decision Making Flow Chart (page 6) relating to the addition of information relating to timing of appeals process and submission decisions.
- 9.3.2 Addition of a list of individual circumstances which would be taken into account and of Tables 1 (Early career researchers: Permitted reduction in outputs) and 2 (Part-time working, secondments and career breaks: Permitted reduction in outputs).
- 13.1 Addition of detail of timing of the conclusion of appeals.
- Annex 2 – Individual Roles and Responsibilities of Decision Makers. Addition of communication of the Code of Practice to eligible staff who are absent from the University to the Executive Dean of Faculty and Human Resources Department.
- Addition of Annex 4 to detail changes made to the Code of Practice following feedback from EDAP in July 2012.
- Amendment to running footer to identify this version as amended following feedback from EDAP in July 2012.

Any queries on these amendments to the Code of Practice can be discussed with Julia Warner, Research & Enterprise Manager (REN)  
(ext x3619, email [j.warner@uea.ac.uk](mailto:j.warner@uea.ac.uk)).