

London School of Economics and Political Science

Selection of Staff for Submission to REF2014:
Code of Practice

Contents (clickable links)

SUMMARY	1
1. THE CODE IN CONTEXT – REF AND EQUALITY ISSUES.....	3
1.1 Overview of the REF	3
1.2 Equality and Diversity	4
2. LEGISLATIVE CONTEXT	4
3. SELECTION PRINCIPLES	5
3.1 Selection Criteria	5
3.2 Stage 1: Eligibility	5
3.3 Stage 2: Definition of Research Excellence.....	6
3.4 Stage 3: Quantity of Research Outputs Including any Relevant Special Circumstances	6
3.5 Stage 4: Fit with School Submission Strategy	7
3.6 General Principles.....	7
4. DECISION-MAKING PROCESSES.....	8
4.1 Staff and Committees	8
4.2 Selection Process: General procedure.....	8
4.2.1 <i>Selection process for individuals with reduced outputs on equality grounds</i>	9
4.3 Notification of Final Decisions to Staff.....	11
4.4 Appeals.....	12
4.5 Dissemination of this Code.....	13
5. TRAINING	14
6. MONITORING/IMPACT ASSESSMENT	14
7. RESPONSIBILITIES	14
8. USEFUL LINKS	15
ANNEX 1 – Summary of Equality Legislation in England.....	16
ANNEX 2 – REF2014 Panel Criteria and Working Methods, Generic Statement, para 69: Factors Affecting Volume	20
ANNEX 3 – Departmental Research Committees Membership and Terms of Reference	21
ANNEX 4 – REFSC Membership and Terms of Reference	22
ANNEX 5 – REF 2014 Individual Staff Circumstances Notification.....	24

SUMMARY

This Code of Practice describes the principles and procedures that we will follow when selecting staff for submission to the Research Excellence Framework 2014 (REF2014). It is relevant both to staff involved in preparing our REF2014 submission and to staff eligible for selection for submission. In our REF2014 submission, HEFCE requires us to confirm that we have adopted and documented an appropriate internal code of practice which attends to all relevant equalities legislation in force on the submission date. This Code is intended to meet our obligations in that regard.

The Code addresses various aspects of the School's selection process, including the assessment of academic quality and the fair consideration of circumstances where an individual's research volume may have been reduced by factors covered by equalities legislation, or equivalent, as defined within the REF Panel Criteria and Working Methods. The Code also describes the procedures that the School will follow in making selection decisions, including the individuals and committees involved in the decision-making process.

The Code was developed by the Research Division in consultation with Human Resources, the Equality and Diversity unit, the Director's Management Team, the University and College Union, the School's solicitors (Pinsent Masons), and the REF Strategy Committee (REFSC). The Code was considered by the Department Heads Forum on 8 February 2012, Research Centre Directors Forum on 21 February 2012, Research Committee on 1 March 2012 and was approved by the Academic Board on 9 May 2012 and by Council on 29 May 2012.

Consistent with the principles of the REF, a four-stage selection process will be used:

Stage 1: Eligibility

Stage 2: Definition of research excellence

Stage 3: Quantity of research outputs including any relevant special circumstances

Stage 4: Fit with School submission strategy

The overall responsibility for decisions about selection of individuals for inclusion in the School's REF submission rests with the REFSC. No single individual is empowered to make selection decisions for the School. In reaching its decisions on selection of individuals for inclusion in each relevant REF Unit of Assessment (UOA), REFSC will take advice from the relevant Departmental Research Committee(s) or other nominated Departmental body tasked with managing the Department's REF planning. Advice may also be sought from independent external assessors as part of Departmental 'mock REF' processes. An appeals procedure is available to individuals if they feel they have been unfairly treated on equalities grounds at any stage of the selection process. Individual concerns that are unrelated to equalities issues (for example, with respect to the estimated grading of outputs) will be dealt with by mechanisms separate from the School's REF processes, and advice will be given on appropriate channels.

Eligible staff will be asked to complete a questionnaire highlighting any factors which have adversely affected the volume of their research outputs during the assessment period (1 January 2008 – 31 October 2013).

In reaching decisions on submission according to the principles and the procedures set out in this Code of Practice, the School will be mindful of the REF Panels' roles as ultimate judges of a submission.

In relation to equalities issues, training will be provided to all those involved in selection decisions. Equality monitoring arrangements will be put in place by the Research Division at several key stages of the School's preparations prior to final submission.

1. THE CODE IN CONTEXT – REF AND EQUALITY ISSUES

1.1 Overview of the REF

The Research Excellence Framework 2014 (REF2014) is the fifth in a series of exercises undertaken since 1992 at a UK national level to assess the quality of research in Higher Education Institutions (HEIs). It will inform the selective distribution of public funds for research by the four UK higher education funding bodies, with effect from 2015-16. Any HEI in the UK that is eligible to receive research funding from one of these bodies is eligible to participate in the exercise.

The primary purpose of REF2014 is to produce quality profiles for each submission of research activity made by institutions. Quality profiles are described in detail in Annex A of the REF document “Assessment Framework and Guidance on Submissions”, July 2011¹. Submissions are organised on a discipline-based structure, defined by the REF. The REF uses the term “Unit of Assessment” (UOA) for each separate discipline or group of disciplines in which a submission can be made. The assessment process is based on peer review by expert Sub-Panels for each UOA, together with Main Panels of groups of cognate disciplines. REF2014 defines 4 Main Panels and 36 Sub-Panels. As a peer review process, the judgement on all aspects of the submission rests with the Sub-Panel, based on the information submitted and the generic and panel-specific criteria and working methods published for the exercise. The treatment of parts of submissions affected by circumstances covered by equalities considerations is standardised across all four Main Panels in accordance with paragraphs 63 to 91 of the Generic Criteria of the Panel Criteria and Assessment Methods.²

Institutions compile their submissions by considering the research activities and research impact of eligible staff. Both staff employed by the institution (‘category A’ staff) and independent researchers whose research is clearly and demonstrably focussed in a unit of the School (‘category C’ staff) can be eligible for submission. The REF defines category A staff as academic staff employed with a contract of employment of 0.2 FTE or greater and on the payroll of the submitting institution on the census date of 31 October 2013, and whose primary employment function is to undertake either research only or teaching and research (REF 02.2011, para 78). Category C staff are defined as individuals employed by an organisation other than an HEI, whose contract or job role includes research and whose research is primarily focused in the submitting unit on 31 October 2013 (REF 02.2011, para 82).

The School can choose to structure its submission in whatever way it thinks most appropriate and potentially beneficial to the institution. This includes setting the research excellence quality threshold for the submission, deciding in which UOAs to make submissions, and determining the UOAs in which individual staff are submitted. These decisions will be guided by the School’s Strategic Plan. Overall responsibility for decisions about the shape of the School’s submission will rest with the REFSC, described in Section 4.

1 REF2014 Assessment framework and guidance on submissions, REF 02.2011 at <http://www.ref.ac.uk/pubs/2011-02/>

2 REF2014 Panel Criteria and Assessment Methods, REF 01.2012 at <http://www.ref.ac.uk/pubs/2012-01/>

The School's REF submission is an institutional response, which is targeted both strategically and tactically. It is clearly important in influencing how others interpret the results of the REF, and in what it conveys about the School and its mission. The REF also has a significant impact on the School's overall financial position, through QR funding. Only 3* and 4* work is funded by HEFCE, currently in the ratio 1: 3.

Contribution to a REF rating, or profile, for a UOA is not the sole measure of an individual's research, far less of any overall contribution to the School. The REF sets out to measure an institution's research quality over the census period, based on sets of principles/criteria which may vary from one Main Panel to another. Decisions will need to be made by the School about the likely merit which the different panels may accord to research undertaken by staff within the School. The inclusion or not of individual members of staff in the School's REF submission does not of itself necessarily reflect the value of those same staff to the overall performance of the School across its whole portfolio of activities, nor the place and potential career profile of those individuals within the School in the future.

1.2 Equality and Diversity

The School aims to create conditions whereby all staff are treated solely on the basis of merit, abilities and potential, irrespective of background or any irrelevant distinction. This applies equally to the processes of selecting staff for submission to REF2014. In selecting staff for submission and in compiling submissions, institutions will treat staff fairly and must comply with equalities legislation. This Code sets out in particular how we will ensure that we meet our legislative obligations by operating fair and transparent processes. It should be read in conjunction with the School's equality and diversity policies³ and understood within this wider framework for equality.

This Code addresses matters specific to the selection process for REF2014. It does not attempt to address issues beyond the selection process.

2. LEGISLATIVE CONTEXT

Since RAE2008 there has been an increase in the scope and application of anti-discrimination legislation that encompasses all relevant functions of an HEI, including REF. This means that throughout all stages of the planning and implementation of REF2014, equality must be firmly embedded within the process. This takes account of and reflects the diverse needs of those groups who may face discrimination and consequently may be excluded from an organisational process or practice or find it more difficult to participate.

The Equality Act 2010 standardised and consolidated previous anti-discrimination legislation. The Act covers the protected characteristics of: age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief; gender; sexual orientation.

3 LSE Equality & Diversity website at <http://www2.lse.ac.uk/intranet/staff/equalityAndDiversity/home.aspx>

In addition, under the Fixed Term and Part Time Employees Regulations, fixed term and part time employees have the right not to be treated less favourably than comparable “permanent” or full time employees. School policies have been developed to protect the rights of part time and fixed term staff and can be accessed on the Human Resources web-site⁴. The School’s legal obligations also include making staff aware of their obligations under equality legislation as employees of the School.

Annex 1 lists all relevant employment and anti-discrimination legislation which must be applied to the selection of staff for submission to REF2014. As both employers and public bodies, HEIs need to ensure that their REF procedures do not discriminate unlawfully against individuals because of age, disability, gender identity, marriage and civil partnership, race, religion or belief, sexual orientation, or during a period of maternity leave.

In addition, a range of legislative provisions encourage transparent record-keeping of decision-making processes. Under the Data Protection Act 1998, individuals have a right of access to most forms of data held which relate personally to them, and LSE is required to ensure that such data are processed and used for limited purposes, are accurate and up to date. Under the Freedom of Information Act 2000, any individual potentially has a right of access to information that the School holds and this will include documented selection criteria and decision-making processes. Failure to record such information may make it difficult for the School to demonstrate compliance with its equality obligations. In the event of a complaint of discrimination, the onus may fall on the School (not the complainant) to show that its decisions were not discriminatory.

3. SELECTION PRINCIPLES

3.1 Selection Criteria

REF2014 guidance states clearly that the primary selection criterion for inclusion in the exercise is the excellence of the research being undertaken by an individual. REF 02.2011 Assessment framework and guidance on submissions, para 18(b) states:

“Equality: HEIs are strongly encouraged to submit the work of all their excellent researchers. To enable this, institutions may reduce the number of research outputs submitted for individuals whose circumstances constrained their ability to work productively throughout the assessment period”.

Hence, we will implement a four-stage selection process:

3.2 Stage 1: Eligibility

As defined within the REF Assessment framework and guidance on submissions, eligible staff are those who meet the criteria defined for Category A as academic staff employed with

⁴ LSE Human Resources website at:

<https://www2.lse.ac.uk/intranet/staff/humanResources/internal/managingStaffOnFixedTermContracts.aspx>
and:

<https://www2.lse.ac.uk/intranet/staff/humanResources/internal/managingStaffOnOpenEndedContractsSubjectToContinuedAvailabilityOfSpecificFunding.aspx>

a contract of employment of 0.2 FTE or greater and on the payroll of the submitting institution on the census date of 31 October 2013, and whose primary employment function is to undertake either research only or teaching and research (REF 02.2011, paragraph 78). Category C staff are defined as individuals employed by an organisation other than an HEI, whose contract or job role includes research and whose research is primarily focused in the submitting unit on 31 October 2013 (REF 02.2011, para 82).

3.3 Stage 2: Definition of Research Excellence

The School's Strategic Plan for the period 2010-15 called for LSE to **remain one of the top three research intensive institutions in the country in REF 2014**. It follows that our strategic ambition will be a factor in determining the optimum shape of the submission at an institutional level. In order to achieve this ambition, the REFSC has determined that the School **should aim for an average quality profile within the 3* band across all units of assessment (internationally excellent in terms of originality, significance and rigour)**. As explained in section 4 below, in working to deliver the School's strategic ambitions, and operating within these general guidelines, REFSC will assess each eligible member of staff individually for inclusion in the School's REF2014 submission after receiving advice from the Departmental Research Committees and (on specific outputs) from independent external assessors where appointed.

It is important to note the external strategic context for this School decision on submission of individuals: enhanced research reputation and funding will follow from an excellent REF result, and any decision not to submit particular individuals must be seen in this context. The REF is an exercise in grading the research excellence of UOAs within the School according to specified criteria, not all of which indicate the overall research excellence of individual faculty members.

In judging research excellence, it is recognised that there will, by necessity, be some variation in approach between panels resulting from:

- REF2014 published Panel and Sub-Panel-specific criteria and working methods
- Discipline-specific issues either sector-wide or specific to the School.

3.4 Stage 3: Quantity of Research Outputs Including any Relevant Special Circumstances

In line with REF Panel guidelines, our normal expectation is that four items of research output will be submitted for each individual selected for inclusion in the REF submission. Any member of staff producing internationally excellent research but whose volume of research output has been limited due to certain circumstances relating to an equality issue will have those circumstances taken into account in the selection process. Paragraph 69 of the generic statement in Panel Criteria and Working Methods⁵ provides a standard list of the circumstances that can be taken into consideration. For ease of reference, these are included at Annex 2.

⁵ REF2014 Panel criteria and assessment methods, REF 01.2012, at http://www.hefce.ac.uk/research/ref/pubs/2012/01_12/01_12_1.pdf

LSE supports its fixed term and part time staff, including contract research staff (see footnote 3 for details). This Code of Practice is designed to ensure equality of opportunity, in the context of selection for submission to REF2014, for all eligible staff including those on fixed term and part time contracts. Where eligible staff are part time, the minimum number of publications expected to be submitted should be pro-rata, in accordance with the published assessment criteria, to the number expected of full-time staff with a similar employment history.

It should be noted that these criteria have been standardised across all Main Panels.

3.5 Stage 4: Fit with School Submission Strategy

The School will retain discretion over decisions on the Units of Assessment to which the School will submit, and the appropriate submission destination for individual members of staff, in order to ensure the best possible presentation of the School's research. Such decisions will be the responsibility of the REFSC in accordance with its aim of maximising the REF standing of the School as a whole.

3.6 General Principles

In the foregoing sections, we have outlined the REF-specific principles that we will apply to the selection of staff for submission to REF2014. These principles will be applied consistently with the following over-arching principles at all stages of selection:

3.6.1 Equality

All School staff eligible for submission will be treated equally and with dignity and respect regardless of their age, disability, gender (including gender reassignment), marital or civil partnership status, race, religion or belief, sexual orientation, pregnancy and maternity or other factors.

3.6.2 Consistency and accountability

All decisions will be based upon research excellence, as evidenced by research materials eligible for inclusion in the School's REF submission (see REF2014 Assessment framework and guidance on submissions paras 105 - 117). A robust decision-making process is in place which will ensure that decisions relating to selection are based on accurate data which have been systematically checked and confirmed before being acted upon.

3.6.3 Transparency & Openness

The School will operate a transparent process for selecting staff for submission. Information will be made available on the LSE's intranet about the procedures for making decisions. See also section 4.5 for details of how this Code will be disseminated.

3.6.4 Inclusivity

Eligibility for submission is based on REF2014 definitions of eligible staff (see REF2014 Assessment framework and guidance on submissions paras 78 - 83). Part time and fixed term staff will be eligible for inclusion according to these criteria. Eligible staff who do not have

four outputs for submission may nevertheless be included in the School's submission if there are particular circumstances (as outlined in Section 3.4) justifiably affecting the volume of their research output. However, all staff, regardless of personal circumstances, will need to meet the School's normal quality threshold for their cited outputs if they are to be included in the School's submission for REF2014.

There may be a small number of cases where members of staff are not included in REF2014 purely due to a lack of fit with the UOAs to which the School is submitting. In these cases, the individuals and their Heads of Department will be notified of the reason for their non-inclusion, which has no bearing on their career development and promotion within the School.

It should also be noted that staff may submit an impact case study to REF2014 regardless of whether they are also submitted with four or fewer outputs.

4. DECISION-MAKING PROCESSES

The selection principles outlined in Section 3 will be implemented through the following selection processes. It is a fundamental aspect of these processes that no single person will make decisions about the selection of individuals for submission.

4.1 Staff and Committees

In reaching decisions, the School draws on its existing committee structures for the management of School and Departmental research, together with REF-specific committees, and individuals appointed to have particular responsibilities for REF-related matters. School and Departmental committees have been set up in a manner appropriate to the management of the REF2014 exercise within the School, comprising members who have appropriate and relevant knowledge and experience. Committees may use their professional judgment in choosing to seek advice from others, both internal and external to the School. All individuals taking on REF-specific responsibilities are asked by the School to do so on the basis of their relevant knowledge and experience.

Where appointed, external assessors have been asked to advise Departmental Research Committees of their judgement of the likely REF grades of a selection of potential REF outputs. External assessors have not been given information relating to individual staff circumstances, and have not been asked to comment on whether or not individuals should be submitted to REF2014.

4.2 Selection Process: General procedure

For each UOA, the development of the School's final submission will be determined by the REFSC based in part upon advice and information provided by the appropriate Departmental Research Committee(s) or other nominated Departmental body tasked with managing the Department's REF planning. A generic terms of reference for Departmental Research Committees is attached at [Annex 3](#). For ease of reference, the nominated Departmental body will be referred to as 'the Departmental Research Committee' throughout the rest of this document.

Departmental Research Committees should disseminate this Code of Practice, and any specific guidance they may have on their approach to quality criteria in their unit of assessment, to staff in their Department/Institute and associated Research Centres/programmes. This is necessary so that staff in the Department/Institute can inform themselves about the contents of this Code and how it affects them.

Departmental Research Committees will identify and review the research outputs of all eligible staff within their specific disciplines and use the relevant REF panel-specific criteria⁶ to direct and guide their discussions. Guidance may also be sought from independent external assessors as appropriate.

Departmental Research Committees will then provide **advice** to REFSC on all eligible members of staff, based on the outcomes of these review processes, to enable the REFSC to make informed decisions, ensure consistency of approach, and conduct appropriate impact monitoring as set out in section 6.

In general, Departmental Research Committees will work on the basis that four research outputs of a quality that overall is consistent with the definition of research excellence success provided in Section 3.3 will be required before an individual will be recommended for submission, except where one or more outputs are being put forward for double-weighting (i.e. count as 2 outputs) in accordance with the relevant panel criteria. Departmental Research Committees will also advise REFSC of any eligible staff who have fewer than four outputs of appropriate quality (with relevant personal circumstances by way of explanation), and in relation to these individuals may provide any additional information or advice they think relevant in assisting REFSC to make its final selection decisions.

REFSC will consider recommendations from Departmental Research Committees in relation to all eligible staff (whether they have been recommended for submission or not), and will also monitor all recommendations put forward by Departmental Research Committees for consistency of approach. **The overall responsibility for decisions about selection rests with REFSC.** In accordance with its Terms of Reference, attached at [Annex 4](#), REFSC aims to optimise the submission that the School makes to the REF and will make its selection decisions in relation to each eligible member of staff accordingly.

4.2.1 Selection process for individuals with reduced outputs on equality grounds

Where the number of outputs has been affected by an individual's circumstances (as outlined in Section 3.4), REFSC will determine the minimum number of outputs required, based on information provided by individuals and in accordance with the equality statement in paragraphs 63 – 91 of the REF Panel Criteria and Working Methods. This sets out how panels will deal with staff who submit fewer than four publications on grounds which are covered by equalities legislation.

The REF Panel Criteria and Working Methods distinguishes between 'clearly defined circumstances' and 'complex circumstances'. In both cases, submitting institutions are required to determine the number of outputs which may be reduced without penalty, according to two tables as follows:

⁶ REF2014 Panel Criteria and Working Methods comprising generic, Main Panel and Sub-Panel statements at <http://www.REF.ac.uk/pubs/2006/01>

Table 1: Early career researchers: permitted reduction in outputs

Date at which the individual met the REF definition of an early career researcher (see paragraphs 85 – 86 of the Assessment framework and guidance on submissions for definition)	Number of outputs may be reduced by up to:
On or before 31 July 2009	0
Between 1 August 2009 and 31 July 2010 inclusive	1
Between 1 August 2010 and 31 July 2011 inclusive	2
On or after 1 August 2011	3

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

Total months absent between 1 January 2008 and 31 October 2013 due to working part-time, secondment or career break:	Number of outputs may be reduced by up to:
0 - 11.99	0
12 - 27.99	1
28 - 45.99	2
46 or more	3

For clearly defined circumstances, Sub-panels will accept the reduction in outputs and assess the remaining outputs without any penalty wherever the number of outputs has been reduced according to Tables 1 and/or 2 above, as appropriate to the circumstances, and where the Sub-panel considers that the submission includes sufficient evidence of the circumstances. For more complex circumstances, the School is required to make a judgement on the appropriate reduction in the number of outputs submitted and provide a rationale for this judgement.

It is the responsibility of individuals to notify REFSC of any eligible factors which may have adversely affected their contribution to the REF submission during the assessment period, using the questionnaire in [Annex 5](#). REFSC will notify Departmental Research Committees of any staff which it determines are not required to submit four outputs.

All individuals with complex circumstances will be considered by the Funding Council's REF Equality and Diversity Advisory Panel (EDAP) on a consistent basis across all UOAs. EDAP will make recommendations about the appropriate number of outputs that may be reduced without penalty to the relevant Main Panel Chairs, who will make the decisions. Sub-panels (in the case of clearly defined circumstances) and Main Panel Chairs (in the case of complex circumstances) have the right to reject an individual's circumstances as a reason for reduced output if they feel that they do not merit consideration as set out in the generic criteria. This could result in the missing outputs being classed as unclassified, which would adversely affect the School's submission. It follows that a staff member with reduced outputs will not automatically be included in the School's submission. In addition, any reduction in volume of submitted outputs must be proportionate to the amount of research time considered to be available to the member of staff over the census period. Further guidance on what is expected can be found in the Generic statement of the REF Panel Criteria and Working Methods, paragraphs 63 – 91.

Recent REF data collection exercises should have provided an opportunity for staff to discuss matters which may have placed them at a disadvantage in producing research for the REF. Individual staff are encouraged to highlight such matters to the Research Division. To ensure that all eligible staff are given the opportunity to do this, a questionnaire will be sent to staff asking them to identify any relevant circumstances. The questionnaire is attached as Annex 5. Guidance on completing the form can be obtained from the Research Policy Manager, Assistant Research Policy Manager, the Department's HR partner or the Equality and Diversity Adviser. Completed questionnaires should be returned to Research Division by all staff, regardless of whether any special circumstances exist or not, by 14 December 2012. Completion of the questionnaire will also assist the monitoring/impact assessment described in section 6 below.

Staff who do not return a completed questionnaire to the Research Division will be assumed to have no individual circumstances which have affected their research outputs for the REF, and this may affect their right to an appeal. The School will aim to corroborate individual staff circumstances with its Human Resources records where these exist. Staff should note that all information related to equality will be treated in confidence and will not be used for any other purposes. Information describing the circumstances of individuals whose outputs have been limited (as per the guidelines of individual panels) will be entered within the confidential domains of the REF submission (REF1b – Individual Staff Circumstances). In completing REF1b, only sufficient detail to enable REF Panels and Sub-Panels and/or the EDAP to assess the impact of the circumstances on the person's research capability will be provided. No details will be given on matters such as medical diagnosis or the prognosis of a long-term illness. Involvement in the completion of this section will be restricted to as few people as possible within the School, and all information will be handled sensitively and in line with confidentiality guidelines. To protect individuals' confidentiality and privacy, those details of individual staff circumstances which will need to be recorded on the REF software will be held on a separate database which does not immediately identify the individual. Individuals who are not involved in the initial assessment of staff circumstances will not have access to the full details of individual staff circumstances. Completed questionnaires will only be seen by those responsible for making the initial assessment of the appropriate reduction in the number of outputs required (see paragraph immediately below). In making the initial assessment, individuals' names, Departments and units of assessment will be removed from the completed questionnaires to ensure confidentiality.

The initial assessment of the appropriate reduction in the number of outputs required will be made by the Research Policy Manager, Assistant Research Policy Manager, Equality and Diversity Adviser, the HR Manager, Policy and Employment Relations and one member of REFSC. For some complex circumstances, it may be necessary to consult with the Chair of REFSC, or one other member of REFSC if there is a conflict of interest.

The final decision on submission will be made by the REFSC. Members of REFSC will only have access to sufficient information to enable them to determine the minimum number of outputs required. In the event of an appeal by an individual, the contents of the individual's questionnaire may be made available to the appeals panel.

4.3 Notification of Final Decisions to Staff

Those staff who *potentially* may not be included in the School's REF submission will first be notified by their Head of Department (or Research Centre Director). Heads of Department will monitor REF performance levels through 2012 and early 2013, and where necessary will initiate conversations with members of staff at risk of not being entered for REF2014. Heads of Department will also advise REFSC on a periodic basis of potential non-submissions. The final decision on inclusion of individuals in the School's submission will be made by REFSC. When that decision has been made, the Chair of REFSC will write formally to eligible members of staff who are unlikely to be included in the School submission. Unless there are circumstances outside the control of REFSC, this notification will be provided by 14 June 2013. This will allow staff to avail themselves promptly of the appeal process set out in section 4.4 below, should this be warranted. Exceptions to this deadline may arise, for example, if individuals are waiting for confirmation of publication of essential research outputs, or if individuals are newly employed by the School close to or after this 14 June deadline.

Letters of formal notification will be copied to the individual's Head of Department (or Research Centre Director). Individuals may request a meeting with the Chair of REFSC to discuss the decision.

4.4 Appeals

All eligible staff, as defined in Section 3.2, have the right to appeal against a decision not to include them in the School's submission for REF2014 where they believe that their non-submission relates to a personal characteristic which is covered under the equalities legislation or any of the individual staff circumstances as outlined in Section 3.4 and Annex 2. These grounds for appeal are exclusive. Appeals based on other grounds must be brought, if at all, under the School's other existing procedures for redress.⁷ In particular, an appeal is not available on the ground that an individual disagrees with the REFSC's collective view that the research outputs are of inadequate quality to be included in the School's submission, given the School's strategic objectives. REFSC decisions are based on institutional ambitions to maximize the potential reputational, financial and other benefits associated with the assessed quality profiles for the School's UOAs.

An individual has a right to appeal on equality grounds using the procedures set out in this Code once REFSC has made its decision on inclusion and has informed individuals of the decision by means of a letter from the Chair of REFSC.

The first course of action for a staff member who feels that issues of equality are material should be to raise the issue in writing to the Chair of the REFSC, Professor Stuart Corbridge, Pro Director (Research and External Relations), by 12 July 2013 at the latest. This letter should contain sufficient information to allow the circumstances to be understood and should demonstrate clearly the equality issues that form the basis of the appeal. The Chair will consider the reasons stated and determine if the applicant is an eligible member of staff for REF submission, and if the reasons for the appeal constitute a relevant ground. Where it is determined that the case does not satisfy the qualifying criteria, the Chair will respond in

⁷ Details of the School's grievance procedures can be found on the HR website at: <http://www.lse.ac.uk/intranet/staff/humanResources/internal/pdf/academicAnnex.pdf>

writing accordingly to the person concerned and their Head of Department, on behalf of the REFSC, stating the reasons, within two weeks of receipt of the letter, wherever possible.

If the written basis for the appeal is relevant, then it will be considered by the REFSC in the first instance. REFSC will consider the case as written and provide a written response to the individual within four weeks of receiving the appeal, wherever possible.

If the individual is not satisfied with the response from either the Chair of REFSC or REFSC, it is possible to make a final appeal to an Appeals Panel, by 20 September 2013 at the latest. The Appeals Panel will consist of three members, none of whom will have had any prior involvement in the REF decision making process:

1. either the Vice Chair of the Appointments Committee or a senior academic appointed for the purpose as Chair,
2. either the Director of Human Resources or a senior HR colleague with equality and diversity expertise,
3. a lay governor.

All staff on the Appeals Panel will receive appropriate training, including equalities training.

If the Appeals Panel agrees, the appeal can be upheld without a hearing. Otherwise, the Appeals Panel will meet with the applicant within four weeks of receipt of the appeal wherever possible. No legal representatives will be permitted to be present at the meeting. However, the appellant may be accompanied by an academic colleague or a trade union representative if they wish. After the hearing, the Appeals Panel will determine whether there are equalities grounds which the REFSC has not taken into consideration when making its final decision and, if so, will instruct the REFSC to re-consider its decision, taking the new information into consideration. The conclusion of the Appeals Panel is final, and will be notified to the applicant, REFSC and the relevant Head of Department in writing within one week of the appeal being held.

Staff will be given enough time in advance of the final REF2014 submission date to make the appeal and for it to be promptly and properly considered by the Panel.

4.5 Dissemination of this Code

This Code of Practice will be made available on the internal LSE website:

<http://www2.lse.ac.uk/intranet/researchAndDevelopment/researchExcellenceFramework2014/home.aspx>

and hard copies will be distributed to all Heads of Department and Research Centre Directors for information. Heads of Department are expected to arrange the dissemination of the Code to all eligible staff in their Department/Institute and related Research Centres/programmes, including those currently absent from the School. Research Centre Directors are asked to assist a Head of Department, where applicable. The School will also hold information sessions to assist the dissemination of this Code and explain the processes related to selection of staff for submission. In addition, all codes of practice will be published by the Funding Councils as part of institutions' submissions, after the conclusion of the REF.

5. TRAINING

Training will be provided to all members of staff responsible for the implementation of this Code of Practice. Members of REFSC and those responsible for making an initial assessment of individual staff circumstances will receive equality and diversity training plus training specific to the REF which will be based on case studies. Academic colleagues in Departments tasked with reviewing REF outputs will receive equality and diversity training and will be briefed on the contents of this Code and on their responsibilities. Members of the Appeals Panel will receive equality and diversity training.

Training will be designed:

- i) to ensure that those responsible for implementing the Code are well informed about their own and the School's legal obligations regarding equalities; and
- ii) to enable them to attain a sufficient understanding of equalities issues in order to implement the Code fairly and effectively.

6. MONITORING/IMPACT ASSESSMENT

In drawing up this code of practice, the School has considered whether its proposed staff selection policy and procedures may have an adverse effect on those staff with protected characteristics or those with personal circumstances as set out in Annex 2. After taking appropriate legal and other advice, the School has concluded that the policy and procedures set out in this code are not expected to have an adverse impact on particular groups. The School has commenced an equality impact assessment process in relation to the individual staff circumstances disclosure form. The School will continue the equality impact assessment process on its policy and procedures for selecting staff for the REF. Following the initial grading exercises at Departmental level, the School will prepare an equality profile of staff eligible for submission to check for any equality bias with regard to all those protected characteristics for which data are available. Appropriate reporting of this information will be developed and reviewed by the REFSC, which will monitor for consistency of approach. The impact assessment may include monitoring at Department and/or Unit of Assessment level and will be in line with the monitoring obligations placed on the School under equalities legislation. The School may conduct further equality impact assessments prior to the final submission, to continue to monitor for any equality bias. The Funding Councils expect all HEIs to publish their equality impact assessments after the submissions have been made, as a matter of good practice. The School will therefore publish the results of its equality impact assessments after making its submission.

7. RESPONSIBILITIES

All staff with an involvement in the REF decision-making process are responsible for adhering to this Code of Practice and will be expected to apply its principles in all stages of the REF. All eligible staff are responsible for familiarising themselves with this Code and will be expected to act in accordance with the principles of the Code. The Chair of the REFSC has ultimate responsibility for ensuring the School effectively implements this Code and, in accordance with equality legislation, monitors and evaluates the impact upon protected groups.

8. USEFUL LINKS

External

REF2014 web site: <http://www.ref.ac.uk/>

REF2014 Assessment Framework and Guidance on Submissions:

<http://www.ref.ac.uk/pubs/2011-02/>

REF2014 Panel Criteria and Working Methods: <http://www.ref.ac.uk/pubs/2012-01/>

REF Equality Briefing for Panels: <http://www.ref.ac.uk/pubs/equalitybriefingforpanels/>

Equality Challenge Unit <http://www.ecu.ac.uk/our-projects/REF>

Equalities and Diversity Advisory Panel:

<http://www.ref.ac.uk/equality/equalityanddiversitypanel/>

Internal

LSE's REF website:

<http://www2.lse.ac.uk/intranet/researchAndDevelopment/researchExcellenceFramework2014/home.aspx>

LSE's equality and diversity website:

<http://www2.lse.ac.uk/intranet/staff/equalityAndDiversity/home.aspx>

Managing staff on fixed term contracts:

<https://www2.lse.ac.uk/intranet/staff/humanResources/internal/managingStaffOnFixedTermContracts.aspx>

Managing staff on open ended contracts:

<https://www2.lse.ac.uk/intranet/staff/humanResources/internal/managingStaffOnOpenEndedContractsSubjectToContinuedAvailabilityOfSpecificFunding.aspx>

ANNEX 1 – Summary of Equality Legislation in England

Age	<p>All employees within the higher education sector are protected from unlawful age discrimination in employment under the Equality Act 2010. These provisions 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) 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.</p> <p>A person is considered to be disabled if they have or have had a physical and/or mental impairment which has ‘a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities’. Long-term impairments include those that last or are likely to last for at least 12 months.</p> <p>Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities.</p> <p>The definition of disability is different in Northern Ireland in that a list of day-to-day activities is referred to. There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people, not individuals, carry out on a daily or frequent basis.</p> <p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p> <ul style="list-style-type: none"> • sensory impairments • impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy • progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer • organ-specific impairments, including respiratory conditions and cardiovascular diseases

	<ul style="list-style-type: none"> • 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 are contemplating, or have proposed, started or completed a process to change their gender. Staff in HE do not have to be under medical supervision to be afforded protection because of gender reassignment.</p> <p>Trans people who undergo gender reassignment will need to take time off for appointments and in some cases, for medical assistance. The transition process is lengthy, often taking several years and it is likely to be a difficult period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole.</p> <p>The Equality Act 2010 gave 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</p>

	partnerships.
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.</p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their race or assumed race (for example, based on their name).</p>
Religion and belief including non-belief	<p>The Equality Act 2010 protects HEI staff from unlawful discrimination to do with 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>
Gender (including breastfeeding and additional paternity and adoption leave)	<p>The Equality Act 2010 protects HEI staff from unlawful discrimination to do with gender.</p> <p>The sex discrimination provisions of the Equality Act explicitly protect women from less favourable treatment because they are breastfeeding. Consequently the impact of breastfeeding on a women’s ability to work productively will be taken into account, as set out in paragraph 90-100 and the panel criteria documents.</p> <p>From 3 April 2011, partners of new mothers and secondary adopters will be entitled to up to 26 weeks of additional paternity and adoption leave. People who take additional paternity or adoption leave will have similar entitlements to women on maternity leave and barriers that exist to taking the leave, or as a result of having taken it, could constitute unlawful sex discrimination. Consequently researchers who have taken additional paternity and adoption leave may be submitted with a reduced number of outputs, as set out in</p>

	<p>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.</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>

Under the Equality Act 2010, individuals are also protected if they are perceived to be or are associated with someone who has any protected characteristic.

ANNEX 2 – REF2014 Panel Criteria and Working Methods, Generic Statement, para 69: Factors Affecting Volume

Category A and C staff may be returned with fewer than four outputs without penalty in the assessment, if one or more of the following circumstances significantly constrained their ability to produce four outputs or to work productively throughout the assessment period:

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

- i. Qualifying as an early career researcher (on the basis set out in paragraph 72 of the Generic Statement of the Panel Criteria and Working Methods and Table 1 in the Code above).
- ii. Absence from work due to working part-time, secondments or career breaks (on the basis set out in paragraphs 73-74 of the Generic Statement of the Panel Criteria and Working Methods and Table 2 in the Code above).
- iii. Qualifying periods of maternity, paternity or adoption leave (on the basis set out in paragraphs 75-81 of the Generic Statement of the Panel Criteria and Working Methods).
- iv. Other circumstances that apply in UOAs 1-6, as defined at paragraph 86 of the Generic Statement of the Panel Criteria and Working Methods.

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

- i. Disability. This is defined in ‘guidance on submissions’ Part 4, Table 2 under ‘Disability’.
- ii. Ill health or injury.
- iii. Mental health conditions.
- iv. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances made in paragraph 75 of the Generic Statement of the Panel Criteria and Working Methods.
- v. Other caring responsibilities (such as caring for an elderly or disabled family member).
- vi. Gender reassignment.
- vii. Other circumstances relating to the protected characteristics listed at paragraph 190 of ‘guidance of submissions’ or relating to activities protected by employment legislation.

ANNEX 3 – Departmental Research Committees Membership and Terms of Reference

While all Departmental Research Committees will be slightly different, the following generic terms of reference and membership should be common to all:

Membership

A selection of professorial staff, or a wider range of staff if this is deemed appropriate, who are capable of making informed judgments on research quality.

Terms of Reference

To assist with developing Departmental research strategies.

To assist the Department/Institute and their related Centres with planning for REF 2014.

To provide a consensus of opinion on the quality of colleagues' research outputs.

To undertake reviews of all academic and research staff within their unit to establish accurate data on published and planned research output for REF 2014, as requested by the REFSC.

ANNEX 4 – REFSC Membership and Terms of Reference

Membership

Pro-Director Professor Stuart Corbridge (in the chair)	(ex-officio)	
Pro-Director Professor George Gaskell	(ex-officio)	
Professor Richard Steinberg	Group I	to 31.12.13
Professor Chris Brown	Group II	to 31.12.13
Professor Maitreesh Ghatak	Group III	to 31.12.13
Professor Chetan Bhatt	Group IV	to 31.12.13
Professor Julia Black	Group V	to 31.12.13
In attendance		
Professor Nick Barr	REF Coordinator	to 31.12.13
Professor Barry Buzan	REF Coordinator	to 31.12.13

Terms of Reference

The Research Excellence Framework Strategy Committee (REFSC) is responsible for overseeing the School's preparations for, and submission to, the Research Excellence Framework (REF). In particular, it aims to optimise the submission that the School makes to the REF.

In pursuance of its aims, the REFSC has the following rights and responsibilities:

- (i) To maximise the benefit of the REF to the School.
- (ii) To make financial decisions when allocating funds for targeted assistance (e.g. extension of sabbatical leave/teaching assistance) or providing assistance for external reviews of research outputs.
- (iii) To make strategic decisions when assigning members of staff to particular units of assessment and on the inclusion of members of staff in the Research Excellence Framework, consistent with the Funding Councils' equalities guidance and equalities legislation.
- (iv) To ensure that information relevant to the exercise is disseminated to academic/research staff.

- (v) To request information that will identify strengths and weaknesses in the submission and having identified weaknesses to provide solutions to improve the School's submission in the areas identified.
- (vi) To seek guidance from relevant individuals/institutions to ensure that the committee remains informed – to the best of its ability – of REF guidance, criteria and initiatives.
- (vii) To oversee and guide the School's submission of data to the Funding Councils, which will involve interaction with the External Relations Division, Human Resources, Finance Division, Academic Registrar's Division, Web Services and the Library.
- (viii) To comply with all equalities legislation in its decision making capacity and to operate under the terms of the School's REF Code of Practice for the preparation of the REF 2014 submission at all times.

Mode of Operation

The REFSC reports to Academic Board through the Research Committee.

The Committee meets at least twice per term, and *at least* once per month during the last 12 months before the submission deadline.

Committee members are appointed via Academic Board procedures for filling committee vacancies, using the established School groupings. Appointed members will be expected to remain on the Committee until after the submission deadline (29 November 2013) to ensure consistency of approach.

ANNEX 5 – REF 2014 Individual Staff Circumstances Notification

To: All members of staff eligible for return in REF 2014

From: Professor Stuart Corbridge, Chair of REF Strategy Committee

Subject: REF 2014, consideration of individual staff circumstances

LSE 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 LSE's Code of Practice which can be located at

<http://www2.lse.ac.uk/intranet/researchAndDevelopment/researchExcellenceFramework2014/home.aspx>.

To ensure that REF processes are fair, the School 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 School's monitoring of staff selection procedures for the REF at the institutional level.

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

- Early career researcher (started career as an independent researcher, leading or acting as principal investigator or equivalent on a research grant or significant piece of research work, 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

If your research output has been affected by other circumstances, not including teaching and administration, which 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 School will observe the definitions of individual staff circumstances provided in the published REF 'Panel criteria and working methods' (January 2012) available at <http://www.ref.ac.uk/pubs/2012-01/>

What action to I need to take?

If you are eligible for REF submission you are encouraged to complete the attached form. (If you are unsure about your eligibility, please contact your Head of Department or Research Centre Director for advice in the first instance). If further information is required about any circumstances disclosed, you will be contacted by the Research Policy Manager (Jo Hemmings)

Who will see the information that I provide?

Within the School, the information that you provide will be seen by the Research Policy Manager, Assistant Research Policy Manager, the Equality and Diversity Adviser, the HR Manager, Policy and Employment Relations and one member of the REF Strategy Committee. Occasionally, details may be passed on to the Chair of the REF Strategy Committee or another member of REFSC where there is a conflict of interest. REFSC will observe confidentiality and information will be stored securely, as provided for in the School's REF Code of Practice. 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 (July 2011)

<http://www.ref.ac.uk/pubs/2011-02/> requires all higher education institutions participating in the REF to ensure appropriate confidentiality in handling individual staff circumstances.

What if my circumstances change?

LSE 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 <http://www2.lse.ac.uk/intranet/researchAndDevelopment/researchExcellenceFramework2014/home.aspx>.

REF2014 Individual Staff Circumstances Disclosure Form

Employee Name	
Department	
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 and three)

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 LSE. 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 School aware of the following circumstances which have had an impact on my ability to produce four outputs 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:

Early career researcher (started career as an independent researcher, leading or acting as principal investigator or equivalent on a research grant or significant piece of research work, on or after 1 August 2009)
Please provide the date on which you became an early career researcher plus brief details of your research career history

Part time employee
Please provide details of your FTE and duration in months
Career break or secondment outside of the higher education sector
Please provide the start and end dates and duration in months plus details of the nature of the career break or secondment
Maternity leave, statutory adoption leave, or additional paternity leave (taken by partners of new mothers or co-adopters)
For each period of leave please state which type of leave was taken and the dates and duration in months
Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare in addition to the period of maternity, adoption or additional paternity leave taken.
Please provide details of the impact on your ability to fulfil your contractual hours and other impacts on your ability to undertake research, plus the duration in months

Disability (including conditions such as cancer and chronic fatigue)
Please provide details of the impact on your ability to fulfil your contractual hours and other impacts on your ability to undertake research, plus the duration in months
Mental health condition
Please provide details of the impact on your ability to fulfil your contractual hours and other impacts on your ability to undertake research, plus the duration in months
Ill health or injury
Please provide details of the impact on your ability to fulfil your contractual hours and other impacts on your ability to undertake research, plus the duration in months
Other caring responsibilities (including caring for an elderly or disabled relative)
Please provide details of the impact on your ability to fulfil your contractual hours and other impacts on your ability to undertake research, plus the duration in months

Gender reassignment
Please provide details of the impact on your ability to fulfil your contractual hours and other impacts on your ability to undertake research, plus the duration in months
Other exceptional and relevant reasons, not including teaching or administrative work
Please provide details of the impact on your ability to fulfil your contractual hours and other impacts on your ability to undertake research, plus the duration in months

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 Research Policy Manager, Assistant Research Policy Manager, the Equality and Diversity Adviser, the HR Manager, Policy and Employment Relations, one member of REFSC and possibly the Chair of REFSC or another member of REFSC where there is a conflict of interest.**
- ☐ **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. Where permission is not provided the School will be limited in the action it can take.**

Signature: Date:
(Staff member)

Please return this form to Javeria Parvez (j.parvez@lse.ac.uk), Research Division, TW1 7.01, by Friday 14 December 2012.

For official use only by the REF Strategy Committee

Following consideration of the personal circumstances described above, the REF Strategy Committee:

- ☐ Will progress the staff member's inclusion in the REF submission with a reduction in the number of research outputs. Number of outputs to be submitted:

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 any 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.

If the member of staff wishes to appeal against the decision of REFSC they will need to do so initially by 12 July 2013 and details of the appeals process can be found in the School's REF2014 Code of Practice at:

<http://www2.lse.ac.uk/intranet/researchAndDevelopment/researchExcellenceFramework2014/home.aspx>.

Name of staff member:

Signature: Date:
(person responsible for decision)