



# **REF2014 Code of Practice for the Selection of Staff**

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### **REF2014 Code of Practice for the Selection of Staff**

**This code of practice has been consulted with and approved by:**

<b>Approved</b>	<i>Date completed</i>
Vice-Chancellor – initial and revised	3 April 2012 12 July 2012 (rev) 5 December 2012 (rev)
Research, Consultancy and Scholarship Committee – initial and revised	29 March 2012 12 July 2012 (rev)
REF Steering Group – initial and revised	13 March 2012 9 July 2012 (rev)
REF Code of Practice Sub-Group	8 March 2012
School RCSC Representatives (REF Champions)	29 March 2012
<b>Consultation</b>	
Equality and Diversity Steering Group	27 March 2012
Trade Unions	22 March 2012

## **1 INTRODUCTION**

As part of the University's submission to the REF2014 we are required to develop, document and apply an internal Code of Practice on the selection of staff included in our REF2014 submission.

The University will submit this Code of Practice to the REF2014 team by the earlier date of 27 April 2012. The REF2014 Equality and Diversity Advisory Panel (EDAP) will examine all codes of practice submitted and advise the four UK HE funding bodies on the adherence of our Code to the published REF2014 requirements.

In November 2013 the Vice-Chancellor will confirm adherence to this internal Code of Practice when our submission to the REF2014 is made.

All institutions' final codes of practices will be published with the rest of submissions at the end of the assessment process.

## **2 PURPOSE AND AIM OF CODE OF PRACTICE**

This purpose and aim of the University's Code of Practice is to demonstrate:

- Open, transparent, consistent and inclusive processes connected to REF2014. This includes all aspects/stages of the planning and

implementation of the University's submission including the selection of staff for submission, and

- that it operates within the context of our policies for Equality, Data Protection and relevant employment legislation.

Staff will be selected in a process that is open, consistent, transparent, inclusive and consultative and the University's Criteria and Process for the Selection of Staff is available under Appendix A.

The University's Equality Policy is available on its website <http://www.bathspa.ac.uk/services/hr/for-staff/equality-and-diversity/equality-policy.asp> and is included in Appendix B of this Code of Practice.

Our Equality Policy states "Bath Spa University is fully committed to providing equality of opportunity for all its staff and students, applicants and visitors." It continues to state that "the University will not tolerate unfair or unlawful discrimination on the grounds of any of the nine protected characteristics or any distinction which is not relevant to the employee/employer relationship." If discrimination is founded on these grounds a disciplinary investigation will take place.

The nine protected characteristics are:

1. age
2. disability
3. gender reassignment
4. marriage and civil partnership
5. pregnancy and maternity
6. race
7. religion or belief
8. sex
9. sexual orientation

and definitions of discrimination under the Equality Act 2010 are included in Appendix 2 of the University's Equality Policy.

This Code of Practice fully supports the above statements in our Equality Policy and is committed to providing equality of opportunity, free from discrimination, in all its policies and decision making processes connected to REF2014.

The University will also act in accordance with its published Data Protection Policy and details of the Policy are available on our website <http://www.bathspa.ac.uk/regulations/data-protection/policy.asp> and in Appendix C.

Due care will be taken in record-keeping during REF2014 preparations to ensure that what is recorded is accurate and defensible, particularly as regards any matters of opinion rather than fact.

## **Data Protection**

All records relating to the REF2014 will be processed in accordance with the principles of the Data Protection Act 1998. Individual personal data submitted for the purposes of determining individual staff circumstances will be retained securely and separately by Human Resources. All personal data will be destroyed once the outcomes of the REF2014 have been published by HEFCE.

## **3 SCOPE OF CODE OF PRACTICE**

This code of practice applies to

- All staff involved in the preparation and selection process for REF2014 submissions
- All staff eligible to submit their research for REF2014. This includes academic, research, full time, part time, permanent and fixed term staff
- All external advisers involved in REF2014.

Definitions of academic, research, full time, part time, permanent and fixed term staff for the purposes of REF2014 are available in Appendix D.

As detailed in REF2014 “Assessment framework and guidance on submissions”, the University will select for submission staff who meet the REF2014 definitions of Category A or Category C staff as defined in paragraphs 77 to 81.

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

“Category C staff are defined as individuals employed by organisations 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).”

## **4 RESPONSIBILITIES IN RESPECT OF REF2014**

As stated in the University’s Equality Policy “Promoting and maintaining equality is the responsibility of everyone, although it is recognised that management have additional responsibilities to ensure that the policy is carried out. The Board of Governors and the Vice-Chancellor have overall responsibility for ensuring that the University meets its obligations with regard to the Equality Act 2010.” (See Appendix B)

The overall conduct and management of the REF2014 submission process, and institutional adherence to this Code of Practice, is the responsibility of the Deputy Vice-Chancellor Provost and the Vice-Provost (Research and Graduate Affairs). They will take advice from the University’s Research, Consultancy and Scholarship Committee in formulating matters of institutional strategy and when scrutinising draft

submissions from Dean of Schools for final approval. Advice has also been taken from HR regarding legislative requirements.

A copy of the overall REF2014 Committee Structure and the University's Research Support Structure can be found in Appendix E.

The **Vice-Chancellor** has responsibility for:

- Overall ownership and adherence to this Code of Practice
- Ensuring that appeals are held and completed according to this Code of Practice
- Submission of this Code of Practice to HEFCE with a covering letter of support
- Consideration of the Appeals on the grounds of an Individual Staff Circumstance Disclosure outcome.

The **Deputy Vice-Chancellor Provost** has responsibility for:

- Chairing the University's REF Steering Group and the Research, Consultancy and Scholarship Committee
- Overall operational management of the University's REF2014 submission process.

The **Deputy Vice-Chancellor Operations** has responsibility for:

- Consideration of the Appeals on the grounds of intrinsic quality or excellence of an individual's contribution drawing on the advice of the Vice-Provost (Research and Graduate Affairs) and external advisor(s) if appropriate.
- If the DVC Operations is not available, another member of the University's Senior Management team independent of the staff selection process for REF2014 will consider appeals, drawing on the advice of the Vice-Provost (Research and Graduate Affairs) and external advisor(s) if appropriate.

The **Vice-Provost (Research and Graduate Affairs)** has responsibility for:

- Day to day management of the University's REF2014 submission process

The **Head of Strategy** has responsibility for strategic project management of the REF2014 dry run, and providing strategic advice and support to the Vice-Provost (Research and Graduate Affairs) in the day to day management of the REF2014 submission process.

**Research, Consultancy and Scholarship Committee (RCSC)** has responsibility for undertaking REF2014 on behalf of Academic Board. Terms of Reference for this Committee are in Appendix F.

The University's **REF Steering Group (RSG)** has responsibility for:

- The overall conduct and management of the REF2014 submission process, and institutional adherence to the Code of Practice, under the responsibility of the Deputy Vice-Chancellor Provost
- The role of the group will be to monitor, evaluate and review the selection procedures and practices of the School level groups, to include their feedback and the appeals processes. Terms of Reference are available in Appendix G.

**Deans of Schools** have responsibility for:

- Ensuring that the Subject Selection Groups carry out their responsibilities in accordance with their Terms of Reference as set out in Appendix H
- Recommendations to RCSC in respect of the inclusion of individual staff and UoA submissions within their discipline areas to REF2014.

**Subject Selection Groups** have responsibility for considering submissions for inclusion in REF2014 submission. Terms of Reference for these Subject Selection Groups are available in Appendix H.

**External Advisors** are responsible for advising the Subject Selection Groups. Details of their role are available in Appendix I.

**School Directors of Research/Research Co-ordinators (REF Champions)** are available for informal advice on potential submissions on a without prejudice basis. Details of named individuals can be found in Appendix M.

The **Individual Staff Circumstances Disclosure Panel (ISCD)** will be responsible for agreeing the adjustment to outputs for clearly defined circumstances and making judgements on the complex circumstances. Terms of Reference for this Panel are available in Appendix J.

**Human Resources (HR)** are responsible for:

- Ensuring that the Code of Practice complies with all relevant Equality, Employment and other related legislation
- Delivery of REF2014 specific Equality training
- Managing the consultation with the recognised Trade Unions
- Managing the administration of the Individual Staff Circumstances Disclosure Forms and supporting the ISCD Panel
- The Director of HR will have responsibility for supporting the Appeals process.

The **Equality and Diversity Steering Group** is responsible for ensuring that the Code of Practice complies with University Equality policies. Terms of Reference for this Group are available in Appendix K.

## **5 EQUALITY IMPACT ASSESSMENTS**

To meet the General Equality Duty under the Equality Act 2010 the University will have due regard to the need to:

- “Eliminate unlawful discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act.
- Advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it.
- Foster good relations between persons who share a relevant protected characteristic and persons who do not share it.”



To enable the University to meet this duty we will undertake equality impact assessments (EIA) on the policies and processes connected to REF2014 for selecting staff. The EIA will inform the Code of Practice and be kept under review as submissions are prepared. It will review and monitor the implementation of the REF2014 Code of Practice for REF2014.

The initial and revised EIAs will be published on the University's REF2014 webpage. All staff are encouraged to review its content and feed back with comments or suggestions that will improve the REF2014 process.

Details of the initial Equality Impact Assessment (EIA) on this Code of Practice are included in Appendix L.

## **6 PRINCIPLES**

### ***Transparency***

All processes for the selection of staff for inclusion in REF2014 submission will be transparent through the following means:

- Formal presentation of this Code of Practice at School Board or School-level appropriate body
- Consultation with the recognised Trade Unions and the University's Equality and Diversity Steering Group
- This Code of Practice will be available to all members of academic and research, full and part time, permanent and fixed term contract staff in the following ways:
  - Directors of Research/Research Co-ordinators (REF Champions) who are normally the School's Research Committee Representative to take a proactive approach to ensure that all staff are aware of process. These are detailed in Appendix M.
  - REF2014 web pages <http://www2.bathspa.ac.uk/schools/graduate-school/research/ref-2014/default.asp> will provide staff with regular updates on progress and key decisions. This will include all REF2014 related papers and documents, to ensure that they are available in a full and transparent fashion to all staff (with the exception of confidential information on individual staff circumstances).
  - A series of road shows, meetings and departmental level meetings. (See Appendix H).
  - Hard copies will also be sent to any staff on maternity/paternity/adoption leave and long term sickness absence.
  - Ensuring that all staff involved in REF2014 complete on-line equality training (Marshall ACM Equality and Diversity in the Workplace) and, where appropriate, receive REF2014 specific training on equality which has been tailored to REF2014 processes.

### ***Consistency***

The REF Steering Group will take responsibility to ensure that the Criteria and Process for the Selection of Staff is consistent across the University and that this

Code of Practice is implemented uniformly. The principles to be applied to all aspects/stages of the process at all levels within the University where decisions will be made are set out in Criteria and Process for Selection (Appendix A) and Section 7 of this document.

The consistency of decision making by the Subject Selection Groups will be ensured through monitoring by the RSG and RCSC. The consistency of the ISCD Panel is the responsibility of the Vice-Chancellor.

### ***Accountability***

Responsibilities have been clearly defined and individuals and bodies that are involved in selecting staff for the REF2014 submissions are identified by name and role. Operating criteria and terms of reference for individuals, committees, advisory groups and any other bodies concerned with staff selection have been published on the University's website and publicised to all staff through the means set out above. All papers (including records of discussions) related to the selection of staff through these groups (with the exception of confidential information on individual staff circumstances, and discussions relating to named individual members of staff) will be published on the University's website.

### ***Inclusivity***

The University has, on the advice of its Research, Consultancy and Scholarship Committee, adopted a policy of offering for assessment only those Unit of Assessments (UoAs) which are deemed likely to be awarded a quality profile in which the majority percentage of research activity is deemed (by the Deputy Vice-Chancellor Provost, on the advice of the Deans of School) to be of 1\* standard, or above.

All academic staff in such UoAs are entitled to offer their research for inclusion in the REF2014 submission. Staff will be required to provide a full and accurate record of activities within the reporting period, including copies of research outputs in designated formats. Research outputs will not be submitted for assessment unless copies are available. Some creative and practice-based outputs may require other forms of evidence: catalogues of works at an exhibition, recordings of music, etc.

## **7 CRITERIA AND PROCESS FOR SELECTION**

The REF2014 criteria and process for the selection of staff for inclusion in the University submission can be found at Appendix A.

## **8 DEFINITIONS OF INDIVIDUAL STAFF CIRCUMSTANCES**

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.

Circumstances with a **clearly defined** reduction in outputs, which are:

- Qualifying as an Early Career Researcher (started career as an independent researcher on or after 1 August 2009)
- Part-time working
- Absence from work due to secondments or career breaks outside of Qualifying periods of maternity, paternity or adoption leave.

**Complex circumstances** that require a judgement about the appropriate reduction in outputs, which are:

- Disability. This is defined in REF2014 2 “Assessment framework and guidance on submissions”, ‘Part 4, Table 2 under ‘Disability’. See Appendix N.
- Ill health or injury
- Mental health conditions
- Constraints relating to pregnancy or maternity in addition to a clearly defined maternity leave. (These may include but are not limited to: medical issues associated with pregnancy or maternity; health and safety restrictions in laboratory or field work during pregnancy or breastfeeding; constraints on the ability to travel to undertake fieldwork due to pregnancy or breastfeeding)
- Childcare or 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 REF 02.2011 ‘Assessment framework and guidance on submissions’.

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 of the REF2014 Addendum to the Assessment Framework and Guidance on submissions which can be found attached as Appendix O and at <http://www.ref.ac.uk/pubs/2011-02/> . For clearly defined circumstances the ISCD Panel will assess the reduction in outputs in accordance with this guidance and advise the relevant Deans of Schools of the reduced outputs.

Where there is a combination of clearly defined circumstances the ISCD will consider whether they can be accumulated up to a maximum reduction of 3 outputs in accordance with the guidance (as stated above).

Where staff have had one or more complex circumstances – including a combination with any clearly defined circumstances, the ISCD Panel will make a judgement on the appropriate reduction of the number of outputs submitted and provide a rationale for this judgement.

## **9 DISCLOSURE OF INDIVIDUAL STAFF CIRCUMSTANCES (CLEARLY DEFINED AND COMPLEX)**

As stated above, Individual Staff Circumstances disclosures will be the responsibility of the ISCD Panel. **All** staff potentially eligible for selection will be advised that they can complete an online form about their individual staff circumstances. This form will be generated using Liquid Office, and the content will be based on the template produced by the Equality Challenge Unit (ECU). The ECU form can be found at <http://www.ecu.ac.uk/documents/ref-materials> and the University's Disclosure of Individual Staff Circumstances Policy, Individual Staff Circumstances Disclosure Form and memorandum inviting staff to complete the form are available in Appendix P. All completed forms will be sent to HR who will ensure their safekeeping in accordance with the records retention and Data Protection statement as in Section 2.

All completed Liquid Office forms will be sent to the nominated HR representatives who will be responsible for the safekeeping of this information and providing it to the ISCD Panel.

## **10 REF2014 APPEALS OR COMPLAINTS**

The University REF2014 Appeals process for the selection of staff for the REF2014 including decision letters are set out in Appendix Q.

Staff will be eligible to appeal in connection with the REF2014 on the following grounds:

- Decisions made on intrinsic quality or excellence of an individual's contribution, or
- Decision of the ISCD Panel
- Complaints

The University's decision on which Units of Assessment to be submitted is based on compatibility with School and University Research Strategies and will not be subject to appeal. This is consistent with HEFCE advice that "institutions will be invited to make submissions by 29 November 2013, in each unit of assessment they elect to submit in" (paragraph 19, REF2014 'Panel criteria and working methods' document).

### **Intrinsic quality or excellence of an individual's contribution**

The decisions on the inclusion of work and/or individuals on the basis of intrinsic quality or excellence will rest with the Dean of School.

If, after further discussion and consultation, the decision from the Dean of School on the original recommendation stands, anyone dissatisfied on the grounds of decisions made solely on the basis of the intrinsic quality or excellence of an individual's contribution to a submission may lodge an appeal in writing to the Deputy Vice-Chancellor Operations. A member of the University's Senior Management Team

independent of the staff selection process for REF2014 will consider appeals, drawing on the advice of the Vice-Provost (Research and Graduate Affairs) and external advisor(s) if appropriate.

A formal appeal should be made in writing to Deputy Vice-Chancellor Operations within 10 working days of the date of the final decision by the Dean of School. The DVC Operations or a member of the University's Senior Management Team independent of the staff selection process for REF2014 will consider this appeal and appellants will be notified within 10 working days of receipt of the appeal letter on the outcome of her/his appeal.

### **Individual Staff Circumstances**

Appeals should be made in writing to Director of HR within 10 working days of the date of the letter advising of the decision of the ISCD Panel. The Vice-Chancellor and the Director of HR will consider this appeal and the appellant will be notified within 10 working days of receipt of the appeal letter on the outcome of her/his appeal.

All appeals regarding the disclosure of individual staff circumstances will be dealt with confidentially and taking into account data protection policy.

### **Complaints**

The University recognises that staff may have concerns related to bullying and harassment and/or discrimination on the grounds of their protected characteristic that are outside of the REF2014 process. Complaints of this nature should be made to HR through the University's Grievance procedure. The Grievance will be investigated and dealt with by someone not involved in REF2014, and the process will be completed by 31 October 2013. A copy of the University's Grievance is available as Appendix R.

## **11 COMMUNICATION AND TRAINING**

As stated above in Section 6 and Appendix H, all University staff will be made aware of the contents and purpose of this Code of Practice, and other REF2014 documentation and processes, through a variety of methods including the University website. <http://www2.bathspa.ac.uk/schools/graduate-school/research/ref-2014/default.asp>

As required by HEFCE, the University will ensure that those with responsibilities for managing the REF2014 process and in the selection of staff have a full understanding of the Equality and Diversity issues included in this code, and will receive REF2014 specific training in relation to equality issues. Details of the REF2014 Equality and Training programme can be found in Appendix S.

### Version Control

v1	Draft CoP to CoP Meeting	21.2.12
v2	Draft CoP changed around	23.2.12
v3	Draft CoP rewritten by HR	5.3.12
v4	Draft CoP comments from Sarah Priston	6.3.12
v5	Revisions following CoP meeting on 8.3.12	9.3.12
v6	Revisions following RSG meeting on 13.3.12	14.3.12
v7	Revisions following HR/RO meeting on 19.3.12	19.3.12
v8	Code of Practice with Appendices 22.3.12 EDSG	22.3.12
v9	Code of Practice with Appendices after RCSC	29.3.12
v10	Code of Practice with Appendices to VC	5.4.12
v11	Revised Code of Practice for HEFCE	12.07.12
v12	Revised Code of Practice for HEFCE	05.12.12
V13	Revised Code of Practice – appeals process	26.03.13

## **APPENDIX A**

### **REF2014: Criteria and Process for the Selection of Staff**

#### **1. Consideration for Inclusion**

The University has, on the advice of its Research, Consultancy and Scholarship Committee, adopted a policy of offering for assessment only those Unit of Assessments (UoAs) which are deemed likely to be awarded a quality profile in which the majority percentage of research activity is deemed (by the Deputy Vice-Chancellor Provost, on the advice of the Deans of School) to be of 1\* standard, or above.

All academic staff in such UoAs are entitled to offer their research for inclusion in the REF2014 submission. Staff will be required to provide a full and accurate record of activities within the reporting period, including copies of research outputs in designated formats. Research outputs will not be submitted for assessment unless copies are available. Some creative and practice-based outputs may require other forms of evidence: catalogues of works at an exhibition, recordings of music, etc.

#### **2. Process for the Selection of Staff for Inclusion in the REF2014**

Each institution making a submission to REF2014 is required to develop, document and apply a code of practice on selecting staff to include in their REF2014 submissions. The aim of the Code of Practice is to ensure that the University's equalities policy is adhered to in a consistent manner across the institution for the purposes of REF2014. It sets out the principles and processes to be applied to all aspects/stages of the planning and implementation of University's REF2014 submission.

This code of practice applies to:

- All staff involved in the preparation and selection process for REF2014 submissions
- All staff eligible to submit their research for REF2014. This includes academic, research, full time, part time, permanent and fixed term staff
- All external advisers involved in REF2014

The code aims to ensure that the University's decision-making processes are framed in relation to REF2014 in the context of the principles of equalities and diversity, and all relevant legislation. It also aims to ensure that the process by which staff are selected for the REF2014 is open, transparent, consistent and inclusive, with accountability clearly defined. While the University recognises that all staff have a responsibility for promoting equality of opportunity, this code places particular emphasis on the key activities of the Deputy Vice-Chancellor Provost and the Vice-

Provost (Research and Graduate Affairs), the Deans of the Academic Schools, and each School RCSC Representatives (REF Champions).

The Code of Practice will be submitted to HEFCE by 27 April 2012, after which it will be disseminated to staff through a wide variety of means throughout May, June and July 2012. Any amendments required by HEFCE will be circulated as appropriate.

In July 2012 staff will be invited by their Dean of School to submit outputs for inclusion in the REF2014 (including items anticipated as being in the public domain during the REF2014 qualifying period), with an indication of their preferred outputs for selection. School RCSC Representatives (REF Champions) will be available to offer informal advice on potential submissions on a 'without prejudice' basis. If a member of staff has more than four potential outputs, discussions will take place on the most appropriate outputs for inclusion.

The Chairs of Subject Selection Groups and Deans of School will then identify an initial list of those to be submitted. Staff will be selected on the basis of the quality of the research outputs they have produced in the reporting period (1 January 2008 until the submission deadline of 29 November 2013) of REF2014. These will be assessed on the basis of the three standard measures of quality put forward by HEFCE for the REF2014: '**Originality**, **Significance** and **Rigour**' with reference to international research quality standards. Further details on selection criteria can be found in the terms of reference for REF2014 subject selection groups (See Appendix H).

The REF2014 criteria (Panel Criteria and Working Methods) state that panels will not normally accept submission of duplicate research outputs within a single UoA. This will only be permitted under exceptional circumstances for highly significant research outputs. In the case that this may necessitate the selection of, for example, only one member of staff from two or more sharing the same outputs, Deans of Schools will take into account the wider contribution of the members of staff to the submission (e.g. contribution to research environment and esteem measures). This will be done in such a way so as not to disadvantage staff due to any individual circumstances listed below.

Decisions on the inclusion of work will rest with the Dean of School, with consideration also given to the cohesiveness and balance of each of our UoA submissions, which need to be compatible with the School and University Research Strategies. Any decision to not include the member of staff or the Unit of Assessment should not come as a surprise to the individual concerned. Appeals against these decisions should follow the procedure set out in the approved REF2014 Appeals process (See Appendix Q).

A policy and procedure for the disclosure and consideration of individual staff circumstances has been approved (see Appendix P) which sets out how details will be considered, in confidence, by a separate panel. Requests for initial individual staff circumstances disclosure to be taken into account should be submitted by the deadline of 30 September 2012. Staff will be informed of decisions by 31 October 2012, with further opportunities to disclose individual circumstances for consideration open throughout the process if required. Deans of Schools will only be informed of the names of staff who qualify for reduced outputs as a result of individual staff



circumstances - documentation will remain confidential to ISCD Panel. Appeals against these decisions should follow the procedure set out in the approved REF2014 Appeals process (See Appendix Q).

A Dry Run exercise, to review draft submissions, will take place between December 2012 and March 2013. Details of the Dry Run are set out in Appendix T.

All staff will be informed of the outcomes of decisions on the inclusion of work by the end of March 2013, with a further invitation to draw attention (in confidence through the individual staff circumstances disclosure procedure) to any factors that may legitimately have inhibited completion of four items of sufficient quality by the REF2014 submission deadline of 29 November 2013.

Confirmation of the UoAs recommended for inclusion in REF2014, and a list of staff names will be submitted to the Deputy Vice-Chancellor Provost for approval by the end of March 2013.

Draft UoA submissions will be submitted to the University Research, Consultancy and Scholarship Committee for consideration by the end of the 2012/13 academic year, throughout which period staff will be kept informed of progress in formulating the submission.

Final drafts of UoA submissions, including details of new appointments and any additional reduction in outputs, will be considered by the University Research, Consultancy and Scholarship Committee in the Autumn of 2013, with submission to HEFCE on 29 November 2013.

The University reserves the right to decide which Unit of Assessments will be included in the REF2014 submission, based on compatibility with School and University Research Strategies. This is consistent with HEFCE advice that “institutions will be invited to make submissions by 29 November 2013, in each unit of assessment they elect to submit in” (paragraph 19, REF2014 ‘Panel criteria and working methods’ document).

#### **REF2014: UoA Selection and Submission Timetable**

1 May 2012	Introduction to Code of Practice circulated to staff with links to FAQs and submitted Code of Practice on the web.
May/June/July 2012	Code of Practice and details of REF2014 Subject Selection Group terms of reference and membership (Appendix H) further disseminated to staff through meetings and discussions with REF Champions.
July/Aug/Sept 2012	Staff invited to submit outputs for inclusion in the REF2014 (including items anticipated as being in the public domain during the REF2014 qualifying period), with an indication of their preferred items for selection.
30 September 2012	Deadline for submission of forms for the consideration of individual staff circumstances disclosure.

October 2012	Individual Staff Circumstances Disclosure Panel (ISCD) reviews individual staff circumstances forms.
31 October 2012	Staff to be informed of outcomes related to disclosure of individual staff circumstances.
30 November 2012	1. Initial individual staff circumstances Appeals process to be concluded 2. ISCD Panel to inform HoS of staff who qualify for reduced outputs as a result of individual staff circumstances.
Oct/Nov/Dec 2012	REF2014 Subject Selection Groups to meet and consider staff submissions and make initial recommendations on which UoAs will be included to Deans of School.
By end December 2012	Deans of School advise Deputy Vice-Chancellor Provost on UoAs and estimated numbers of staff to be included for the HEFCE survey of submission intentions.
December 2012	Individual Staff Circumstances Disclosure panel considers material submitted by staff.
Dec 2012 – Feb 2013	Preparation of draft submissions by Schools
15 February 2013 <b>*Internal deadline*</b>	Deadline for providing draft submissions to the Research and Graduate Affairs Office
Late February 2013	“Dry run” review meetings to consider draft submissions
March 2013	Further work on staff selection, informed by outcomes of the ISCD Panel
25 March 2013 <b>*Decision*</b>	Final selection of Category A staff by the Deans, confirmed by DVC Provost.
End March 2013	All staff informed of the outcome of selection, following the procedure set out in the Code of Practice.
April – July 2013	Deans of Schools to work up submissions and case studies, supported by the Impact working group and REF Team.
July 2013	RCSC to consider draft submissions and provide detailed feedback.
Aug – Oct 2013	Deans of Schools to work up submissions and case studies, supported by the Impact working group and REF Team.
Oct/Nov 2013 <b>*Decision*</b>	REF steering group to approve final submissions to REF2014.
By 31 October 2013	Staff census date. Staff selection appeals process and grievances to be concluded.
29 November 2013 <b>*HEFCE deadline*</b>	Deadline for submission to HEFCE.

## **Appendix B**

### **REF2014: Bath Spa University's Equality Policy**

#### **Introduction**

This policy has been developed in conjunction with the Equality and Diversity Steering Group (EDSG) and representatives from the recognised Trade Unions. It details the University's commitment to matters of equality and diversity and indicates its plans for further action in this area. These are detailed in Equality Action Plan. The Equality Act 2010 defines nine protected characteristics, see definition of characteristics and the main impacts in Appendix 1 below.

In updating and reviewing this policy consideration has been given to the Public Sector Equality Duty and specifically the requirement to meet the General Equality Duty and the specific duties that have been designed to support and aid compliance with the general duty. The University will have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation;
- Advance equality of opportunity between those who share a relevant protected characteristic and those who don't; and
- Foster good relations between those who share a relevant protected characteristic and those who don't.

In addition the University will meet the requirement of the specific duties designed to support and aid compliance with the general duty, by:

- Publishing information annually from 31st January 2012 that demonstrates our compliance with the General Equality Duty; and
- Prepare and publish, at least every four years from 6th April 2012, one or more objectives we consider we should achieve to meet the aims of the General Equality Duty.

#### **Scope of Policy**

This policy applies to all staff and students of the University and its activities. Bath Spa University is fully committed to providing equality of opportunity for all its staff and students, applicants and visitors. The University will not tolerate unfair or unlawful discrimination on the grounds of any of the nine protected characteristics or any distinction which is not relevant to the employee/employer relationship or its student body. Definitions of discrimination under the Equality Act 2010 are in Appendix 2 below.

This policy will be published by the University and drawn to the attention of all staff, students and other interested parties. Copies will be available from the Human Resources Department, the Student's Union and the University's web site. Breaches of this policy by staff or students will be investigated and dealt with through the disciplinary or complaints procedure.

### **Customers, suppliers and other people not employed by the University**

The University has an important role to play in promoting good relations between people with protected characteristics and will work in partnership with the local community and other agencies to develop and promote positive attitudes to equality and diversity. As part of its commitment the University will continue to deliver an Equality Forum which is accessible to local communities.

The University will seek to secure the confidence, involvement and participation of underrepresented groups and sections of the community as students, staff, governors, goods and service providers.

The University will not discriminate unlawfully against customers using or seeking to use facilities or services provided by the University. Staff and students should report any bullying or harassment by customers, suppliers, visitors or others to their manager, student union representative or student services (as appropriate) who will take appropriate action.

The University will ensure that its tendering, contract and procurement arrangements with external organisation are fair and are not discriminatory under the protected characteristics. It will regularly review the criteria used for awarding contracts and the methods of assessing and monitoring individual operators' own employment and service delivery packages.

Suppliers of goods and services who exercise public functions on behalf of the University will be expected to have due regard for the General Equality Duty.

### **Responsibilities**

Promoting and maintaining equality is the responsibility of everyone, although it is recognised that management have additional responsibilities to ensure that the policy is carried out. The Board of Governors and the Vice-Chancellor have overall responsibility for ensuring that the University meets its obligations with regard to the Equality Act 2010.

A Deputy Vice-Chancellor has specific responsibility for ensuring compliance with the policy and the promotion of good practice in relation to matters of equality and diversity.

The Equality and Diversity Steering Group meets regularly to discuss and review matters and make recommendations to the Vice-Chancellor.

The Director of Human Resources also has specific responsibility for assisting with the implementation and monitoring of equality.

The University Management will ensure that:

- All staff and students are aware of the equality policy and our procedures for making a complaint;
- The implementation of equality is effectively monitored;
- An Equality Action Plan is produced and reviewed;
- Staff, Students and Union representatives are provided with appropriate forums to discuss and deal with equality issues;
- All staff are provided with appropriate equality training;
- A network of trained Harassment Advisors is available to provide advice and guidance;
- Procedures are in place for the fair appointment, promotion and development of staff, the fair selection and teaching of students, free from unjustifiable discrimination.

All staff and students are expected to:

- Support and implement the equality policy; and
- Ensure that their behaviour and/or actions do not amount to discrimination or harassment.

Staff and students of the University are expected to comply with this policy and are expected to promote a culture free of unfair discrimination, prejudice and all forms of harassment and bullying. Any incidents of discrimination, harassment or bullying will be investigated and may be grounds for dismissal or expulsion.

### **Implementation, monitoring and review**

The Deputy Vice-Chancellor together with EDSG, will review the policy regularly, summarise the findings and make recommendations to the Vice-Chancellor for any necessary changes.

The Director of Human Resources will monitor the effectiveness of the policy. Advice and information on equality related implementation and problems can be sought from:

- Human Resources,
- the Students' Union,
- Student Support Services, or
- a member of EDSG.

The Deputy Vice-Chancellor will ensure that the University has due regard for the General Equality Duty and is complying with the Public Sector Equality Duty and any other statutory duties under existing equalities legislation and/or relevant codes of practice.

Human Resources will lead on the gathering and analysing of data relating to staff, and the Director of Student Services will lead on the gathering and analysing of data relating to students.

Annual reports will be provided to the Vice-Chancellor and EDSG and information will be published annually.

## **Language**

Prejudice and discrimination can arise and be reinforced by our use of language, which often may not be completely neutral and value-free. Words and phrases can be associated with negative attitudes and may give offence to people including members of groups that are subject to prejudice, harassment or discrimination.

Everyone is expected to ensure that their written and spoken material, including all materials used in teaching, do not contain racist or sexist language or any other language that may cause unreasonable offence to others. In particular, you should be aware of inappropriate references to any of the protected characteristics.

## **Publicity**

University publications and advertisements for staff and student recruitment will state the University's commitment to equality. Recruitment practices will not justifiably exclude any appropriately qualified applicants. Every effort will be made to assess the equivalency and look positively on qualifications from other countries. Language and images used in all publications and written material will be anti-discriminatory. The Student prospectus will show clear requirements for courses and detail facilities available to students.

Information regarding staff vacancies will be circulated throughout the University and posts will be advertised externally in all but exceptional circumstances. All new staff, as part of their induction process, will be made aware of the University's Equality Policy.

## **Facilities & Support**

The University will, wherever reasonably practicable, provide facilities and specialised equipment, to allow equal access by all staff, students and applicants to the education and employment it provides. Information on support can be found on the University website

<http://www.bathspa.ac.uk/services/hr/for-staff/equality-and-diversity>

<http://www.bathspa.ac.uk/services/student-services/student-services-charter/default.asp>

[http://www.bathspasu.co.uk/content/166515/representing\\_you/liberation\\_reps/](http://www.bathspasu.co.uk/content/166515/representing_you/liberation_reps/)

## **Staff**

BSU will work to avoid unlawful discrimination in all aspects of employment including recruitment, promotion, opportunities for training, pay & benefits, discipline & selection for redundancy.

## **Recruitment & Selection**

All applicants and staff will be given equal consideration for selection, promotion and training. A recruitment monitoring form will be sent with all application forms. Information gathered on this form will not be used in the selection process and will only be used for monitoring purposes by the Human Resources Department.

Selection criteria for all posts will be clearly defined and reflected in the Job Description and Person Specification. Short listing and interviewing processes will be thorough, carried out objectively and without bias. Staff involved in these processes should have been appropriately trained in recruitment and selection training and be aware of relevant employment legislation. Interview panels should include both genders where appropriate. Where applicants declare that they have a disability, appropriate arrangements will be made wherever possible to enable them to compete on an equal basis.

## **Working Conditions**

The University will take account of the needs of individual members of staff and, wherever reasonably practicable, use flexitime and/or special contractual arrangements e.g. job share, term time working, and annualised hours, to assist with issues such as disabilities, religious observance and caring for dependants. The University recognises its legal obligation to consider making reasonable adjustments to the workplace and working arrangements to accommodate suitably qualified people with disabilities.

## **Learning and Development**

The University will not discriminate on any grounds in the provision of learning and development to assist staff, either part time, full time, fixed term or permanent, to perform their jobs more effectively and to achieve their development goals. Learning and development of staff will be recorded and monitored.

## **Students**

BSU will work to avoid unlawful discrimination in all aspects of the student experience.

## **Admissions & Selection**

All applicants will be given equal consideration during the selection process and will not be discriminated against on any grounds. The University welcomes applications from people with disabilities who will be considered on the same basis as other potential students. Considerations about individual needs arising from disability will be made separately and the University will strive to meet an individual disabled student's needs wherever possible. However, there may be occasions where it is not possible to admit an individual, where the level of support needed is not possible or where an individual's welfare would be at risk.

Entry qualifications for courses will only include those that are necessary and justifiable. All selection processes will be thorough, carried out objectively and will only address the applicant's suitability for the course requirements. Staff involved in the selection process will be adequately trained to achieve this.

## **Curricula**

It will be the responsibility of the Heads of School, Course and Subject Leaders and all other members of staff who set and teach curricula and syllabi to avoid bias in these areas. Learning materials should be non-discriminatory. If discriminatory material is used to make a point, the discriminatory nature of the materials should be pointed out by the staff member using the material.

## **Learning Conditions**

The University will take account of the needs of students and wherever possible, consideration will be given to issues such as caring for dependants when lecturers and examinations are timetabled.

## **Progression**

All students will be treated equally when considered by the University's exam board in terms of progression. Any issues brought to the attention of the exam board that should be considered on the grounds of equality will be taken in account, if appropriate.

## **Employment**

First destination data, detailing the employment students secure having graduated from the University will be monitored and evaluated to see if particular groups of students from under represented groups develop better career paths than others.

## **Advice**

Counselling and advice for students relating to discrimination, harassment and bullying will be available from the Student Support Office and the Harassment Advisors.



### Definitions of Protected Characteristics

The Equality Act has defined 9 protected characteristics as follows:

- **Age (no change from previous legislation)**, this is the only protected characteristic that allows employers to justify direct discrimination
- **Disability (new definitions and changes)**, a person is disabled if they have a physical or mental impairment which has a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities.

New protection from discrimination arising from disability, it will be discriminatory to treat a disabled person unfavourably because of something connected with their disability (e.g. a tendency to make spelling mistakes arising from dyslexia).

People with disabilities can now claim indirect discrimination.

Employers may not ask about a candidate's health before offering them work unless it will assist in;

- Deciding whether a reasonable adjustment is necessary to enable participation in the selection process
  - Deciding whether an applicant can carry out a function that is essential (intrinsic) to the job
  - Monitoring diversity among people making applications
  - Taking positive action to assist a person with a disability
  - Confirming a person has a disability where the job genuinely requires the jobholder to have a disability
- **Gender reassignment (new definition)**, a transsexual person is someone who proposes to, starts or has completed a process to change his or her gender. The person is no longer required to be under medical supervision to be protected.
  - **Marriage and civil partnership (no change)**, people in a marriage or civil partnership are protected, single people are not protected.
  - **Pregnancy and maternity (no change)**, a woman is protected during the period of pregnancy and statutory maternity leave, during this period pregnancy and maternity discrimination cannot be treated as sex discrimination.
  - **Race (no change)**, race includes, colour, nationality and ethnic or national origins.
  - **Religion or belief (no change)**, religion includes any religion; it also includes a lack of religion. Belief means any religious or philosophical belief or lack of such belief. Discrimination because of religion or belief can occur even where both the discriminator and recipient are of the same religion or belief.

- **Sex (no change)**, both men and women are protected and
- **Sexual orientation (no change)**, bisexual, gay, heterosexual and lesbian people are protected.

## Appendix 2 (of Equality Policy)

### Definitions of Discrimination

The Equality Act 2010 has redefined the definitions of discrimination and added some new ones, as follows:

- **Direct Discrimination** occurs when someone is treated less favourably than another person because of a protected characteristic they have or are thought to have (perceptive discrimination), or because they associate (associative discrimination) with someone who has a protected characteristic.
  - Perceptive discrimination is direct discrimination against someone because others think they have a protected characteristic
  - Associative discrimination is direct discrimination against someone because they associate with someone who has a protected characteristic
- **Indirect Discrimination** occurs when a condition, rule, policy or practice is applied equally to all but puts one group of staff or students at a disadvantage due to a protected characteristic.
- **Harassment** is unwanted conduct related to a relevant protected characteristic (see below), which has the purpose or effect of violating an individual's dignity or creating and intimidating, hostile, degrading, humiliating or offensive environment for that individual. NB the definition of harassment does not apply to marriage and civil partnership and pregnancy and maternity.
- **Victimisation** occurs when a person is treated badly because they have made or supported or are suspected of making or supporting a complaint or grievance under the Equality Act.
- **Failure to make a reasonable adjustment** occurs where a physical feature or provision, criterion or practice puts a disabled person at a substantial disadvantage, compared with someone who does not have that protected characteristic & the employer has failed to make reasonable adjustments to enable the disabled person to overcome the disadvantage.

*Please note: July 2012 changes to University management structure have yet been formally incorporated in the University's Equality policy.*

## **Appendix C**

### **REF2014: Bath Spa University's Data Protection Policy**

#### **1. Introduction**

1. Since BSU is a centre of knowledge, education and training it is focussed on information and its use. BSU needs to keep certain information about its employees, students and other users to allow it to monitor performance, achievements, and health and safety, for example. It is also necessary to process information so that staff can be recruited and paid, courses organised and legal obligations to funding bodies and government met.
2. Our use of information is governed by the principles of the Data Protection Act, 1998 (the 1998 Act). Under the 1998 Act, personal data shall:
  1. be obtained for a specified and lawful purpose and shall not be processed in any manner incompatible with that purpose
  2. be adequate, relevant and not excessive for those purposes
  3. be accurate and kept up to date
  4. be kept for no longer than is necessary for that purpose
  5. be processed in accordance with the data subject's rights
  6. be kept safe from unauthorised access, accidental loss or destruction
  7. not be transferred to a country outside the European Economic Area unless that country has equivalent levels of protection for personal data
3. BSU and all staff or others who process or use personal information must ensure that they follow these principles at all times.

#### **2. Status of the Policy**

1. This policy does not form part of the formal contract of employment but it is a condition of employment that employees will abide by the rules and policies made BSU from time to time. Failure to follow the policy can therefore result in disciplinary proceedings.
2. Any member of staff who considers that the policy has not been followed in respect of personal data about him or herself should raise the matter with the Data Protection Officer initially. If the matter is not resolved it should be dealt with under the Grievance Procedure in the Employment Handbook (Section 2.18)

#### **3. Notification of Data Held and Processed**

1. All staff, students and other users are entitled to:
  1. know what information BSU holds and processes about them and why
  2. know how to gain access to it
  3. know how to keep it up to date
  4. know what BSU is doing to comply with its obligations under the 1998 Act
2. BSU will therefore provide staff and students and other relevant users with notification of the types of data BSU holds and processes about them, and the reasons for which it is processed. BSU will do this at least once every three years.

#### **4. Responsibilities of Staff**

1. All staff are responsible for:
  1. checking that information that they provide to BSU in connection with their employment is accurate and up to date
  2. informing BSU of changes to or errors in information held.
2. If and when, as part of their responsibilities, staff collect information about other people (e.g., about students' course work, opinions about ability, references to other academic institutions, details of personal circumstances), they must comply with the guidelines for staff.

#### **5. Data Security**

1. All staff are responsible for ensuring that:
  1. personal data they hold are kept securely
  2. personal information is not disclosed either orally or in writing, accidentally or otherwise, to any unauthorised third party. Unauthorised disclosure will usually be a disciplinary matter, and may be considered gross misconduct in some cases.
2. Personal information should be:
  1. kept under lock and key when not attended.
  2. if it is computerised, and in an area where it may be seen by unauthorised staff or students, be password protected; or kept only on disks which are kept securely.

#### **6. Student Obligations**

1. Students must ensure that all personal data provided to BSU are accurate and up to date. They must ensure that changes of address, etc, are notified to Registry.
2. Students who use BSU computer facilities may from time to time process personal data. If they do they must notify the Data Protection Officer.

#### **7. Rights to Access Information**

1. Staff, students and others have the right to access any personal data that BSU keeps about them, either on a computer or in paper files. Any person who wishes to exercise this right should complete the BSU "Data Subject Access Request" form (.doc), or from the Data Protection Officer. BSU will make a charge on each occasion that access is requested, although the fee may be waived in certain circumstances.
2. BSU aims to comply with requests for access to personal information as quickly as possible, and will ensure that it is provided within 21 days unless there is good reason for delay. In such cases, the reason for delay will be explained in writing to the data subject making the request.

## **8. Examination Marks**

1. Students will be entitled to information about their marks for both coursework and examinations. However, this may take longer to provide than other information. BSU may withhold certificates, accreditation or references in the event that the full course fees have not been paid, or all library books and equipment returned.

## **9. Publication of Information**

1. Information that is already in the public domain is exempt from the 1998 Act. It is BSU policy to make as much information public as possible, within the requirements of the Data Protection and Freedom of Information Acts. The University maintains a publication scheme, approved by the Information Commissioner, and general information is available on the BSU Freedom of Information website.
2. Any individual who has good reason for wishing listed information to remain confidential should contact the Data Protection Officer.
3. BSU's internal phone list will not be a public document.

## **10. Subject Consent**

1. Those who are offered places or posts at BSU will be notified of the standard data kept about them, and the uses to which it may be put, as declared in our registration with the Data Protection Commissioner. Acceptance of a place or a post will be understood to signify acceptance of such "standard" processing.
2. Sometimes it is necessary to process "sensitive" information, for instance, about a person's health, criminal convictions, race and gender or family. This may be to ensure that BSU is a safe place to work or study, to operate BSU policies (e.g. sick pay, equal opportunities), or to enable the institution to comply with the law. It is recognised that processing it may cause particular concern or distress to individuals. Accordingly, in respect of sensitive data, staff and students will be asked to give "express consent", using a "Consent To Process" form.
3. Some jobs or courses will bring the applicants into contact with children, including young people between the ages of 16 and 18. BSU has a duty under the Children Act and other acts to ensure that staff are suitable for their jobs, and students for their courses. In addition, BSU has a duty of care to staff and students in general and must make sure that employees and those who use BSU facilities do not pose a threat or danger to others. In order that these and similar requirements may be met, offers of employment or course places may be withdrawn if an individual refuses consent to process.

## **11. The Data Protection Officer and Data Owners**

1. BSU as a body corporate is the "Data Controller" under the Act, and the Board of Governors is therefore ultimately responsible for implementation. The Director has vested day to day responsibility for implementing the

provisions of this policy with a Data Protection Officer, who is currently Dave Hassall.

2. The Data Protection Officer designates "Data Owners" responsible for files held in particular locations or for particular functions. Data Owners may designate authorised staff to process personal data.
3. The current Data Owners are declared in a list published by Computer Services.

## **12. Retention of Data**

1. BSU will keep data for the minimum time necessary to fulfil its purpose.
2. Owing to the need to meet future requests for references, Registry student records will be kept indefinitely, unless there are specific requests to destroy them.
3. BSU will keep information about ex-employees for seven years, in order to meet data needs for pensions, taxation, potential or current disputes or job references.
4. A full list of information with retention times is published and is available from the Data Protection Officer.

## **13. Conclusion**

1. Compliance with the 1998 Act is the responsibility of all members of BSU. Any deliberate breach of the data protection policy may result in disciplinary action, access to facilities withdrawn, or even criminal prosecution. Questions or concerns about the interpretation or operation of this policy should be taken up with the Data Protection Officer.

## **Appendix D**

### **REF2014: Definitions of Academic, Research, Full time, Part time, Permanent and Fixed term Staff, Category A and Category C and the definition of Early Career Researchers for the purposes of REF2014**

**Academic** – A member of staff employed on an academic contract of employment and their duties include teaching and research.

**Research** – A member of staff employed on a research contract of employment and their duties are independent research.

**Permanent** - A member of staff with a substantive contract of employment which does not include an end date.

**Fixed Term** – A member of staff with a contract of employment which has an end date. Staff with fixed term contracts who will be in post on 31 October 2013 will be treated the same as staff on substantive contracts, as per the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations 2002.

**Full time** – A member of staff with a FTE of 1.0, either academic or research, permanent or fixed term

**Part time** – A member of staff with a FTE of less than 1.0, either academic or research, permanent or fixed term

#### ***Category A and Category C staff (taken from REF 02.2011 Assessment framework and guidance on submissions - paragraphs 77 – 83) “Part 3 Section 1: Staff details (REF1a/b/c)”***

77 Each HEI must decide which individuals to select for submission, in accordance with its internal code of practice (see Part 4). Staff selected for submission must be listed in **one** of the two possible categories, A or C.

#### **Category A staff**

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

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<sup>1</sup> These are staff returned to the HESA Staff Collection with an activity code of ‘Academic Professional’ (currently identified as code ‘2a’ in the ACT1, ACT2 or ACT3 fields) and an academic employment function of either ‘Research only’ or ‘Teaching and research’ (currently identified as codes ‘2’ or ‘3’ in the ACEMPFUN field). Revised guidance on the coding of these staff in HESA returns will be issued following the review of the HESA staff record, which is due to conclude in September 2011.



79 Regardless of their job title, all staff who satisfy the definition at paragraph 78, along with the supplementary criteria in paragraphs 79-81, are eligible as Category A staff:

- a. Staff who hold institutional/NHS joint appointments **are** eligible to be returned as Category A. These staff should be returned with an FTE less than 1.0, reflecting their contract of employment with the institution.
- b. Pensioned staff who continue in salaried employment contracted to carry out research and meet the definition at paragraph 78 **are** eligible to be returned as Category A staff.
- c. Academic staff who are on unpaid leave of absence or on secondment on the census date **and** are contracted to return to normal duties up to two years from the start of their period of absence or secondment are eligible to be returned as Category A, provided that any staff recruited specifically to cover their duties are not also listed as Category A.
- d. Academic staff who are employed by the submitting HEI and based in a discrete department or unit outside the UK are eligible **only** if the HEI demonstrates that the primary focus of their research activity on the census date is clearly and directly connected to the submitting unit based in the UK. Staff whose connection cannot be demonstrated to the satisfaction of the REF manager, as advised by the relevant panel, will be discounted from the assessment and removed from the REF database.
- e. Staff absent from their 'home' institution but working on secondment as contracted academic staff at another UK higher education institution on the census date, may be returned by either or both institutions. In such a case the individual and both institutions concerned should agree how the return is to be made. Their total FTE may not exceed their contracted FTE with their main employer.
- f. Other than individuals on secondment on the terms described in sub-paragraph e, an individual may **only** be returned as Category A by more than one HEI if they have a contract with and receive a salary from more than one HEI. In such cases:
  - i The two HEIs must ensure that the total FTE value of the individual sums to no more than the lower of 1.0 or the individual's total contracted FTE duties. If any individual is returned in submissions with a contracted FTE that sums to more than 1.0, the REF team will rectify this through verification, and will apportion the FTE to each HEI pro-rata to the individual's contracted FTE at each HEI.
  - ii The same research outputs may, but need not be, listed in each submission.
- g. No individual may be returned in more than one submission, except as described at sub-paragraphs e and f. Where an individual holds a joint appointment across two or more submitting units within the same institution, the HEI must decide on one submission in which to return the individual.

h. Staff whose salary is calculated on an hourly or daily basis are eligible **only** if they meet the definition at paragraph 78 **and** on the census date have a contract of employment of at least 0.2 FTE per year over the length of their contract.

- i. Staff who hold more than one contract for different functions within the HEI, are eligible if one of those contracts satisfies the definition of Category A staff at paragraph 78. Such staff should be returned with an FTE that is no greater than that of the qualifying contract.

### **Research assistants**

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

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

### **Category C staff**

82 ***Category C staff are defined as 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).***

83 Category C staff may be employed by the NHS, a Research Council unit, a charity or other organisation except for an HEI. Submitted outputs by Category C staff will inform the quality profiles awarded to submissions, but these staff will not contribute to the volume measure for funding purposes. For clarity, the following are **not** eligible to be returned as Category C staff:

a. Any staff employed by the HEI, including Vice-Chancellors or Heads of HEIs; HEI staff on non-academic contracts, including those working in university museums and libraries; or retired staff who are still active in research. (Where they satisfy the definition at paragraph 79i or, for retired staff, paragraph 79b, these staff are eligible to be returned as Category A staff.)

b. Visiting professors, fellows and lecturers employed by other HEIs."

## Early Career Researchers

Early Career Researchers definition (taken from REF 02.2011 Assessment framework and guidance on submissions - paragraphs 85 - 86)

“85 Early career researchers are defined as members of staff who meet the criteria to be selected as Category A or Category C staff on the census date, **and** who started their careers as independent researchers on or after 1 August 2009. For the purposes of the REF, an individual is deemed to have started their career as an independent researcher from the point at which<sup>2</sup>:

- a. They held a contract of employment of 0.2 FTE or greater, which included a primary employment function of undertaking ‘research’ or ‘teaching and research’, with any HEI or other organisation, whether in the UK or overseas, **and**
- b. They undertook independent research, leading or acting as principal investigator or equivalent on a research grant or significant piece of research work. (A member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs.)

86 The following do **not** meet the definition of an ECR (this list is not exhaustive):

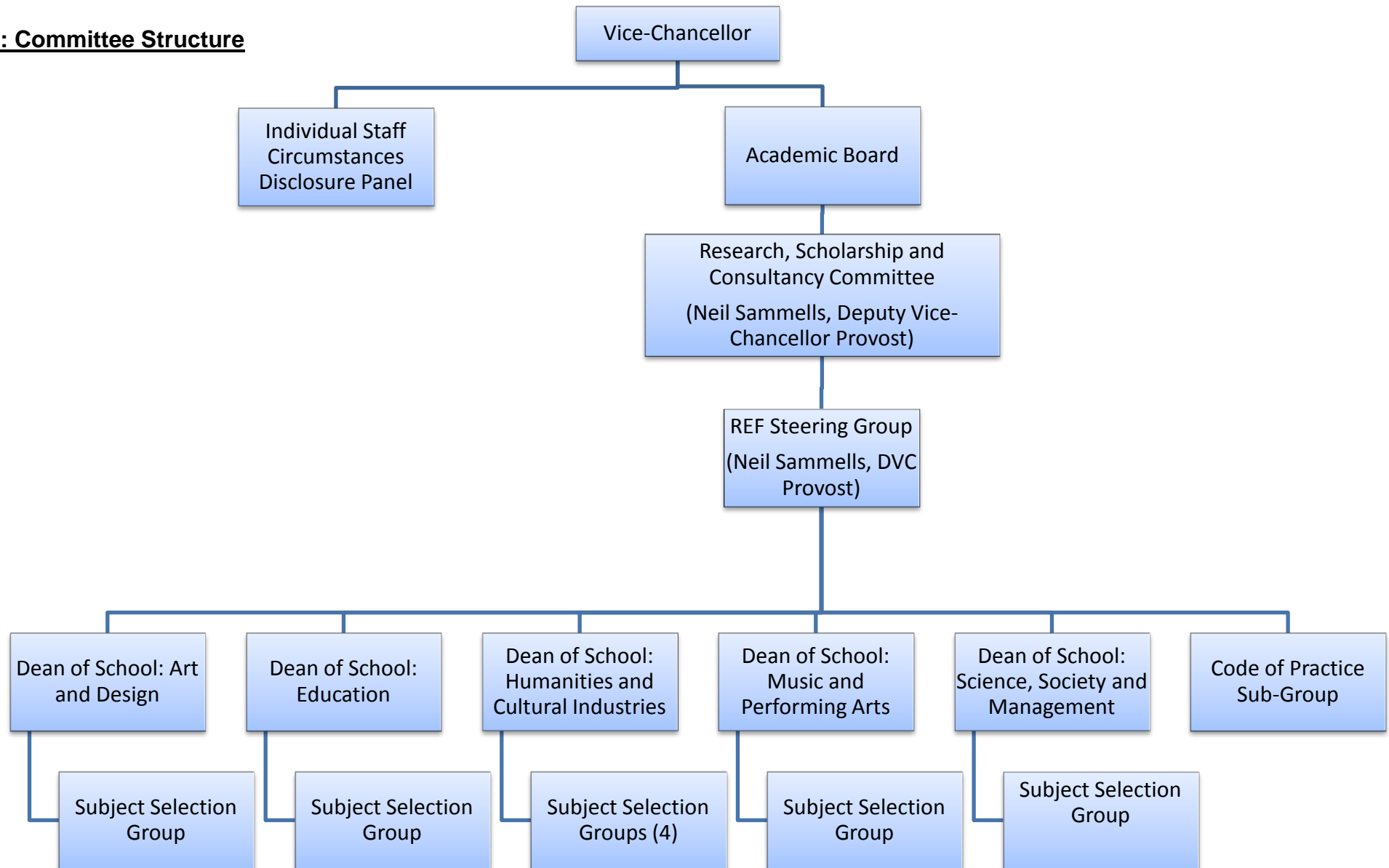
- a. Staff who first acted as an independent researcher while at a previous employer – whether another HEI, business or other organisation in the UK or elsewhere – before 1 August 2009, with a contract of 0.2 FTE or greater.
- b. Staff who first acted as an independent researcher before 1 August 2009 and have since had a career outside of research or an extended break from their research career, before returning to research work. Such staff may reduce the number of outputs submitted according to paragraph 92a.iv. (career breaks).
- c. Research assistants who are ineligible to be returned to the REF, as defined in paragraphs 80-81.”

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<sup>2</sup> Main Panel A will provide further details in its criteria document about how junior clinical academics meet this definition.

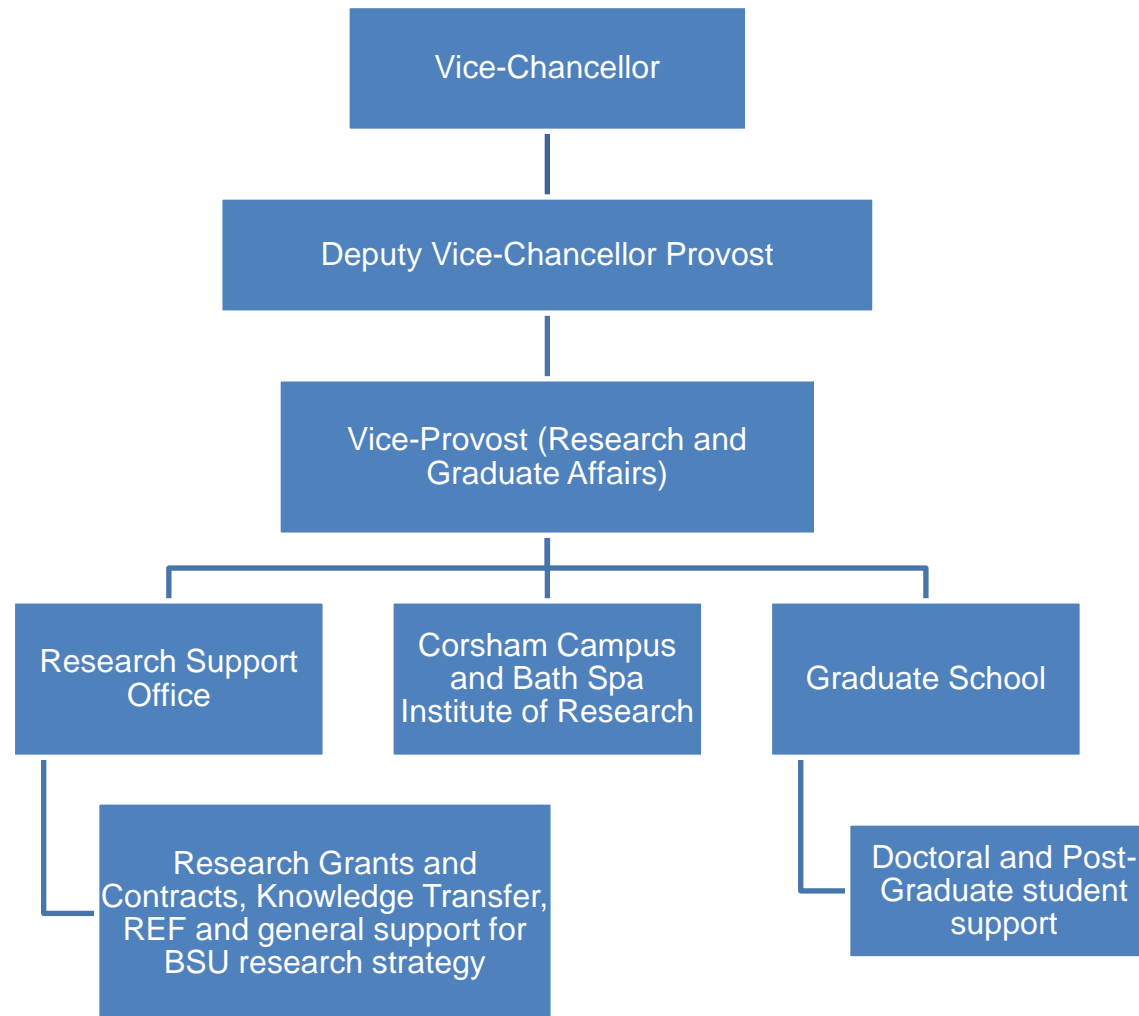
## Appendix E (1)

### REF2014: Committee Structure



## Appendix E (2)

### Structure Chart for Research Support



## **Appendix F**

### **REF2014: Terms of Reference of Research, Consultancy and Scholarship Committee**

#### **Membership**

- Senior Academic nominated by the Vice-Chancellor<sup>3</sup> (Chair)
- Dean of Academic Development<sup>4</sup>
- Head of Graduate Studies and Research Management<sup>5</sup>
- Head of Corsham Centre
- Five members, one from each academic school, nominated by the Heads of Schools<sup>6</sup>

#### **Terms of Reference**

- To implement policy and strategy for research, consultancy and scholarship for the University within strategic plans agreed by Academic Board from time to time.
- To advise the Vice-Chancellor and the Academic Board on the provision of resources necessary to fulfil the requirements of strategy for research, consultancy and scholarship.
- To monitor the progress of the University's research, consultancy and scholarship.

One of the main roles of the Research, Consultancy & Scholarship Committee is to ensure that progress continues against the Research Strategy

<http://www.bathspa.ac.uk/committees/academic-board/research-consultancy-and-scholarship-committee/>

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<sup>3</sup> Deputy Vice-Chancellor Provost

<sup>4</sup> Dean of Academic Development post no longer exists – change to membership not yet ratified through University Committee structures

<sup>5</sup> Post absorbed into new post of Vice-Provost (Research and Graduate Affairs) – change to membership not yet ratified through University Committee structures

<sup>6</sup> Heads of Schools are now re-designated as Deans of Schools, as of July 2012.

## **Appendix G**

### **REF 2014: REF Steering Group - Membership and Terms of Reference**

<b>Name:</b>	REF Steering Group (RSG)
<b>Provenance:</b>	Set up by Chair of Research, Consultancy and Scholarship Committee to manage and overview the University's preparation for REF2014
<b>Membership:</b>	<ul style="list-style-type: none"> <li>- Professor Neil Sammells (Deputy Vice-Chancellor Provost) – Chair</li> <li>- Professor Tim Middleton (Vice-Provost (Research and Graduate Affairs))</li> <li>- Mr Joe Bennett (Dean of School of Music and Performing Arts)</li> <li>- Dr Diana Newport-Peace (Head of Strategy)</li> <li>- Ms Sarah Priston (Research Support Officer)</li> <li>- Ms Deborah Scott (Research Administrator) - Secretary</li> </ul>
<b>Operating Structure:</b>	Working Group of and reporting directly into the Research, Consultancy and Scholarship Committee of Academic Board <sup>7</sup>
<b>Equality Framework:</b>	<p>As part of the University's Equality Policy<sup>8</sup> all staff are expected to:</p> <ul style="list-style-type: none"> <li>- Support and implement the Equality Policy; and</li> <li>- Ensure that their behaviour and/or actions do not amount to discrimination or harassment.</li> </ul> <p>All members will also receive specific Equality and Diversity training in relation to REF 2014</p>
<b>Operating Criteria:</b>	<p>The overall conduct and management of the REF 2014 submission process, and institutional adherence to the Code of Practice, under the responsibility of the Deputy Vice-Chancellor Provost.</p> <p>The group will report to and take advice from the University's Research, Consultancy and Scholarship Committee (RCSC) in formulating matters of institutional strategy and when scrutinising draft submissions from UoAs for final approval.</p>
<b>Dissemination Strategy:</b>	<p>The group will report formally to RCSC.</p> <p>All papers and minutes of meetings will be made available to staff through the designated REF website<sup>9</sup></p>
<b>Procedures for the Selection of Staff:</b>	The role of the group will be to monitor, evaluate and review the selection procedures and practices of the School level groups, to include their feedback and appeals processes.

<sup>7</sup> <http://www.bathspa.ac.uk/committees/academic-board/research-consultancy-and-scholarship-committee/>

<sup>8</sup> <http://www.bathspa.ac.uk/services/hr/for-staff/equality-and-diversity/equality-policy.asp>

<sup>9</sup> <http://www2.bathspa.ac.uk/schools/graduate-school/research/ref-2014/default.asp> Papers directly relating to decisions made about the selection of individual staff will be treated as confidential and stored securely in the Research & Graduate Affairs Office.

## **Appendix H (1)**

### **REF2014: Subject Selection Group – Terms of Reference**

#### **1. Name of Committee/Group**

Art and Design Subject Selection Group  
Incorporating: Art, Contextual Studies, Fashion, Graphics, Textiles, Three Dimensional Design

#### **2. Provenance**

Set up by Deputy Vice-Chancellor Provost to take specific responsibilities with respect to REF2014 decision-making at School level.

Membership and terms of reference for the group have been approved by the University's Research, Consultancy and Scholarship Committee.

#### **3. Operating Structure**

The group reports formally through the Dean of the Bath School of Art and Design to the REF Steering Group, which in turn reports to the University Research, Consultancy and Scholarship Committee (RCSC) of Academic Board<sup>10</sup>.

#### **4. Equality Framework**

As part of the University's Equality Policy<sup>11</sup> all staff are expected to:

- Support and implement the Equality Policy; and
- Ensure that their behaviour and/or actions do not amount to discrimination or harassment.

All members will also receive specific Equality and Diversity training in relation to their role in the selection of staff for REF2014.

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<sup>10</sup> <http://www.bathspa.ac.uk/committees/academic-board/research-consultancy-and-scholarship-committee/>

<sup>11</sup> <http://www.bathspa.ac.uk/services/hr/for-staff/equality-and-diversity/equality-policy.asp>



## 5. Membership

<i>Name</i>	<i>Post</i>	<i>Role within Institutional management framework</i>	<i>Rationale for inclusion</i>	<i>Role within group</i>
Prof Michael Tooby	Acting Dean of Bath School of Art and Design	Senior manager reporting to DVC Provost	Senior manager with overall responsibility for School submission	Chair and Overall responsibility for content of UoA submission
Dr Graham McLaren	Head of Department of Design and Critical Studies	Reports to Dean of School	Management responsibility for research within School. Chair of School research committee. Managed 2008 research assessment exercise within school. Researcher in area of Contextual Studies	Operational management of School REF submission and attendant processes. Advisor on Contextual Studies submissions
Colin Crumplin	Hourly Paid Lecturer, Department of Art	Reports to Dean of School	Senior researcher in area of Art. Key manager of BSAD selection procedure in all previous RAEs	Advisor in area of Contemporary Art. Advisor on historical aspects of School alignment to research assessment processes
Dr Jo Dahn	Senior Lecturer, Department of Design and Critical Studies	Reports to Dean of School in role of Higher Degrees Tutor	Researcher in areas of Contextual Studies and Three Dimensional Design. Member of School research committee. Higher degrees tutor for School	Advisor in areas of Contextual Studies and Three Dimensional Design. Advisor on aspects of REF relating to PG (R) student community.
Paul Minott	Senior Lecturer (0.5), Department of Design and Critical Studies	Reports to Head of Department	Researcher in area of Graphics. Member of School research committee	Advisor in area of Graphics

Prof David Durling	External Advisor	None	Art and Design panellist 2001 and 2008. Significant experience of subject area research processes and management	As set out in approved operational role of External Advisors for REF2014
Ms Emmanuelle Ginn	Administrator	None	Administrator responsible for research and postgraduate activities, BSAD. Secretary to School research committee	Secretary and administrator

## 6. Mode of operation

### a) Criteria that will be used in carrying out its functions

The University has, on the advice of its Research, Consultancy and Scholarship Committee, adopted a policy of offering for assessment only those Unit of Assessments (UoAs) which are deemed likely to be awarded a quality profile in which the majority percentage of research activity is deemed (by the Deputy Vice-Chancellor Provost, on the advice of the Deans of School) to be of 1\* standard, or above.

All academic staff in such UoAs are entitled to offer their research for inclusion in the REF2014 submission. Staff will be required to provide a full and accurate record of activities within the reporting period, including copies of research outputs in designated formats. Research outputs will not be submitted for assessment unless copies are available. Some creative and practice-based outputs may require other forms of evidence: catalogues of works at an exhibition, recordings of music, etc.

The Subject Selection group will assess submissions in the round, making judgements on the three elements of: research outputs, impact and environment. The elements have different % weightings (outputs 65%, impact 20% and environment 15%) and each is graded over a 4\* -1\* range. What this means is that for each submission, the strategic underpinning of the approach will reflect the varying demands of the UoA, will support the maximisation of each case and will be written with due regard to the highly competitive nature of REF2014. As part of this process, the overall research activity of each member of the academic staff eligible for submission, will be assessed using the following criteria:

- Whether the individual has the number of research outputs during the REF2014 period as required under the HEFCE Assessment Framework and Guidance on Submissions (usually 4 research outputs are required, although there are exceptions to this rule)
- The quality of research outputs produced in the reporting period of the REF. These will be assessed on the basis of the three standard measures of quality put forward by HEFCE for the REF2014: '**Originality, Significance and Rigour**' with reference to international research quality standards and the specific

guidelines and rules associated with the relevant Unit of Assessment in the HEFCE REF2014 “Panel Criteria and working methods”.

- The contribution of the individual to the research environment sections of the relevant submission (e.g. supervision of research students, income, collaboration and contribution to the discipline)

As explained above, our approach to REF2014 is strategic in nature, and for that reason consideration will also be given to the cohesiveness and balance of each of our UoA submissions, which need to be compatible with the School and University Research Strategies.

Decisions on the inclusion of work will rest with the Deans of School. Appeals against these decisions should follow the procedure set out in the approved REF2014 Appeals process (See Appendix Q).

Decisions on the inclusion of Unit of Assessments within the University’s overall submission will be made by the Vice-Chancellor whose decision will be final.

#### **b) Methods by which these criteria are communicated**

In May 2012 the Deputy Vice-Chancellor Provost will write to all eligible members of academic staff with information on the process, timetable and background of REF2014, which will include links to the University’s Code of Practice for the selection of staff for REF2014 published on the web [www.bathspa.ac.uk/ref](http://www.bathspa.ac.uk/ref), and which includes criteria for each UoA as part of the published terms of reference for each subject selection group. FAQs will also be prepared for the University REF2014 website, and kept updated. A separate communication will be sent to all eligible staff in relation to the disclosure of individual staff circumstances.

If HEFCE requires changes to be made to the University’s Code of Practice, these will be circulated immediately to all eligible staff and disseminated as in the paragraph above.

A series of road shows, meetings and departmental level meetings will take place to allow staff the opportunity to ask questions and fully engage with the dissemination process, and to ensure that selection criteria and process, and the procedures for the disclosure of individual staff circumstances are clear.

School RCSC Representatives (REF Champions) will be available to offer informal advice on potential submissions on a ‘without prejudice’ basis.

### c) Timescale for selecting staff

#### REF2014: UoA Selection and Submission Timetable

1 May 2012	Introduction to Code of Practice circulated to staff with links to FAQs and submitted Code of Practice on the web.
May/June/July 2012	Code of Practice and details of REF2014 Subject Selection Group terms of reference and membership (Appendix H) further disseminated to staff through meetings and discussions with REF Champions.
July/Aug/Sept 2012	Staff invited to submit outputs for inclusion in the REF2014 (including items anticipated as being in the public domain during the REF2014 qualifying period), with an indication of their preferred items for selection.
30 September 2012	Deadline for submission of forms for the consideration of individual staff circumstances disclosure.
October 2012	Individual Staff Circumstances Disclosure Panel (ISCD) reviews individual staff circumstances forms.
31 October 2012	Staff to be informed of outcomes related to disclosure of individual staff circumstances.
30 November 2012	3. Initial individual staff circumstances Appeals process to be concluded 4. ISCD Panel to inform HoS of staff who qualify for reduced outputs as a result of individual staff circumstances.
Oct/Nov/Dec 2012	REF2014 Subject Selection Groups to meet and consider staff submissions and make initial recommendations on which UoAs will be included to Deans of School.
By end December 2012	Deans of School advise Deputy Vice-Chancellor Provost on UoAs and estimated numbers of staff to be included for the HEFCE survey of submission intentions.
December 2012	Individual Staff Circumstances Disclosure panel considers material submitted by staff.
Dec 2012 – Feb 2013	Preparation of draft submissions by Schools
15 February 2013 <b>*Internal deadline*</b>	Deadline for providing draft submissions to the Research and Graduate Affairs Office
Late February 2013	“Dry run” review meetings to consider draft submissions
March 2013	Further work on staff selection, informed by outcomes of the ISCD Panel
25 March 2013 <b>*Decision*</b>	Final selection of Category A staff by the Deans, confirmed by DVC Provost.
End March 2013	All staff informed of the outcome of selection, following the procedure set out in the Code of Practice.

April – July 2013	Deans of Schools to work up submissions and case studies, supported by the Impact working group and REF Team.
July 2013	RCSC to consider draft submissions and provide detailed feedback.
Aug – Oct 2013	Deans of Schools to work up submissions and case studies, supported by the Impact working group and REF Team.
Oct/Nov 2013 <b>*Decision*</b>	REF steering group to approve final submissions to REF2014.
By 31 October 2013	Staff census date. Staff selection appeals process and grievances to be concluded.
29 November 2013 <b>*HEFCE deadline*</b>	Deadline for submission to HEFCE.

**d) Method and timescale in which feedback will be provided in respect of decisions made**

Informal discussions will be held with appropriate staff throughout the process on the outputs that they have put forward for inclusion, and on decisions relating to Units of Assessment selected for submission. Any decision to not include the member of staff or the UoA should therefore not come as a surprise to the individual concerned.

Any member of staff who has been excluded from REF2014 on the grounds of quality of outputs or excellence of an individual's contribution will receive a letter from their Dean of School, the template for which has been agreed by RCSC. Individual feedback will be available, and records of all UoA selection group meetings publicly available through the University's REF2014 website, or, where they relate to named members of staff, through a request to the Dean of School.

Any member of staff who's request for a reduction of outputs due to individual staff circumstances has not been upheld will receive a letter from the Chair of the Individual Staff Circumstances Disclosure Panel. The template of the letter has been agreed by RCSC. Individual feedback and access to confidential records relating to an individual member of staff will be available through the Human Resource Department.

Documentation relating to these feedback mechanisms can be found in Appendix Q of the University's Code of Practice document.

The timescale for feedback is set out in the selection timetable above.

### **e) Appeals mechanism**

The University has agreed an Appeals mechanism for the Selection of Staff for REF2014 process which can be found in Appendix Q of the University's Code of Practice document.

Appeals should be submitted within 10 days of feedback being received on individual applications to be included in REF2014, and/or application for individual staff circumstances to be taken into account. Appellants will be notified within 10 working days of receipt of the appeal letter on the outcome of his/her appeal.

All appeals will be concluded by end of October 2013.

### **7. Records of Discussions**

Full records of all discussions will be kept and made publicly available on the University's REF2014 website.

Items of meetings relating to named members of staff will be treated as closed business, with records kept securely and confidentially by the appropriate Dean of School.

Records of meetings relating to individual staff circumstances will be kept securely and confidentially by the Human Resource Department.

The University will adhere to its Data Protection policy in respect of the retention of confidential records, and these will be destroyed once the outcomes of the REF2014 process have been published by HEFCE.

## **Appendix H (2)**

### **REF2014: Subject Selection Group – Terms of Reference**

#### **1. Name of Committee/Group**

Creative Writing and English Literature Subject Selection Group  
Incorporating: Creative Writing and English Literature

#### **2. Provenance**

Set up by Deputy Vice-Chancellor Provost to take specific responsibilities with respect to REF2014 decision-making at School level.

Membership and terms of reference for the group have been approved by the University's Research, Consultancy and Scholarship Committee.

#### **3. Operating Structure**

The group reports formally through the Dean of the School of Humanities & Cultural Industries to the REF Steering Group, which in turn reports to the University Research, Consultancy and Scholarship Committee (RCSC) of Academic Board<sup>12</sup>.

#### **4. Equality Framework**

As part of the University's Equality Policy<sup>13</sup> all staff are expected to:

- Support and implement the Equality Policy; and
- Ensure that their behaviour and/or actions do not amount to discrimination or harassment.

All members will also receive specific Equality and Diversity training in relation to their role in the selection of staff for REF2014.

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<sup>12</sup> <http://www.bathspa.ac.uk/committees/academic-board/research-consultancy-and-scholarship-committee/>

<sup>13</sup> <http://www.bathspa.ac.uk/services/hr/for-staff/equality-and-diversity/equality-policy.asp>

## 5. Membership

<i>Name</i>	<i>Post</i>	<i>Role within Institutional management framework</i>	<i>Rationale for inclusion</i>	<i>Role within group</i>
Steve May	Acting senior manager reporting to DVC Provost	Acting senior manager with overall responsibility for School submission	Overall responsibility for content of UoA submission	Ex Officio
Richard Kerridge	Research Co-ordinator	Reports to Dean of School	Co-ordinates research in the school, including REF preparation	Chair
Katherine Reeve	Acting Head of Department (Creative Writing)	Reports to Dean of School	Manages all staff in department	Member advising on selection of staff and content of overall submission
Tracey Hill	Head Of Department (English Literature)	Reports to Dean of School	Manages all staff in department	Member advising on selection of staff and content of overall submission
Ian Gadd	Professor	Reports to Head of Department	Senior researcher	Member advising on selection of staff and content of overall submission
Greg Garrard	Reader	Reports to Head of Department	Research centre leader	Member advising on selection of staff and content of overall submission



Tim Liardet	Professor	Reports to Head of Department	Senior researcher (poetry), Research Centre leader	Member advising on selection of staff and content of overall submission
Katharine Reeve	Senior Lecturer		Senior researcher (publishing)	Member advising on selection of staff and content of overall submission
Dr Harry Whitehead	External Advisor	N/A	Discipline specific expert	Advising on quality of outputs and details of overall submission
Tricia Lynn/Dawn Harding	Research & Graduate Studies Administrator (job share post)	N/A	Recording of process	Admin support

## 6. Mode of operation

### a) Criteria that will be used in carrying out its functions

The University has, on the advice of its Research, Consultancy and Scholarship Committee, adopted a policy of offering for assessment only those Unit of Assessments (UoAs) which are deemed likely to be awarded a quality profile in which the majority percentage of research activity is deemed (by the Deputy Vice-Chancellor Provost, on the advice of the Deans of School) to be of 1\* standard, or above.

All academic staff in such UoAs are entitled to offer their research for inclusion in the REF2014 submission. Staff will be required to provide a full and accurate record of activities within the reporting period, including copies of research outputs in designated formats. Research outputs will not be submitted for assessment unless copies are available. Some creative and practice-based outputs may require other forms of evidence: catalogues of works at an exhibition, recordings of music, etc.

The Subject Selection group will assess submissions in the round, making judgements on the three elements of: research outputs, impact and environment. The elements have different % weightings (outputs 65%, impact 20% and environment 15%) and each is graded over a 4\* -1\* range. What this means is that for each submission, the strategic underpinning of the approach will reflect the

varying demands of the UoA, will support the maximisation of each case and will be written with due regard to the highly competitive nature of REF2014. As part of this process, the overall research activity of each member of the academic staff eligible for submission, will be assessed using the following criteria:

- Whether the individual has the number of research outputs during the REF2014 period as required under the HEFCE Assessment Framework and Guidance on Submissions (usually 4 research outputs are required, although there are exceptions to this rule)
- The quality of research outputs produced in the reporting period of the REF. These will be assessed on the basis of the three standard measures of quality put forward by HEFCE for the REF2014: '**Originality, Significance and Rigour**' with reference to international research quality standards.
- The contribution of the individual to the research environment sections of the relevant submission (e.g. supervision of research students, income, collaboration and contribution to the discipline)

As explained above, our approach to REF2014 is strategic in nature, and for that reason consideration will also be given to:

- The specific guidelines and rules associated with the relevant HEFCE Unit of Assessment Panel
- The cohesiveness and balance of each of our UoA submissions, which need to be compatible with the School and University Research Strategies.

Decisions on the inclusion of work will rest with the Dean of School. Appeals against these decisions should follow the procedure set out in the approved REF2014 Appeals process (See Appendix Q).

## **b) Methods by which these criteria are communicated**

In May 2012 the Deputy Vice-Chancellor Provost will write to all eligible members of academic staff with information on the process, timetable and background of REF2014, which will include links to the University's Code of Practice for the selection of staff for REF2014 published on the web [www.bathspa.ac.uk/ref](http://www.bathspa.ac.uk/ref), and which includes criteria for each UoA as part of the published terms of reference for each subject selection group. FAQs will also be prepared for the University REF2014 website, and kept updated. A separate communication will be sent to all eligible staff in relation to the disclosure of individual staff circumstances.

If HEFCE requires changes to be made to the University's Code of Practice, these will be circulated immediately to all eligible staff and disseminated as in the paragraph above.

A series of road shows, meetings and departmental level meetings will take place to allow staff the opportunity to ask questions and fully engage with the dissemination process, and to ensure that selection criteria and process, and the procedures for the disclosure of individual staff circumstances are clear.

School RCSC Representatives (REF Champions) will be available to offer informal advice on potential submissions on a 'without prejudice' basis.

### c) Timescale for selecting staff

#### REF2014: UoA Selection and Submission Timetable

1 May 2012	Introduction to Code of Practice circulated to staff with links to FAQs and submitted Code of Practice on the web.
May/June/July 2012	Code of Practice and details of REF2014 Subject Selection Group terms of reference and membership (Appendix H) further disseminated to staff through meetings and discussions with REF Champions.
July/Aug/Sept 2012	Staff invited to submit outputs for inclusion in the REF2014 (including items anticipated as being in the public domain during the REF2014 qualifying period), with an indication of their preferred items for selection.
30 September 2012	Deadline for submission of forms for the consideration of individual staff circumstances disclosure.
October 2012	Individual Staff Circumstances Disclosure Panel (ISCD) reviews individual staff circumstances forms.
31 October 2012	Staff to be informed of outcomes related to disclosure of individual staff circumstances.
30 November 2012	5. Initial individual staff circumstances Appeals process to be concluded 6. ISCD Panel to inform HoS of staff who qualify for reduced outputs as a result of individual staff circumstances.
Oct/Nov/Dec 2012	REF2014 Subject Selection Groups to meet and consider staff submissions and make initial recommendations on which UoAs will be included to Deans of School.
By end December 2012	Deans of School advise Deputy Vice-Chancellor Provost on UoAs and estimated numbers of staff to be included for the HEFCE survey of submission intentions.
December 2012	Individual Staff Circumstances Disclosure panel considers material submitted by staff.
Dec 2012 – Feb 2013	Preparation of draft submissions by Schools
15 February 2013 <b>*Internal deadline*</b>	Deadline for providing draft submissions to the Research and Graduate Affairs Office
Late February 2013	"Dry run" review meetings to consider draft submissions
March 2013	Further work on staff selection, informed by outcomes of the ISCD Panel

25 March 2013 <b>*Decision*</b>	Final selection of Category A staff by the Deans, confirmed by DVC Provost.
End March 2013	All staff informed of the outcome of selection, following the procedure set out in the Code of Practice.
April – July 2013	Deans of Schools to work up submissions and case studies, supported by the Impact working group and REF Team.
July 2013	RCSC to consider draft submissions and provide detailed feedback.
Aug – Oct 2013	Deans of Schools to work up submissions and case studies, supported by the Impact working group and REF Team.
Oct/Nov 2013 <b>*Decision*</b>	REF steering group to approve final submissions to REF2014.
By 31 October 2013	Staff census date. Staff selection appeals process and grievances to be concluded.
29 November 2013 <b>*HEFCE deadline*</b>	Deadline for submission to HEFCE.

**d) Method and timescale in which feedback will be provided in respect of decisions made**

Informal discussions will be held with appropriate staff throughout the process on the outputs that they have put forward for inclusion, and on decisions relating to Units of Assessment selected for submission. Any decision to not include the member of staff or the Unit of Assessment should therefore not come as a surprise to the individual concerned.

Any member of staff who has been excluded from REF2014 on the grounds of quality of outputs or excellence of an individual's contribution will receive a letter from their Dean of School, the template for which has been agreed by RCSC. Individual feedback will be available, and records of all UoA selection group meetings publicly available through the University's REF2014 website, or, where they relate to named members of staff, through a request to the Dean of School.

Any member of staff who's request for a reduction of outputs due to individual staff circumstances has not been upheld will receive a letter from the Chair of the Individual Staff Circumstances Disclosure Panel. The template of the letter has been agreed by RCSC. Individual feedback and access to confidential records relating to an individual member of staff will be available through the Human Resource Department.

Documentation relating to these feedback mechanisms can be found in Appendix Q of the University's Code of Practice document.

The timescale for feedback is set out in the selection timetable above.

### **e) Appeals mechanism**

The University has agreed an Appeals mechanism for the Selection of Staff for REF2014 process which can be found in Appendix Q of the University's Code of Practice document.

Appeals should be submitted within 10 days of feedback being received on individual applications to be included in REF2014, and/or application for individual staff circumstances to be taken into account. Appellants will be notified within 10 working days of receipt of the appeal letter on the outcome of his/her appeal.

All appeals will be concluded by end of October 2013.

### **7. Records of Discussions**

Full records of all discussions will be kept and made publicly available on the University's REF2014 website.

Items of meetings relating to named members of staff will be treated as closed business, with records kept securely and confidentially by the appropriate Dean of School.

Records of meetings relating to individual staff circumstances will be kept securely and confidentially by the Human Resource Department.

The University will adhere to its Data Protection policy in respect of the retention of confidential records, and these will be destroyed once the outcomes of the REF2014 process have been published by HEFCE.

## **Appendix H (3)**

### **REF2014: Subject Selection Group – Terms of Reference**

#### **1. Name of Committee/Group**

Education Subject Selection Group  
Incorporating: Education

#### **2. Provenance**

Set up by Deputy Vice-Chancellor Provost to take specific responsibilities with respect to REF2014 decision-making at School level.

Membership and terms of reference for the group have been approved by the University's Research, Consultancy and Scholarship Committee.

#### **3. Operating Structure**

The group reports formally through the Dean of the School of Education to the REF Steering Group, which in turn reports to the University Research, Consultancy and Scholarship Committee (RCSC) of Academic Board<sup>14</sup>.

#### **4. Equality Framework**

As part of the University's Equality Policy<sup>15</sup> all staff are expected to:

- Support and implement the Equality Policy; and
- Ensure that their behaviour and/or actions do not amount to discrimination or harassment.

All members will also receive specific Equality and Diversity training in relation to their role in the selection of staff for REF2014.

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<sup>14</sup> <http://www.bathspa.ac.uk/committees/academic-board/research-consultancy-and-scholarship-committee/>

<sup>15</sup> <http://www.bathspa.ac.uk/services/hr/for-staff/equality-and-diversity/equality-policy.asp>

## 5. Membership

<i>Name</i>	<i>Post</i>	<i>Role within Institutional management framework</i>	<i>Rationale for inclusion</i>	<i>Role within group</i>
Christine Eden	Acting Dean of Education	Acting Dean of School	Strategic overview of School	Chair
Dan Davies	Head of Applied Research and Consultancy	Departmental Head, AC4a	Overview of research output of all staff	Member advising on selection of staff and content of overall submission
Janet Rose	Senior Lecturer in Education Studies	Senior Lecturer AC3A	Active researcher, representative of teaching staff	Member advising on selection of staff and content of overall submission
David Halpin	External Advisor	None	Experience of RAE selection in 5* rated education UoA	As set out in approved operational role of External Advisors for REF2014
Alison Denning	Administrative Manager	None	Responsibility for administration of REF process	Administrator

## 6. Mode of operation

### a) Criteria that will be used in carrying out its functions

The University has, on the advice of its Research, Consultancy and Scholarship Committee, adopted a policy of offering for assessment only those Unit of Assessments (UoAs) which are deemed likely to be awarded a quality profile in which the majority percentage of research activity is deemed (by the Deputy Vice-Chancellor Provost, on the advice of the Deans of School) to be of 1\* standard, or above.

All academic staff in such UoAs are entitled to offer their research for inclusion in the REF2014 submission. Staff will be required to provide a full and accurate record of activities within the reporting period, including copies of research outputs in designated formats. Research outputs will not be submitted for assessment unless

copies are available. Some creative and practice-based outputs may require other forms of evidence: catalogues of works at an exhibition, recordings of music, etc.

The Subject Selection group will assess submissions in the round, making judgements on the three elements of: research outputs, impact and environment. The elements have different % weightings (outputs 65%, impact 20% and environment 15%) and each is graded over a 4\* -1\* range. What this means is that for each submission, the strategic underpinning of the approach will reflect the varying demands of the UoA, will support the maximisation of each case and will be written with due regard to the highly competitive nature of REF2014. As part of this process, the overall research activity of each member of the academic staff eligible for submission, will be assessed using the following criteria:

- Whether the individual has the number of research outputs during the REF2014 period as required under the HEFCE Assessment Framework and Guidance on Submissions (usually 4 research outputs are required, although there are exceptions to this rule)
- The quality of research outputs produced in the reporting period of the REF. These will be assessed on the basis of the three standard measures of quality put forward by HEFCE for the REF2014: '**Originality, Significance and Rigour**' with reference to international research quality standards.
- The contribution of the individual to the research environment sections of the relevant submission (e.g. supervision of research students, income, collaboration and contribution to the discipline)

As explained above, our approach to REF2014 is strategic in nature, and for that reason consideration will also be given to:

- The specific guidelines and rules associated with the relevant HEFCE Unit of Assessment Panel
- The cohesiveness and balance of each of our UoA submissions, which need to be compatible with the School and University Research Strategies.

Decisions on the inclusion of work will rest with the Dean of School. Appeals against these decisions should follow the procedure set out in the approved REF2014 Appeals process (See Appendix Q).

## **b) Methods by which these criteria are communicated**

In May 2012 the Deputy Vice-Chancellor Provost will write to all eligible members of academic staff with information on the process, timetable and background of REF2014, which will include links to the University's Code of Practice for the selection of staff for REF2014 published on the web [www.bathspa.ac.uk/ref](http://www.bathspa.ac.uk/ref), and which includes criteria for each UoA as part of the published terms of reference for each subject selection group. FAQs will also be prepared for the University REF2014 website, and kept updated. A separate communication will be sent to all eligible staff in relation to the disclosure of individual staff circumstances.



If HEFCE requires changes to be made to the University's Code of Practice, these will be circulated immediately to all eligible staff and disseminated as in the paragraph above.

A series of road shows, meetings and departmental level meetings will take place to allow staff the opportunity to ask questions and fully engage with the dissemination process, and to ensure that selection criteria and process, and the procedures for the disclosure of individual staff circumstances are clear.

School RCSC Representatives (REF Champions) will be available to offer informal advice on potential submissions on a 'without prejudice' basis.

### **c) Timescale for selecting staff**

#### **REF2014: UoA Selection and Submission Timetable**

1 May 2012	Introduction to Code of Practice circulated to staff with links to FAQs and submitted Code of Practice on the web.
May/June/July 2012	Code of Practice and details of REF2014 Subject Selection Group terms of reference and membership (Appendix H) further disseminated to staff through meetings and discussions with REF Champions.
July/Aug/Sept 2012	Staff invited to submit outputs for inclusion in the REF2014 (including items anticipated as being in the public domain during the REF2014 qualifying period), with an indication of their preferred items for selection.
30 September 2012	Deadline for submission of forms for the consideration of individual staff circumstances disclosure.
October 2012	Individual Staff Circumstances Disclosure Panel (ISCD) reviews individual staff circumstances forms.
31 October 2012	Staff to be informed of outcomes related to disclosure of individual staff circumstances.
30 November 2012	7. Initial individual staff circumstances Appeals process to be concluded 8. ISCD Panel to inform HoS of staff who qualify for reduced outputs as a result of individual staff circumstances.
Oct/Nov/Dec 2012	REF2014 Subject Selection Groups to meet and consider staff submissions and make initial recommendations on which UoAs will be included to Deans of School.
By end December 2012	Deans of School advise Deputy Vice-Chancellor Provost on UoAs and estimated numbers of staff to be included for the HEFCE survey of submission intentions.
December 2012	Individual Staff Circumstances Disclosure panel considers material submitted by staff.

Dec 2012 – Feb 2013	Preparation of draft submissions by Schools
15 February 2013 <b>*Internal deadline*</b>	Deadline for providing draft submissions to the Research and Graduate Affairs Office
Late February 2013	“Dry run” review meetings to consider draft submissions
March 2013	Further work on staff selection, informed by outcomes of the ISCD Panel
25 March 2013 <b>*Decision*</b>	Final selection of Category A staff by the Deans, confirmed by DVC Provost.
End March 2013	All staff informed of the outcome of selection, following the procedure set out in the Code of Practice.
April – July 2013	Deans of Schools to work up submissions and case studies, supported by the Impact working group and REF Team.
July 2013	RCSC to consider draft submissions and provide detailed feedback.
Aug – Oct 2013	Deans of Schools to work up submissions and case studies, supported by the Impact working group and REF Team.
Oct/Nov 2013 <b>*Decision*</b>	REF steering group to approve final submissions to REF2014.
By 31 October 2013	Staff census date. Staff selection appeals process and grievances to be concluded.
29 November 2013 <b>*HEFCE deadline*</b>	Deadline for submission to HEFCE.

**d) Method and timescale in which feedback will be provided in respect of decisions made**

Informal discussions will be held with appropriate staff throughout the process on the outputs that they have put forward for inclusion, and on decisions relating to Units of Assessment selected for submission. Any decision to not include the member of staff or the Unit of Assessment should therefore not come as a surprise to the individual concerned.

Any member of staff who has been excluded from REF2014 on the grounds of quality of outputs or excellence of an individual's contribution will receive a letter from their Dean of School, the template for which has been agreed by RCSC. Individual feedback will be available, and records of all UoA selection group meetings publicly available through the University's REF2014 website, or, where they relate to named members of staff, through a request to the Dean of School.

Any member of staff who's request for a reduction of outputs due to individual staff circumstances has not been upheld will receive a letter from the Chair of the Individual Staff Circumstances Disclosure Panel. The template of the letter has been

agreed by RCSC. Individual feedback and access to confidential records relating to an individual member of staff will be available through the Human Resource Department.

Documentation relating to these feedback mechanisms can be found in Appendix Q of the University's Code of Practice document.

The timescale for feedback is set out in the selection timetable above.

#### **e) Appeals mechanism**

The University has agreed an Appeals mechanism for the Selection of Staff for REF2014 process which can be found in Appendix Q of the University's Code of Practice document.

Appeals should be submitted within 10 days of feedback being received on individual applications to be included in REF2014, and/or application for individual staff circumstances to be taken into account. Appellants will be notified within 10 working days of receipt of the appeal letter on the outcome of his/her appeal.

All appeals will be concluded by end of October 2013.

#### **7. Records of Discussions**

Full records of all discussions will be kept and made publicly available on the University's REF2014 website.

Items of meetings relating to named members of staff will be treated as closed business, with records kept securely and confidentially by the appropriate Dean of School.

Records of meetings relating to individual staff circumstances will be kept securely and confidentially by the Human Resource Department.

The University will adhere to its Data Protection policy in respect of the retention of confidential records, and these will be destroyed once the outcomes of the REF2014 process have been published by HEFCE.

## **Appendix H (4)**

### **REF2014: Subject Selection Group – Terms of Reference**

#### **1. Name of Committee/Group**

Film and Media Subject Selection Group  
Incorporating: Film and Screen Studies, Media Communications

#### **2. Provenance**

Set up by Deputy Vice-Chancellor Provost to take specific responsibilities with respect to REF2014 decision-making at School level.

Membership and terms of reference for the group have been approved by the University's Research, Consultancy and Scholarship Committee.

#### **3. Operating Structure**

The group reports formally through the Dean of the School of Humanities & Cultural Industries to the REF Steering Group, which in turn reports to the University Research, Consultancy and Scholarship Committee (RCSC) of Academic Board<sup>16</sup>.

#### **4. Equality Framework**

As part of the University's Equality Policy<sup>17</sup> all staff are expected to:

- Support and implement the Equality Policy; and
- Ensure that their behaviour and/or actions do not amount to discrimination or harassment.

All members will also receive specific Equality and Diversity training in relation to their role in the selection of staff for REF2014.

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<sup>16</sup> <http://www.bathspa.ac.uk/committees/academic-board/research-consultancy-and-scholarship-committee/>

<sup>17</sup> <http://www.bathspa.ac.uk/services/hr/for-staff/equality-and-diversity/equality-policy.asp>

## 5. Membership

<i>Name</i>	<i>Post</i>	<i>Role within Institutional management framework</i>	<i>Rationale for inclusion</i>	<i>Role within group</i>
Steve May	Acting senior manager reporting to DVC Provost	Acting senior manager with overall responsibility for School submission	Overall responsibility for content of UoA submission	Ex Officio
Richard Kerridge	Research Co-ordinator	Reports to Dean of School	Co-ordinates research in the school, including REF preparation	Chair
Terence Rodgers	HOD	Reports to Dean of School	Manages all staff in department	Member advising on selection of staff and content of overall submission
James Newman	Professor	Reports to Head of Department	Research centre leader	Member advising on selection of staff and content of overall submission
Rebecca Feasey	Senior Lecturer	Reports to Head of Department	Senior Researcher	Member advising on selection of staff and content of overall submission
External Advisor (to be confirmed)				
Tricia Lynn/Dawn Harding	Research & Graduate Studies Administrator (job share post)	N/A	Recording of process	Admin support

## 6. Mode of operation

### a) Criteria that will be used in carrying out its functions

The University has, on the advice of its Research, Consultancy and Scholarship Committee, adopted a policy of offering for assessment only those Unit of Assessments (UoAs) which are deemed likely to be awarded a quality profile in which the majority percentage of research activity is deemed (by the Deputy Vice-Chancellor Provost, on the advice of the Deans of School) to be of 1\* standard, or above.

All academic staff in such UoAs are entitled to offer their research for inclusion in the REF2014 submission. Staff will be required to provide a full and accurate record of activities within the reporting period, including copies of research outputs in designated formats. Research outputs will not be submitted for assessment unless copies are available. Some creative and practice-based outputs may require other forms of evidence: catalogues of works at an exhibition, recordings of music, etc.

The Subject Selection group will assess submissions in the round, making judgements on the three elements of: research outputs, impact and environment. The elements have different % weightings (outputs 65%, impact 20% and environment 15%) and each is graded over a 4\* -1\* range. What this means is that for each submission, the strategic underpinning of the approach will reflect the varying demands of the UoA, will support the maximisation of each case and will be written with due regard to the highly competitive nature of REF2014. As part of this process, the overall research activity of each member of the academic staff eligible for submission, will be assessed using the following criteria:

- Whether the individual has the number of research outputs during the REF2014 period as required under the HEFCE Assessment Framework and Guidance on Submissions (usually 4 research outputs are required, although there are exceptions to this rule)
- The quality of research outputs produced in the reporting period of the REF. These will be assessed on the basis of the three standard measures of quality put forward by HEFCE for the REF2014: '**Originality, Significance and Rigour**' with reference to international research quality standards.
- The contribution of the individual to the research environment sections of the relevant submission (e.g. supervision of research students, income, collaboration and contribution to the discipline)

As explained above, our approach to REF2014 is strategic in nature, and for that reason consideration will also be given to:

- The specific guidelines and rules associated with the relevant HEFCE Unit of Assessment Panel
- The cohesiveness and balance of each of our UoA submissions, which need to be compatible with the School and University Research Strategies.

Decisions on the inclusion of work will rest with the Dean of School. Appeals against these decisions should follow the procedure set out in the approved REF2014 Appeals process (See Appendix Q).

#### **b) Methods by which these criteria are communicated**

In May 2012 the Deputy Vice-Chancellor Provost will write to all eligible members of academic staff with information on the process, timetable and background of REF2014, which will include links to the University's Code of Practice for the selection of staff for REF2014 published on the web [www.bathspa.ac.uk/ref](http://www.bathspa.ac.uk/ref), and which includes criteria for each UoA as part of the published terms of reference for each subject selection group. FAQs will also be prepared for the University REF2014

website, and kept updated. A separate communication will be sent to all eligible staff in relation to the disclosure of individual staff circumstances.

If HEFCE requires changes to be made to the University's Code of Practice, these will be circulated immediately to all eligible staff and disseminated as in the paragraph above.

A series of road shows, meetings and departmental level meetings will take place to allow staff the opportunity to ask questions and fully engage with the dissemination process, and to ensure that selection criteria and process, and the procedures for the disclosure of individual staff circumstances are clear.

School RCSC Representatives (REF Champions) will be available to offer informal advice on potential submissions on a 'without prejudice' basis.

### **c) Timescale for selecting staff**

#### **REF2014: UoA Selection and Submission Timetable**

1 May 2012	Introduction to Code of Practice circulated to staff with links to FAQs and submitted Code of Practice on the web.
May/June/July 2012	Code of Practice and details of REF2014 Subject Selection Group terms of reference and membership (Appendix H) further disseminated to staff through meetings and discussions with REF Champions.
July/Aug/Sept 2012	Staff invited to submit outputs for inclusion in the REF2014 (including items anticipated as being in the public domain during the REF2014 qualifying period), with an indication of their preferred items for selection.
30 September 2012	Deadline for submission of forms for the consideration of individual staff circumstances disclosure.
October 2012	Individual Staff Circumstances Disclosure Panel (ISCD) reviews individual staff circumstances forms.
31 October 2012	Staff to be informed of outcomes related to disclosure of individual staff circumstances.
30 November 2012	9. Initial individual staff circumstances Appeals process to be concluded 10. ISCD Panel to inform HoS of staff who qualify for reduced outputs as a result of individual staff circumstances.
Oct/Nov/Dec 2012	REF2014 Subject Selection Groups to meet and consider staff submissions and make initial recommendations on which UoAs will be included to Deans of School.
By end December 2012	Deans of School advise Deputy Vice-Chancellor Provost on UoAs and estimated numbers of staff to be included for the HEFCE survey of submission intentions.

December 2012	Individual Staff Circumstances Disclosure panel considers material submitted by staff.
Dec 2012 – Feb 2013	Preparation of draft submissions by Schools
15 February 2013 <b>*Internal deadline*</b>	Deadline for providing draft submissions to the Research and Graduate Affairs Office
Late February 2013	“Dry run” review meetings to consider draft submissions
March 2013	Further work on staff selection, informed by outcomes of the ISCD Panel
25 March 2013 <b>*Decision*</b>	Final selection of Category A staff by the Deans, confirmed by DVC Provost.
End March 2013	All staff informed of the outcome of selection, following the procedure set out in the Code of Practice.
April – July 2013	Deans of Schools to work up submissions and case studies, supported by the Impact working group and REF Team.
July 2013	RCSC to consider draft submissions and provide detailed feedback.
Aug – Oct 2013	Deans of Schools to work up submissions and case studies, supported by the Impact working group and REF Team.
Oct/Nov 2013 <b>*Decision*</b>	REF steering group to approve final submissions to REF2014.
By 31 October 2013	Staff census date. Staff selection appeals process and grievances to be concluded.
29 November 2013 <b>*HEFCE deadline*</b>	Deadline for submission to HEFCE.

**d) Method and timescale in which feedback will be provided in respect of decisions made**

Informal discussions will be held with appropriate staff throughout the process on the outputs that they have put forward for inclusion, and on decisions relating to Units of Assessment selected for submission. Any decision to not include the member of staff or the Unit of Assessment should therefore not come as a surprise to the individual concerned.

Any member of staff who has been excluded from REF2014 on the grounds of quality of outputs or excellence of an individual's contribution will receive a letter from their Dean of School, the template for which has been agreed by RCSC. Individual feedback will be available, and records of all UoA selection group meetings publicly available through the University's REF2014 website, or, where they relate to named members of staff, through a request to the Dean of School.



Any member of staff who's request for a reduction of outputs due to individual staff circumstances has not been upheld will receive a letter from the Chair of the Individual Staff Circumstances Disclosure Panel. The template of the letter has been agreed by RCSC. Individual feedback and access to confidential records relating to an individual member of staff will be available through the Human Resource Department.

Documentation relating to these feedback mechanisms can be found in Appendix Q of the University's Code of Practice document.

The timescale for feedback is set out in the selection timetable above.

#### **e) Appeals mechanism**

The University has agreed an Appeals mechanism for the Selection of Staff for REF2014 process which can be found in Appendix Q of the University's Code of Practice document.

Appeals should be submitted within 10 days of feedback being received on individual applications to be included in REF2014, and/or application for individual staff circumstances to be taken into account. Appellants will be notified within 10 working days of receipt of the appeal letter on the outcome of his/her appeal.

All appeals will be concluded by end of October 2013.

#### **7. Records of Discussions**

Full records of all discussions will be kept and made publicly available on the University's REF2014 website.

Items of meetings relating to named members of staff will be treated as closed business, with records kept securely and confidentially by the appropriate Dean of School.

Records of meetings relating to individual staff circumstances will be kept securely and confidentially by the Human Resource Department.

The University will adhere to its Data Protection policy in respect of the retention of confidential records, and these will be destroyed once the outcomes of the REF2014 process have been published by HEFCE.

## **Appendix H (5)**

### **REF2014: Subject Selection Group – Terms of Reference**

#### **1. Name of Committee/Group**

History Subject Selection Group  
Incorporating: History and Heritage Studies

#### **2. Provenance**

Set up by Deputy Vice-Chancellor Provost to take specific responsibilities with respect to REF2014 decision-making at School level.

Membership and terms of reference for the group have been approved by the University's Research, Consultancy and Scholarship Committee.

#### **3. Operating Structure**

The group reports formally through the Dean of the School of Humanities & Cultural Industries to the REF Steering Group, which in turn reports to the University Research, Consultancy and Scholarship Committee (RCSC) of Academic Board<sup>18</sup>.

#### **4. Equality Framework**

As part of the University's Equality Policy<sup>19</sup> all staff are expected to:

- Support and implement the Equality Policy; and
- Ensure that their behaviour and/or actions do not amount to discrimination or harassment.

All members will also receive specific Equality and Diversity training in relation to their role in the selection of staff for REF2014.

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<sup>18</sup> <http://www.bathspa.ac.uk/committees/academic-board/research-consultancy-and-scholarship-committee/>

<sup>19</sup> <http://www.bathspa.ac.uk/services/hr/for-staff/equality-and-diversity/equality-policy.asp>

## 5. Membership

<i>Name</i>	<i>Post</i>	<i>Role within Institutional management framework</i>	<i>Rationale for inclusion</i>	<i>Role within group</i>
Steve May	Acting senior manager reporting to DVC Provost	Acting senior manager with overall responsibility for School submission	Overall responsibility for content of UoA submission	Ex Officio
Richard Kerridge	Research Co-ordinator	Reports to Dean of School	Co-ordinates research in the school, including REF preparation	Chair
Alan Marshall	HOD	Reports to Dean of School	Manages all staff in department	Member advising on selection of staff and content of overall submission
Elaine Chalus	Senior Lecturer	Reports to Head of Department	Research centre leader	Member advising on selection of staff and content of overall submission
Bronach Kane	Lecturer	Reports to Head of Department	Early career researcher	Member advising on selection of staff and content of overall submission
Dr Katrina Navickas	External Advisor	N/A	Discipline specific expert	Advising on quality of outputs and details of overall submission
Tricia Lynn/Dawn Harding	Research & Graduate Studies Administrator (job share post)	N/A	Recording of process	Admin support

## 6. Mode of operation

### a) Criteria that will be used in carrying out its functions

The University has, on the advice of its Research, Consultancy and Scholarship Committee, adopted a policy of offering for assessment only those Unit of Assessments (UoAs) which are deemed likely to be awarded a quality profile in which the majority percentage of research activity is deemed (by the Deputy Vice-Chancellor Provost, on the advice of the Deans of School) to be of 1\* standard, or above.

All academic staff in such UoAs are entitled to offer their research for inclusion in the REF2014 submission. Staff will be required to provide a full and accurate record of activities within the reporting period, including copies of research outputs in designated formats. Research outputs will not be submitted for assessment unless copies are available. Some creative and practice-based outputs may require other forms of evidence: catalogues of works at an exhibition, recordings of music, etc.

The Subject Selection group will assess submissions in the round, making judgements on the three elements of: research outputs, impact and environment. The elements have different % weightings (outputs 65%, impact 20% and environment 15%) and each is graded over a 4\* -1\* range. What this means is that for each submission, the strategic underpinning of the approach will reflect the varying demands of the UoA, will support the maximisation of each case and will be written with due regard to the highly competitive nature of REF2014. As part of this process, the overall research activity of each member of the academic staff eligible for submission, will be assessed using the following criteria:

- Whether the individual has the number of research outputs during the REF2014 period as required under the HEFCE Assessment Framework and Guidance on Submissions (usually 4 research outputs are required, although there are exceptions to this rule)
- The quality of research outputs produced in the reporting period of the REF. These will be assessed on the basis of the three standard measures of quality put forward by HEFCE for the REF2014: '**Originality, Significance and Rigour**' with reference to international research quality standards.
- The contribution of the individual to the research environment sections of the relevant submission (e.g. supervision of research students, income, collaboration and contribution to the discipline)

As explained above, our approach to REF2014 is strategic in nature, and for that reason consideration will also be given to:

- The specific guidelines and rules associated with the relevant HEFCE Unit of Assessment Panel
- The cohesiveness and balance of each of our UoA submissions, which need to be compatible with the School and University Research Strategies.

Decisions on the inclusion of work will rest with the Dean of School. Appeals against these decisions should follow the procedure set out in the approved REF2014 Appeals process (See Appendix Q).

## **b) Methods by which these criteria are communicated**

In May 2012 the Deputy Vice-Chancellor Provost will write to all eligible members of academic staff with information on the process, timetable and background of REF2014, which will include links to the University's Code of Practice for the selection of staff for REF2014 published on the web [www.bathspa.ac.uk/ref](http://www.bathspa.ac.uk/ref), and which includes criteria for each UoA as part of the published terms of reference for each subject selection group. FAQs will also be prepared for the University REF2014 website, and kept updated. A separate communication will be sent to all eligible staff in relation to the disclosure of individual staff circumstances.

If HEFCE requires changes to be made to the University's Code of Practice, these will be circulated immediately to all eligible staff and disseminated as in the paragraph above.

A series of road shows, meetings and departmental level meetings will take place to allow staff the opportunity to ask questions and fully engage with the dissemination process, and to ensure that selection criteria and process, and the procedures for the disclosure of individual staff circumstances are clear.

School RCSC Representatives (REF Champions) will be available to offer informal advice on potential submissions on a 'without prejudice' basis.

## **c) Timescale for selecting staff**

### **REF2014: UoA Selection and Submission Timetable**

1 May 2012	Introduction to Code of Practice circulated to staff with links to FAQs and submitted Code of Practice on the web.
May/June/July 2012	Code of Practice and details of REF2014 Subject Selection Group terms of reference and membership (Appendix H) further disseminated to staff through meetings and discussions with REF Champions.
July/Aug/Sept 2012	Staff invited to submit outputs for inclusion in the REF2014 (including items anticipated as being in the public domain during the REF2014 qualifying period), with an indication of their preferred items for selection.
30 September 2012	Deadline for submission of forms for the consideration of individual staff circumstances disclosure.
October 2012	Individual Staff Circumstances Disclosure Panel (ISCD) reviews individual staff circumstances forms.
31 October 2012	Staff to be informed of outcomes related to disclosure of individual staff circumstances.

30 November 2012	11. Initial individual staff circumstances Appeals process to be concluded 12. ISCD Panel to inform HoS of staff who qualify for reduced outputs as a result of individual staff circumstances.
Oct/Nov/Dec 2012	REF2014 Subject Selection Groups to meet and consider staff submissions and make initial recommendations on which UoAs will be included to Deans of School.
By end December 2012	Deans of School advise Deputy Vice-Chancellor Provost on UoAs and estimated numbers of staff to be included for the HEFCE survey of submission intentions.
December 2012	Individual Staff Circumstances Disclosure panel considers material submitted by staff.
Dec 2012 – Feb 2013	Preparation of draft submissions by Schools
15 February 2013 <b>*Internal deadline*</b>	Deadline for providing draft submissions to the Research and Graduate Affairs Office
Late February 2013	“Dry run” review meetings to consider draft submissions
March 2013	Further work on staff selection, informed by outcomes of the ISCD Panel
25 March 2013 <b>*Decision*</b>	Final selection of Category A staff by the Deans, confirmed by DVC Provost.
End March 2013	All staff informed of the outcome of selection, following the procedure set out in the Code of Practice.
April – July 2013	Deans of Schools to work up submissions and case studies, supported by the Impact working group and REF Team.
July 2013	RCSC to consider draft submissions and provide detailed feedback.
Aug – Oct 2013	Deans of Schools to work up submissions and case studies, supported by the Impact working group and REF Team.
Oct/Nov 2013 <b>*Decision*</b>	REF steering group to approve final submissions to REF2014.
By 31 October 2013	Staff census date. Staff selection appeals process and grievances to be concluded.
29 November 2013 <b>*HEFCE deadline*</b>	Deadline for submission to HEFCE.

#### **d) Method and timescale in which feedback will be provided in respect of decisions made**

Informal discussions will be held with appropriate staff throughout the process on the outputs that they have put forward for inclusion, and on decisions relating to Units of Assessment selected for submission. Any decision to not include the member of staff or the Unit of Assessment should therefore not come as a surprise to the individual concerned.

Any member of staff who has been excluded from REF2014 on the grounds of quality of outputs or excellence of an individual's contribution will receive a letter from their Dean of School, the template for which has been agreed by RCSC. Individual feedback will be available, and records of all UoA selection group meetings publicly available through the University's REF2104 website, or, where they relate to named members of staff, through a request to the Dean of School.

Any member of staff who's request for a reduction of outputs due to individual staff circumstances has not been upheld will receive a letter from the Chair of the Individual Staff Circumstances Disclosure Panel. The template of the letter has been agreed by RCSC. Individual feedback and access to confidential records relating to an individual member of staff will be available through the Human Resource Department.

Documentation relating to these feedback mechanisms can be found in Appendix Q of the University's Code of Practice document.

The timescale for feedback is set out in the selection timetable above.

#### **e) Appeals mechanism**

The University has agreed an Appeals mechanism for the Selection of Staff for REF2014 process which can be found in Appendix Q of the University's Code of Practice document.

Appeals should be submitted within 10 days of feedback being received on individual applications to be included in REF2014, and/or application for individual staff circumstances to be taken into account. Appellants will be notified within 10 working days of receipt of the appeal letter on the outcome of his/her appeal.

All appeals will be concluded by end of October 2013.

### **7. Records of Discussions**

Full records of all discussions will be kept and made publicly available on the University's REF2014 website.

Items of meetings relating to named members of staff will be treated as closed business, with records kept securely and confidentially by the appropriate Dean of School.

Records of meetings relating to individual staff circumstances will be kept securely and confidentially by the Human Resource Department.

The University will adhere to its Data Protection policy in respect of the retention of confidential records, and these will be destroyed once the outcomes of the REF2014 process have been published by HEFCE.



## **Appendix H (6)**

### **REF2014: Subject Selection Group – Terms of Reference**

#### **1. Name of Committee/Group**

Music and Performing Arts Subject Selection Group  
Incorporating: Music, Drama, Dance and Performing Arts

#### **2. Provenance**

Set up by Deputy Vice-Chancellor Provost to take specific responsibilities with respect to REF2014 decision-making at School level.

Membership and terms of reference for the group have been approved by the University's Research, Consultancy and Scholarship Committee.

#### **3. Operating Structure**

The group reports formally through the Dean of the School of Music & Performing Arts to the REF Steering Group, which in turn reports to the University Research, Consultancy and Scholarship Committee (RCSC) of Academic Board<sup>20</sup>.

#### **4. Equality Framework**

As part of the University's Equality Policy<sup>21</sup> all staff are expected to:

- Support and implement the Equality Policy; and
- Ensure that their behaviour and/or actions do not amount to discrimination or harassment.

All members will also receive specific Equality and Diversity training in relation to their role in the selection of staff for REF2014.

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<sup>20</sup> <http://www.bathspa.ac.uk/committees/academic-board/research-consultancy-and-scholarship-committee/>

<sup>21</sup> <http://www.bathspa.ac.uk/services/hr/for-staff/equality-and-diversity/equality-policy.asp>

## 5. Membership

<i>Name</i>	<i>Post</i>	<i>Role within Institutional management framework</i>	<i>Rationale for inclusion</i>	<i>Role within group</i>
Joe Bennett	Dean of School	Overall responsibility for MPA strategy and operations	Ex officio	Will chair group and advise on outputs within the field of popular music
Mark Langley	Head of Department of Performing Arts	Responsible for strategy and operations within the Department of Performing Arts	Overview of staffing and subject areas within Dance, Drama and Performing Arts UoAs	Will advise on outputs across the Department of Performing Arts
Charles Wiffen	Head of Department of Music	Responsible for strategy and operations within the Department of Music	Overview of staffing and subject areas within Music UoA	Will advise on outputs across the Department of Music, with particular reference to outputs in performance practice and editorial practice
James Saunders	Head of Centre for Musical Research	Responsible for coordinating research within the Department of Music	Ex officio	Will advise on creative practice as research, with particular reference to composition
Miranda Lundskaer-Nielsen	Research coordinator for Department of Performing Arts	Responsible for coordinating research within the Department of Performing Arts	Ex officio	Will advise on outputs within Drama Studies
Roger Heaton	Professor of Music	Pathway Leader for MMus Performance	Was responsible for coordinating Music's submission to RAE2008	Will advise on Musicology and Performance outputs

Professor Jonathan Cross	External Advisor	N/A	Discipline specific expert	Advising on quality of outputs and details of overall submission
Michelle Diwell	School Operations Manager	N/A	Recording of process	Admin support

## 6. Mode of operation

### a) Criteria that will be used in carrying out its functions

The University has, on the advice of its Research, Consultancy and Scholarship Committee, adopted a policy of offering for assessment only those Unit of Assessments (UoAs) which are deemed likely to be awarded a quality profile in which the majority percentage of research activity is deemed (by the Deputy Vice-Chancellor Provost, on the advice of the Deans of School) to be of 1\* standard, or above.

All academic staff in such UoAs are entitled to offer their research for inclusion in the REF2014 submission. Staff will be required to provide a full and accurate record of activities within the reporting period, including copies of research outputs in designated formats. Research outputs will not be submitted for assessment unless copies are available. Some creative and practice-based outputs may require other forms of evidence: catalogues of works at an exhibition, recordings of music, etc.

The Subject Selection group will assess submissions in the round, making judgements on the three elements of: research outputs, impact and environment. The elements have different % weightings (outputs 65%, impact 20% and environment 15%) and each is graded over a 4\* -1\* range. What this means is that for each submission, the strategic underpinning of the approach will reflect the varying demands of the UoA, will support the maximisation of each case and will be written with due regard to the highly competitive nature of REF2014. As part of this process, the overall research activity of each member of the academic staff eligible for submission, will be assessed using the following criteria:

- Whether the individual has the number of research outputs during the REF2014 period as required under the HEFCE Assessment Framework and Guidance on Submissions (usually 4 research outputs are required, although there are exceptions to this rule)
- The quality of research outputs produced in the reporting period of the REF. These will be assessed on the basis of the three standard measures of quality put forward by HEFCE for the REF2014: **'Originality, Significance and Rigour'** with reference to international research quality standards.
- The contribution of the individual to the research environment sections of the relevant submission (e.g. supervision of research students, income, collaboration and contribution to the discipline)

As explained above, our approach to REF2014 is strategic in nature, and for that reason consideration will also be given to:

- The specific guidelines and rules associated with the relevant HEFCE Unit of Assessment Panel
- The cohesiveness and balance of each of our UoA submissions, which need to be compatible with the School and University Research Strategies.

Decisions on the inclusion of work will rest with the Dean of School. Appeals against these decisions should follow the procedure set out in the approved REF2014 Appeals process (See Appendix Q)

#### **b) Methods by which these criteria are communicated**

In May 2012 the Deputy Vice-Chancellor Provost will write to all eligible members of academic staff with information on the process, timetable and background of REF2014, which will include links to the University's Code of Practice for the selection of staff for REF2014 published on the web [www.bathspa.ac.uk/ref](http://www.bathspa.ac.uk/ref), and which includes criteria for each UoA as part of the published terms of reference for each subject selection group. FAQs will also be prepared for the University REF2014 website, and kept updated. A separate communication will be sent to all eligible staff in relation to the disclosure of individual staff circumstances.

If HEFCE requires changes to be made to the University's Code of Practice, these will be circulated immediately to all eligible staff and disseminated as in the paragraph above.

A series of road shows, meetings and departmental level meetings will take place to allow staff the opportunity to ask questions and fully engage with the dissemination process, and to ensure that selection criteria and process, and the procedures for the disclosure of individual staff circumstances are clear.

School RCSC Representatives (REF Champions) will be available to offer informal advice on potential submissions on a 'without prejudice' basis.

#### **c) Timescale for selecting staff**

##### **REF2014: UoA Selection and Submission Timetable**

1 May 2012	Introduction to Code of Practice circulated to staff with links to FAQs and submitted Code of Practice on the web.
May/June/July 2012	Code of Practice and details of REF2014 Subject Selection Group terms of reference and membership (Appendix H) further disseminated to staff through meetings and discussions with REF Champions.
July/Aug/Sept 2012	Staff invited to submit outputs for inclusion in the REF2014 (including items anticipated as being in the public domain during the REF2014 qualifying period), with an indication of their preferred items for selection.

30 September 2012	Deadline for submission of forms for the consideration of individual staff circumstances disclosure.
October 2012	Individual Staff Circumstances Disclosure Panel (ISCD) reviews individual staff circumstances forms.
31 October 2012	Staff to be informed of outcomes related to disclosure of individual staff circumstances.
30 November 2012	13. Initial individual staff circumstances Appeals process to be concluded 14. ISCD Panel to inform HoS of staff who qualify for reduced outputs as a result of individual staff circumstances.
Oct/Nov/Dec 2012	REF2014 Subject Selection Groups to meet and consider staff submissions and make initial recommendations on which UoAs will be included to Deans of School.
By end December 2012	Deans of School advise Deputy Vice-Chancellor Provost on UoAs and estimated numbers of staff to be included for the HEFCE survey of submission intentions.
December 2012	Individual Staff Circumstances Disclosure panel considers material submitted by staff.
Dec 2012 – Feb 2013	Preparation of draft submissions by Schools
15 February 2013 <b>*Internal deadline*</b>	Deadline for providing draft submissions to the Research and Graduate Affairs Office
Late February 2013	“Dry run” review meetings to consider draft submissions
March 2013	Further work on staff selection, informed by outcomes of the ISCD Panel
25 March 2013 <b>*Decision*</b>	Final selection of Category A staff by the Deans, confirmed by DVC Provost.
End March 2013	All staff informed of the outcome of selection, following the procedure set out in the Code of Practice.
April – July 2013	Deans of Schools to work up submissions and case studies, supported by the Impact working group and REF Team.
July 2013	RCSC to consider draft submissions and provide detailed feedback.
Aug – Oct 2013	Deans of Schools to work up submissions and case studies, supported by the Impact working group and REF Team.
Oct/Nov 2013 <b>*Decision*</b>	REF steering group to approve final submissions to REF2014.
By 31 October 2013	Staff census date. Staff selection appeals process and grievances to be concluded.

29 November 2013 <b>*HEFCE deadline*</b>	Deadline for submission to HEFCE.
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#### **d) Method and timescale in which feedback will be provided in respect of decisions made**

Informal discussions will be held with appropriate staff throughout the process on the outputs that they have put forward for inclusion, and on decisions relating to Units of Assessment selected for submission. Any decision to not include the member of staff or the Unit of Assessment should therefore not come as a surprise to the individual concerned.

Any member of staff who has been excluded from REF2014 on the grounds of quality of outputs or excellence of an individual's contribution will receive a letter from their Dean of School, the template for which has been agreed by RCSC. Individual feedback will be available, and records of all UoA selection group meetings publicly available through the University's REF2104 website, or, where they relate to named members of staff, through a request to the Dean of School.

Any member of staff who's request for a reduction of outputs due to individual staff circumstances has not been upheld will receive a letter from the Chair of the Individual Staff Circumstances Disclosure Panel. The template of the letter has been agreed by RCSC. Individual feedback and access to confidential records relating to an individual member of staff will be available through the Human Resource Department.

Documentation relating to these feedback mechanisms can be found in Appendix Q of the University's Code of Practice document.

The timescale for feedback is set out in the selection timetable above.

#### **e) Appeals mechanism**

The University has agreed an Appeals mechanism for the Selection of Staff for REF2014 process which can be found in Appendix Q of the University's Code of Practice document.

Appeals should be submitted within 10 days of feedback being received on individual applications to be included in REF2014, and/or application for individual staff circumstances to be taken into account. Appellants will be notified within 10 working days of receipt of the appeal letter on the outcome of his/her appeal.

All appeals will be concluded by end of October 2013.

### **7. Records of Discussions**

Full records of all discussions will be kept and made publicly available on the University's REF2014 website.

Items of meetings relating to named members of staff will be treated as closed business, with records kept securely and confidentially by the appropriate Dean of School.

Records of meetings relating to individual staff circumstances will be kept securely and confidentially by the Human Resource Department.

The University will adhere to its Data Protection policy in respect of the retention of confidential records, and these will be destroyed once the outcomes of the REF2014 process have been published by HEFCE.

## **Appendix H (7)**

### **REF2014: Subject Selection Group – Terms of Reference**

#### **1. Name of Committee/Group**

Society, Enterprise and Environment Subject Selection Group  
Incorporating: Biology, Food, Psychology, Geography, Sociology, Business and Management

#### **2. Provenance**

Set up by Deputy Vice-Chancellor Provost to take specific responsibilities with respect to REF2014 decision-making at School level.

Membership and terms of reference for the group have been approved by the University's Research, Consultancy and Scholarship Committee.

#### **3. Operating Structure**

The group reports formally through the Dean of the School of Society, Enterprise and Environment to the REF Steering Group, which in turn reports to the University Research, Consultancy and Scholarship Committee (RCSC) of Academic Board<sup>22</sup>.

#### **4. Equality Framework**

As part of the University's Equality Policy<sup>23</sup> all staff are expected to:

- Support and implement the Equality Policy; and
- Ensure that their behaviour and/or actions do not amount to discrimination or harassment.

All members will also receive specific Equality and Diversity training in relation to their role in the selection of staff for REF2014.

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<sup>22</sup> <http://www.bathspa.ac.uk/committees/academic-board/research-consultancy-and-scholarship-committee/>

<sup>23</sup> <http://www.bathspa.ac.uk/services/hr/for-staff/equality-and-diversity/equality-policy.asp>



## 5. Membership

<i>Name</i>	<i>Post</i>	<i>Role within Institutional management framework</i>	<i>Rationale for inclusion</i>	<i>Role within group</i>
Prof Rob Mears	Dean of School	Dean of School	Overall responsibility	Chair. To evaluate Sociology submissions
Dr Mark McGuinness	Head of Research Management ; Head of Department of Social Sciences	Member of BSU's Research, Scholarship and Consultancy Committee. Line manager and staff development reviewer for Geography and Sociology staff	Knowledge of REF processes and BSU practice. Knowledge of subjects and staff outputs in remit	To evaluate Geography submissions. To share institutional practice and developments
Dr David Watson	Head of Department of Sciences	Line manager and staff development reviewer for Psychology, Biology, and Food and Nutrition staff	Knowledge of subjects and staff outputs in remit	To evaluate Biology and Food submissions.
Ms Cathy Leng	Head of Department of Business and Management	Line manager and staff development reviewer for Business and Management staff	Knowledge of subjects and staff outputs in remit	To evaluate Business and Management submissions.
Prof Dominic Upton, University of Worcester	Psychologist	None	Significant experience of international research in psychology discipline area.	As set out in approved operational role of External Advisors for REF2014
Dr Tim Hall, University of Gloucestershire	Social Geographer	None	Significant experience of international research in social geography discipline area.	As set out in approved operational role of External Advisors for REF2014
Ms Jan Hanley	School Operations Manager	None	Recording of process	Secretary and administrator

## 6. Mode of operation

### a) Criteria that will be used in carrying out its functions

The University has, on the advice of its Research, Consultancy and Scholarship Committee, adopted a policy of offering for assessment only those Unit of Assessments (UoAs) which are deemed likely to be awarded a quality profile in which the majority percentage of research activity is deemed (by the Deputy Vice-Chancellor Provost, on the advice of the Deans of School) to be of 1\* standard, or above.

All academic staff in such UoAs are entitled to offer their research for inclusion in the REF2014 submission. Staff will be required to provide a full and accurate record of activities within the reporting period, including copies of research outputs in designated formats. Research outputs will not be submitted for assessment unless copies are available. Some creative and practice-based outputs may require other forms of evidence: catalogues of works at an exhibition, recordings of music, etc.

The Subject Selection group will assess submissions in the round, making judgements on the three elements of: research outputs, impact and environment. The elements have different % weightings (outputs 65%, impact 20% and environment 15%) and each is graded over a 4\* -1\* range. What this means is that for each submission, the strategic underpinning of the approach will reflect the varying demands of the UoA, will support the maximisation of each case and will be written with due regard to the highly competitive nature of REF2014. As part of this process, the overall research activity of each member of the academic staff eligible for submission, will be assessed using the following criteria:

- Whether the individual has the number of research outputs during the REF2014 period as required under the HEFCE Assessment Framework and Guidance on Submissions (usually 4 research outputs are required, although there are exceptions to this rule)
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- The contribution of the individual to the research environment sections of the relevant submission (e.g. supervision of research students, income, collaboration and contribution to the discipline)

As explained above, our approach to REF2014 is strategic in nature, and for that reason consideration will also be given to:

- The specific guidelines and rules associated with the relevant HEFCE Unit of Assessment Panel
- The cohesiveness and balance of each of our UoA submissions, which need to be compatible with the School and University Research Strategies.

Decisions on the inclusion of work will rest with the Dean of School. Appeals against these decisions should follow the procedure set out in the approved REF2014 Appeals process (See Appendix Q).

## **b) Methods by which these criteria are communicated**

In May 2012 the Deputy Vice-Chancellor Provost will write to all eligible members of academic staff with information on the process, timetable and background of REF2014, which will include links to the University's Code of Practice for the selection of staff for REF2014 published on the web [www.bathspa.ac.uk/ref](http://www.bathspa.ac.uk/ref), and which includes criteria for each UoA as part of the published terms of reference for each subject selection group. FAQs will also be prepared for the University REF2014 website, and kept updated. A separate communication will be sent to all eligible staff in relation to the disclosure of individual staff circumstances.

If HEFCE requires changes to be made to the University's Code of Practice, these will be circulated immediately to all eligible staff and disseminated as in the paragraph above.

A series of road shows, meetings and departmental level meetings will take place to allow staff the opportunity to ask questions and fully engage with the dissemination process, and to ensure that selection criteria and process, and the procedures for the disclosure of individual staff circumstances are clear.

School RCSC Representatives (REF Champions) will be available to offer informal advice on potential submissions on a 'without prejudice' basis.

## **c) Timescale for selecting staff**

### **REF2014: UoA Selection and Submission Timetable**

1 May 2012	Introduction to Code of Practice circulated to staff with links to FAQs and submitted Code of Practice on the web.
May/June/July 2012	Code of Practice and details of REF2014 Subject Selection Group terms of reference and membership (Appendix H) further disseminated to staff through meetings and discussions with REF Champions.
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Oct/Nov/Dec 2012	REF2014 Subject Selection Groups to meet and consider staff submissions and make initial recommendations on which UoAs will be included to Deans of School.
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25 March 2013 <b>*Decision*</b>	Final selection of Category A staff by the Deans, confirmed by DVC Provost.
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By 31 October 2013	Staff census date. Staff selection appeals process and grievances to be concluded.
29 November 2013 <b>*HEFCE deadline*</b>	Deadline for submission to HEFCE.

#### **d) Method and timescale in which feedback will be provided in respect of decisions made**

Informal discussions will be held with appropriate staff throughout the process on the outputs that they have put forward for inclusion, and on decisions relating to Units of Assessment selected for submission. Any decision to not include the member of staff or the Unit of Assessment should therefore not come as a surprise to the individual concerned.

Any member of staff who has been excluded from REF2014 on the grounds of quality of outputs or excellence of an individual's contribution will receive a letter from their Dean of School, the template for which has been agreed by RCSC. Individual feedback will be available, and records of all UoA selection group meetings publicly available through the University's REF2104 website, or, where they relate to named members of staff, through a request to the Dean of School.

Any member of staff who's request for a reduction of outputs due to individual staff circumstances has not been upheld will receive a letter from the Chair of the Individual Staff Circumstances Disclosure Panel. The template of the letter has been agreed by RCSC. Individual feedback and access to confidential records relating to an individual member of staff will be available through the Human Resource Department.

Documentation relating to these feedback mechanisms can be found in Appendix Q of the University's Code of Practice document.

The timescale for feedback is set out in the selection timetable above.

#### **e) Appeals mechanism**

The University has agreed an Appeals mechanism for the Selection of Staff for REF2014 process which can be found in Appendix Q of the University's Code of Practice document.

Appeals should be submitted within 10 days of feedback being received on individual applications to be included in REF2014, and/or application for individual staff circumstances to be taken into account. Appellants will be notified within 10 working days of receipt of the appeal letter on the outcome of his/her appeal.

All appeals will be concluded by end of October 2013.

### **7. Records of Discussions**

Full records of all discussions will be kept and made publicly available on the University's REF2014 website.

Items of meetings relating to named members of staff will be treated as closed business, with records kept securely and confidentially by the appropriate Dean of School.

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## **Appendix H (8)**

### **REF2014: Subject Selection Group**

#### **1. Name of Committee/Group**

Study of Religions Subject Selection Group  
Incorporating: Study of Religions

#### **2. Provenance**

Set up by Deputy Vice-Chancellor Provost to take specific responsibilities with respect to REF2014 decision-making at School level.

Membership and terms of reference for the group have been approved by the University's Research, Consultancy and Scholarship Committee.

#### **3. Operating Structure**

The group reports formally through the Dean of the School of Humanities & Cultural Industries to the REF Steering Group, which in turn reports to the University Research, Consultancy and Scholarship Committee (RCSC) of Academic Board<sup>24</sup>.

#### **4. Equality Framework**

As part of the University's Equality Policy<sup>25</sup> all staff are expected to:

- Support and implement the Equality Policy; and
- Ensure that their behaviour and/or actions do not amount to discrimination or harassment.

All members will also receive specific Equality and Diversity training in relation to their role in the selection of staff for REF2014.

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<sup>24</sup> <http://www.bathspa.ac.uk/committees/academic-board/research-consultancy-and-scholarship-committee/>

<sup>25</sup> <http://www.bathspa.ac.uk/services/hr/for-staff/equality-and-diversity/equality-policy.asp>

## 5. Membership

<i>Name</i>	<i>Post</i>	<i>Role within Institutional management framework</i>	<i>Rationale for inclusion</i>	<i>Role within group</i>
Steve May	Acting senior manager reporting to DVC Provost	Acting senior manager with overall responsibility for School submission	Overall responsibility for content of UoA submission	Ex Officio
Richard Kerridge	Research Co-ordinator	Reports to Dean of School	Co-ordinates research in the school, including REF preparation	Chair
Alan Marshall	HOD	Reports to Dean of School	Manages all staff in department	Member advising on selection of staff and content of overall submission
Denise Cush	Head of Resources and Widening Participation	Reports to Dean of School	Senior researcher	Member advising on selection of staff and content of overall submission
Professor Grace Davie, University of Exeter	External Advisor	N/A	Discipline specific expert	Advising on quality of outputs and details of overall submission
Tricia Lynn/Dawn Harding	Research & Graduate Studies Administrator (job share post)	N/A	Recording of process	Admin support



## 6. Mode of operation

### a) Criteria that will be used in carrying out its functions

The University has, on the advice of its Research, Consultancy and Scholarship Committee, adopted a policy of offering for assessment only those Unit of Assessments (UoAs) which are deemed likely to be awarded a quality profile in which the majority percentage of research activity is deemed (by the Deputy Vice-Chancellor Provost, on the advice of the Deans of School) to be of 1\* standard, or above.

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As explained above, our approach to REF2014 is strategic in nature, and for that reason consideration will also be given to:

- The specific guidelines and rules associated with the relevant HEFCE Unit of Assessment Panel
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## **b) Methods by which these criteria are communicated**

In May 2012 the Deputy Vice-Chancellor Provost will write to all eligible members of academic staff with information on the process, timetable and background of REF2014, which will include links to the University's Code of Practice for the selection of staff for REF2014 published on the web [www.bathspa.ac.uk/ref](http://www.bathspa.ac.uk/ref), and which includes criteria for each UoA as part of the published terms of reference for each subject selection group. FAQs will also be prepared for the University REF2014 website, and kept updated. A separate communication will be sent to all eligible staff in relation to the disclosure of individual staff circumstances.

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## **c) Timescale for selecting staff**

### **REF2014: UoA Selection and Submission Timetable**

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Informal discussions will be held with appropriate staff throughout the process on the outputs that they have put forward for inclusion, and on decisions relating to Units of Assessment selected for submission. Any decision to not include the member of staff or the Unit of Assessment should therefore not come as a surprise to the individual concerned.

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Documentation relating to these feedback mechanisms can be found in Appendix Q of the University's Code of Practice document.

The timescale for feedback is set out in the selection timetable above.

#### **e) Appeals mechanism**

The University has agreed an Appeals mechanism for the Selection of Staff for REF2014 process which can be found in Appendix Q of the University's Code of Practice document.

Appeals should be submitted within 10 days of feedback being received on individual applications to be included in REF2014, and/or application for individual staff circumstances to be taken into account. Appellants will be notified within 10 working days of receipt of the appeal letter on the outcome of his/her appeal.

All appeals will be concluded by end of October 2013.

### **7. Records of Discussions**

Full records of all discussions will be kept and made publicly available on the University's REF2014 website.

Items of meetings relating to named members of staff will be treated as closed business, with records kept securely and confidentially by the appropriate Dean of School.

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## **Appendix I**

### **REF2014: Operational Role of External Advisors**

#### **Introduction**

The expectations of the Research, Consultancy and Scholarship Committee for External Advisors at Bath Spa University involved in the process of selection of staff for REF2014 are detailed in this section.

#### **Overview of role of External Advisors**

- To consult with the Dean of School on the Subject Selection Group's judgement of the standing and perceived quality of staff outputs, to ensure that they are in line with REF2014 panel criteria and the three standard measures of quality put forward by HEFCE for the REF2014: '**Originality, Significance and Rigour**' with reference to international research quality standards.
- Advise on the standing and quality of individual outputs with reference to HEFCE guidance above, in areas where the advisor has specific expertise.
- To consult with Deans of Schools and Chairs of Subject Selection Groups on the content and perceived quality of Impact Case Studies, to ensure that they are in line with REF2014 panel criteria and, in particular, their 'reach and significance'.
- To consult with Deans of School and Chairs of Subject Selection Groups on the content of the UoAs overall submission to REF2014.
- To provide advice to the Deputy Vice-Chancellor Provost and the Vice-Provost for Research and Graduate Affairs in relation to appeals on intrinsic quality or excellence of an individual's contribution.

#### **Operating Criteria for External Advisors**

- External Advisors' reference points will be their experience at other HEIs and their knowledge and experience of working at national and international level within their discipline area.
- External Advisors will be expected to have received REF2014 equality training, or its equivalent, at either their home institution or at Bath Spa University.

#### **Appointment Process for External Advisors**

- External advisors will be appointed on Consultancy Contracts by each Dean of School or Deputy Vice-Chancellor Provost, to undertake all or some of the roles set out above.
- Daily rates and the number of consultancy days will be specific to the role, standing and expertise of each individual External Advisor, and will be at the discretion of the Dean of School/Deputy Vice-Chancellor Provost.
- The Dean of School/Deputy Vice-Chancellor Provost will check that the External Advisor has had the appropriate REF2014 equality training.

## **Appendix J**

### **REF2014 Group: Individual Staff Circumstances Disclosure Panel - Membership and Terms of Reference**

<b>Name:</b>	<b>Individual Staff Circumstances Disclosure Panel (ISCD)</b>
<b>Provenance:</b>	Set up by the REF Steering Group (RSG) to consider all individual staff circumstances disclosure forms, in order to enable individuals to disclose circumstances in confidence, in line with HEFCE recommendations.
<b>Membership:</b>	<ul style="list-style-type: none"><li>- Professor Paul Davies (Vice-Provost (Learning and Teaching Quality)) - Chair</li><li>- Representatives of HR: (Secretary)</li><li>- Nominated Member of Academic staff: Professor Denise Cush</li><li>- Sarah Priston (Research Support Officer)</li></ul>
<b>Operating Structure:</b>	Working Group of RSG, reporting first to RSG and through RSG into the Research, Scholarship and Consultancy Committee of Academic Board <sup>26</sup>
<b>Equality Framework:</b>	<p>All part of the University's Equality Policy<sup>27</sup> all staff are expected to:</p> <ul style="list-style-type: none"><li>- Support and implement the Equality Policy; and</li><li>- Ensure that their behaviour and/or actions do not amount to discrimination or harassment.</li></ul> <p>All members will also receive specific Equality and Diversity training in relation to REF 2014</p>
<b>Operating Criteria:</b>	<ul style="list-style-type: none"><li>- To consider all individual staff circumstance disclosure forms submitted through the REF2014 selection of staff process</li><li>- To ensure that all decisions on a reduction of outputs are made based on REF2014 guidance and with reference to examples of complex staff circumstances available through ECU</li><li>- To ensure that all submissions and records of meetings are held securely and that safeguards are put in place to ensure staff members' confidentiality and privacy</li><li>- To advise Dean of Schools on the appropriate reduction of outputs for staff that have been selected for inclusion in submissions.</li><li>- To provide confidential information to the Deputy Vice-Chancellor Provost on staff with reduced outputs for inclusion in the REF1b sections of the relevant UoA submission.</li></ul>
<b>Dissemination Strategy:</b>	<p>The group will report formally to the Vice-Chancellor.</p> <p>All documentation and minutes of meetings will be held securely in the Human Resources Department until the conclusion of the REF2014 process, at which time it will be securely destroyed, in line with University Data Protection procedures.</p>
<b>Procedures for the Selection of Staff:</b>	The role of the group will be consider all individual staff circumstance disclosure forms submitted through the REF2014 staff selection process, and to advise Deans of School on the appropriate reduction of outputs for staff that have been selected for inclusion in submissions.

<sup>26</sup> <http://www.bathspa.ac.uk/committees/academic-board/research-consultancy-and-scholarship-committee/>

<sup>27</sup> <http://www.bathspa.ac.uk/services/hr/for-staff/equality-and-diversity/equality-policy.asp>

## **Appendix K**

### **REF2014: Bath Spa University's Equality and Diversity Steering Group Revised Terms of Reference**

Status: The Equality and Diversity Steering Group is one of the Vice-Chancellor's Committees.

- To monitor, write and assist in the implementation of Equality and Diversity Policies throughout the University.
- To formulate and submit policy documents, reports and information on equality and promoting diversity, making recommendations to the Vice-Chancellor and (with the Vice-Chancellors' agreement) to other relevant bodies and persons in the University, such as the Board of Governors, the Academic Board, Dean of Schools and School Boards and Course Directors
- To undertake, in cooperation with appropriate Boards, Committees and persons, a course review function with the purpose of furthering the objectives defined in the above clauses.
- To promote staff development on Equality and Diversity in the form of training and raise awareness of equality issues.
- To encourage and participate actively in the formation, maintenance and strengthening of relationships between the University and organisations and individuals associated with the promotion of equality.
- To identify and seek resources needed to implement Equality and Diversity Policies.
- To advise the University of national changes that will impact on Equality and Diversity, through the use of the University's Diversity Champions and specialists within the subject area.
- To meet twice a semester, plus additionally when necessary.



## **Appendix L**



**To:** Chair, Equality and Diversity Steering Group  
**cc:** Director of Human Resources  
**From:** Code of Practice Sub-Group  
**Date:** 22 March 2012  
**Subject:** **Equality Impact Assessment (EIA) – REF2014 Code of Practice including Criteria and Process for the Selection of Staff**

### **1. Background**

As part of the University's submission to REF2014 the University has developed and will implement a Code of Practice on the Criteria and Process for the Selection of staff. The purpose and aim of this code of practice is to demonstrate to all stakeholders that the University is using open, transparent, consistent and inclusive processes and that they are operating within the law which includes the Equality Act 2010.

The REF Steering Group (RSG) set up a Code of Practice Working Group with the remit of developing this Code of Practice and it has been based on guidance received from HEFCE, namely REF 02.2011 "Assessment framework and guidance on submissions", its "Addendum" and ECU guidance.

This EIA will be kept under review as submissions are prepared and it will review and monitor the implementation of the REF Code of Practice for REF2014.

### **2. Equality Perceptions Before Research**

The Code of Practice and the Criteria and Process for the Selection of staff (Appendix A) has been written by the Code of Practice Working Group. Eligible staff for REF2014 are listed under Section 3, Scope of Code of Practice, and this includes academic and research staff and so the Code of Practice may have equality relevance for individuals/groups with protected characteristics.

The opportunity to highlight the research work of our academic and research staff may contribute to the promotion of equality between groups and support positive equality duties.

The University's Code of Practice's fully supports equality of opportunities for all its staff and students, applicants and visitors, as stated in its Equality Policy. The Code of Practice also provides the details of transparency, responsibility, accountability and inclusivity of the processes involved in the selection of staff for inclusion in REF2014 submissions.

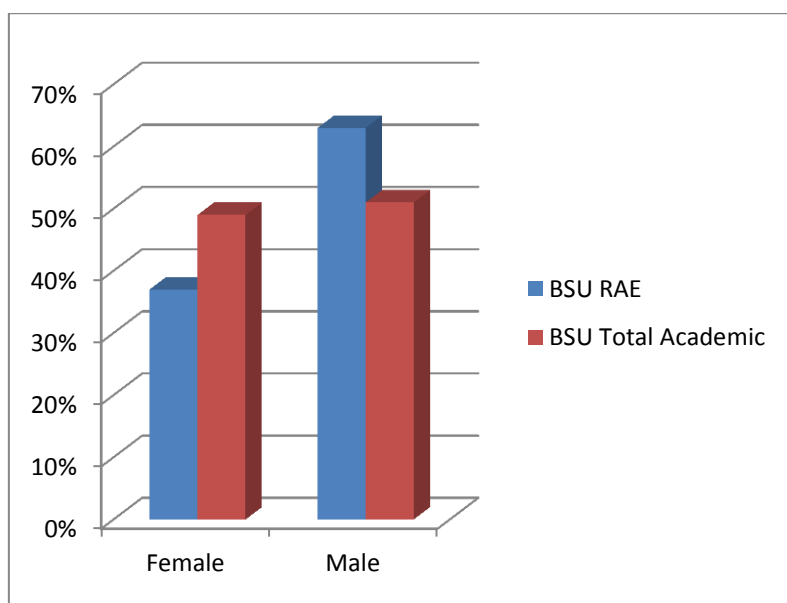
### 3. Equality Research Undertaken

#### RAE Data 2008

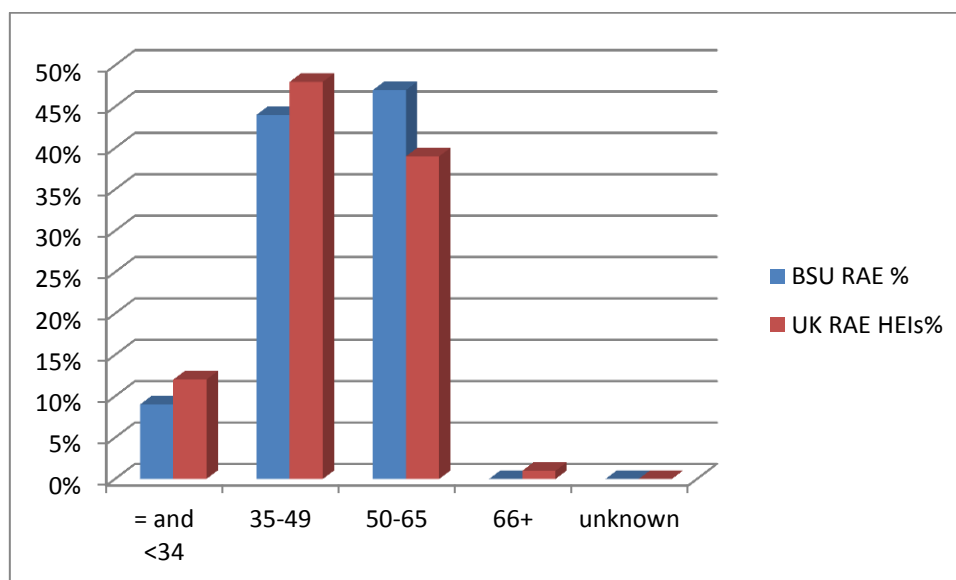
UK HESA (Higher Education Statistics Agency) RAE 2008 data has been used for benchmarking and the data available from HESA is Gender, Age, Disability and Ethnicity. The data has been taken from the 2007/08 HESA staff data return.

10 Unit of Assessments were submitted by the University in the RAE 2008, namely Art and Design, Biological Sciences, Geography and Environment, Psychology, Education, English and Literature, Theology and Religious Studies, Historical Studies, Communication, Culture and Media Studies, Music and the data for these areas has been compared to the data for all UK HEIs.

**Gender** - Apart from one of the Unit of Assessments the gender percentages of the staff entered by BSU follows the national trend of more men than women being submitted to the RAE 2008. The UK HEIs percentages for staff submitted to the RAE 2008 are 37% female and 63% male. For Data Protection reasons it is not possible to name the BSU Unit of Assessments due to the small number of staff involved. The bar chart below shows that the University submitted a lower percentage of females than the overall BSU female academic percentage for 2007/08.



**Age as at 31 July 2012** – HESA categories for age are “= and <34, 35-49, 50-65, 66+ and unknown” and the bar chart below shows that the age profile of the staff returned to the RAE 2008 was over 35. It is not possible to compare this data with the overall academic age profile of BSU as the data available is in different age categories.



**Disability** – 7% of the staff included in the RAE 2008 declared a disability which is significantly higher than the 2% percentage for all UK HEIs. This is also higher than the 5% of academics at BSU who declared a disability in 2007/08.

**Ethnicity** – 98% of the staff included in the RAE 2008 were white compared to 84% for all UK HEIs. The overall academic BME percentage in 2007/08 was 1%.

The University's statistics are consistent with trends reported in the THE on 17 September 2008 that “female and black staff are disadvantaged. The article also states that “While this behaviour may be linked to selection bias resulting from age and gender, it could equally be a result of deeply rooted inequalities in the research careers of men and women”.

Consultation has taken place with the Trade Unions, the University's Equality and Diversity Steering Group, and the Research Consultancy and Scholarship Committee.

Since the RAE 2008 the University's EDSG has implemented Diversity Champions responsible for six equality strands that cover all of the nine protected characteristics. The University has recently been awarded the HR Excellence in Research which reflects the University's current and on-going commitment to Research.

One of the University's Equality objectives is to monitor and review to ensure that they are not discriminatory and takes action to address any issues and this includes fair and transparent processes for recruitment.

The report on the Joint Equality Forum, held by Bath Spa University and the University of Bath, on Thursday 15 March 2012 can be found at

<http://www.bathspa.ac.uk/services/hr/for-staff/equality-and-diversity/Equality%20Forum%202012%20summary.pdf> . Any relevant equality issues in connection with REF2014 will be included in the revised version of this EIA.

## Equality relevance table

The table below shows the impact on the nine protected characteristics.

General Duty	Question	Age	Disability	Gender	Gender Reassignment	Pregnancy /Maternity	Race	Religion or belief	Sexual Orientation	Marriage/ civil partnership
To foster good relations	Does the policy have a positive, negative or no impact in terms of addressing prejudice against people with a protected characteristic at BSU?	Positive Effect – All staff with responsibilities for managing the REF2014 process will undertake general equality training and staff involved in the consideration of and in any appeal in connection with the Individual Staff Circumstances Disclosure forms will also undertake REF2014 specific training in relation to equality issues. Staff involved in making assessments on intrinsic quality are appointed because of their specialist knowledge of context of the research within the Subject Discipline and also the wider research environment of their staff that they are assessing.								
Advance equality of opportunity	Does the policy have a positive, negative or no impact in terms of removing or minimising disadvantages suffered by people because of their protected characteristics at BSU?	Positive. As part of the Individual Staff Circumstances Policy Early Career Researchers can be of any age	Positive. As part of the Individual Staff Circumstances Policy eligible staff can seek a reduction in outputs due to disability or mental health	No impact – all academic staff are eligible regardless of gender	Positive. As part of the Individual Staff Circumstances Policy eligible staff can seek a reduction in outputs due to gender reassignment	Positive. As part of the Individual Staff Circumstances Policy eligible staff can seek a reduction in outputs due to pregnancy/ maternity/ adoption/ childcare	No impact – all academic staff are eligible regardless of race	No impact – all academic staff are eligible regardless of religion or belief	No impact – all academic staff are eligible regardless of sexual orientation	N/A
	Does the policy have a positive, negative or no impact in terms of meeting the needs of people with protected characteristics at BSU?	Positive Effect – The University's Equality Policy includes details of all 9 protected characteristics and the Policy is included as Appendix B of the Code of Practice. The general equality training that will be offered by the University will include information on the protected characteristics and relates to Higher Education. The memorandum that will be sent to staff regarding the disclosure of Individual Staff Circumstances states "If you disclose information that the University was previously unaware of and you would like further support please contact the HR REF2014 Representatives.								N/A
	Does the policy have a positive, negative or no impact in terms of encouraging people with protected characteristics to take	Positive Effect – The University will inform all eligible members of staff that they can participate in the process without having to make it known to others. The system is accessible to all groups. Research Champions and Deans of Schools will also inform staff.								N/A

General Duty	Question	Age	Disability	Gender	Gender Reassignment	Pregnancy /Maternity	Race	Religion or belief	Sexual Orientation	Marriage/ civil partnership
	part in the relevant activity at BSU?									
Eliminate unlawful discrimination	Does the policy have a positive, negative or no impact in terms of seeking to eliminate unlawful discrimination, harassment, victimisation and any other conduct prohibited at BSU?	Positive – Section 10, Complaints, of the Code of Practice states “The University recognises that staff may have concerns related to bullying and harassment and/or discrimination on the grounds of their protected characteristic that are outside of the REF2014 process. Complaints of this nature should be made to HR through the University Grievance Procedure. The Grievance will be investigated and dealt with by someone not involved in REF2014 and the process will be completed by 31 October 2013. A copy of the University’s Grievance Procedure is available as Appendix R” of the University Code of Practice								N/A

#### 4. Outcome of Research

The research undertaken demonstrates that the University's REF2014 Code of Practice and Criteria and Selection of staff is robust and the evidence above shows no potential for discrimination and all appropriate opportunities to advance equality and foster good relations between groups have been taken.

This Equality Impact Assessment will be reviewed after internal consultation has taken place and amended before the Code of Practice is sent to HEFCE in April 2012.

#### 5. Publication of the Policy

As part of the REF2014 process this Equality Impact Assessment will be published on the University's website.

#### Version Control

Version No & Date	By Whom	Action/Changes	Review Date
v1 22.03.12	Human Resources	Initial EIA	After EDSG (27.3.12) and RCSC (29.3.12) and before 27.4.12
v2 30.3.12	Human Resources	Following EDSG and RCSC	After the launch of the CoP in May 2012

## **Appendix M**

### **Names of School Representatives (REF Champions)**

Professor Dan Davies, Head of Applied Research and Consultancy, School of Education

Dr Laura Caulfield, Head of Research Management, School of Society, Enterprise and Environment

Dr Graham McLaren, Head of Design and Critical Studies, Bath School of Art and Design

Richard Kerridge, Co-ordinator for Graduate Studies and Research, School of Humanities and Cultural Industries

Professor James Saunders, Head of Centre for Musical Research, School of Music and Performing Arts



## Appendix N

**REF2014: Summary of Equality Legislation – Disability - Taken from REF 02.2011 July 2011 “Assessment framework and guidance on submission”, page 36**

<b>Disability</b>	<p><b>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.</b></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"><li>• sensory impairments</li><li>• impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy</li><li>• progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer</li><li>• organ-specific impairments, including respiratory conditions and cardiovascular diseases</li><li>• developmental impairments, such as autistic spectrum disorders and dyslexia</li><li>• mental health conditions such as depression and eating disorders</li><li>• impairments caused by injury to the body or brain.</li></ul> <p>It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and</p>
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	<p>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>
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## **Appendix O**

### **REF2014: Revised Guidance on Individual Staff Circumstances taken from “Addendum: Assessment framework and guidance on submissions (REF 02.2011)”**

#### **“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**

<b>Date at which the individual first met the REF definition of an early career researcher:</b>	<b>Number of outputs may be reduced by up to:</b>
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:
- part-time working
  - 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**

<b>Total months absent between 1 January 2008 and 31 October 2013 due to working part-time, secondment or career break:</b>	<b>Number of outputs may be reduced by up to:</b>
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:
- c. 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.
  - d. Additional paternity or adoption leave<sup>28</sup> 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.
- 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

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<sup>28</sup> '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'.

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.

## **Appendix P (1)**

### **REF2014: Individual Staff Circumstances Disclosure Policy**

#### **Introduction**

The four UK funding bodies recommend that higher education institutions (HEIs) submitting to the Research Excellence Framework (REF) develop robust procedures to enable staff to disclose, with an appropriate degree of confidentiality, individual circumstances that may impact on the number of research outputs that they have produced. It is also recommended within the Assessment Framework and Guidance on Submissions that HEIs take a proactive approach to encourage staff to disclose their circumstances. Therefore, all eligible staff will be made aware that they can complete a form about their individual circumstances.

#### **Data protection and confidentiality**

The Data Protection Act 1998 requires HEIs to comply with a number of important principles regarding privacy and disclosure when handling personal data. These principles include ensuring such data are processed and used for limited purposes, and that the data are accurate and up-to-date. The Data Protection Act categorises certain types of data, including some of the data that HEIs will need to collect for REF2014 purposes on individual staff circumstances, as sensitive personal data. Sensitive personal data are subject to stricter forms of processing and the University has consulted their HR Department on requirements for storing and handling such data. Further information can also be found on the website of the Information Commissioner's Office [www.ico.gov.uk/](http://www.ico.gov.uk/)

Most importantly, if a member of staff informs someone of their personal circumstances their permission must be sought before the information is passed on or stored. Where staff do not provide permission for information to be passed on or stored, the University may be limited in the actions it can take. Staff cannot be compelled to provide information about their circumstances or to give permission for it to be stored or passed on.

#### **Individual Staff Circumstances Disclosure**

All staff will be sent a memorandum setting out the following details:

- The web link to the Liquid Office Individual Staff Circumstances Disclosure form
- The reasons why this information is being collected.
- The circumstances which can be taken into account in determining whether eligible staff may be submitted to the REF2014 with fewer than four research outputs.

- Information on who will see the information that they provide
- Information on the way in which the data will be stored
- Information on safeguards that will exist to protect staff members' confidentiality and privacy
- Information on how we will support staff who disclose individual circumstances that we were previously unaware of.

### **Consideration of the Disclosure of Individual Staff Circumstances**

The Individual Staff Circumstances Disclosure (ICSD) Panel (see Appendix J) will be set up to consider all individual staff circumstances disclosure forms, and to make appropriate recommendations to the Deans of Schools on the reduction in the number of outputs that the relevant member of staff may submit to the REF2014.

Decisions will be made based on REF 2014 guidance and with reference to examples of complex staff circumstances available through ECU. All members of the ISCD Panel will receive specific training in relation to REF2014 equality issues.

Formal documentation recording this decision will be held confidentially in the Human Resources Department, and individual feedback made available through the HR representative on the ISCD panel.

### **Appeal Process**

The decision of the ISCD panel in relation to the details that staff have submitted on individual staff circumstances disclosure forms will be sent in the form of a letter setting out:

- Details of a reduction in outputs

OR

- Reasons why a reduction in outputs has not been recommended

Template letters have been agreed by RCSC as part of the Code of Practice (Appendix Q)

If the member of staff wishes to appeal against this decision, an appeal can be made to the Director of HR. In line with University policy, the Vice-Chancellor will be the final arbitrator. (see Appendix Q for Appeals Process for REF2014)



## **Appendix P (2)**

### **REF2014: Individual staff circumstances disclosure form**

<b>Name</b>	
<b>Department</b>	

#### **Section one:**

**Please select one of the following:**

☐ I have no individual circumstances that I wish to be taken into consideration for the purposes of the Research Excellence Framework (REF).

☐ I have individual circumstances that I wish to make known but I am not seeking a reduction in outputs at this time.

☐ In completing this form I am seeking a reduction in research outputs. Your information needs to be clear and concise as the University can only submit a maximum of 300 words to the UK funding bodies' REF team, and/or the Equality and Diversity Advisory Panel.

#### **Section two**

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

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

<b>Circumstance</b>	<b>Information required</b>
<b>Early career researcher (started career as an independent researcher on or after 1 August 2009)</b>	Date on which you became an early career research
Information	
<b>Part time employee</b>	FTE and duration in months
Information	

<b>Career break or secondment outside of the higher education sector</b>	Dates and duration in months
Information	
<b>Maternity leave, statutory adoption leave, or additional paternity leave (taken by partners of new mothers or co-adopters)</b>	For each period of leave state which type of leave was taken and the dates and duration in months
Information	
<b>Disability (including conditions such as cancer and chronic fatigue)</b>	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
<b>Mental health condition</b>	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
<b>Ill health or injury</b>	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
<b>Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare in addition to the period of maternity, adoption or additional paternity leave taken.</b>	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	

<b>Other caring responsibilities (including caring for an elderly or disabled relative)</b>	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
<b>Gender reassignment</b>	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
<b>Other exceptional and relevant reasons, not including teaching or administrative work</b>	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	

### Section three:

**Please select as appropriate:**

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

<b>Email</b>	
<b>Telephone</b>	
<b>Preferred method of communication</b>	

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

Please select as appropriate:

☐ I confirm that the information provided is a true and accurate description of my circumstances.

☐ I recognise that the information provided will be used for REF purposes and will be seen by the Individual Staff Circumstances Disclosure (ISCD) Panel and where applicable sent to the UK funding bodies' REF team.

☐ I give my permission to share information with the UK funding bodies' REF team, who may make the information available to REF panel chairs, members and secretaries and/or the REF Equality and Diversity Advisory Panel. The final decision on the reduction of outputs will be made by the REF Equality and Diversity Advisory Panel. Where permission is not provided Bath Spa University will be limited in the action it can take.

☐ I give my explicit written consent that the University may use this personal data. My consent is conditional on Bath Spa University complying with its obligations and duties under the Data Protection Act 1988.

Signature: ..... Date: .....

(Staff member)

## **Appendix P (3)**

### **Memorandum inviting staff to complete an ISCD form**



#### **Memorandum**

**To:** All members of staff eligible for return in REF2014

**From:** Professor Neil Sammells, Deputy Vice-Chancellor Provost

**Subject:** REF 2014, consideration of individual staff circumstances

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Bath Spa University is committed to ensuring that decisions about selecting staff for the Research Excellence Framework (REF2014) are made in a fair, transparent and consistent manner. Information on how eligible staff will be selected for submission to the REF2014 can be found in the Bath Spa University's Code of Practice which can be found at [www.bathspa.ac.uk/ref](http://www.bathspa.ac.uk/ref).

In determining whether eligible staff may be submitted to the REF2014 with fewer than four research outputs, the Individual Staff Circumstances Disclosure (ICSD) Panel will take the following circumstances into consideration:

- Early career researcher (started career as an independent researcher on or after 1 August 2009)
- Part time employment
- Career break or secondment outside of the higher education sector in which the individual did not undertake academic research
- Maternity leave, statutory adoption leave, and additional paternity leave (taken by partners of new mothers or co-adopters)
- 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 relating to the protected characteristics listed at paragraph 190 of REF 02.2011 'Assessment framework and guidance on submissions'

If your research output has been affected by other circumstances (not including teaching and administration) that are not listed above, please detail them on the Liquid Office form as they may be considered.

In determining the number of outputs staff are required to submit, the institution will observe the definitions of individual staff circumstances provided in the published REF 'Panel criteria and working methods' (January 2012) available at [www.ref.ac.uk](http://www.ref.ac.uk) under 'Publications' and with reference to examples of complex staff circumstances available through ECU. All members of the ISCD Panel will receive specific training in relation to REF2014 equality issues.

### **What action do I need to take?**

If you are eligible for REF2014 submission you may complete an individual staff circumstance disclosure form through Liquid Office or you may contact the HR REF2014 Representatives for a confidential discussion of your circumstances.

If further information is required about any staff individual circumstances disclosed, you will be contacted confidentially by the HR REF2014 Representatives.

Please complete the form as fully as possible so that the ISCD Panel can make a considered judgement. Please note that it is important to understand the declarations on the Individual Staff Circumstances Disclosure Form.

### **Who will see the information that I provide?**

To ensure that REF2014 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.

Within the University, the information that you provide will be seen by the Individual Staff Circumstances Disclosure (ISCD) Panel.

Members of ICSD handling individual staff circumstances will observe confidentiality and information will be stored securely. Individual personal data submitted for the purposes of determining individual staff circumstances will be retained securely and separately by Human Resources. All personal data will be destroyed once the outcomes of the REF2014 have been published by HEFCE.

If you disclose information that the University was previously unaware of and you would like further support please contact the HR REF2014 Representatives

Information provided on the form may be shared externally within the University's REF2014 submission to HEFCE for the purposes of evidencing any reduction in the number of research outputs, as set out below:

- For **circumstances with a clearly defined reduction in outputs**, information will be seen by the relevant REF2014 sub-panel, the REF2014 panel secretariat and the UK funding bodies' REF2014 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 REF2014 Equality and Diversity Advisory Panel (EDAP), the REF2014 Main Panel Chairs and the UK funding bodies' REF team. This will be information to explain the impact on your research of circumstances such as disability, ill health, injury, mental health conditions, gender reassignment, caring responsibilities or constraints relating to pregnancy, maternity, breastfeeding, adoption and paternity (in addition to the period of leave taken).

This information will **not** be seen by the REF2014 sub-panel and will be sent confidentially by the University as stated in paragraphs 96-100 of "Assessment framework and guidance on submissions".

All REF2014 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 REF2014 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 [www.hefce.ac.uk/research/ref/pubs/2011/02\\_11/](http://www.hefce.ac.uk/research/ref/pubs/2011/02_11/), requires all higher education institutions participating in the REF to ensure appropriate confidentiality in handling individual staff circumstances.

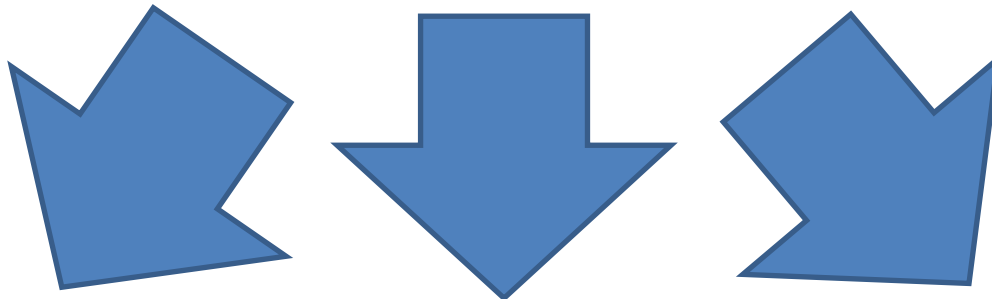
### **What if my circumstances change?**

The University recognises that staff circumstances may change. If your circumstances change please submit a form using Liquid Office.

## **Appendix P (4)**

### **REF2014: Individual Staff Circumstances Disclosure Process**

**ISCD Form received by HR**



#### **Single and Combined Clearly Defined Staff Circumstances**

HR to share Clearly Defined ISCDs with Research Office representative on ISCD Panel. Research Office representative on ISCD Panel to consider Clearly Defined ISCDs (as per HEFCE tariffs) and prepare recommendation for ISCD Panel. ISCD to consider and make a decision.

#### **Complex Staff Circumstances Only**

HR to share Complex ISCDs with ISCD Panel. ISCD to consider and make a judgement.

#### **Combination of Clearly Defined and Complex Staff Circumstances**

HR to share Clearly Defined ISCDs (as per HEFCE tariffs) with Research Office representative on ISCD Panel. Research Office representative on ISCD Panel to consider Clearly Defined ISCDs and prepare recommendation for ISCD Panel. HR to share Complex ISCD with ISCD Panel. ISCD to consider both sets of circumstances and make a judgement.



## **Process Consideration of Individual Staff Circumstance Disclosures**

### **Prior to the Meeting**

On receipt of ISCD HR will send all Clearly Defined ISCD to the Research Office representative who will ensure that the recommendations are back with HR in time to send to ISCD Panel with other papers.

Five days before ISCD Panel meets Panel members receive a pack of papers containing clearly defined ISCD recommendations and details of complex staff circumstances.

ISCD Panel members prepare a view on the ISCDs to be considered.

### **At the meeting**

ISCD Panel will discuss each ISCD and make a judgement.

ISCD Panel to complete record of decision on each ISCD at the time of the meeting which the chair will sign.

HR to collect all papers.

### **After the meeting**

HR to send letters to members of staff with signed record of decision.

HR to inform relevant Dean of School of staff with reduced outputs.

HR to ensure that all papers are securely stored in accordance with Data Protection.

HR to contact any member of staff who has given permission for their data to be used for other purposes.

## **Appendix Q (1)**

### **REF2014: Appeals Process**

#### **Grounds for Appeal**

The appeals process documented here relates to a discrete procedure pertaining solely to the selection of individual staff for inclusion in REF2014.

#### **Process of Appeal**

##### **Intrinsic quality or excellence of an individual's contribution**

If, after further discussion and consultation, the decision from the Dean of School on the original recommendation stands, anyone dissatisfied on the grounds of decisions made solely on the basis of the intrinsic quality or excellence of an individual's contribution to a submission may lodge an appeal in writing to the Deputy Vice-Chancellor Operations. A member of the University's Senior Management Team independent of the staff selection process for REF2014 will consider appeals, drawing on the advice of the Vice-Provost (Research and Graduate Affairs) and external advisor(s) if appropriate.

Any such appeals should be lodged within 10 working days of receipt of a letter stating the decision to exclude the member of staff concerned from REF2014.

The appellant and his/her Dean of School will be notified by within 10 working days of receipt of the appeal letter on the outcome of his/her appeal.

There will be no further right of appeal under this REF 2014 Appeals Process against the decision taken by the DVC Operations.

##### **Individual Staff Circumstances**

Anyone who is dissatisfied on the decision made by the Individual Staff Circumstances Disclosure Panel (ISCD) in relation to a reduction in outputs, may lodge an appeal in writing to the Director of HR setting out the case for dissatisfaction. The Vice-Chancellor and Director of HR will consider this appeal. All discussions will remain confidential and take into account data protection issues.

Appeals should be made in writing to Director of HR within 10 working days of the date of the letter advising of the decision of the ISCD Panel.

The appellant will be notified within 10 working days of the receipt of the appeal letter on the outcome of his/her appeal.

There will be no further right of appeal under this REF 2014 Appeals Process against the decision taken by the Vice-Chancellor.

## REF2014 Appeals Process Summary

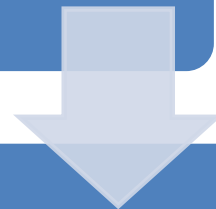
Appeal on grounds of  
intrinsic quality or  
excellence of an individual's  
contribution



Appeal to Deputy Vice-  
Chancellor Operations

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Appeal against decision  
made by ICSD in relation to  
reduction in outputs



Appeal to Director of HR

## **Appendix Q (2)**

### **REF2014: Template Letter to Staff advising of the outcomes of Selection**

#### **Private and Confidential**

Dear XXXXXXXXXXXX

On 29 November 2013 the University will make a submission to the 2014 Research Excellence Framework. Our submission will emphasise the quality and coherence of our best research to maximise the financial and reputational outcomes of the exercise for the University as a whole. Not all eligible staff will be included. This is consistent with HEFCE guidance that the REF 2014 will reward selectivity, and with the commitment to research excellence which underpins our Vision for 2015.

Full details of our approach to REF 2014 and the procedure for selecting staff for submission may be accessed on the University's website at:

<http://www2.bathspa.ac.uk/schools/graduate-school/research/ref-2014/>

After a careful review and consideration of your research activity over the assessment period, in the context of School and University strategies for REF 2014, the University has accepted my recommendation that:

*Either*

**2A** *Your research should be included in the University's submission to REF 2014 in UoA XXX.*

*Or*

**2B** *Your research should not be included in the University's submission to REF 2014.*

*Or*

**2C** *Your research should not be included in the University's submission to REF 2014, unless [insert specific conditions].*

For those who have not been selected for inclusion I realise this decision may come as a disappointment to you. However, I would like to emphasise that non-inclusion in REF2014 will not, in itself, affect either the time designated to you for research or the allocation of other duties. These will continue to be discussed at your Staff Development Review in the normal way. Academic staff whose work is not included in REF2014 remain free to develop their research careers by applying for support for research related activities and funding both from sources external to the University and from University funds. Such applications will be judged on their merits.

If there is information about your individual circumstances which you believe to be relevant to this decision and which has not yet been considered, please refer to Appendix P of the Code of Practice for selecting staff for submission. If you believe there to have been a failure of due process, details of our appeals process are provided in Appendix Q of the Code of Practice. Any appeal should be submitted within 10 working days of the date of this letter. Please note there is no right of appeal on a decision based on compatibility with School or University Research Strategies.

Where the University has decided that an individual's research should not be included in the REF 2014 submission unless specific conditions are met, new information relating to those conditions should be brought to the attention of your School REF Champion as it becomes available and no later than 31 August 2013. The information will be formally reviewed as part of a wider exercise (a second 'dry run') scheduled for September 2013. Where specified conditions have been met in full, I will recommend to the University that the research of the colleagues in question should be included in the final submission. New information received after the second dry run will be considered on a case by case basis.

Work will now progress to refine submissions. Staff whose work has been selected for inclusion will be invited to work with Subject Selection Groups to ensure that all material is presented to best advantage. Details of ongoing REF preparations will be published on the University's REF 2014 web pages at:  
<http://www2.bathspa.ac.uk/schools/graduate-school/research/ref-2014/>.

Yours sincerely

Dean of School

## Appendix

Similar to the 2008 Research Assessment Exercise, REF2014 is essentially a strategic Institutional bid packaged into submissions to the Units of Assessment (UoA). As such it is less a focus on individuals e.g. the research expenditure is not linked to names, rather it is an assessment of the overall activity submitted to the UoA.

Each UoA Panel assesses submissions in the round, making judgements on the three elements of research outputs, impact and environment. The elements have different % weightings (outputs 65%, impact 20% and environment 15%) and each is graded over a 4\* -1\* range. The final assessment is reported as a quality profile for the submission as a whole. Although we don't know the funding formula for REF2014, past experience tells us that the better the quality of the research and the submission, the greater the reward. For example, for the outcomes of RAE2008, HEFCE announced as a consequence of the comprehensive spending review in 2010 that for 2011/12 that any submission graded at 2\* or less would no longer receive QR funding

What this means is that each submission, all of which are complex in their construction, will be very different from each other. The strategic underpinning of our approach will reflect the varying demands of each UoA, will support the maximisation of each case and will be written with due regard to the highly competitive nature of the REF. As part of this process, the overall research activity of each member of the academic staff eligible for submission, has been assessed using the following criteria;

- Whether the individual had the number of research outputs during the REF2014 period as required under the HEFCE Assessment Framework and Guidance on Submissions (usually 4 research outputs are required, although there are exceptions to this rule)
- The quality of research outputs eligible for submission
- The contribution of the individual to the research environment sections of the relevant submission (e.g. supervision of research students, income, collaboration and contribution to the discipline)

As explained above our approach to REF2014 is strategic in nature, and for that reason consideration was also given to:

- The specific guidelines and rules associated with each HEFCE Unit of Assessment Panel, which vary considerably between each other.
- The cohesiveness and balance of each of our UoA submissions, which need to be compatible with the School and University research strategies.

Final decisions on staff selection were informed by consideration of draft submissions in the REF2014 dry run, which took place between December 2012 and March 2013. Full details of the Dry Run are included in Appendix T of the Code of Practice.

**REF2014: Template Letter to Staff advising of the outcomes of Selection where the member of staff concerned did not submit outputs for consideration for REF2014**

**Private and Confidential**

Dear XXXXXXXXXXXX

On 29 November 2013 the University will make a submission to the 2014 Research Excellence Framework. Our submission will emphasise the quality and coherence of our best research to maximise the financial and reputational outcomes of the exercise for the University as a whole. Not all eligible staff will be included. This is consistent with HEFCE guidance that the REF 2014 will reward selectivity, and with the commitment to research excellence which underpins our Vision for 2015.

Full details of our approach to REF 2014 and the procedure for selecting staff for submission may be accessed on the Hub at:

<http://www2.bathspa.ac.uk/schools/graduate-school/research/ref-2014/>

I understand that you did not submit any outputs for consideration in the REF 2014 dry run. On this basis, the University has accepted my recommendation your research should not be included in the University's submission to REF 2014.

I would like to emphasise that non-inclusion in REF2014 will not, in itself, affect either the time designated to you for research or the allocation of other duties. These will continue to be discussed at your Staff Development Review in the normal way. Academic staff whose work is not included in REF2014 remain free to develop their research careers by applying for support for research related activities and funding both from sources external to the University and from University funds. Such applications will be judged on their merits.

If there is information about your individual circumstances which you believe to be relevant to this decision and which has not yet been considered, please refer to Appendix P of the Code of Practice for selecting staff for submission. If you believe there to have been a failure of due process, details of our appeals process are provided in Appendix Q of the Code of Practice. Any appeal should be submitted within 10 working days of the date of this letter. Please note there is no right of appeal on a decision based on compatibility with School or University Research Strategies.

Yours sincerely

Dean of School

## **Appendix Q (3)**

### **REF2014: Template Letter to Staff related to disclosure of individual staff circumstances not resulting in a reduction in outputs**

#### **Private and Confidential**

Dear

As part of the procedure for the selection of staff for REF2014, the University has put in place a policy for the disclosure and consideration of individual staff circumstances. As part of this process, all staff were invited to submit details of individual staff circumstances for review. I am writing to inform you of the decision of the ISCD panel in relation to the details that you provided.

Following a careful review and consideration of your circumstances, the panel does not feel that you meet the criteria outlined in the HEFCE 'Assessment framework and guidance on submissions' and the REF2014 'Panel criteria and working methods' for submitting fewer than four research outputs. Formal documentation recording this decision is being held confidentially in the Human Resources Department, and individual feedback can be provided to you through the HR representative on the ISCD panel and a record of the decision is attached.

The results of your application for inclusion in REF2014 will be sent to you separately by your Dean of School.

I realise this decision may come as a disappointment to you. If you wish to appeal against this decision, or wish to provide additional information that has not yet been taken into account, please provide a written submission to Director of HR as set out in the formal appeal process described in Appendix Q of the Code of Practice within 10 working days of the date of this letter.

Yours sincerely

Professor Paul Davies  
Chair of Individual Staff Circumstances Disclosure Panel

Attached: Record of ISCD Panel Decision



## **Appendix Q (4)**

### **REF2014: Template Letter to Staff related to disclosure of individual staff circumstances resulting in a reduction in outputs**

#### **Private and Confidential**

Dear

As part of the procedure for the selection of staff for REF2014, the University has put in place a policy for the disclosure and consideration of individual staff circumstances. As part of this process, all staff were invited to submit details of individual staff circumstances for review. I am writing to inform you of the decision of the ISCD panel in relation to the details that you provided.

Following a careful review and consideration of your circumstances, the panel does feel that you meet the criteria outlined in the HEFCE 'Assessment framework and guidance on submissions' and the REF2014 'Panel criteria and working methods' for submitting fewer than four research outputs. The ISCD Panel is recommending that your submission be reduced by .... outputs. Formal documentation recording this decision is being held confidentially in the Human Resources Department and a record of the ISCD Panel's decision is attached.

The results of your application for inclusion in REF2014 will be sent to you separately by your Dean of School.

If you wish to appeal against this decision, or wish to provide additional information that has not yet been taken into account, please provide a written submission to Director of HR as set out in the formal appeal process described in Appendix Q of the Code of Practice within 10 working days of the date of this letter.

Yours sincerely

Professor Paul Davies  
Chair of Individual Staff Circumstances Disclosure Panel

Attached: Record of ISCD Panel Decision

## **Appendix Q (5)**

### **REF2014: Template Letter to Staff requesting further information**

#### **Private and Confidential**

Dear

As part of the procedure for the selection of staff for REF2014, the University has put in place a policy for the disclosure and consideration of individual staff circumstances. As part of this process, all staff were invited to submit details of individual staff circumstances for review. I am writing to inform you of the decision of the ISCD panel in relation to the details that you provided.

Following a careful review the Panel feels it needs more information so that it can determine whether or not you meet the criteria as outlined in HEFCE 'Assessment framework and guidance on submissions' and the REF2014 'Panel criteria and working methods' for submitting fewer than four outputs. Please see attached a record of the ISCD Panel's decision for guidance on the information we require.

Please forward the information to (name), REF2014 HR Representative, by (date) so that the ISCD Panel can consider this at its next meeting.

Yours sincerely

Professor Paul Davies  
Chair of Individual Staff Circumstances Disclosure Panel

Attached: Record of ISCD Panel Decision

## **Appendix Q (6)**

### **REF2014: Record of ISCD Panel Decision**

Following consideration of the personal circumstances described above, the ISCD Panel.

- ☐ Will progress the staff member's inclusion in the REF2014 submission with [insert number] of research outputs. . Rationale for the proposed number of outputs:

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

- ☐ Requires further information of the circumstances described as follows:

*e.g. please provide information from your occupational health assessment on the effectiveness of reasonable adjustments provided.*

- ☐ Does not feel that the staff member meets the criteria outlined within the REF 'Panel criteria and working methods' for submitting fewer than four research outputs. The reason(s) for this decision are:

*e.g. circumstances detailed are not recognised within the assessment framework and guidance on submissions.*

Signature: ..... Date: .....

Professor Paul Davies, Chair of ISCD Panel

## **Appendix R**

### **REF2014: Bath Spa University's Grievance Policy**

#### **Purpose and scope**

1. This procedure is to help and encourage all employees to have the opportunity to proactively resolve an action, practice, or behaviour by another employee, employees, or the University, which they believe affects them and their employment at the University. The aim is to ensure consistent and fair treatment for all, without prejudice to an employee's employment and without unreasonable delay. This procedure applies to all employees regardless of length of service.

#### **Principles**

1. The intention of this policy is to provide a systematic process from which an employee can see how a grievance would be handled, if required. Ideally, any potential areas of concern for an employee can be dealt more quickly and effectively for all parties, informally with the line manager and/or relevant party. If a grievance cannot be resolved informally, an employee may wish to use the formal procedure.
2. When discussing the problem all parties should ensure that they remain respectful of each other, using factual information and examples where possible, to help ensure the process remains constructive. Human Resources are able to assist and/or coach people with difficult conversations if requested; alternatively help is available through the Human Resources Learning and Development resources or alternatively staff can contact our Employee Assistance Provider, Lifeworks via <https://www.lifeworks.com/login/index.asp>. For password and user ID details please contact the HR Department.
3. If the complaint or grievance relates to the employee's line manager, they should raise the grievance at the next level of management or with the Human Resources Department.
4. This grievance procedure should not be used to complain about dismissal or disciplinary action. If an employee is dissatisfied with any disciplinary action, they should submit an appeal under the disciplinary procedure.
5. If an employee has difficulty at any stage of the grievance procedure because of a disability, or because English is not their first language, they should discuss the situation with Human Resources as soon as possible.
6. Written grievances will be placed on an employee's personnel file along with a record of any decisions taken and any notes or other documents compiled during the grievance process.
7. During the operation of the Grievance procedure the status quo will remain (i.e. the procedures, policies, working practices and management arrangements which applied immediately prior to the formal use of the grievance procedure) until the University's procedure is exhausted.

8. This policy and procedure may be subject to alteration to reflect future changes in legislation or by Trade Union negotiation.

## **Bullying and Harassment**

1. If the grievance is linked to a bullying and harassment complaint, initially an employee may wish to refer to the Harassment Policy in conjunction with the Grievance Policy.

## **Disclosure Policy**

1. Please note that the University operates a separate Disclosure Policy to enable employees to report illegal activities, wrongdoing or malpractice within the organisation. However, where the employee is directly affected by the matter in question, or where the employee feels they have been victimised for an act of “whistleblowing”, they may raise the matter under this grievance procedure.

## **Collective Grievances**

1. The purpose of this section of the grievance policy is to clarify the procedure by which a trade union representative or other appropriate employee representative may raise a grievance on behalf of a group of employees, whilst encouraging employees to use informal discussions to resolve problems in the first instance.
2. If more than two employees have identical grievances and wish them to be addressed in the same grievance process, a request to the Director of Human Resources can be made to consider a collective grievance within the same procedure. The Director of Human Resources may, on behalf of the University, in its absolute discretion hear grievances collectively within the same process.
3. Subject to the agreement by the Director of Human Resources to hear the grievance as a collective grievance, Employees wishing to pursue a collective grievance should nominate individuals to represent their interests throughout the process. These individuals will be referred to as ‘nominated representatives’ and may or may not be Trade Union representatives. Nominated individuals will be responsible for representing the interests of all employees in the collective grievance, including presenting the case at any meetings.
4. The procedural framework for collective grievances will reflect those for individual grievances. In this way if any individual grievance becomes a collective grievance it will not be necessary to revert to the beginning of the grievance procedure.
5. For the avoidance of doubt, issues that are the subject of BSU collective negotiation or consultation with the recognised Trade Union will not be considered under the grievance procedure.
6. If employees raise a collective grievance while they are all subject to the same or substantially similar disciplinary proceedings, the University may, if appropriate and depending on the nature of the grievance(s) raised, temporarily suspend the disciplinary proceedings pending the outcome of the

collective grievance. The University may also follow both the disciplinary and grievance processes concurrently.

## **Procedure**

### **Dealing with grievances informally:**

1. Wherever possible, if an employee has a grievance or complaint to do with their employment, or the colleague(s) they work with, they should start by talking it over with their line manager, or appropriate University representative. Through raising the matter informally, a resolution is more likely to be addressed quickly and effectively.
2. If the grievance or complaint is related to another employee, the line manager may be able to assist in how this might be resolved, providing an independent third perspective.
3. The line manager should deal with these cases sensitively and should generally start by talking privately to the individual about the concerns of fellow employee(s). This may resolve the grievance. Attention needs to be taken that any discussion with someone being complained about does not turn into a meeting at which they would be entitled to be accompanied. Alternatively, and if appropriate the line manager might suggest mediation which may help resolve the issue.
4. The definition of line manager, for the purposes of this procedure is the person with whom the employee has their appraisal/Staff Development Review. However, the grievance may be dealt with by a more senior manager, if appropriate.
5. If the grievance is not resolved at an informal level, the employee may wish to progress to the formal stages of the procedure, by stating their grievance in writing to their line manager. Where the grievance is against the line manager and the employee feels unable to approach them, they should talk to another manager, preferably their next line manager, or alternatively a member of Human Resources. If the grievance is sent to Human Resources they will acknowledge receipt of the grievance and appoint a suitable manager to hear the grievance.

### **Cases where mediation may help**

1. An independent third party, or mediator, can sometimes help resolve grievance issues. Mediation is a voluntary process where the mediator helps two or more people in dispute to attempt to reach an agreement. Any agreement comes from those in dispute, not from the mediator. The mediator is not there to judge, to say one person is right and the other wrong, or to tell those involved in the mediation what they should do. The mediator is in charge of the process of seeking to resolve the problem but not the outcome.
2. Mediators may be employees trained in mediation, who act as internal mediators in addition to their day jobs. Or they may be from an external mediation provider. They can work individually, or in pairs as co-mediators. There are no hard-and-fast rules for when mediation is appropriate but below are examples of when it could be used:

- a. for conflict involving colleagues of a similar job or grade, or between a line manager and their staff
- b. at any stage in the conflict, to build relationships after a formal dispute has been resolved
- c. to address a range of issues, including relationship breakdown, personality clashes, communication problems, bullying and harassment

### **Cases unsuitable for mediation**

1. Examples of when mediation may not be suitable include:
  - a. used as a first resort - because people should be encouraged to speak to each other and talk to their line manager before they seek a solution via mediation
  - b. it is used by a manager to avoid their managerial responsibilities
  - c. a decision about right or wrong is needed, for example where there is possible criminal activity
  - d. the individual bringing a discrimination or harassment case wants it investigated
  - e. the parties do not have the power to settle the issue
  - f. one side is completely intransigent and using mediation will only raise unrealistic expectations of a positive outcome

### **Formal Grievance**

1. If the matter is serious and/or the employee wishes to raise the matter formally they should set out the grievance in writing to their line manager, indicating that it is a formal grievance. The written grievance should contain a brief description of the nature of the complaint, including any relevant facts, dates, and names of individuals involved. In some situations the line manager may need to ask the employee to provide further information.
2. In some cases it may be necessary for the University to carry out an investigation into the grievance. The amount of any investigation required will depend on the nature of the allegations and will vary from case to case. It may involve interviewing and taking statements from the employee and any witnesses, and/or reviewing relevant documents.
3. The employee must co-operate fully and promptly in any investigation. This may include informing the University of the names of any relevant witnesses, disclosing any relevant documents to the University and attending investigative interviews if required.
4. At each stage of the grievance process the employee will be invited by the Chair to discuss the issue, normally within 5 working days. If it is not possible to respond within this time period, the employee will be given an explanation for the delay and told when a response can be expected. If the employee wishes to bring a representative or provide additional evidence at the meeting the employee should submit this to Human Resources as soon as reasonably practicable, before the meeting. The employee and their companion, if applicable, should make every effort to attend grievance meetings. If the employee or their companion cannot attend at the time specified, the

employee should inform Human Resources immediately and the University will try, within reason, to agree an alternative time.

5. During any of the formal meetings, the Chair hearing the grievance will detail the status of the meeting and the employee will have an opportunity to present their case. If previously agreed, witnesses may be called to provide evidence. Where more than one employee is involved, the manager will hear both parties, will have the opportunity to ask questions, and investigate further, if required. Both sides will have the opportunity to sum up their position. The person raising the grievance will be the last to summarise their perspective before the manager makes their decision.
6. A record will be kept of the grievance hearing and a copy will be given to the employee upon request.
7. If at any stage, the grievance remains unresolved it can be reviewed by the Director of Human Resources, the Vice-Chancellor and the Trade Union to determine whether the matter can usefully continue within the grievance procedure or whether more appropriate action can be recommended.
8. At Human Resources' discretion, where a grievance procedure instigated, may be linked to a disciplinary or other procedure, the two procedures may be more effectively resolved through their merger. In these circumstances, the decision would be heard by a panel, the employee's rights will not be affected and this will be confirmed to the relevant parties prior to the meeting taking place. Human Resources must be satisfied that combining the two processes would not cause bias or prejudice to the individual.
9. If a grievance is raised by an ex-employee, the University may at its discretion choose to investigate and respond to the employee.

### **Grievance Meeting (first stage)**

1. The purpose of a grievance meeting is to enable the employee to explain their grievance, how the employee thinks it should be resolved, and to assist the University to reach a decision based on the available evidence and the representations the employee has made.
2. After an initial grievance meeting the University, at its discretion, may carry out further investigations and hold further grievance meetings under this stage as it considers appropriate until a decision can be made. Such meetings will be arranged without unreasonable delay.
3. After the meeting the relevant manager will give a decision in writing, normally within 5 working days. If it is not possible to respond within this time period, the employee will be given an explanation for the delay and told when a response can be expected.

### **First Appeal (second stage)**

1. If the employee is unhappy with the decision, they may appeal by writing to Human Resources, stating their full grounds of appeal. This must be within 5 working days of receiving the first stage decision. The appeal meeting would be chaired by a senior line manager, or alternatively, if appropriate a line manager of equivalent hierarchy, from a different School/Department. After the meeting the manager will give a decision in writing as soon as reasonably practicable.



### **Final Appeal (third stage)**

1. If the employee is still unhappy with the decision, they may make a final appeal by writing to Human Resources, stating their full grounds of appeal. This must be within 5 working days on receiving the second stage appeal decision. The appeal meeting, is Chaired by the Vice-Chancellor and this is the final right of appeal through the University. After the meeting the Vice-Chancellor will give a decision in writing, normally within 5 days. If it is not possible to respond within this time period, the employee will be given an explanation for the delay and told when a response can be expected.
2. If however, the Vice-Chancellor considers that the grievance raised affects University Policy, a grievance hearing must be held by a subcommittee of the Board of Governors, which will be arranged by the Clerk to the Board of Governors. The Board of Governors decision, in this circumstance is the final right of appeal through the University.
3. If any grievance is brought against the Vice-Chancellor and/or Senior Post Holders (appointees of the Board of Governors), a panel of the Board of Governors will hear the grievance.

Last Updated: October 2010

## **Appendix S**

### **REF2014: Equality and Diversity Training Programme**

All staff involved in the REF2014 process will receive appropriate Equality and Diversity Training.

#### **General Equality and Diversity Training**

All staff involved in the decision making process will be required to undertake the University's e-learning training package which is Marshall ACM's Equality and Diversity in the Workplace. <http://www.marshallacm.co.uk/>

#### **Specific Equality and Diversity Training**

All staff involved in the providing advice and support and staff involved in making decisions on Individual Staff Circumstances will be required to undertake the University's REF2014 specific training. In addition UCU will be offered the opportunity to participate in this training. This training will be based on ECU Research Excellence Framework and Equality, Equality and Diversity training materials: handbook for trainers. This training has been adapted to Bath Spa University and the trainers have attended the Train the Trainer events provided by ECU.

## **Appendix T**

### **REF Dry Run Arrangements**

#### **1. Introduction**

As specified in the REF2014 Code of Practice for selecting staff, in early 2013, REF2014 Subject Selection Groups will work up submissions and make recommendations to Deans on the UoAs and Staff to be included in the University's REF 2014 submission. The recommendations will be approved by the Deputy Vice-Chancellor – Provost, and all staff will be informed of the outcomes.

On 27 November 2012, the REF Steering Group agreed that a REF2014 dry run would be conducted between December 2012 and March 2013 to provide a framework for decision making. The purpose of the dry run would be to bring together evidence of research quality and impact to inform the selection of UoAs and staff for submission to REF 2014.

This guidance is for Deans and the Chairs of Subject Selection Groups and should be disseminated to all eligible staff for information.

#### **2. Arrangements for the dry run**

The dry run will be conducted for the following Units of Assessment:

- UoA 25: Education
- UoA 29: English Language and Literature
- UoA 30: History
- UoA 34: Art and Design: History, Practice and Theory
- UoA 35: Music, Drama, Dance and Performing Arts
- UoA 36: Communication, Culture and Media Studies, Library and Information Management

The draft submission for UoA 36 will include a “culture and identity” group of researchers (or similar) from across SEE and HCI. The Deans of SEE and HCI are asked to broaden the membership of the former Film and Media Subject Selection Group to reflect this changed focus.

Subject selection groups will actively explore options for including strong research from other disciplines in their draft submissions. Chairs of subject selection groups in areas where we do not now anticipate making a submission should provide details of high-quality research to the subject selection groups preparing the submissions and

work closely with them as “subject selection associates” to integrate the material into submissions where possible.

Detailed consideration of draft submissions will take place in a series of review meetings involving individuals identified in the code of practice as playing a key role in the staff selection process. Panels may also include subject selection associates, providing input in respect of staff being considered for inclusion from other Departments or disciplines.

Meetings will involve the following individuals:

- Deputy Vice-Chancellor – Provost
- Dean of School
- Chair of Subject Selection Group
- Subject Selection Associate(s)
- Vice Provost – Research and Graduate Affairs
- Head of Strategy
- Research Support Officer and/or Research Administrator

The Research and Graduate Affairs Office will contact those involved to canvass availability for meetings in late February.

### **3. Information to be submitted to the dry run**

Chairs of the six Subject Selection Groups are invited to provide the following information to the Research and Graduate Affairs office no later than Friday 15<sup>th</sup> February 2013:

- Full list of eligible staff (Category A & C) and indicative recommendations for staff selection
- Top four research outputs for each individual (or fewer if individual staff circumstances apply), with an indication of the output quality and the method by which this has been determined (e.g. internal peer review, advice of external assessor, etc.)
- Impact template and impact case studies , including strong alternative case studies if available (REF3a & 3b)
- Draft environment statement (REF5) with alternative versions reflecting possible configurations of the submission.
- Environment data (REF4a/b/c) to be provided by Research & Graduate Affairs Office

In compiling draft submissions, Subject Selection Groups should refer to the guidance on submissions and the detailed guidance relating to the presentation of

impact templates and case studies. This is available on the REF 2014 website at: [www.ref.ac.uk/publications](http://www.ref.ac.uk/publications).

#### 4. Outcomes of the dry run

The dry run will provide the context for selecting staff for submission to REF 2014. All decisions about the UoAs and Staff to be submitted will be taken by the Deans and confirmed by the Deputy Vice-Chancellor - Provost, as specified in the Code of Practice.

Following the dry run, work to finalise submissions will continue as set out in the Code of Practice. Additional procedural guidelines will be produced to support the schools in preparing material for submission. This information and any changes to the REF timetable will be publicised via the REF2014 pages of the University website.

#### 5. Timetable

December 2012	Individual Staff Circumstances Disclosure panel considers material submitted by staff.
December 2012- Feb 2013	Preparation of draft submissions by Schools
February 15 <b>*internal deadline*</b>	Deadline for providing draft submissions to the Research and Graduate Affairs Office
Late February	“Dry run” review meetings to consider draft submissions and
March	Further work on staff selection, informed by outcomes of the ISCD Panel
25 March <b>*Decision*</b>	Final selection of Category A staff made by the Deans and confirmed by DVC Provost.
End March	All staff informed of the outcome of selection, following the procedure set out in the Code of Practice.
April - July	Deans of Schools to work up submissions and case studies, supported by the Impact working group and REF Team.
July 2013	RCSC to consider draft submissions and provide detailed feedback.
August - October	Deans of Schools to work up submissions and case studies, supported by the Impact working group and REF Team.
Oct/Nov 2013 <b>*Decision*</b>	REF steering group to approve final submissions to REF2014.

By 31 October 2013	Staff census date. Staff selection appeals process and grievances to be concluded.
29 November 2013 <b>*HEFCE deadline*</b>	Deadline for submission to HEFCE.