



Equalities Code of Practice for the Selection of Staff for Submission to REF 2014

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Equalities Code of Practice for the Selection of Staff for Submission to REF 2014

A. Introduction

1. This Code of Practice applies to all those involved in the preparation and submission of St George's REF 2014 return. It provides a framework within which recommendations and decisions on selection and submission will be made, as well as promoting equality and compliance with legislation.
2. The strategic aim for St George's is to attain the best possible outcome in REF 2014. The intention, for every unit of assessment (UoA) for which a return is prepared, is to submit those members of staff who are judged to be conducting internationally excellent research. As an equal opportunities employer, St George's seeks to create an environment in which staff are treated solely on the basis of their merits, abilities and potential, regardless of gender, race, colour, nationality, ethnic or national origin, age, socio-economic background, disability, religious or political beliefs, trade union membership, family circumstance, sexual orientation or on any other basis not relevant to good employment practice (see relevant equalities legislation as outlined in Appendix 2). This strategic aim is underpinned by Institutional policies, good practice guides and training programmes which are available to all members of staff.
3. A REF Steering Executive has been formed to guide the process for submission to REF 2014. The REF Steering Executive, which is a subset of the Research Strategy Committee, chaired by the Dean of Research & Enterprise, will be responsible for all decisions made regarding selection of staff leading up to final submission (see Appendix 4).
4. The Institution has taken steps to ensure that the Code of Practice has been widely considered and disseminated. It has been developed in accordance with the Equality Act 2010 and relevant employment legislation. The Code of Practice has been considered by the REF Steering Executive, Research Strategy Committee, Equality and Diversity Committee, the Trade Unions, with final consideration and approval by Council (at the meeting on 13th March 2012).

B. Training in the application of this Code of Practice

5. Equality and diversity training in the application of this Code of Practice will be mandatory for staff involved in making recommendations and decisions about whether members of staff will be included or not included in the REF 2014 submission. All those involved in decision making will be formally trained in its application by a discussion of this Code of Practice before any such decisions are made (see Appendix 6). The training will include:
 - A review of the legislative background
 - The provisions of this Code of Practice
 - Issues for individuals relating to non-selection
 - How individual circumstances will be considered and taken into account
6. All staff with REF responsibilities will be provided with a copy of this Code of Practice, and all discussions which concern the inclusion or non-inclusion of St George's staff in the REF 2014 submission must be carried out in accordance with this Code of Practice which sets out policies and procedures that the Institution will follow in selecting staff for submission.

C. Principles

7. The principles outlined below will be followed in all stages of preparing the Institution's submission to REF 2014:

Transparency

- a. All processes concerned with the selection of staff for inclusion in REF 2014 submissions will be transparent. The Code of Practice will be publicised to all academic staff, via email and the intranet, including staff that are off site. The Code of Practice will also be published on the Institution's external website. There will also be a consultation period for the Code of Practice to allow staff to comment and provide feedback. Notes of the meetings of the REF Steering Executive will be available on the staff intranet.

Consistency

- b. The Code of Practice will be implemented uniformly and policy for selection of staff will be consistent across the Units of Assessment submitted to REF 2014. All roles and responsibilities of the individuals and bodies involved in selecting staff for REF submission will be identifiable (see Appendix 4).

Accountability

- c. The Code of Practice clearly defines the responsibilities of individuals and committees involved in selecting staff for submission to REF 2014 (see paragraphs 24-28). The Code of Practice also outlines the training that will be given to staff with decision making responsibilities (see paragraph 5 and Appendix 6). Terms of Reference for the REF Steering Executive can be seen in Appendix 4.

Inclusivity

- d. All staff judged to be conducting internationally excellent research that contributes to the Units of Assessment to be submitted to REF2014 will be included. Staff will be provided with the opportunity for submitting individual circumstances (see Appendix 3). Clearly defined criteria for individual circumstances will be disseminated and a mechanism put in place for consideration of cases.

General

- e. The Code of Practice will enable the identification of eligible individuals at St George's who have produced what is judged to be excellent research that contributes to the Units of Assessment chosen to be returned to REF 2014.
- f. Eligible individuals will be selected for inclusion based on criteria outlined in REF Main and Sub-Panels' published criteria for research quality (http://www.hefce.ac.uk/research/ref/pubs/2012/01_12/), and the quality of their research.
- g. Consideration will be given to any individual circumstances which may apply to an individual. St George's will have the opportunity of confidentially reporting individual staff circumstances that may have significantly affected an individual's research activity or output in REF1b (individual staff circumstances – see Appendix 3). Such circumstances might include but are not restricted to:
- i. matters covered by legislation, including maternity, paternity and adoption leave;

- ii. part-time working;
- iii. engagement on long-term project;
- iv. early career researcher status (defined in general as those who started their careers as individual researchers on or after 1st August 2009);
- v. prolonged absence in the period 1 January 2008 to 31 October 2013 due to secondment, career break, ill-health or injury.

Information submitted in REF1b will be kept confidential to Human Resources, the REF Steering Executive, the REF team at HEFCE and Panel members for **clearly defined circumstances**, and Main Panel Chairs and the Equality and Diversity Advisory Panel, for **complex circumstances**.

- h. This Code of Practice will guide the decision making process in the context of equality of opportunity for selection of staff and submissions.
- i. The exclusion of a member of staff from the St George's REF 2014 submission will not carry implications for the employment of that individual.
- j. St George's reserves the right to include or not include any individual in the REF 2014 submission who is eligible and who meets the criteria for inclusion. This may include individuals not assessed under the mock REF arrangements.

D. Process for Selection of Staff to be returned to REF 2014

Staff will be submitted in accordance with the criteria as set out in the following paragraphs:

- 8. To be eligible for inclusion in REF, staff must be in one of two possible categories, A or C.

Category A staff are defined as academic staff with a contract of employment of 0.2 FTE or greater and on the payroll of St George's 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 an organisation other than St George's, whose contract or job role includes undertaking research, and whose research is primarily focused in the St George's submitting Units of Assessment under consideration on the census date (31 October 2013). See Appendix 1.

- 9. Exceptionally, where research assistants are named as principal investigators on a research grant or significant piece of research work, and satisfy the definition for Category A staff, they may be added to the list of Category A staff (**Paragraph 81, REF 2014 Assessment framework and guidance on submissions**).
- 10. The procedure for agreeing the inclusion of Category A staff and Category C individuals will be:
 - a. Heads of Research Centres and Heads of Divisions will select Category A staff and Category C individuals in accordance with the criteria for inclusion (see paragraphs 12-18) in this document).
 - b. All recommendations for submitting Category A staff and Category C individuals will be passed to the Dean of Research & Enterprise to review with the aim of submitting recommendations to the REF Steering Executive.

- c. Heads of Research Centres or Heads of Divisions will advise individual staff in writing of the recommendation being made about them (included/provisionally included/not included). Staff who are placed in the 'provisionally included' category will have an agreed set of targets that must be met by the census date for their research to be included in the submission.
 - d. The REF Steering Executive will review the recommendations that have been made, and Heads of Research Centres will present the recommendations for their area. The REF Steering Executive will add its own commentary and observations and pass these to the Principal, through the Dean of Research and Enterprise, who will be responsible for the approval of the list of Category A staff and Category C individuals to be submitted in each Unit of Assessment.
 - e. Following final approval, Heads of Research Centres or Heads of Divisions will be responsible for informing staff in writing of the outcome.
 - f. Eligible staff not included in the submission have the right to appeal if they believe the procedure for selection has not been followed correctly.
11. In the event that an individual's circumstances change significantly before 29th November 2013, the appropriate Head of Research Centre will be required to make a further recommendation to the REF Steering Executive.

E. Criteria for inclusion

12. Units of Assessment under consideration for inclusion in St George's REF 2014 submission have been based on identification of the research strengths of the Institution and the development of focused Research Centres within in those areas of strength. Only in the research areas identified within Units of Assessment will research outputs be submitted, as outlined in Appendix 1.
13. The research outputs of eligible researchers must be focused in the Units of Assessment under consideration for submission to REF 2014 submission (see Appendix 1). It is unlikely that the Institution would submit research outside of these areas even if it is judged to be internationally excellent.
14. Final decisions on selection will be made on the basis of providing the best possible outcome for the Units of Assessment submitted to REF 2014, and St George's as a whole. The REF is not an appraisal of individual researchers; rather, it is an evaluation of St George's submitted research portfolio.
15. Category A staff and Category C individuals are eligible for inclusion where they have been judged to be conducting excellent international research in the relevant unit of assessment taking into account the range and weighting of factors that contribute to the overall quality profile. In applying this criterion Heads of Research Centres must take into account the relevant Main Panel and Sub-Panel Criteria and Working methods Statements, including those relating to individual circumstances.
16. Research activity that will qualify individual staff for inclusion is determined by the requirement to have published what are judged, by internal and external assessment, to be four (where appropriate) internationally excellent research outputs during the period 1st January 2008 – 31st December 2013.

17. Any individual eligible to be classed as Category A staff, who does not meet the criteria that will qualify individual staff to be returned within the relevant unit of assessment will not be included in St George's REF 2014 submission.
18. When the Heads of Research Centres first review an individual's research contribution, it may not be clear that he or she satisfies the criteria for inclusion. Such an individual may be '*provisionally included*', and the Head of Research Centre will set conditions that must be met by the census date for the individual to be included.

F. Preparations for submission to REF 2014

19. Preparation exercises have been scheduled ahead of final submission to REF 2014.

Timetable for REF preparations:

Date	Exercise	Assessment
December 2011 - March 2012	Light touch Mock REF	External

No decisions on selection of staff for submission will be made following this exercise.

Late 2012	Full Mock REF	External by UoA
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Decisions on selection of staff to be submitted to REF 2014 will be made during this exercise. An impact assessment on eligible staff who have not been selected for submission will be carried out to allow any equality issues to be identified and investigated by the REF Steering Executive (see Appendix 5, agreed actions for REF2014 Equality Impact Assessment).

Immediately following the full mock REF, eligible staff who will not be included in the REF submission will receive notification in writing from their Head of Division or Head of Research Centre with feedback. For those eligible staff whose inclusion in REF will be conditional upon meeting certain targets, notification will be given in writing, with an outline of the targets that should be met for inclusion in REF 2014 by the census date. Those eligible staff whose research has been judged to be internationally excellent will be notified in writing of their inclusion in the REF submission.

G. Staff Data Collection Notice

20. Members of staff will be advised of the way in which data relating to them as individuals will be processed. A data collection notice with the data protection policy will be published by the REF team in June 2012 and will be disseminated to all eligible staff.

H. Fixed-term and Part-time Staff

21. St George's commitment to equal opportunities includes policies to support the development of staff on fixed-term contracts, including contract research staff. Human Resources provide advice and information in assisting these members of staff to pursue academic careers within the HE sector or externally. The Personal Review processes for all members of staff, whether fixed-term or permanent, part-time or full-time, support St George's commitment to the development of all staff and offer all staff the opportunity for both personal and professional development.

I. Appeals

22. The grounds for appeal against a decision not to include an individual in the REF 2014 submission will only extend to Category A staff and Category C individuals.

The grounds for appeal will be that

- ‘individual staff circumstances’ have not been given appropriate consideration;
- the procedure outlined in this Code of Practice was applied incorrectly.

23. The process for appeal will be:

An individual who feels that he or she has been excluded from the submission to REF 2014 on grounds set out in paragraph 22 above can write to the appropriate Head of Division setting out the grounds for appeal. This letter must be received by the appropriate Head of Division no later than 20 September 2013.

Informal stage

- a. The Head of Division shall meet with the appellant to discuss his or her appeal, and if possible shall, through discussion, come to an agreement over the appeal. These meetings must take place by no later than 27 September 2013.

Formal stage

- b. If the appeal is not resolved at the informal stage, the member of staff may write to the Dean of Staff and Students, formally stating that he or she wishes to appeal against the decision not to include him or her in the REF submission, setting out the grounds for appeal. Formal written appeals must be lodged by 4 October 2013.
- c. The Dean of Staff and Students will seek written comments on the appeal from the Head of Division and, if necessary, from the Dean of Research & Enterprise.
- d. The Dean of Staff and Students will meet with the appellant before 11 October 2013 and the Head of Division to hear their points of view. At such a meeting, the appellant may, if he or she so wishes, be accompanied by a Trade Union Representative or a colleague. The Dean of Staff and Students will be accompanied by the REF Manager to act as clerk to the process and prepare a written report on the appeal.
- e. The Dean of Staff and Students will make a judgement as to whether the procedure has been correctly followed in arriving at the decision not to include the appellant in the REF 2014 submission. The Dean of Staff and Students will make a report to the Principal on the matter, with a recommendation whether to uphold or dismiss the appeal.
- f. The Principal will make a decision on the appeal which will be final. The decision will be reported to the appellant and the Head of Division in writing by no later than 21 October 2013.

J. Timetable for Appeals Procedure:

Provisional decisions on staff selected for inclusion in REF 2014

13 September 2013	Deadline for staff to be informed of inclusion/non-inclusion
27 September 2013	Informal stage of appeal
04 October 2013	Deadline for written appeals to Chair of Appeals Panel

11 October 2013	Final date for consideration of appeals by Dean of Staff & Students
21 October 2013	Deadline for Principal to make final decision on outcome of appeals
25 October 2013	Deadline for staff to be advised on the outcome of final appeal

K. Key roles and responsibilities for REF 2014 Submission

24. Heads of Research Centres and Heads of Divisions are responsible for identifying all potential St George's staff eligible for inclusion. Heads of Research Centres and Heads of Divisions are also responsible for identifying independent investigators who are eligible for inclusion (Category C individuals) but who do not have contracts of employment with St George's on the census date 31st October 2013.
25. The Principal has overall responsibility for the REF process. This responsibility is delivered through the Dean of Research & Enterprise as Chair of the REF Steering Executive.
26. A REF Steering Executive has been formed to plan and develop the Institution's REF 2014 submission and to guide the process. The Executive, is a subset of the Research Strategy Committee, Chaired by the Dean of Research & Enterprise. The Executive will be responsible for all decisions made regarding selection and submission to REF (see Appendix 4 for REF Steering Executive membership and terms of reference). Reports and recommendations made by the Executive will be referred to the Principal for approval.
27. Final authorisation of decisions on the inclusion/non-inclusion of individuals in St George's REF 2014 submission will be made by the Principal taking account of the advice received from the Dean of Research & Enterprise as Chair of the REF Steering Executive.
28. Heads of Research Centres will be responsible for providing feedback to individuals who are members of Research Centres regarding inclusion/non-inclusion. Heads of Divisions will be responsible for providing feedback to individuals who are outside of Research Centres regarding inclusion/non-inclusion.
29. All staff involved in selection of staff for submission to REF and in the hearing of Appeals - Heads of Division, Heads of Research Centres, the Dean of staff and students, the Dean of Research & Enterprise, the Principal - will have attended equality and diversity training in the application of this Code of Practice.

L. Appointment of External Advisers

30. Advice from external experts on the quality of research outputs and impact case studies for submission to REF 2014 will be sought during preparation exercises.

M. Individual Staff Circumstances

31. All decisions relating to submissions to REF 2014 will be made in accordance with the principles and criteria for inclusion and non-inclusion as detailed in this Code of Practice. However, there may be individual circumstances which can and should be taken into consideration, as guided by

the published criteria for Main Panels and Sub -Panels. Such circumstances include but are not restricted to:

- i. matters covered by legislation, including maternity, paternity and adoption leave;
 - ii. part-time working;
 - iii. engagement on long-term project;
 - iv. early career researcher status (started career as an independent researcher on or after 1 August 2009);
 - v. prolonged absence in the period 1 January 2008 to 31 October 2013 due to secondment, career break, ill-health or injury.
32. Members of staff who feel that individual circumstances may apply to them and who wish to make a statement of such circumstances will be invited to do so at the outset of preparations when they make a submission of their research output and also at any time during the lead up to submission. The individual circumstances form for completion is available at <https://portal.sgul.ac.uk/REF2014-individual-staff-circumstances-disclosure-form>

A copy of this form can be seen in Appendix 3c. All eligible staff will be asked to complete this form.

Individual circumstances forms should be submitted to Marina Malorgio, Deputy Director, Human Resources. Please note that this person is independent of the REF process.

N. Joint Submissions

33. In the case of St George's joint submission with Kingston University, the Institutions will exchange their Codes of Practice in order to ensure compliance.

O. Equality Impact Assessment

34. St George's will undertake an equality impact assessment on the policies and processes for selecting eligible staff for submission to REF 2014 as set out in this Code of Practice. This is a requirement of the funding bodies. The impact assessment will take the form of an analysis to determine whether the Institution's selection policy for REF may have a differential impact on protected groups. St George's Equality and Diversity Office will conduct a preliminary impact assessment on eligible staff following the mock REF in 2012 and again when preparing the final submission in August and September 2013 before the final RAE submission date on 29th November 2013. This will enable any areas where there appears to be an imbalance to be identified and addressed (see Appendix 5, agreed actions for REF 2014 Equality Impact Assessment).

P. Further Information

35. Further advice relating to this Code of Practice can be obtained by contacting Dr Briony Fane, REF Manager (bfane@sgul.ac.uk), or Wendy Gay, Director of Human Resources (wgay@sgul.ac.uk).

Appendix 1 (subject to change)

Units of Assessment under consideration for inclusion in St George's REF 2014 submission include:

- 1. UoA1 Clinical Medicine**
- 2. UoA2 Public Health, Health Services and Primary Care**
- 3. UoA5 Biological Sciences**

Joint submission with Kingston University:

- 4. UoA3 Allied Health Professions, Dentistry, Nursing and Pharmacy**

Appendix 2

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

- a. age
- b. disability
- c. gender reassignment
- d. marriage and civil partnership
- e. pregnancy and maternity
- f. race
- g. religion or belief
- h. sex
- i. sexual orientation.

Summary of equality legislation (relating to England)

Age	<p>All employees within the higher education sector are protected from unlawful age discrimination in employment under the Equality Act 2010. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group. (These provisions in the Equality Act 2010 are partially in force, but should be fully in place by April 2012.)</p> <p>Age discrimination can occur when people of a particular age group are treated less favourably than people in other age groups. An age group could be for example, people of the same age, the under 30s or people aged 45-50. A person can belong to a number of different age groups.</p> <p>Age discrimination will not be unlawful if it is a proportionate means of achieving a legitimate aim. However, in the context of the REF, the view of the funding bodies is that if a researcher produces excellent research an HEI will not be able to justify not submitting them because of the their age group.</p> <p>It is important to note that early career researchers are likely to come from a range of age groups. The definition of early career researcher used in the REF (see paragraph 85 of Assessment Framework and guidance on submissions) is not limited to young people.</p> <p>HEIs should also note that given developments in equalities law in the UK and Europe, the default retirement age will be abolished from 1 October 2011 in England, Scotland, Wales and Northern Ireland.</p>
Disability	<p>The Equality Act 2010 prevents unlawful discrimination relating to disability. Individuals are also protected if they are perceived to have a disability or if they are associated with a person who is disabled, for example, if they are responsible for caring for a disabled family member.</p> <p>A person is considered to be disabled if they have or have had a physical and/or mental impairment which has ‘a substantial and long-term adverse effect on their ability to</p>

	<p>carry out normal day-to-day activities'. Long-term impairments include those that last or are likely to last for at least 12 months.</p> <p>Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities.</p> <p>The definition of disability is different in Northern Ireland in that a list of day-to-day activities is referred to. There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people, not individuals, carry out on a daily or frequent basis.</p> <p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p> <ul style="list-style-type: none"> • sensory impairments • impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy • progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer • organ-specific impairments, including respiratory conditions and cardiovascular diseases • developmental impairments, such as autistic spectrum disorders and dyslexia • mental health conditions such as depression and eating disorders • impairments caused by injury to the body or brain. <p>It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.</p> <p>Equality law requires HEIs to anticipate the needs of disabled people and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a disabled researcher's impairment has affected the quantity of their research outputs, they may be submitted with a reduced number of outputs (see paragraphs 90-100 and the panel criteria).</p>
Gender reassignment	<p>The Equality Act 2010 protects from discrimination trans people who have proposed, started or completed a process to change their sex. Staff in HE do not have to be under medical supervision to be afforded protection because of gender reassignment and staff are protected if they are perceived to be undergoing or have undergone gender reassignment. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.</p> <p>Trans people who undergo gender reassignment will need to take time off for appointments and in some cases, for medical assistance. The transition process is lengthy, often taking several years and it is likely to be a difficult period for the trans</p>

	<p>person as they seek recognition of their new gender from their family, friends, employer and society as a whole.</p> <p>The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a transsexual may commit a criminal offence if they pass the information to a third party without consent.</p> <p>Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care.</p> <p>Staff whose ability to work productively throughout the REF assessment period has been constrained due to gender reassignment may be submitted with a reduced number of research outputs (see paragraphs 90-100, and the panel criteria). Information about the member of staff will be kept confidential as described in paragraph 98.</p>
Marriage and civil partnership	<p>Under the Equality Act 2010 individuals are protected from unlawful discrimination on the grounds of marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and treatment in employment. The protection from discrimination does not apply to single people.</p> <p>In relation to the REF HEIs must ensure that their processes for selecting staff do not inadvertently discriminate against staff who are married or in civil partnerships.</p>
Pregnancy and maternity	<p>Under the Equality Act 2010 women are protected from unlawful discrimination related to pregnancy and maternity.</p> <p>Consequently researchers who have taken time out of work or whose ability to work productively throughout the assessment period because of pregnancy and/or maternity, may be submitted with a reduced number of research outputs, as set out in paragraphs 90-100 and in the panel criteria documents.</p> <p>In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process.</p> <p>For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.</p>
Race	<p>The Equality Act 2010 protects HEI staff from unlawful discrimination connected to race. The definition of race includes colour, ethnic or national origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race.</p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF</p>

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

Appendix 3a - 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:

- a. Clearly defined circumstances, which are:
 - i. Qualifying as an early career researcher.
 - ii. Part-time working.
 - iii. Maternity, paternity or adoption leave. (Note that maternity leave may involve related constraints on an individual's ability to conduct research in addition to the defined period of maternity leave itself. These cases can be returned as 'complex' as described at sub-paragraph b below, so that the full range of circumstances can be taken into account in making a judgement about the appropriate number of outputs that may be reduced without penalty).
 - iv. Secondments or career breaks outside of the higher education sector, and in which the individual did not undertake academic research.

- b. Circumstances that are more complex and require a judgement about the appropriate number of outputs that can be reduced without penalty. These circumstances are:
 - i. Disability (See Appendix 2 under 'Disability').
 - ii. Ill health or injury.
 - iii. Mental health conditions.
 - iv. Constraints related to pregnancy or maternity, in addition to a clearly defined period of 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 breast-feeding.)
 - v. Childcare or other caring responsibilities.
 - vi. Gender reassignment.
 - vii. Other circumstances relating to the protected characteristics (listed in Appendix 2).

Appendix 3b - Process for considering individual staff circumstances

Memo to all staff

To: All members of staff eligible for return in REF 2014
From: Dean of Research & Enterprise
Date: tbc
Subject: REF 2014, consideration of individual staff circumstances

St George's, University of London is committed to ensuring that decisions about selecting staff for the Research Excellence Framework (REF) are made in a fair, transparent and consistent manner. Information on how eligible staff will be selected for submission to the REF can be found in the St George's Code of Practice which can be found at [<https://portal.sgul.ac.uk/research/ref2014/isc>]. To ensure that REF processes are fair, the Institution 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 St George's monitoring of staff selection procedures at the institutional level.

In determining whether eligible staff may be submitted to the REF with fewer than four research outputs, the REF Steering Committee will take the following circumstances into consideration:

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

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

In determining the number of outputs staff are required to submit, the institution will observe the definitions of individual staff circumstances provided in the published REF 'Panel criteria and working methods' (January 2012) available at www.ref.ac.uk under 'Publications'.

What action do I need to take?

If you are eligible for REF submission you are encouraged to complete the attached form.

If further information is required about any circumstances disclosed, you will be contacted Hazel Pudney, Human Resources Manager, St George's, University of London.

Who will see the information that I provide?

Within the institutions, the information that you provide will be seen by Human Resources, REF Steering Executive, and the Principal.

Members of the REF Steering Executive handling individual staff circumstances will observe confidentiality and information will be stored securely in accordance with St George's data protection requirements.

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

- = For **circumstances with a clearly defined reduction in outputs**, information will be seen by the relevant REF sub-panel, the REF panel secretariat and the UK funding bodies' REF team. This will be information about early career researcher status, part-time working, career breaks or secondments, and periods of maternity, additional paternity or adoption leave taken.
- = For **more complex circumstances**, information will be seen only by the REF Equality and Diversity Advisory Panel, the REF Main Panel Chairs and the UK funding bodies' REF team. This will be information to explain the impact on your research of circumstances such as disability, ill health, injury, mental health conditions, gender reassignment, caring responsibilities or constraints relating to pregnancy, maternity, breastfeeding, adoption and paternity (in addition to the period of leave taken). This information will **not** be seen by the REF sub-panel.

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

The REF Assessment Framework and Guidance on Submissions

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. Where joint submissions are made it may be necessary to share the information provided with another institution.

What if my circumstances change?

St George's recognises that staff circumstances may change between 1 January 2008 and 31 October 2013. If your circumstances change you can download a copy of the attached form at

<https://portal.sgul.ac.uk/REF2014-individual-staff-circumstances-disclosure-form>.

Appendix 3c - Disclosure Form for completion by all eligible staff

REF 2014 – Individual staff circumstances disclosure form

This Form should be submitted by hand or by email to Hazel Pudney, Human Resources Manager, St George’s, University of London. The form can be found at:

<https://portal.sgul.ac.uk/REF2014-individual-staff-circumstances-disclosure-form>

Name	
Division/Research Centre	
Unit of Assessment	

Section one:

Please select one of the following:

- I have no individual circumstances that I wish to be taken into consideration for the purposes of the Research Excellence Framework (REF).
- I have individual circumstances that I wish to make known but I am not seeking a reduction in outputs. (Please complete sections two and three)
- In completing this form I am seeking a reduction in research outputs. (Please complete sections two, three and four)

Section two:

Please select as appropriate:

- I would like to be contacted by a member of human resources staff to discuss my circumstances and requirements and/or the support provided by St George’s. My contact details for this purpose are:

Email	
Telephone	
Preferred method of communication	

- I do **not** wish to be contacted by a member of human resources staff

Section three

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

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

Circumstance	Information required
Early career researcher (started career as an independent researcher on or after 1 August 2009)	Date on which you became an early career researcher
Information	
Junior clinical academic staff who have not	Please place a tick in this box if the circumstance applies:

gained Certificate of Completion of Training by 31 October 2013 [Delete as appropriate: applies to specific units of assessment within Panel A]	
Part time employee	FTE and duration in months
Information	
Career break or secondment outside of the higher education sector	Dates and duration in months
Information	
Maternity leave, statutory adoption leave, or additional paternity leave (taken by partners of new mothers or co-adopters)	For each period of leave state which type of leave was taken and the dates and duration in months
Information	
Disability (including conditions such as cancer and chronic fatigue)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
Mental health condition	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
Ill health or injury	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare in addition to the period of maternity, adoption or additional paternity leave taken.	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	

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

Please select as appropriate:

- I confirm that the information provided is a true and accurate description of my circumstances.
- I recognise that the information provided will be used for REF purposes and will be seen by [HR, REF Steering Executive, Dean of Staff and Students].
- I realise that it may be necessary to share information with the UK funding bodies' REF team, who may make the information available to REF panel chairs, members and secretaries and/or the Equality and Diversity Advisory Panel. I recognise that if a joint submission is made, information may be shared with another institution. Where permission is not provided St George's will be limited in the action it can take.

Signature: Date:
 (Staff member)

Appendix 4

REF Steering Executive

A REF Steering Executive has been established. The Executive is a sub-set of the Research Strategy Committee chaired by the Dean of Research & Enterprise. Members include:

- Dean of Research & Enterprise
- Head of Research Centre, Biomedical Sciences
- Head of Research Centre, Stroke and Dementia
- Head of Research Centre, Infection and Immunity
- Head of Research Centre, Medical Genetics
- Head of Research Centre, Cardiovascular Sciences
- Research Lead, Faculty of Health and Social Care Sciences
- Head of Joint Research & Enterprise Office
- Director of Clinical Research
- REF & Research Policy Manager
- Director of Human Resources

Terms of Reference

1. To take responsibility for leading, developing and implementing St George's REF 2014 submission.
2. To take responsibility for delivering the REF 2014 process in line with the Code of Practice.
3. To ensure that each Unit of Assessment complies with the Institution's internal Equalities Code of Practice.
4. To receive advice from and to advise academic Divisions/UoAs within SGUL on the configuration and context of submissions to the REF 2014.
5. To ensure that academic and research staff who are eligible for submission to the REF are kept informed of progress in formulating submissions and receive feedback on the inclusion or otherwise of their work to REF 2014.
6. To be responsible for the allocation of staff to Units of Assessment and any other matters relating to the quality of the submission.
7. To make regular reports to the Research Strategy Committee, SPARC and Council for information.

Appendix 5

Equality Impact Assessment

1. Code of Practice Consultation and Publication

- 1.1 Review Code of Practice
- 1.2 Staff Consultation period for Code of Practice
- 1.3 Approval of Code of Practice
- 1.4 Communication of Code of Practice
 - 1.4.1 Communication Plan
 - Publication on Portal – 31 April 2012
 - All Staff email from the Principal
 - Divisional Communications (from HoDs)
 - Research Centre communication (from HoRCs)
 - External Publication on Web – 31 July 2012

2. Training in the Application of the Code of Practice

- 2.1 To be provided to all staff involved in the selection of staff for submission, and those hearing appeals (Principal, Dean of Research and Enterprise, Heads of Divisions, the REF Steering Executive and Dean of Staff and Students).
- 2.2 Training to be based on Equalities Challenge Unit Guidance.

3. Self Disclosure of Individual Staff Circumstances

- 3.1 All eligible members of staff will be made aware of the self-disclosure process as set out in the Code of Practice and will have access to the individual staff circumstances disclosure form (Appendix 3c).

4. Continuing Equality Impact Assessment

- 4.1 There will be a continuing EIA review throughout the process of the REF.
- 4.2 Mock REF2014
 - 4.2.1 A data review will be undertaken following the mock REF2014 covering all the protected groups included in the Equality Act 2010.
 - 4.2.2 Significant findings from the data review will be referred to the REF Steering Executive for consideration and appropriate action.
- 4.3 Appeals Process
 - 4.3.1 All eligible members of staff in Category A and Category C only, will be made aware of the Appeals Process against a decision not to include an individual in the REF 2014 submission.

5. Post REF2014 Analysis

- 5.1 Evaluate Training
- 5.2 Evaluate Disclosure Rates
- 5.3 Report on the Appeal Process in relation to equality issues
- 5.4 Report on any equality issues arising from the REF process