**Declaration of Individual Staff Circumstances**

This document is being sent to all Category A[[1]](#footnote-1) staff who have been deemed significantly responsible for research or an independent researcher and whose outputs are eligible for submission to REF2021 (see [‘Guidance on submissions’](http://www.ref.ac.uk/publications/guidance-on-submissions-201901/), paragraphs 117-122). As part of the University’s commitment to supporting equality and diversity in REF, we have put in place confidential and supportive structures for staff to declare information about any equality-related circumstances that may have affected their ability to research productively during the assessment period (1 January 2014 – 31 July 2020), and particularly their ability to produce research outputs at the same rate as staff not affected by circumstances. The purpose of collecting this information is threefold:

* To enable staff who have not been able to produce a REF-eligible output during the assessment period to be entered into REF where they have;
  + circumstances that have resulted in an overall period of 46 months or more absence from research during the assessment period, due to equality-related circumstances (see below)
  + circumstances *equivalent* to 46 months or more absence from research due to equality-related circumstances
  + two or more qualifying periods of family-related leave.
* To recognise the effect that equality-related circumstances can have on an individual’s ability to research productively, and to adjust expectations in terms of expected workload / production of research outputs.
* To establish whether there are any Units of Assessment where the proportion of declared circumstances is sufficiently high to warrant a request to the higher education funding bodies for a reduced required number of outputs to be submitted.

**Applicable circumstances**

* Qualifying as an ECR (started career as an independent researcher on or after 1 August 2016)
* Absence from work due to secondments or career breaks outside the HE sector
* Qualifying periods of family-related leave
* Junior clinical academics who have not gained a Certificate of Completion of training by 31 July 2020
* Disability (including chronic conditions)
* Ill heath, injury or mental health conditions
* Constraints relating to family leave that fall outside of the standard allowances
* Caring responsibilities
* Gender reassignment

If your ability to research productively during the assessment period has been constrained due to one or more of the following circumstances, you are requested to complete the attached form and return to [Sandrine Flower](mailto:s.flower@napier.ac.uk) in HR by Monday 2nd December 2019. Further information can be found in paragraph 160 of the Guidance on Submissions (REF 2019/01).

Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. This form is the only means by which the University will be gathering this information; we will not be consulting HR records, contract start dates, etc. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

**Ensuring Confidentiality**

The details you provide will be held securely by HR and assessed by HR colleagues against the REF applicable circumstances. HR will inform the Dean of Research & Innovation of the total amount of time associated with any declared circumstances for each member of staff. The Dean of Research and Innovation will then determine if any reductions should be requested for any individual or UoA. . All staff circumstances will be considered in the same way to ensure consistency. If the University decides to apply to the funding bodies for either form of reduction of outputs (removal of ‘minimum of one’ requirement or unit circumstances), we will need to provide UK Research and Innovation (UKRI) with data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see the [‘Guidance on submissions’](http://www.ref.ac.uk/publications/guidance-on-submissions-201901/) document (paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted.

Submitted data will be kept confidential to the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs. All these bodies are subject to confidentiality arrangements. The REF team will destroy the submitted data about individuals’ circumstances on completion of the assessment phase.

**Changes in circumstances**

The university recognises that staff circumstances may change between completion of the declaration form and the census date (31 July 2020). If this is the case, then staff should contact [Sandrine Flower](mailto:s.flower@napier.ac.uk) in HR to provide the updated information.

**Declaration of Staff Circumstances**

**Name:** Click here to insert text.

**Department:** Click here to insert text.

Do you have a REF-eligible output published between 1 January 2014 and 31 July 2020?

Yes

No

Please complete this form if you have one or more applicable equality-related circumstance (see above) which you are willing to declare. Please provide requested information in relevant box(es).

|  |  |
| --- | --- |
| **Circumstance** | **Time period affected** |
| **Early Career Researcher (started career as an independent researcher on or after 1 August 2016).**  *Date you became an early career researcher.* | Click here to enter a date. |
| **Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2021.** | Tick here |
| **Career break or secondment outside of the HE sector.**  *Dates and durations in months.* | Click here to enter text. |
| **Family-related leave;**   * statutory maternity leave * statutory adoption leave * Additional paternity or adoption leave or shared parental leave lasting for four months or more.   *For each period of leave, state the nature of the leave taken and the dates and durations in months.* | Click here to enter dates and durations. |
|  | |
| **Disability (including chronic conditions)**  *To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.* | Click here to enter text. |
| **Mental health condition**  *To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.* | Click here to enter text. |
| **Ill health or injury**  *To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.* | Click here to enter text. |
| **Constraints relating to family leave that fall outside of standard allowance**  *To include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.* | Click here to enter text. |
| **Caring responsibilities**  *To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.* | Click here to enter text. |
| **Gender reassignment**  *To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.* |  |
| **Any other exceptional reasons e.g. bereavement.**  *To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.* | Click here to enter text. |

Please confirm, by ticking the box provided, that:

* The above information provided is a true and accurate description of my circumstances as of the date below
* I realise that the above information will be used for REF purposes only and will be seen by HR colleagues
* I realise it may be necessary to share the information with the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs.

I agree

**Name:** Print name here

**Signed:** Sign or initial here

**Date:** Insert date here

I give my permission for an HR partner to contact me to discuss my circumstances, and my requirements in relation this these.

I give my permission for the details of this form to be passed on to the relevant contact within my department/faculty/centre. (Please note, if you do not give permission your department may be unable to adjust expectations and put in place appropriate support for you).

I would like to be contacted by:

Email  Insert email address

Phone  Insert contact telephone number

Please send your completed form to [Sandrine Flower](mailto:s.flower@napier.ac.uk) in HR by Monday 2nd December 2019 (a reminder will be sent nearer the time).

1. Category A eligible’ describes staff meeting core eligibility criteria, who will form the total pool of eligible staff. Building on the definition of Category A staff in REF 2014, ‘Category A eligible’ staff will be defined as academic staff with a contract of employment of 0.2 full-time equivalent (FTE) or greater, on the payroll of the submitting institution on the census date, whose primary employment function is to undertake either ‘research only’ or ‘teaching and research’. Staff should have a substantive connection with the submitting institution. For staff on ‘research only’ contracts, the eligible pool should only include those who are independent researchers, and not research assistants [↑](#footnote-ref-1)