



Research Excellence Framework: REF 2014

University of Portsmouth

Code of Practice

Revised Final Version

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REF 2014 – University of Portsmouth

Code of Practice

1. Introduction

The Research Excellence Framework (REF) is the new system for assessing the quality of research in higher education institutions (HEIs) in the UK, and replaces the Research Assessment Exercise (RAE), last conducted in 2008. The REF is conducted jointly by the Higher Education Funding Council for England (HEFCE), the Scottish Funding Council (SCF), the Higher Education Funding Council for Wales (HEFCW) and the Department for Employment and Learning, Northern Ireland (DEL). The REF is managed by the REF Team, based at HEFCE, on behalf of the UK higher education funding bodies, and is overseen by a REF Steering Group, comprising representatives of the four funding bodies.

The purpose of the REF 2014 is to produce quality assessment outcomes for submissions made by institutions. These will be used to:

- a. Inform the selective allocation of funding body grants for research to institutions with effect from 2015-16.
- b. Provide accountability for public investment in research and evidence the benefits of this investment.
- c. Provide benchmarking information and establish reputational yardsticks, for use within the higher education (HE) sector and for public information.

The outcome of assessment will determine allocations of funding to the University for a period of several years. The University, therefore, has to structure its submission to ensure the institution achieves the optimal outcome. Optimising the submission will necessitate decisions about the inclusion or exclusion of individual staff members.

2. Code of Practice

For the purpose of the REF all HEI's are required to develop, document and apply their own Code of Practice (CoP). This will be used to allow the institution to demonstrate a fair and transparent approach to the selection of staff for its REF submission. Guidance on drawing up a CoP is contained in REF2014, *Assessment framework and guidance on submissions* (REF 02.2011; part 4)¹

The University of Portsmouth is committed to the principle that the selection of research outputs, and therefore staff, should be determined by the quality of the research in the context of the REF, and that the process of selection is carried out in a fair, open and transparent manner. This CoP outlines the process by which selection will take place. The aim is to ensure that the optimum number of eligible researchers is included in the University's REF submission, taking into account the published procedures and criteria of the REF2014¹.

¹ http://www.hefce.ac.uk/research/ref/pubs/2011/02_11/

All HEIs are **required** to submit their CoP on or before 31 July 2012 to the REF Team. The Equality and Diversity Advisory Panel (EDAP) will examine all CoP's and will advise the UK funding bodies if an institution's CoP does not adhere to the REF Assessment Framework. Action will be taken by the funding bodies where the requirements of the guidance are not met.

All institutions' codes will be published at the end of the assessment process.

3. Legislative Context

The Equality Act 2010 harmonised and consolidated previous anti-discrimination legislation. The Act covers the protected characteristics of:

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

The public sector equality duty of the Act came into force in April 2011. HEI's, in carrying out their functions, must have due regard of the need to:

- eliminate discrimination, harassment and victimisation
- advance equality of opportunity
- foster good relations

In addition, specific public duties commenced in September 2011 that require HEI's to:

- publish information demonstrating compliance with the act
- provide at least one measurable equality objective
- publish information in a manner that is accessible

Full details of the University's approach to meeting these requirements are laid down in the Single Equality Scheme and Action Plan 2010-2013².

As an employer the University must ensure that the REF procedures adhere to the requirements of the Act. In addition the process must not discriminate against fixed-term or part-time employees.

Further details on the implications of the public duty and specific duty on HEIs are available from the Equality Challenge Unit (ECU)³.

All staff involved in the REF selection process must have an understanding of the Equality Act and the implications for the University. This requirement will be met by ensuring all those involved have completed the University's Equality e-learning and bespoke REF equality training packages.

² <http://www.port.ac.uk/departments/services/equalityanddiversity/policiesreports/>

³ <http://www.ecu.ac.uk/subjects/equality-act-2010>

4. Meeting Guiding Principles

The University needs to demonstrate fairness to staff in the submission process by addressing the following REF principles:

4.1 Transparency

Fundamental to the credibility of the REF is the transparency of the process through which decisions are made. It is important that criteria and procedures that will be applied in the assessment process are explained openly in an accessible way. All policies and procedures need to be published in full and in good time. The University is required to consider the accessibility of its CoP in relation to its format, how it is communicated, as well as where and how it is published.

The University will meet this principle by:

- ✓ Creating a REF information portal
- ✓ Making the CoP available in different formats on request
- ✓ Providing information by direct mailing and remote access for staff absent from work
- ✓ Ensuring that there is a REF equality agenda item for all appropriate meetings
- ✓ Communicating regular updates through the Research Newsletter and the Staff Essentials Portal
- ✓ Encouraging staff to feed back via a generic email – REF@port.ac.uk
- ✓ Providing a FAQs service through the Research Manager and REF Officer
- ✓ Providing informal confidential REF “drop in sessions” for staff

4.2 Consistency

Staff selection for inclusion in the REF must be consistent across the University and the CoP implemented uniformly.

The University will meet this principle by:

- ✓ Using a uniform application process across University
- ✓ Ensuring that all REF information is fed centrally through a REF portal

4.3 Accountability

Responsibilities need to be clearly defined, and individuals and bodies that are involved in selecting staff for the REF submissions should be identified by name and role. Operating criteria and terms of reference for individuals, committees, advisory groups and any other bodies concerned with staff selection should be made readily available.

The University will meet this principle by:

- ✓ The development of a REF portal
- ✓ The use of criteria and terms of reference for the University's REF Steering Group and all advisory groups that are published on REF portal
- ✓ Requiring that all staff involved in the selection process complete the University's equality e-learning training package and the bespoke REF equality and diversity training package

4.4 Inclusivity

The REF process must promote an inclusive environment where all staff feel able to engage in the process, enabling the University to identify all eligible staff that have produced excellent research for submission.

The University will meet this principle by:

- ✓ Providing opportunities for staff to feedback about REF throughout the preparation period
- ✓ Running REF staff workshops/presentations
- ✓ Promoting attendance at regular REF clinics to all staff
- ✓ Engendering staff feedback and providing FAQs on process through generic email and drop in session contact

5. Governance

5.1 REF Steering Group (RSG)

The internal UoP preparations for the REF are managed through the REF Steering Group (RSG). Inaugurated in January 2011, its remit is to ensure that all processes concerned with the selection of staff for inclusion in the REF submission are transparent and consistent across all disciplines in the University. It is responsible for the strategic management of the REF submission, including responsibility for making recommendations to the Vice-Chancellor with respect to which units of assessment and which members of staff should be submitted to REF2014. RSG recommendations will be informed by both data and views expressed by: external and internal subject specialists, Deans of faculties, Associate Deans Research, Heads of schools and the REF Equality Sub Committee regarding staff reductions due to individual circumstances. Members are appointed for their managerial responsibility, disciplinary research expertise, experience of previous research assessments and familiarity with equality and diversity legislation. RSG is chaired by Dr David Arrell, Pro Vice-Chancellor and reports to Vice Chancellor's Executive.

Terms of reference and current membership are detailed in Appendix 1

5.2 REF Equality Sub-Committee

This sub-group of the RSG is specifically responsible for developing and managing the processes and procedures to gather staff disclosure information as well as assessing reductions of outputs based on individual circumstances. The group is chaired by Prof Tara Dean, Director of Research and reports to RSG.

Terms of reference and membership are detailed in Appendix 2

5.3 Key Roles and Responsibilities

University Role	Current Post Holder	Role within REF
Pro Vice-Chancellor	Dr David Arrell	<ul style="list-style-type: none">- Chair RSG- Chair Appeals Panel- Report to Directorate
Director of Research	Prof Tara Dean	<ul style="list-style-type: none">- REF Strategy and Research Strategy- External Assessment

		<ul style="list-style-type: none"> - UoA and staff selection - EQ sub-committee Chair - Liaison with ADRs
Deans' Representative	Prof Paul Hayes	<ul style="list-style-type: none"> - REF and Research Strategy
Associate Deans Research (ADR)	Dr Alan Thorne (Science) Prof David Andress (Humanities & Social Science) Prof Jie Tong (Technology) Prof Andy Thorpe (Business School) Dr Jenny Walden (Creative & Cultural Industries)	<ul style="list-style-type: none"> - Internal review of research outputs - Preparation of submission for external review - Selection of outputs and staff - Liaison with Cat C staff and absent researchers - Oversee REF submissions in Faculty and advise on cross-faculty entrants - Liaise with UoA Coordinators in each faculty
External Subject Assessors	Confidential	<ul style="list-style-type: none"> - Assessment of draft submissions - Advice on the quality of potential outputs and "panel fit"
UoA Coordinators	Members of RSG – to be confirmed when UoAs are agreed autumn 2012	<ul style="list-style-type: none"> - Draft submission - Internal selection of outputs and verification - Draft environment narrative - Liaise with Impact leads - Supervise data input and edits for UoA - Liaise with REF team regarding research income and research student data
Deputy Director HR	Jeannette May	<ul style="list-style-type: none"> - Appeal Panel member
Dean	Tbc	<ul style="list-style-type: none"> - Appeal Panel member
Research Manger	Denise Teasdale	<ul style="list-style-type: none"> - REF Steering Group member - EQ Sub-group member - Coordinator for external interim

		<ul style="list-style-type: none"> review exercise - Liaison with UoAs/ADRs regarding Guidance on REF submissions and REF regulations - REF Data verification - REF audit
Impact Officer	Royston Clark	<ul style="list-style-type: none"> - To advise all UoAs on matters relating to Impact and Impact Case Studies
REF Officer	Kevin Pogorzelski	<ul style="list-style-type: none"> - REF software and input training for staff - Quality control of REF data input - Undertake EqA, present data to RSG and EQ Sub-Group Member
Equality & Diversity Advisor	David Small	<ul style="list-style-type: none"> - EQ Sub-group member - Advise on EQ implications for UoP CoP - Develop and deliver REF specific equality training - Offer REF equality guidance and advice on an individual basis to staff

As already indicated in section 4.3, all staff involved in the REF process are required to have completed the University's equality e-learning package and the bespoke REF equality and diversity training package. The Equality and Diversity Advisor will maintain records of those completing the training and provide updates to RSG.

6. REF Road map

The following timetable highlights key dates in the REF process.

2012

January	Final REF Panel Criteria published
January	URKTC discuss CoP
March	University Academic Council approve CoP
March	REF specific equality training materials developed
27 April	Submit CoP to HEFCE REF team
May/June	All eligible staff invited to enter the REF and complete the REF Application and Disclosure Form ADRs to ensure all staff absent due to maternity, illness etc are contacted directly
May	REF specific Equality and Diversity Training of REF Steering Group members, UoA coordinators, and all those involved in the REF decision making process
29 th June	Initial deadline for staff disclosure and entry to the REF
July – August	REF Equality Sub-committee review of Staff Disclosure
6 July	HEFCE notifies if CoP meets requirements
31 July	CoP submitted to REF for scrutiny
3 August	Re-submit CoP if required
September	Pilot of the submissions system and publication of submission system user guidance
28 September	HEFCE notifies if re-submitted CoP meets requirements
9 October	Re-submit CoP if required
19 October	HEFCE notifies if re-submitted CoP meets requirements
September-Nov	REF Equality Sub-committee informs individual researchers of the outcome of disclosure and informs UoA coordinators only of any agreed reduction in tariff of outputs.

2013

January	Launch of submission system Staff reminded to submit any further data for disclosure before May 2013
January – March	ADRs inform staff of non-selection
1 May	Final date for staff disclosure

31 July	Deadline for complaints procedure
31 October	REF census date for staff to be in post and eligible for entry
29 November	HEFCE Deadline for REF Submission

2014

Throughout year	Panels assess submissions
December	Publication of outcomes

2015

Spring	Publication of submissions, panel overview reports
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7. Processes and Criteria

The application process for the REF will be launched in May 2012 once the final REF Panel Criteria are published. All staff will be notified by email about the REF and will have the opportunity to complete a *pro forma* document detailing eligibility based on research outputs and the disclosure of individual circumstances relating to Equality and Diversity which could impact on outputs. A copy of the REF Application and Disclosure Form is attached Appendix 3.

Staff should have at least four outputs, that must include some that are considered to be of 3* and/or 4* quality, or fewer outputs of the required quality provided they have identified relevant individual circumstances. The RSG will receive and analyse all researcher applications to assess quality of outputs and the most appropriate REF Unit of Assessment. Assessments regarding a reduction in outputs due to individual and/or complex circumstances will be conducted separately and sensitively as detailed below (sections 7.1 to 7.3).

Part time staff will be treated equitably providing REF eligibility of a minimum 0.2 FTE contract is confirmed. Contract research staff will be made aware of the REF and the application process directly via the Research Staff Forum.

Those staff temporarily absent from the University will be contacted directly by their Associate Dean (Research) and informed of the application process and deadlines.

The University's policy towards the REF is one of selectivity guided by evidence and informed by objective external review. External assessors are selected on the basis of disciplinary expertise and previous involvement in research assessment. They will review individual outputs and other relevant indicators. External advice will be supplemented by internal review to balance academic and strategic considerations.

The RSG will take strategic decisions to balance financial and reputational objectives regarding the selection of Units of Assessment and the selection of eligible staff for submission. The decision regarding entry to Units of Assessment will be communicated to all staff when the University submits its REF intentions to HEFCE in October 2012.

Where staff are not to be included in the REF, the decision will be communicated by the appropriate Associate Dean of Research (ADR), in writing, and staff will be given the opportunity to discuss the reasons for this decision in person. The ADR will liaise with the relevant Head of Department to ensure that where a researcher is not returned in REF 2014, their plans for career development to improve REF eligibility are discussed at the individual's Performance and Development Review.

7.1 Individual staff circumstances

Up to four research outputs must be listed against each submitted member of staff. As a key measure to support equality and diversity in research careers, individuals may be returned with fewer outputs without penalty in the assessment, where their circumstances have significantly constrained their ability to produce four outputs or to work productively throughout the assessment period. The aim is to ensure that institutions submit all their eligible staff that have produced excellent research.

These circumstances are defined as follows:

Clearly defined:

- Qualifying as an Early Career Researcher
- Part-time working
- Maternity/paternity or adoption leave
- Secondment or career breaks outside HE sector

The HEFCE publication (REF 01.2012 January 2012 page 10-12) REF Panel Criteria and Working Methods details the reduction in outputs for researchers with clearly defined individual circumstances.

Complex:

- Disability
- Ill health or injury
- Mental health conditions
- Constraints relating to pregnancy or maternity
- Childcare or other caring responsibilities
- Gender reassignment
- Other circumstances related to protected characteristics.

All individual circumstances identified from REF Application and Disclosure forms (Appendix 3) will be passed to the University's REF Equality Sub-Committee (Director of Research, Research Manager and Equality and Diversity Advisor), where decisions around tariff reductions will be made based only on the information provided by staff disclosure process. Only the number of reductions will be passed to UoA Coordinators NOT the reasons for tariff reductions.

For complex circumstances the University will make a judgement on the appropriate reduction in the number of outputs to be submitted. The REF EDAP will consider these cases to ensure consistency. Working examples of appropriate reductions for complex circumstances will also be published by ECU to support organisations in their decision making process.

For each member of staff returned with fewer than four outputs, details of defined (200 words maximum) and complex (300 words maximum) circumstances on form REF1b are required. This information will be kept confidential to the Equality Sub-Committee and the University's REF Officer. Once submitted, it should be noted that this information, that must include verifiable evidence, will be kept confidential to the REF Team and the panel members (for clearly defined circumstances) and REF EDAP and main panel chairs (for complex circumstances). It will be used for panel assessment only, will not be published and will be destroyed on completion of the REF.

7.2 Procedure for declaring individual and complex circumstances

At the beginning of May 2012 the University of Portsmouth will launch the process of capturing staff circumstances from all staff wishing to be considered for submission to the REF by providing a “*REF Application and Disclosure Form*”. The initial period for staff to submit will be limited to a two month period, ending Friday 29 June. It is expected that the majority of research active staff will supply their details by this deadline. However, declaring individual and complex circumstances will be a continuous process until the REF submission deadline.

Promotion of the disclosure process

To publicise the launch of the application and disclosure process staff will be notified of the impending exercise via a number of platforms;

- An all-staff email including link to REF Disclosure specific web pages
- Publication on Staff Essentials (web page used to advertise upcoming UoP events, etc). Staff will also receive notification via email
- Communication via the UoP Customer Relationship Management (CRM) software
- Direct emails to those Category C identified by relevant faculty staff
- Promotion within faculty by Associate Dean's (ADR) who has the responsibility to contact any staff absent for a prolonged period
- Launch of the UoP REF Staff Disclosure intranet page (hosting a number of useful documents such as *REF Form Submission Guidance* and *Application and Disclosure - Background Information*)

Receiving Disclosure forms

To ensure that the disclosure process is user friendly, the University will allow receipt via a number of different routes. Electronically, returning the completed form to a secure email address ref@port.ac.uk. Manually by supplying a printed or hand written form via internal or external post to the REF team. Whether submitting the REF Application and Disclosure Form electronically or by post all successful submissions will receive confirmation that their form has been received.

Support

Although staff will have access to the Staff Disclosure page that provides a range of supporting documentation, such as FAQ's, throughout the process the UoP REF Team will also provide constant support to staff during core working hours to ensure that all queries or problems are resolved and responded to promptly.

Ongoing data capture and analysis

From launch to close the REF Officer will ensure that as forms are returned the information will be periodically analysed to maintain equality and diversity requirements and also so that regular updates can be provided to the Director of Research and assist in the forecasting of the UoP REF submission.

To guarantee that a maximum number of applications are received during the submission period the REF Officer will ensure constant promotion via regular staff notices;

- A second and final all-staff email two weeks before the closing date
- A second and final publication on the Staff Essentials web page
- Three planned advertising campaigns to staff through the CRM
- Regular direct email reminders to research staff due to have outputs sent for external assessment
- Planned reminder emails to Category C staff
- Promotion within faculty by ADR's who will be provided with lists staff that have submitted

7.3 Record keeping

The University has an obligation to provide some personal data for the purposes of the REF. All records held for REF purposes, will be held confidentially and will only be processed in accordance with HEFCE instructions, data protection guidelines and for the purposes of the REF only. Some data will be shared with the REF Steering Group, HEFCE, HESA and other agencies as required, but sensitive personal data and contractual details will not be placed in the public domain. Any personal disclosure forms and discussions held by the University's REF Equality Sub-Committee will remain confidential. All staff have the right of access to data which relates to them using the university's subject access request process.

The REF database will be accessible via password only and those staff inputting data will be briefed regarding data protection and confidentiality issues.

All academic staff will be informed via email regarding data protection rights following advice from the HEFCE REF Team on data collection in June 2012. The University's Data Protection Policy is available for scrutiny⁴.

8. Appeals Process

Staff have the right of appeal against a decision to exclude them from REF submission, where they believe that their non-submission relates to a protected characteristic defined under the Equality Act 2010, or from any of the REF defined or complex individual circumstances criteria. The date until which appeals can be made is 31st May 2013.

This process should follow the following stages, with the aim of resolving any issues at the lowest level:

Stage 1 – Discussion with ADR

Stage 2 - Request review by Equality Sub-Committee/Chair

Stage 3 – Appeal Panel (this ends the informal REF appeal process)

Stage 4 - University formal grievance procedure

Initially all those unsuccessful will be informed and offered the opportunity to discuss this decision with the appropriate ADR if desired (stage1). If after this discussion an individual wishes a review of their inclusion in the REF submission the following procedure should be followed

Mechanism

1. Letter in first instance to the Chair of the REF Equality Sub-Committee – should address reasons why exclusion is considered unfair.
2. The Chair, in consultation with Sub-Committee if required, determines if the applicant should be eligible for submission.
3. If the decision is that the staff member does not fit the submission criteria the Chair will feed this back, stating reasons.
4. If upheld by Equality Sub-Committee chair/group submission will be taken forward

If clarity is needed or where there is a lack of unanimity, or the individual wishes the application to be reviewed further, an appeal panel will be convened (stage 3). This panel will be made up of the Pro Vice- Chancellor, Deputy Director of Human Resources and a Dean (not from the same faculty as the appellant).

⁴ <http://port.ac.uk/accesstoinformation/policies/information/filetodownload,17472,en.pdf>

At the end of stage 3 the REF-specific process is seen as exhausted and any further dispute would now move to the University's formal Grievance Procedure (stage 4).

9. Data Protection

To monitor inclusion and fairness of the REF process, the University will be required to gather and share some personal data. This information will include details of individual staff circumstances and equality monitoring across protected characteristics. Staff should be assured that the gathered data will only be used for the purposes of the REF. Personal data will be protected and managed in line with the University's data protection policy⁵. Those submitting are encouraged to complete any equality monitoring element of the submission process as this will allow the University to analyse REF inclusion. Stonewall's *What's It Got to Do with Me* guide helps answer many of the questions staff may have around equality monitoring⁶.

Training and guidance on data protection is accessible via the REF information portal.

10. Equality Impact Assessment

As with all University policies, procedures and functions a full Equality Impact (EIA) Assessment of the REF procedure has been undertaken using the University's EIA policy⁷. This is an ongoing process and the EIA will be reviewed and updated to ensure that any necessary changes to prevent discrimination or to promote equality are taken prior to the submission deadline.

All EIA information will be published on the University's REF portal.

<http://www.port.ac.uk/research/researchexcellenceframework/equality/>

All staff will be encouraged to review its content and feedback with comments or suggestions that will improve the REF process.

10.1 Equality Analysis (EqA)

The university's EqA process⁸ will be used throughout REF decision making to ensure the REF is fair, inclusive and is not discriminating to any group. Data will include staff disclosure take-up, inclusion and exclusion in final REF submission across protected characteristics. This information will be presented at RSG and Equality Sub-Committee as required to allow for appropriate action to be taken as required.

⁵ <http://www.port.ac.uk/accesstoinformation/policies/information/filetodownload,17472,en.pdf>

⁶ http://www.stonewall.org.uk/documents/whats_it_got_to_do_with_you.pdf

⁷ <http://www.port.ac.uk/departments/services/equalityanddiversity/eia/>

⁸ <http://www.port.ac.uk/departments/services/equalityanddiversity/equalityanalysis/>

UoP REF Steering Group

Terms of Reference

The steering group will:

- Ensure that effective and appropriate institutional action is undertaken to support REF submission;
- Assist in peer review and assessment of external assessors' reports and advise on final selection of UoAs and staff inclusion, outputs and relevant evidence of "impact";
- Advise on and evaluate impact statements and case studies;
- Advise the University (Directorate and SPG) on all aspects of preparation for the REF submission including criteria for inclusion, submission guidelines any emerging management issues (e.g. arising from Equal Opportunities or from the need to optimise financial gains);

Membership

Dr David Arrell	PVC, Chair
Prof Tara Dean	Director of Research
Prof Paul Hayes	Deans' Representative
Denise Teasdale	Research Manager
Dave Small	Equality & Diversity Advisor
Royston Clark	Impact Officer
Kevin Pogorzelski	REF Officer

Science

- | | |
|---------------------|--|
| • Dr Alan Thorne | Associate Dean (Research) |
| • Prof Alan Costall | Department of Psychology |
| • Dr Liz Twigg | Department of Geography |
| • Prof Geoff Kneale | Institute of Biomedical & Biomolecular Science |
| • Prof Jim Smith | School of Earth & Environmental Science |

Humanities and Social Science

- | | |
|----------------------|---|
| • Prof David Andress | Associate Dean (Research) |
| • Prof Carol Hayden | Institute of Criminal Justice Studies |
| • Dr Bran Nicol | School of Social, Historical and Literary Studies |
| • Prof Tony Chafer | School of Languages and Area Studies |

Technology

- Prof Jie Tong Associate Dean (Research)
- Prof David Wands Institute of Cosmology & Gravitation
- Prof Andy Osbaldestin Department of Mathematics
- Dr Djamel Azzi Department of Electronic and Computer Engineering
- Dr Jim Briggs School of Computing

Business School

- Prof Andy Thorpe Associate Dean (Research)
- Prof Ashraf Labib Department of Strategy & Business Systems
- Prof Munir Maniruzzaman School of Law
- Prof Lisa Jack Department of Accounting and Finance
- Prof Alan Collins Department of Economics

Creative & Cultural Industries

- Dr Jenny Walden Associate Dean (Research)
- Dr Lincoln Geraghty Creative Arts, Film & Media
- Prof Lorraine Farrelly School of Architecture
- Mr Honghai Liu School of Creative Technologies

Addendum to Appendix 1

The following individuals joined the Steering Group after August 2012 as UoAs were confirmed and took the role of UoA coordinator.

Science

- Dr Amy Drahota School of Health Sciences and Social Work
- Dr James Ost Department of Psychology

Humanities and Social Sciences

- Dr Patricia Pulham Centre for Studies in Literature
- Prof Steve Savage Institute of Criminal Justice Studies

Technology

- Prof Djamel Ait-Boudaoud Dean
- Dr Andrew Burbanks Department of Mathematics

Portsmouth Business School

- Dr Barry Hough School of Law

Creative and Cultural Industries

- Dr Esther Sonnet Creative Arts, Film and Media

Appendix 2

UoP REF Equality Sub-Committee

Terms of Reference

The sub-committee will:

- Develop and implement the staff disclosure process;
- Consider information disclosed by individual staff members as part of the individual staff circumstances data collection exercise-both defined and complex.
- Use guidance provided by HEFCE/ECU to allocate reductions of outputs to individual staff in view of defined and complex circumstances;
- Details of individual circumstances will be provided to this group only.

Membership

Prof Tara Dean	Director of Research (Chair)
Denise Teasdale	Research Manager
Dave Small	Equality & Diversity Advisor
Kevin Pogorzelski	REF Officer

Occupational Health (as required to provide expert advice on work implications for health conditions)



REF Application and Disclosure Form

CONFIDENTIAL

REF2014



REF Application and Individual Staff Circumstances Disclosure Form

Section One - Personal details

Please note by providing your personal details into **Section One** you signal your intention to be considered for the Research Excellence Framework (REF) 2014. If you have not contacted your faculty before submitting this form these details ONLY will be used to make your faculty representative aware of your intention to be considered for submission.

Name:	<input type="text"/>	Faculty:	<input type="text"/>
Email address:	<input type="text"/>	Department/School:	<input type="text"/>
Telephone Number:	<input type="text"/>	Preferred method of communication:	<input type="text"/>
Potential Unit of Assessment:	<input type="text"/>		

Section Two - Individual circumstances

Please select **one** of the three options below to identify your circumstances for the REF 2014 submission.

- ☐ I have no individual circumstances that I wish to be taken into consideration for the purposes of the REF. **Please go directly to Section Five and complete.**
- ☐ I have individual circumstances that I wish to make known but I am not seeking a reduction in outputs. **Please complete Sections Three, Four and Five.**
- ☐ In completing this form I am seeking a reduction in research outputs. **Please complete Sections Three, Four and Five.**

Section Three - Further contact

Please indicate if you are requesting a member of human resources staff to follow up the information provided on this form.

- ☐ I do **not** wish to be contacted by a member of human resources staff.
- ☐ I wish to make the University aware of the following circumstances which have had an impact on my ability to produce four outputs or work productively between 1 January 2008 and 31 October 2013 and would like a member of human resources staff to contact me.

Section Four - Circumstance in detail

If you wish to make the University aware of any of the following circumstances which have had an impact on your ability to produce four outputs or work productively between 1 January 2008 and 31 October 2013 please supply information on the relevant circumstances in the areas provide below.

Please note circumstances where you are asked to supply dates should indicate definitive periods when unable to undertake research activities due to that circumstance (i.e. maternity leave). In some instances, such as periods relating to medical treatment and/or recovery when treatment may have been taken in stages, you are asked to summarise the **total** duration in months that you were unable to undertake research activities and provide specific information in the box provided.

Circumstance:

Information Required:

Early career researcher (ECR) (started career as an independent researcher on or after 1 August 2009)

Date you became an ECR:

For a detailed ECR definition go to <http://tiny.cc/tzmodw>

Information:

Part time employee

FTE

Total duration in months:

Information:

Career break or secondment outside of the higher education sector

Date (Start):

Date (Finish):

Information:

Disability (including conditions such as cancer and chronic fatigue)

Total duration in months:

Impact on ability to fulfil contractual hours and other impacts on ability to undertake research (including dates):

Mental health condition

Total duration in months:

Impact on ability to fulfil contractual hours and other impacts on ability to undertake research (including dates):

Section Four - Circumstance in detail (Continued)

Ill health or injury

Total duration in months:

Impact on ability to fulfil contractual hours and other impacts on ability to undertake research (including dates):

Maternity leave, statutory adoption leave or additional paternity leave (taken by partners of new mothers or adopters)

Leave 1 Type:

Date (Start):

Date (Finish):

Information:

Leave 2 Type:

Date (Start):

Date (Finish):

Information:

Leave 3 Type:

Date (Start):

Date (Finish):

Information:

Other constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare in addition to the period of maternity, adoption or paternity leave taken.

Total duration in months:

Impact on ability to fulfil contractual hours and other impacts on ability to undertake research (including dates):

Section Four - Circumstance in detail (Continued)

Other caring responsibilities (including caring for an elderly or disabled relative)

Total duration in months:

Impact on ability to fulfil contractual hours and other impacts on ability to undertake research (including dates):

Gender reassignment

Total duration in months:

Information (including dates):

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

Total duration in months:

Impact on ability to fulfil contractual hours and other impacts on ability to undertake research (including dates):

Section Five - Agreement

Please read the three statements below before completing the survey. It is key that you understand and agree to these statements before submitting your completed form.

- ☐ I confirm that the information provided is a true and accurate description of my circumstances.
- ☐ I recognise that the information provided will be used for REF purposes only and will be seen by the University of Portsmouth REF Equality Sub Committee.
- ☐ I realise that it may be necessary to share information with UK funding bodies' REF team, who may make the information available to REF panel chairs, members and secretaries and/or the Equality and Diversity Advisory Panel. Where permission is not provided the University of Portsmouth will be limited in the action that it can take.

Signature (Insert Name):

Date:

* If you are printing your form to return by post please note that forms must be returned marked confidential by 29 June 2012 to REF Team, University of Portsmouth, Purple Door, James Watson Building, 28 Guildhall Walk, Portsmouth, PO1 2DD.

** If an email dialogue window or options for alternative methods of forwarding do not activate you should check that your version of Adobe Acrobat Reader is fully updated.

If you would like this form in another format, or would like assistance in completing please contact ref@port.ac.uk to discuss your requirements

Submit by Email **

Print Form *