

Code of Practice on the Selection of Staff for Submission to the Research Excellence Framework 2014

April 2012



Contents

A)	Introduction	3
B)	The Legislative Context	4
C)	General Principles	4
D)	Governance and Committee Structures.....	5
E)	Training	6
F)	Selection of Staff for Submission to the REF	7
G)	UoA statements.....	9
H)	Individual Staff Circumstances	9
I)	Confidentiality	11
J)	Appointment of External Advisers	11
K)	Equality Impact Assessment.....	12
L)	Appeals Process.....	12
M)	Appeals Process – individual staff circumstances.....	13
N)	Fixed-term and Part-time Staff.....	13
O)	Joint Submissions	14
P)	Further Information.....	14
	APPENDIX 1 College and Faculty REF Groups	15
	APPENDIX 2 Terms of Reference REF Groups	17
	APPENDIX 3 REF Governance and Committee Structures.....	23

A) Introduction

1. Royal Holloway, University of London aims to maximise both its reputation and its Quality Related research income (known as QR) from its submission to the Research Excellence Framework.
2. The College will submit all staff who meet our threshold research standards to the REF2014. The intention, for every unit of assessment (UoA) for which a return will be made is to include those staff who will contribute to an overall quality profile consistent with the vision for the College's reputation as an internationally recognised institution with the highest quality research and with the aim of maximising the income that will flow to the College as a result of the REF2014 exercise. The College will submit all staff whose work within the assessment period meets or exceeds our threshold standards for quality as defined in the threshold statements for each UoA (see Sections F and G). The threshold standards will vary between UoAs.
3. Decisions by the College on the workload, promotion or career progression of any individual member of academic staff will not be affected by their inclusion or otherwise in a REF submission.
4. Preparations for the REF2014 will be carried out in a fair, transparent and consistent manner and will be conducted in strict compliance with this Code of Practice and all other College policies and codes of practice, specifically the Equal Opportunities Statement.
5. This Code of Practice outlines:
 - a) the legislative and regulatory framework within which our approach is set;
 - b) the procedures and processes for selection of staff for submission;
 - c) the structures within the College to support the REF2014 submission;
 - d) the roles of all involved in the selection process;
 - e) the equality and diversity training provided to all staff involved in the selection process;
 - f) the means of communication of the policy to all staff;
 - g) the right to and mechanisms for appeal for those staff who are not selected for submission;
 - h) the monitoring procedures that the College will use.
6. This Code of Practice addresses only the development of the REF2014 submission and, in particular, the identification of outputs and staff to be included.
7. All members of the College and any external advisers involved in preparation for the REF are expected to abide by this Code.
8. This Code of Practice should be read in conjunction with and does not replace other relevant College policies.
9. Equality Impact Assessments (EIAs) will be carried out to ensure that the selection process is fully compliant with equality and diversity legislation and with the published REF guidance provided by the HEFCE.

10. As an equal opportunities employer, the College seeks to treat all staff on merit, regardless of gender, race, nationality, ethnic or national origin, age, socio-economic background, disability, religious or political beliefs, Trades Union membership, family circumstance, gender identity or any other cultural or social distinction. Full details of the College's Equal Opportunities Statement can be found at:
www.rhul.ac.uk/aboutus/governancematters/equalops/home.aspx
The College will also consider all guidance on submissions provided by the HE Funding Councils and any changes to the legislative environment described in Section B and will amend its procedures and processes accordingly.

B) The Legislative Context

11. The College recognises its obligations as an employer and as a public sector employer under The Equality Act 2010 with respect to discrimination on the following grounds and recognises that these obligations apply to REF2014 selection procedures:
- a) age
 - b) disability
 - c) gender
 - d) gender identity
 - e) marriage or civil partnership
 - f) race
 - g) religion or belief
 - h) sex or sexual orientation
 - i) pregnancy and maternity
12. The College also recognises its obligations under The Part-time Workers (Prevention of Less Favourable Treatment) Regulations 2000 and The Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002, namely that fixed-term employees and part-time workers have the right not to be treated by the College any less favourably than it treats a comparable 'permanent' employee.

C) General Principles

The following principles will be followed in all stages of preparing REF submissions:

13. The processes concerned with the selection of staff and outputs for inclusion in REF submissions will be transparent.
14. Eligible staff will be selected for inclusion on the basis of the quality of their research outputs in the specified REF publication period (1 January 2008 to 31 December 2013) and taking into account the REF published criteria for the identification of research quality.

15. To qualify for submission eligible staff must satisfy the REF requirement of four research outputs during the publication period meeting the College quality thresholds for that UoA (see Sections F and G). However, as a key measure to support equality and diversity in the careers of researchers, individuals may be returned with fewer than four outputs, without penalty in the assessment, where their individual circumstances have significantly constrained their ability to produce four outputs or to work productively throughout the assessment period. There are two categories of individual staff circumstances:
 - a) Clearly defined circumstances - qualifying as an Early Career Researcher (ECR); part-time working; maternity, paternity or adoption leave; secondments or career breaks outside the higher education sector.
 - b) Complex circumstances – disability; ill health or injury; mental health conditions; constraints related to pregnancy or maternity, in addition to a clearly defined period of maternity leave; childcare or other caring responsibility; gender reassignment; or other circumstances related to the protected characteristics covered by The Equality Act 2010.
16. Full details of individual staff circumstances can be found in section H and how information on individual circumstances will be collected and used.
17. This Code will be published on the College public website as well as the Staff Intranet. An electronic copy of this Code will be sent to all staff eligible for submission to the REF2014 via their College email address. Printed copies will also be posted to the home address (or other postal address registered by staff with HR) of all eligible staff including staff who are absent from College, at the date of the Code's publication, through illness, injury, sabbatical, maternity, paternity or adoption leave, secondment, unpaid leave or absence through other individual circumstances. Printed copies will be available on request from Research Services. Details of workshops for eligible staff to explain this Code will be published on the College website and included in the email and letter accompanying the copy of the Code sent to staff.

D) Governance and Committee Structures

18. The Principal has overall responsibility for the REF process. This responsibility is delivered through the Vice-Principal (Research and Enterprise), the Director of Research and Enterprise and the Faculty Deans.
19. A College REF Steering Group has been established by the Principal. This Group is chaired by the Vice-Principal (Research and Enterprise). Membership of and terms of reference for the Group are given in Appendices 1 and 2. The College REF Steering Group has responsibility for overseeing the planning and preparation of the College's REF submission, bringing forward recommendations to the Principal and reporting to the College Research Committee and College Planning and Resources Committee on its activities. The Group will take a final view on the selection of outputs and on the text of the REF submission, advised by the Faculty Deans and Faculty REF Steering Groups.
20. Faculty REF Steering Groups: The three Faculty REF Steering Groups (Arts and Social Science; Management and Economics; Science) are chaired by the Faculty Dean and

report to the College REF Steering Group (for membership and terms of reference see Appendices 1 and 2). The Faculty Deans have been given the responsibility to work closely with Heads of Department (HoD) and UoA REF Leads within their Faculties, to plan and develop REF submissions and bring forward regular reports and recommendations to the College REF Steering Group. The Faculty Deans will be advised by the Faculty REF Steering Groups.

21. A UoA REF Lead (or possibly REF Leads in the case of a joint submission to the same UoA) will be approved by the relevant Dean for each UoA included in the College's REF submission. The UoA REF Leads are senior academics from a discipline relevant to the UoA who will work with the Faculty Dean and the relevant HoDs to prepare the REF submission for their UoA including development of statements for thresholds for submission of staff. They are members of the Faculty REF steering groups.
22. Research Services within the Research and Enterprise Department is responsible for co-ordinating data collection, and organisation of planning and preparation of the College's REF submission. Research Services will be supported by a REF Data Group, chaired by the Director of Research and Enterprise, which is responsible for collecting and providing data to inform the REF submission in a timely and co-ordinated fashion (for membership and terms of reference see Appendices 1 and 2).
23. Individual Staff Circumstances Panel: This panel will consider all cases of individual staff circumstances (both clearly defined and complex) and advise the College and Faculty REF Steering Groups on any reductions in outputs that may be submitted without penalty. The Panel will also organise Equality Impact Assessments (EIAs) and provide advice to the College and Faculty REF Steering Groups on any matters arising from EIAs (for membership and terms of reference see Appendices 1 and 2).
24. Individual Staff Circumstances Appeals Panel: This panel will consider any formal appeals from individual staff members on the decisions of the Individual Staff Circumstances Panel (for membership and terms of reference see Appendices 1 and 2).
25. REF Data Group: This group is responsible for co-coordinating and verifying the accuracy of the data which will be returned in the College's REF submission (for membership and terms of reference see Appendices 1 and 2).

E) Training

26. Equality training is mandatory for all staff involved in making recommendations and decisions about inclusion of staff in the College's REF submission. The College will provide specific training which addresses the REF guidance on submissions (details will be made available in the REF section of the staff intranet). Previous College equal opportunities programmes will not be accepted as meeting this requirement.
27. All staff with REF responsibilities will be provided with a copy of this Code of Practice. Formal and informal discussions, involving members of College and Faculty REF Steering Groups, Heads of Department, UoA REF Leads and Chairs of Departmental Research Committees and which concern the inclusion of staff in the College's REF submission will be carried out in accordance with the Code of Practice.

F) Selection of Staff for Submission to the REF

28. The Faculty Deans, Heads of Department and UoA REF Leads reporting to Faculty REF Steering Groups, will advise the College REF Steering Group on which research active staff are recommended for submission for each relevant UoA. The complete list of eligible staff for each UoA will be provided by the Human Resources (HR) Department.
29. Eligible staff must have a contract of employment with the College on the census date (31 October 2013). Their contract must list research or research and teaching as their primary function and only those holding contracts of 0.2 FTE (20%) or more are eligible.
30. Exceptionally, where Research Assistants are carrying out genuinely independent research, as evidenced for example, by being named as Principal Investigator on a research grant or significant piece of research work, and where they satisfy the employment definition for academic staff, they may be added to the list of research active staff.
31. The REF does not allow the College to submit people who are not members of staff on the census date (31 October 2013). This includes emeritus and emerita academics. Accordingly, the previous need to identify so called D category staff no longer applies.
32. Category C staff are defined as individuals employed by an organisation other than an HEI, whose contract or job role (as documented by their employer) includes the undertaking of research, and whose research is primarily focused in the submitting unit on the census date (31 October 2013). Although category C staff may contribute to the overall quality profile they do not contribute to the volume of the submission. The following procedure for agreeing the inclusion of research active staff will be followed:
 33. In conjunction with the College's REF Data Group, UoA REF Leads and HoDs will identify all eligible staff and make a preliminary selection of research active staff for inclusion in the REF based on the criteria in the UoA threshold statements and the proposed outputs for consideration for inclusion in the submission (see Section G). Where the REF UoA crosses a departmental boundary the HoDs and UoA REF Leads will jointly consider the individual submission.
 34. The UoA REF Lead and appropriate HoD will oversee a rigorous assessment of the quality of the outputs of each potential submitter. This will involve a critical engagement with the work by academic colleagues within the UoA/Department. If there are no suitably qualified academic staff within the UoA/Department to undertake this, the College will engage appropriate academics from other institutions. External reviewers will provide opinions to the UoA REF Leads and HoDs as to the originality, rigour and significance of the outputs and on this basis the UoA REF Leads and HoDs will recommend that the output be considered as world leading, internationally excellent, internationally recognised, nationally recognised or falls below this threshold. Records will be made in Pure of the recommendations made at all stages of the submission process.
 35. The UoA REF Leads will report and justify the assessments of the quality profile of each individual's nominated outputs to the relevant Faculty REF Steering Group. This information will be confidential to the UoA REF Lead (or UoA REF Leads in the case of joint submissions), HoD, internal or external academics asked to judge outputs and the Faculty and College REF Steering Groups but individuals will have the right to see the

records of any judgements in Pure made about their work and make corrections only to any factual errors.

36. The Faculty REF Steering Group will make recommendations on inclusion of individual staff members to the College REF Steering Group, to agree an initial classification for staff. This will be one of the following:
 - a) Strong case for submission to the REF because the research profile entirely falls within this Code;
 - b) Marginal case for submission because the research profile falls just below this Code;
 - c) Weak case for submission because the research profile falls well below the policy published in this Code.
37. In the event of a difference of opinion between that reported by the UoA REF Leads and the Faculty REF Steering Group, the latter's decision will take precedence. Similarly, in the event of a difference of opinion between the Faculty and College REF Steering Groups, the latter will take precedence.
38. The Principal and Deputy Principal will not be present at the College REF Steering Group when decisions on submission of individual staff are discussed because of their role in any subsequent appeals (see Section L).
39. Recommendations for all eligible staff will be recorded in the REF data module in Pure with effect from May 2012 which will include name; unit of assessment; recommendation; and notes (identifying reasoning and, if appropriate, any conditions to be met). These data will be updated until the submission date.
40. The College REF Steering Group will review the recommendations, with the Faculty Deans presenting the recommendations for the UoAs within their Faculty remit. The College REF Steering Group will add its own commentary and observations.
41. HoDs will be advised through the Faculty Deans of the decision by the College REF Steering Group for staff in their Department, the basis of the decision and any conditions that must be met by individual staff by the census date. Individual staff will be informed in writing by the Vice-Principal (Research and Enterprise) of the outcome. Each HoD will be responsible for discussing the outcome of the assessment as requested by individual staff in their department.
42. Staff will be included in the submission where they have met the College quality threshold for research in the relevant UoA taking into account the range and weighting of factors that contribute to the overall quality profile. In applying these criteria UoA REF Leads and HoDs must take into account the relevant REF criteria and working method statements applicable to that UoA. Quality thresholds will vary between UoAs. Quality thresholds will be published in the College intranet from approximately June 2012. Quality thresholds may be subject to revision and revisions will also be published when approved by the College REF Steering Group.
43. All staff will be informed whether they will be included in the submission, in a letter, by the Vice-Principal (Research and Enterprise) no later than six months before the submission date. This decision will be kept under review on the basis of new data, e.g. new publications, until three weeks prior to the submission date.
44. Eligible staff who are not selected for inclusion have the right to appeal the decision if they believe the decision has been based on the grounds of unlawful or otherwise proscribed discrimination, but not on the grounds of academic judgement. However, individuals will have the right to see the records of any judgements in Pure made about their work and make corrections only to any factual errors – see Section 35.

45. Final authorisation of decisions on the inclusion of staff in REF submissions will be made by the Principal, taking into account the recommendations of the College REF Steering Group.

G) UoA statements

46. For each UoA a statement describing the process to be used to select staff and the threshold for inclusion will be developed by the relevant HoD and UoA REF Leads. All such statements will be submitted to the College REF Steering Group for final decision and approval prior to implementation. They will include:
- a) information on key staff that will be involved in the assessment process and how they have been selected;
 - b) how the UoA aims to perform relative to other HEIs likely to be submitted in REF2014 for that UoA;
 - c) the minimum threshold for research outputs;
 - d) how contributions to the research environment may be taken into account;
 - e) details of data and assessment criteria to be used to inform departmental processes;
 - f) how individual research outputs will be assessed;
 - g) a timeline for internal departmental processes;
 - h) details of how and when feedback to individual members of staff will be provided
47. Draft statements will be developed for the preparation of the submission for each UoA. Statements approved by the College REF Steering Group will be published on the College REF intranet website and emailed to all staff eligible for submission within that UoA.

H) Individual Staff Circumstances

48. All decisions made relating to individual staff circumstances submissions to the REF will be made in accordance with the principles and criteria for inclusion as detailed in this Code of Practice and will be considered by the Individual Staff Circumstances Panel (see Appendices 1 and 2 for details). REF Panels have identified a common set of individual staff circumstances which they will take into account in assessing submissions (Assessment framework and guidance on submissions, REF 02.2011; Part 3, paragraphs 88 – 100, and Panel Criteria and Working Methods, REF 01.2012; Part 1, paragraphs 63 - 91). For the purposes of the REF these are considered as either “circumstances with a clearly defined reduction in outputs” or “complex circumstances that require a judgement about the appropriate reduction in outputs”.
49. Circumstances with a clearly defined reduction in outputs are:
- a) qualifying as an Early Career Researcher;
 - b) absence from work due to working part-time, secondments or career breaks;

- c) qualifying periods of maternity, paternity or adoption leave.

Clear and detailed definitions of any permitted reduction in outputs for clearly defined circumstances are provided in Panel criteria and working methods (REF 01.2012), paragraphs 63 – 91.

- 50. Complex circumstances that require a judgement about the appropriate reduction in outputs are:
 - a) disability;
 - b) ill health or injury;
 - c) mental health conditions;
 - d) constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – allowances detailed in paragraph 75 of Panel criteria and working methods (REF 01.2012);
 - e) other circumstances related to equality and that affect physical and mental well-being e.g. domestic violence, harassment or bereavement.
- 51. Collection of information on individual staff circumstances. To enable staff to disclose their circumstances in confidence, information on individual staff circumstances will be collected by using a Disclosure form published by the Equality Challenge Unit and will be sent in May 2012 to all eligible staff via staff e-mail and by post to their home address. Disclosure forms should be returned to the Director of HR as Chair of the REF Individual Staff Circumstances Panel within four weeks from the date the letter was posted. Information on individual staff circumstances will be kept strictly confidential and will not be published in any form, at any time. It will be used solely for the purposes of the REF2014, unless a member of staff expressly indicates that he or she wishes HR to register the information for other purposes, and will be stored in compliance with The Data Protection Act 1998.
- 52. Consideration of information and decisions of the Panel. Members of the REF Individual Staff Circumstances Panel will be trained according to the recommendations of the Equality Challenge Unit and published on their website (<http://www.ecu.ac.uk/our-projects/REF>). The Panel will review and collate the information supplied from the Disclosure forms.
- 53. Deciding on reduced outputs. The Panel will implement the tariffs published by HEFCE on reduced outputs for staff with clearly defined individual circumstances. The Panel will review and come to a decision on any reductions on outputs for staff with complex individual circumstances. The Panel will use information supplied in the staff Disclosure forms to draw up the statements required for REF1b: 200 words maximum for clearly defined circumstances and 300 words maximum for complex individual staff circumstances.
- 54. Informing staff of decisions. The Panel will then inform staff of their decision regarding any reduction in submitted outputs along with the text of the proposed statements. Staff will then have a two week period to appeal the decision of the Panel. The Faculty Dean and UoA REF Leads who are responsible for the REF submission for the UoA for the staff member will be informed of the Panel's decision but not of any information on the nature of the individual circumstances.
- 55. Appeals will be considered by the Individual Staff Circumstances Appeals Panel with a final decision made within 15 working days of receipt of the formal appeal.

56. The College will fulfil its obligation to identify all Early Career Researchers irrespective of preparations for the REF2014 and a potential reduction in the number of submitted outputs.
57. For complex circumstances the information supplied will be assessed by an Individual Staff Circumstances Panel chaired by the Director or Deputy Director of HR, an HR Manager, the College Secretary or their nominee, the Director of Research and Enterprise or their nominee and a senior academic with experience of the REF but who is not involved in selection of staff on academic grounds. The Panel will advise the Faculty Deans and UoA REF Leads of the appropriate number of outputs consistent with the circumstances described.
58. In the course of preparing and reviewing submissions, UoA Ref Leads, HoDs, Faculty and College REF Steering Groups will be aware of reductions in the outputs but details of the circumstances will not be revealed. This information will be confidential to the Individual Staff Circumstances Panel and its administrative support staff.
59. All declared personal circumstances must be fully taken into account when assessment of the contribution of individual staff to the REF submission is made.

I) Confidentiality

60. Details of all REF submissions will remain confidential to those College staff identified as having specific roles in the development of REF submissions and those external advisers explicitly approved by the College REF Steering Group.
61. All College staff identified as having specific roles in the development of REF submissions in this Code of Practice will be granted access to all necessary data related to each UoA including research outputs and the results of output assessments.
62. Information and data relating to individual staff circumstances, especially those relating to complex staff circumstances, will remain strictly confidential to members of the Individual Staff Circumstances Panel and the Individual Staff Circumstances Appeals Panel. Any information and data relating to individual staff circumstances stored within the Pure REF module will only be accessible to members of the Individual Staff Circumstances Panel and its administrative support staff.
63. UoA REF Leads, Faculty REF Steering Groups and the College REF Steering Group will be informed of the decisions of the Individual Staff Circumstances Panel relating to any reductions of outputs but only the Individual Staff Circumstances Panel and its administrative support staff will have access to the background information and data.

J) Appointment of External Advisers

64. External advisers with relevant expertise may be appointed to assist in the assessment of any aspect of a REF submission. The explicit approval of the Chair of the College

REF Steering Group is required if an external adviser is to be involved in discussions on the inclusion or otherwise of individual members of staff.

65. External advisers will be selected on the basis of their experience of research assessment and their familiarity with world class research and/or impact arising from excellent research in their field.

K) Equality Impact Assessment

66. The College will undertake an equality impact assessment (EIA) of staff eligible for submission. The profile will include age, disability, gender and ethnicity and clearly indicate staff submitted for the REF and those who are not. The College will conduct a College wide preliminary impact assessment with breakdowns by UoA when its first draft submission is complete. An equality profile, in terms of age, disability, gender and ethnicity will be drawn up listing all those who are eligible for submission and indicating those who are to be submitted and those who are not. The profile will be examined for imbalances by the Faculty REF Steering Groups, taking advice from equal opportunities experts in the HR Department. Any imbalances giving rise to concern will be highlighted to the Faculty Deans for review and advice sought from HR as to appropriate action. Additional profiles, at both the College and UoA levels, will be conducted prior to finalising all submissions. An analysis of the results from requests to have individual staff circumstances taken into account will be undertaken as part of the EIA. EIAs will be published on the College's website after the submission.

L) Appeals Process

67. Each individual staff member has the right to appeal against a decision not to submit them to the REF if they believe the decision is based on the grounds of unlawful or otherwise proscribed discrimination. There is no right of appeal on grounds of academic judgement.
68. Staff who wish to appeal should approach the Faculty Dean responsible for the UoA submission appropriate to that staff member and the Dean will attempt to resolve the matter, meeting with the member of staff as necessary. The Dean will confirm the decision in writing to the member of staff concerned, normally within five working days of the meeting.
69. If this does not resolve the issue then the member of staff should submit a letter to the Principal within 10 working days following receipt of the written decision from the Faculty Dean, stating the grounds of the appeal and including any supporting evidence.
70. Appeals will be considered by a panel chaired by the Principal or Deputy Principal. The other members of the Panel will be one member of the professoriate not involved with the decision, the College Secretary or their nominee and a representative from HR.

71. The Panel will meet to consider the appeal case within 15 working days from receipt of the appeal. Given the time restricted nature of the process, alternative appeal dates will not be offered other than in exceptional circumstances. The member of staff making the appeal may attend the meeting with their workplace colleague or union representative if they wish.
72. The Chair of the Panel may seek further clarification of the case if the Panel consider this to be necessary. A written response will be provided by the Chair of the Panel within five working days of the meeting or the receipt of any additional information that is requested. There will be no right to take the matter any further under College procedures and no further right of appeal.

M) Appeals Process – individual staff circumstances

73. Individual members of staff who have submitted a claim for a reduction in outputs due to individual circumstances have the right to appeal against a decision of the Individual Staff Circumstances Panel.
74. Staff who wish to appeal should approach the Director of HR. The Director of HR will attempt to resolve the matter, meeting with the individual as necessary. The Director of HR will confirm the decision in writing to the member of staff concerned, normally within five working days of the meeting.
75. If this does not resolve the issue then the member of staff should submit a letter to the Chair of the Individual Staff Circumstances Appeals Panel within 10 working days following receipt of the written decision from the Director of HR, stating the grounds of the appeal and including any supporting evidence.
76. The Individual Staff Circumstances Appeals Panel will meet to consider the appeal case within 15 working days from receipt of the appeal. Given the time restricted nature of the process, alternative appeal dates will not be offered other than in exceptional circumstances. The member of staff making the appeal may attend the meeting with their workplace colleague or union representative if they wish.
77. The Chair of the Individual Staff Circumstances Appeals Panel may seek further clarification of the case if the Panel consider this to be necessary. A written response will be provided by the Chair of the Individual Staff Circumstances Appeals Panel within five working days of the meeting or the receipt of any additional information that is requested. There will be no right to take the matter any further under College procedures and no further right of appeal.

N) Fixed-term and Part-time Staff

78. The College is committed to supporting its fixed-term and part-time staff and to fulfilling its obligations under the prevailing legislation. Part-time and fixed-term staff are

encouraged to attend College development events and, for contract research staff, 'On Track' research career development programmes are provided through the Faculties. Contract research staff should have regular appraisals by their line manager to review progress and identify development needs.

O) Joint Submissions

79. It is unlikely that the College will make any joint submissions with other institutions. However, in the case of any joint submissions, the College will exchange their Code of Practice and request the same from the other institution in order to ensure compliance.

P) Further Information

80. Further Information on the Code and information contacts can be found at www.rhul.ac.uk/research/ref2014. Information on the organisation of submissions within individual UoAs can be obtained from the relevant departmental UoA REF Leads – a list of UoA Ref Leads is available at www.rhul.ac.uk/research/ref2014/royalhollowayuoas/royalhollowayuoas.aspx For further information relating to Individual Staff Circumstances, in the first instance email ref-hr@rhul.ac.uk . This is a confidential email address.

APPENDIX 1 College and Faculty REF Groups

Membership for College and Faculty REF Groups

College REF Steering Group

- Vice-Principal (Research and Enterprise) (Chair)
- Principal
- Vice-Principal (Education)
- Dean of Arts and Social Sciences Faculty
- Dean of Science Faculty
- Dean of Management and Economics Faculty
- Deputy Principal (Planning, Resource and Partnerships)
- Vice-Principal (Student and Staff Experience)
- Director of Research (Psychology) – Science Faculty
- Director Research and Enterprise
- Director of Strategic Development
- A representative of HR – by invitation
- Head of Research Services (Secretary)

Faculty REF Steering Group

- Dean of the Faculty (Chair)
- Departmental REF Leads (those leading REF2014 submissions in each Department)
- Departmental REF Advisers (those advising Departments on their REF submissions as critical friends - Arts and Social Sciences Faculty only)
- Vice-Principal (Research and Enterprise) (ex officio)
- A Nominated Vice-Principal (ex officio)
- Research and Enterprise staff (by invitation)
- Faculty Manager (Secretary)

College REF Data Group

- Director Research and Enterprise (Chair)
- Research Finance Manager
- Head of Data Management, Registry
- Project Manager, Principal's Office
- Senior Information and Analysis Officer, Registry
- Pure Project Manager, IT
- Strategic Development Analyst, Strategic Development Unit
- HR Systems and Information Manager
- Research Information Officer
- Head of Research Services (Secretary)

Individual Staff Circumstances Panel

- Director or Deputy Director of Human Resources (Chair)
- Human Resources Manager
- College Secretary or their nominee
- A senior academic with REF experience who is not involved in the selection of staff on academic grounds
- Director of Research and Enterprise or their nominee

Individual Staff Circumstances Appeals Panel

- Principal or Deputy Principal (Chair)
- One member of the professoriate not involved in the selection of staff on academic grounds
- College Secretary or their nominee, and not previously involved in the Individual Staff Circumstances Panel
- A representative from Human Resources not previously involved in the Individual Staff Circumstances Panel

APPENDIX 2 Terms of Reference REF Groups

Terms of Reference for College and Faculty REF Groups

College REF Steering Group

Chair Vice Principal (Research and Enterprise)

Secretary Head of Research Services

Members

Principal

Vice Principal (Education)

Dean of Arts and Social Sciences Faculty

Dean of Science Faculty

Dean of Management and Economics Faculty

Deputy Principal (Planning, Resource and Partnerships)

Vice Principal (Student and Staff Experience)

Director of Research (Psychology) – Science Faculty

Director of Research and Enterprise

Director of Strategic Development

A representative of HR – by invitation

Meetings per year

Every two months

Terms of Reference

- Overall responsibility for planning and implementing the College's strategy for submission to the REF in the light of the HEFCE published guidance on *REF Assessment framework and guidance on submissions*
- Responsibility for approving the final submission to the REF
- Develop the *Code of Practice on the Selection of Staff for Submission to the REF 2014* and implement the principles and process detailed in the Code
- Approve the Units of Assessment to which submissions will be made and the staff members to be included in the submission following the principles and process detailed in the Code of Practice
- Receive and approve the Quality Threshold Statements for UoAs

- Approve the programme of equality and diversity training for staff involved in making academic judgements or judgements on individual staff circumstances in relation to the REF submission
- Receive the Equality Impact Assessments for all appropriate stages of preparation for the REF submission and approve any actions necessary to ensure the College is compliant with its *Code of Practice on the Selection of Staff for Submission to the REF 2014*
- Approve the terms of reference and membership of the three Faculty REF Steering Groups
- Approve the appointment and remit of external reviewers
- Receive and approve reports from the Faculty REF Steering Groups and REF Data Group
- Co-ordinate responses to HEFCE consultations
- Co-ordinate communication with staff and UCU through the Communications team
- Respond to any issues referred to the REF Steering Group by the Faculty Steering Groups, the REF Data Group or from elsewhere in the College

Faculty REF Steering Group

Chair Dean of the Faculty

Secretary Faculty Manager

Members

Departmental UoA REF Leads

Departmental REF Advisers (if appropriate)

Vice-Principal (Research and Enterprise)

A representative of the Senior Management Team

Associate Dean (Research)

Research and Enterprise staff

Heads of Departments

Meetings per year

At least once per term, or as frequently as necessary to deal with business

Terms of Reference

- To plan and monitor progress in preparation of REF2014 submissions in Units of Assessment covered by the Faculty
- To review REF submissions and to provide feedback as to how they might be improved
- To advise and recommend on the process of internal and external review

- To comment on REF policies circulated by the College for consultation (e.g. Code of Practice)
- To make reports and recommendations to the College REF Steering Group
- To promote awareness and understanding at Departmental level of the College policies and procedures in relation to the REF
- and to ensure that submissions are in accordance with this Code.

Reports to

College REF Steering Group

Devolved Powers

None

College REF Data Group

Chair Director, Research and Enterprise

Secretary Head of Research Services

Members

Research Finance Manager

Head of Data Management, Registry

Project Manager, Principal's Office

Senior Information and Analysis Officer, Registry

Pure Project Manager, IT

Strategic Development Analyst, Strategic Development Unit

HR Systems and Information Manager

Research Information Officer

Meetings per year

At least once per term, or as frequently as necessary to deal with business

Terms of Reference

- Support R&E Research Services and UoA REF Leads and HoDs regarding the collection and verification of staff, environmental and research output data
- Verify in a timely and coordinated fashion, through its own sources and through liaison with UoA REF Leads and HoDs, the HESA data packages supplied by HEFCE for the purposes of the 2014 REF submission.
- If necessary, liaise with HEFCE/HESA regarding the verification of the HESA data packages

- Respond in a timely fashion to any requests for support or information from UoA REF Leads, HoDs, and Faculty and College REF Steering Groups
- Manage the administration of the Pure REF Module and provide training and support in its use

Reports to

College REF Steering Group

Devolved powers

None

Individual Staff Circumstances Panel

Chair Director or Deputy Director of Human Resources

Secretary HR Systems and Information Manager

Members

The College Secretary or their nominee

A senior academic with REF experience who is not involved in the selection of staff on academic grounds

Director, Research and Enterprise or their nominee

Human Resources Manager

Meetings per year

At least once per term, or as frequently as necessary to deal with business

Terms of Reference

- Oversee the collection and management of information from individual members of staff relating to individual staff circumstances
- Based on information supplied it from the Disclosure forms returned by individual members of staff and with reference to the HEFCE published guidelines and case studies, the Panel will consider all cases of individual staff circumstances , both clearly defined and complex
- The Panel will inform staff of their decision regarding any reduction in submitted outputs along with the text of the proposed statements
- The Panel will advise the relevant UoA REF Leads, relevant Faculty Deans and College and Faculty REF Steering Groups on any reductions in outputs that may be submitted without penalty
- The Panel will oversee the organisation of Equality Impact Assessments (EIAs)
- The Panel provides advice to the College and Faculty REF Steering Groups on any matters arising from EIAs.

Reports to

College REF Steering Group

Devolved powers

Decides on reductions in outputs

Individual Staff Circumstances Appeals Panel

Chair Principal or Deputy Principal

Secretary HR Systems and Information Manager

Members

One member of the Professoriate who is not involved in the selection of staff on academic grounds

College Secretary or their nominee not previously involved in the Individual Staff Circumstances Panel

A representative from Human Resources not previously involved in the Individual Staff Circumstances Panel

Meetings per year

As frequently as necessary to deal with business

Terms of Reference

- The Panel will meet within 15 working days from receipt of a written appeal by an individual member of staff against a decision of the Individual Staff Circumstances Panel.
- The Panel will consider the evidence supplied to it in writing by appellant and or presented to it in person by the appellant, should the appellant wish to attend the Panel meeting considering their appeal.
- The Chair of the Panel may seek further clarification of the case if the Panel consider this to be necessary
- A written response will be provided to the appellant by the Chair of the Panel within five working days of the meeting or the receipt of any additional information that is requested.
- The Chair of the Individual Staff Circumstances Panel will also be informed of the decision.

Reports to

College REF Steering Group

Devolved powers

Decides on appeals against decisions of the Individual Staff Circumstances Panel

APPENDIX 3 REF Governance and Committee Structures

REF Governance and Committee Structures

