



RESEARCH EXCELLENCE FRAMEWORK 2014

CODE OF PRACTICE ON STAFF SELECTION FOR REF2014 SUBMISSION

INTRODUCTION

It is a requirement of HEFCE that each institution submitting to the REF establishes a Code of Practice. Institutional decisions on which members of staff to submit are at the discretion of HEIs but they need to be transparent and equitable. The funding bodies require the head of each HEI making a REF submission to confirm that the HEI has – in preparing its submissions and selecting staff for inclusion – developed, adopted and documented an appropriate internal Code of Practice, which attends to all relevant equal opportunities legislation in force on the submission date. HEIs are required to submit the Code of Practice that might be audited by HEFCE.

POLICY STATEMENT

Brunel University's Code of Practice is based on four principles:

- a. TRANSPARENCY:**
We will make all the processes concerned with selection of staff for inclusion in REF2014 submissions transparent by making the Code of Practice easily available and accessible to all staff. The existence of the code will be well publicised throughout the University.

- b. CONSISTENCY:**
Practice in respect of submissions will be consistent across the University and will set out the principles to be applied to all aspects and stages of the process.

- c. ACCOUNTABILITY:**
Responsibilities will be clearly defined and the operating criteria and terms of reference for individuals, committees, advisory groups and any other bodies concerned with the REF will be made readily available to all individuals and groups concerned.

- d. INCLUSIVITY:**
The Code of Practice strives to promote an inclusive environment, enabling the institution to identify all eligible research active staff.

THE UNIVERSITY WILL:

- Develop open and transparent selection criteria for use by the University's selection panels and groups.
- Detail the communication channels to be used to convey the relevant information to all involved in the selection process and all those eligible for submission.
- Take account of individual's personal circumstances in accordance with the protected characteristics in the Equality Act 2010 as well as fixed term or part time status.
- Ensure that all staff involved in the selection of staff or the administration of the processes for selection are trained on equality and diversity tailored to the REF processes.
- Establish an appeals process that can be used by all members of eligible staff in order to seek further consideration for submission.
- Highlight the impact assessment process that will be undertaken in order to assess any adverse impact on the inclusion and exclusion rates of all eligible staff by race, gender and disability.
- Ensure our REF submission process supports the University's Equality and Diversity policies.

CODE OF PRACTICE

SECTION 1: COMMITTEES AND PANELS

1.1 COMMITTEES AND PANELS WITH DESIGNATED REF RESPONSIBILITIES

1 The University's REF submission will be overseen by the **Committee for Research and Knowledge Transfer** (a sub-committee of Senate). The Committee will be responsible for formulation of the University's submission strategy as part of its objective to implement the University's Research Strategy. It will be responsible for ensuring compliance with this Code of Practice through impact assessment. It will define which units of assessment are to be submitted to and the overall submission strategy, including setting any quality or volume threshold at University or UoA level for the submission. Membership of this Committee is detailed in Appendix B.

2 A **REF Working Group**, chaired by the Pro-Vice-Chancellor (Research), will be established which will comprise the Deputy Heads of School (Research) and representatives from two Specialist Research Institutes. Officers for this Group will be drawn from the REF Team. The Group will be responsible for the implementation of the University's submission strategy and the oversight of all related processes, including the communication of this information to the REF Panels. The REF Working Group will oversee the results from the REF Panels, and may take steps, including percentage rating comparison and sample review, as it deems necessary to verify that the quality review process has been consistently and fairly applied across the University. Membership of this working group is detailed in Appendix B.

3 At School level, **REF Panels** covering all Units of Assessment have been established and appointed by the Pro-Vice-Chancellor (Research) in consultation with the Heads of School. The REF Panels are responsible for examining the research outputs and determining, through assessment, the number of outputs each eligible member of staff has that meet the quality level set by the Research and Knowledge Transfer Committee. Officers for the Panels will be drawn from the REF Team. The outcomes of the assessment will be referred to the REF Working Group through the REF Team. Memberships of the REF Panels are detailed in Appendix B.

4 In addition there will be three specialist units:

a. An **Equality and Diversity Panel** responsible for the consideration of all complex staff circumstances and determining the appropriate reduction in the number of outputs to be submitted. Outcomes of this exercise will be referred to the REF Team. Membership of the Equality and Diversity Panel will include senior academic staff and administrative staff all of whom have completed training in equality and diversity issues relating to the REF. Membership of an individual panel will be drawn, by the Pro-Vice-Chancellor

(Research), from a pre-determined pool of potential members. Officers for the Panel will be drawn from the REF Team or the University's Human Resources Department.

b. A centrally based **REF Team** that will be responsible for the administration of the processes and the submission, reporting directly to the Pro-Vice-Chancellor (Research). The REF Team will form a central point for communication and will use the decisions made by the Equality and Diversity Panel and the REF Panels to identify staff for inclusion or exclusion in line with the submission strategy. The REF Team will notify staff in writing about decisions made with regard to exclusion or inclusion status. The REF Team will report on the overall compliance level to the REF Working Group.

c. An **Appeals Panel** that will consider appeals for inclusion by staff. Membership will include senior academics from a number of disciplinary areas. Membership of an individual panel will be drawn, by the Pro-Vice-Chancellor (Research), from a pre-determined pool of potential members, the membership of which will be approved by the Committee for Research and Knowledge Transfer. Officers for the Panel will be drawn from the REF Team or the University's Human Resources Department. The outcome of appeals will be reported through the REF Team and anonymised data will be given to the REF Working Group.

5 Membership details for the specialist units are detailed in Appendix B.

6 Memberships and terms of reference for the Committee for Research and Knowledge Transfer, REF Working Group, REF Panels, Equality and Diversity Panel, REF Team and Appeals Panel will be available to all staff on the intranet or from the REF Team at REF2014@brunel.ac.uk.

1.2 APPROPRIATE TRAINING FOR COMMITTEES AND WORKING GROUP MEMBERS

7 Members of all committees and working groups and members of the REF Team involved in selection of staff for the REF will be given training on equality and diversity tailored to the REF processes by the University.

1.3 RESPONSIBILITY FOR DECISION MAKING ON SELECTION OF STAFF

8 The selection or non-selection of staff for the REF will be based on the outcome of five criteria: eligibility of staff member for submission; allocation of staff member to Unit of Assessment; the required number of outputs for the individual staff member; the minimum quality threshold for outputs for the UoA in the University submission strategy; the number of outputs available for submission by the staff member which are above the minimum quality threshold.

9 The responsibility for decision making for each the five criteria is as follows:

a. The responsibility for making decisions on staff eligibility for submission (as detailed in section 2.1) lies with the REF team, acting on behalf of the Deputy Heads of School (Research) and representatives from two Specialist Research Institutes who comprise the REF Working Group. The REF team will seek additional information from the University's HR department and/or the staff member's School/Institute as required. Decisions on the eligibility for submission of the staff member are accountable to the Pro-Vice-Chancellor (Research).

b. The responsibility for making decisions on allocation of the staff member to the Unit of Assessment lies with the Deputy Heads of School (Research) and representatives from two Specialist Research Institutes who comprise the REF Working Group. Each member is responsible for their area only. Allocation will be based on field of research outputs (as detailed in section 3.2, paragraph 44). Where it is not possible to allocate a staff member from a School or Specialist Research Institute to a Unit of Assessment the staff member will be designated as outside the scope of the University's submission. The Deputy Heads of School (Research) and representatives from two Specialist Research Institutes may consult with senior academic colleagues in their School/Institute as part of the decision making process as required. Decisions on the allocation of the staff member to the Unit of Assessment are accountable to the Pro-Vice-Chancellor (Research).

c. The responsibility for making decisions on the required number of outputs for the individual staff member lies with the REF Team, who are accountable for this to the PVC (Research). For staff with complex circumstances, the responsibility for consideration of circumstances and determining the appropriate reduction in outputs will lie with the Equality and Diversity Panel (as detailed in section 2.2, paragraph 32).

d. The responsibility for defining the minimum quality threshold for outputs for each UoA lies with the Committee for Research and Knowledge Transfer as part of the University submission strategy.

e. The responsibility for determining the number of outputs available for submission by the staff member which are above the minimum quality threshold lies with the REF Panel (as detailed in section 3.1, paragraph 37 and section 3.2, paragraph 43). This includes the responsibility for designating an output "double-weighted". If a staff member has more than the minimum required number of outputs which are above the minimum quality threshold, the responsibility for selecting which outputs to submit lies with the Deputy Heads of School (Research) and representatives from two Specialist Research Institutes who comprise the REF Working Group. Decisions on which outputs to submit are accountable to the Pro-Vice-Chancellor (Research).

1.4 CRITERIA FOR DECISION MAKING

10 The Committee for Research and Knowledge Transfer, the REF Working Group, the REF Panels, the Equality and Diversity Panel, the REF Team and the Appeals Panel will use the following criteria for decision making: the University Submission Strategy; published HEFCE Guidance relating to the REF (including panel criteria and panel specific definitions relating to quality rating); The Frascati Manual definition of Research as amended by HEFCE for REF 2014; The University Code of Practice on Staff Submission; The Equality Act (2010); Fixed Term Workers Regulations (2002) and Part-Time Workers regulations (2000).

1.5 COMMUNICATION

11 Once finalised, the code will be publicised within the University. The code will be available to staff on the University Intranet.

12 The REF Panels, the Equality and Diversity Panel, and the Appeals Panel will report their progress to the REF Working Group through the REF Team.

13 Updates on the progress of the REF submission from the REF Working Group will be given by the Pro-Vice-Chancellor (Research) to the Committee for Research and Knowledge Transfer. This will include updates on staff selection and percentage compliance and Equality Impact Assessment.

14 The minutes of Committee for Research and Knowledge Transfer are published in the formal business of Senate:

<http://intranet.brunel.ac.uk/registry/minutes/senate/home.shtml>

15 Members of the REF Working Group will cascade information regarding implementation of the university submission strategy and the oversight of all related processes, to their Schools including the communication of this information to the REF Panels. The submission strategy will be available to all staff on the intranet or from the REF Team at REF2014@brunel.ac.uk.

16 The University will use University email accounts to contact academic staff members (see section 2.1). There will be two main phases of activity: phase one (compliance survey) and phase two (strategic inclusion). Emails will include links to the University intranet where the code of practice is available. The University notes that staff members who are absent due to sabbatical, maternity, additional paternity or adoption leave or through long term sickness, may not have access to their University email account or to the code of practice on the intranet. These staff will be contacted in writing as part of phase one and phase two, using the address held on their HR record.

17 As part of phase one, the REF Team will contact academic staff members (see section 2.1), via University email accounts, with: details of the selection process; how to access the code of practice; and a request for details of individual circumstances. Staff members may not be contacted individually to request details of publications as University Policy requires that publication details are uploaded onto University publications databases.

18 Staff members absent at the time of phase one for reasons due to sabbatical, maternity, additional paternity or adoption leave or long term sickness will be contacted in writing with: details of the compliance survey, a copy of form *REF2014 Individual staff circumstances* and a copy of the Code of Practice.

19 After phase one the REF Team will write to staff with details of their compliance status. Staff members absent at the time of phase one due to sabbatical, maternity, additional paternity or adoption leave or through long term sickness will receive written details of their compliance status at this time.

20 As part of phase two the REF Team will contact, via University email accounts, academic staff members (see section 2.1) with: details of the selection process; how to access the code of practice; and a request for details of individual circumstances. Staff members may not be contacted individually to request details of publications as University Policy requires that publication details are uploaded onto University publications databases.

21 Staff members absent at the time of phase two due to sabbatical, maternity, additional paternity or adoption leave or long term sickness will be contacted in writing with: details of the selection process; a request for details of individual circumstances not previously disclosed; and a copy of form *REF2014 Individual staff circumstances* and a copy of the Code of Practice.

22 After phase two the REF Team will write to academic staff members (see section 2.1) with details of their inclusion status. Staff who have not been selected for inclusion will be given one of the following reasons: insufficient outputs at a quality level outlined for their UoA by the submission strategy, ineligibility or research field outside the scope of the University's submission. Staff absent at the time of phase two due to sabbatical, maternity, additional paternity or adoption leave or long term sickness will be contacted in writing and sent details of their inclusion status and, where relevant, reasons for non- inclusion.

SECTION 2: SELECTION OF STAFF

2.1 STAFF ELIGIBILITY

23 Under REF criteria, academic staff on 'teaching & research' or 'research only' contracts, as defined in HESA guidance, are eligible for submission if they are deemed to be independent researchers. This will include academics on permanent and fixed term contracts with an FTE of 0.2 or more.

24 For internal purposes this will automatically include all academic staff on:

- 'teaching & research' contracts (both permanent and fixed term)
- 'research only' on permanent contracts, since these have already been through the university's due processes to assess their status as independent researchers.

25 Eligibility for submission as an independent researcher for academic staff on fixed term 'research only' contracts will be individually assessed on behalf of the REF Working Group by the REF Team using the HEFCE REF definition of independent researcher.

2.2 PERSONAL CIRCUMSTANCES

26 In the REF, Individual Staff Circumstances are those circumstances "that constrained an individual's ability to produce four outputs or work productively throughout the assessment period" (HEFCE REF 02.2011, part 4 'Codes of Practice on the selection of staff', p41). This will include: staff with protected characteristics, as defined in the Equality Act (2010), Fixed-term Workers Regulations (2002) and Part-time Workers Regulations (2000).

27 In common with the panel guidance, the University and all the committees and groups involved in the REF selection process will take all individual circumstances into account to the extent that they are stated to have had a material impact on the individual's ability to produce the expected volume of research outputs in the assessment period.

28 In HEFCE's guidance, individual staff circumstances will be dealt by the REF in two different ways:

a. Clearly defined circumstances, which are mainly time dependent, will have a standard reduction in the number of outputs to be submitted correlated to the duration of the circumstances. These include: Early Career Researchers, part-time working, maternity, paternity, adoption leave, secondments or career breaks.

b. Complex circumstances will require a judgement about the appropriate reduction in the number of outputs. These types of individual staff circumstances will be assessed on an individual basis by HEFCE's REF Equality and Diversity Advisory Panel across all Units of Assessment (UoA). These include: disability, ill-health, mental health conditions, constraints related to pregnancy or maternity, childcare or caring responsibilities, and other circumstances related to the protected characteristics.

29 The REF Team will contact academic staff members (see section 2.1) as detailed in section 1.4 to request details of individual circumstances as part of phase one (compliance survey) and again to request details of additional, un-assessed individual circumstances as part of phase two (strategic inclusion). Staff who are absent due to sabbatical, maternity, additional paternity or adoption leave or through long term sickness will be contacted in writing at these times.

30 Staff with individual circumstances to disclose will be asked to download and complete the form *REF2014 Individual staff circumstances* and return in electronic or hard copy format to the REF Team. Staff who are absent due to sabbatical, maternity, additional paternity or adoption leave or through long term sickness will be sent a hard copy of this form.

31 Staff will be able to disclose individual circumstances after the deadline for phase 1 has passed by contacting the REF team via email on REF2014-confidential@Brunel.ac.uk. Such disclosures will be assessed in an interim meeting of the Equality and Diversity Panel if possible, or will be held over to the phase 2 assessment session. Late disclosures (after phase 2 has concluded) will not be accepted except in *very exceptional circumstances, where prior disclosure could not reasonably have been made before* and at the discretion of the Pro-Vice-Chancellor (Research).

32 The University internal processes will be aligned to HEFCE's guidance and the REF Team will use this guidance to divide the investigation of individual staff circumstances into two separate processes:

- a. Clearly defined circumstances, which will be administered by the REF Team who will apply the standard reductions set out by HEFCE using existing HR information.

- b. Complex circumstances, which will be dealt with by the specifically constituted Equality and Diversity Panel and will be treated with a high level of confidentiality. No identifying information on complex individual staff circumstances will be disclosed outside the Equality and Diversity Panel.

33 The Appeals panel will consider appeals regarding the assessment of individual staff circumstances.

SECTION 3: PROCESS

34 The process will see the assessment for inclusion split into two distinct phases:

- a. Phase one will concern eligibility and REF compliance. This will focus on staff meeting the criteria for eligibility and having the number of required research outputs for the REF. In the case of non-compliance all individual staff circumstances will be considered.
- b. Phase two will concern inclusion on other strategic considerations such as decisions not to submit in areas with a low number of staff.

3.1 PHASE ONE: COMPLIANCE SURVEY

35 The compliance phase will be managed by the REF Team and will involve the REF Panels and the Equality and Diversity Panel.

36 The REF Team will identify staff who meet the eligibility criteria (as detailed in section 2.1).

37 REF Panels will be responsible for ensuring that all outputs considered fit the REF's Frascati Manual definition of research and are of a quality that does not fall below the standard outlined for their UoA by the submission strategy. Panels are specific to academic areas to ensure the right level of expertise in assessing the outputs fit to REF's definition of research.

38 The REF Team will request data on individual circumstances from all academic staff (as detailed in section 2.1). Staff with potentially qualifying circumstances will be asked to download and complete the form *REF2014 Individual staff circumstances* and return in electronic or hard copy format to the REF Team. Staff who are absent due to sabbatical, maternity, additional paternity or adoption leave or through long term sickness will be sent a hard copy of this form.

39 The Equality and Diversity Panel will be responsible for the assessment of complex staff circumstances and establish the reduction in the required number of outputs. The REF Team will establish the reduction for clearly defined circumstances.

40 Staff who meet the criteria for eligibility and have the number of required research outputs for the REF, as defined by their circumstances, at a quality level outlined for their UoA by the submission strategy will be deemed compliant. Compliant status will not be a commitment on behalf of the University to submit the staff member.

41 The REF Team will collate all information and will alert staff of their compliance status in writing as detailed in section 1.5 (paragraph 19). Staff who are not compliant will be given

one of the following reasons: insufficient outputs above the quality threshold outlined for their UoA by the submission strategy or ineligibility.

42 The compliance phase will take place in 2012 and is scheduled to end by January 2013. Appeals should be received by 28th February 2013. Appeals for phase one will be held in March/ April 2013. All appellants will be notified of the outcome of their appeal by 31st May 2013.

3.2 PHASE TWO: STRATEGIC EXCLUSION

43 The second phase will be managed by the REF Team and will involve the REF Panels, the Equality and Diversity Panel and the REF Working Group; it will take place in early summer of 2013. Staff Eligibility and outputs assessed in phase one will not be reassessed at this time, however the University will make further assessment for additional outputs produced since the first stage by non-compliant colleagues and for new starters. The REF Team will contact academic staff members as detailed in section 1.5 (paragraphs 20 and 21). Staff will be asked to return details of additional, un-assessed individual circumstances (see paragraphs 29 to 31) and the Equality and Diversity Panel will assess any staff who present with new individual circumstances that could not have been known at the time of the phase one compliance survey.

44 The REF Working Group will assess the compliant publications for staff members and allocate compliant staff to final UoAs, in line with the submission strategy, in order to produce a cohesive submission to the benefit of the University. The final decision on which outputs to submit will lie with the Pro-Vice-Chancellor (Research). The Group will make all possible attempts to accommodate individual staff within the University's submission. However, at this stage, they may decline to submit outputs which meet the standard outlined for the UoA by the submission strategy but whose field of research is deemed by the REF Working Group not to fit within the University's planned UoA submissions; even if the research field is outlined within the scope of a submitted UoA in the HEFCE panel criteria. In this case, the staff member's compliance status would be reassessed to consider only outputs which are within the scope of the submission. Staff members with insufficient outputs above the quality threshold outlined for their UoA by the submission strategy within the scope of the University's submission will be strategically excluded. The final decision on whether a research field is within the scope of the University's submission will lie with the Pro-Vice-Chancellor (Research).

45 The REF Team will collate all information and will alert staff in writing of their inclusion status as detailed in section 1.4 by 6th September 2013. Staff who are not selected for inclusion at this point will be given one of the following reasons: insufficient outputs above the quality threshold outlined for their UoA by the submission strategy, ineligibility or research field outside the scope of the University's submission. The Appeals Panel will consider any new appeals regarding non-inclusion due to insufficient outputs above the

quality threshold outlined for their UoA by the submission strategy, ineligibility or research outside the scope of the University's submission, at this stage. Final date for receipt of appeals will be 25th September 2013. Appeals will be held in October 2013 in order that successful appellants may be included in the final submission.

SECTION 4: IMPACT ASSESSMENT

46 The University has an established procedure for the assessment of the impact that policies may have on any group of staff within the protected characteristics below:

Gender
Disability
Ethnic Minorities
Gender reassignment
Religion/Belief
Sexual Orientation
Pregnancy/Maternity
Marriage/Civil Partnership
Age.

47 The procedure entails:

- a. The completion of a 'Record of Impact Assessment' that is submitted to the Impact Assessment Review Group via the Equality and Diversity Manager (Staff)
- b. The Equality and Diversity Manager (Staff) and Student Equal Opportunities Manager review the relevant Committee papers via the intranet to audit the received 'Record of Impact Assessment' forms against the information recorded in the Committee Paper template. This information is further audited by the Equality Impact Assessment Review Group
- c. The Equality Impact Assessment Review Group gives feedback on the completion of the impact assessment and a formal record of completed University impact assessments is maintained
- d. The Equality Impact Assessment Review Group has developed a timetable to tackle existing policies, in priority order, as well as other functions of the University
- e. The Equality Impact Assessment Review Group formally reports the audit results through the annual Equality and Diversity Report to the EO & HR Committee.

48 Procedures for the Impact Assessment strongly recommend, where possible, using data to model the impact of policies on any group of staff within the protected characteristics. While, at this point in time, it would not be possible to model the full effect, given the timing for the evaluation of the quality profile for each member of staff, an initial assessment (reported in Appendix A) has been performed.

49 Initial assessment of the University policy for the selection of staff (Appendix A) is based on:

a. Current eligible staff lists by protected characteristics collected by the institution:

- i. Gender
- ii. Disability
- iii. Age
- iv. Race

b. The submission strategy at the 'Compliance Survey' stage (September 2012): staff need to have the required number of outputs of a quality threshold of greater than or equal to 1*.

c. Current eligible staff list indicating the current number of outputs where staff with no outputs are deemed at high risk of non-submission. These will need to be excluded from the assessment of the impact of the submission strategy, since they have very possibly moved to research inactivity and, therefore, are not submittable. This group of staff and their protected characteristics are monitored through on-going institutional processes, and support strategies are in place. It is noted that particular groups are more affected than others.

d. Analysis of RAE2008 results for output assessment to estimate the volume effect of the 'Compliance Survey' submission strategy.

e. Mitigation for those protected characteristics that are currently not collected by the institution.

50 The Impact Assessment of the submission strategy at the 'Compliance Survey' stage reveals that, to the best of our knowledge and based on the information analysed, the policy would not have an adverse effect on any group of staff within the protected characteristics. A 'Record of Impact Assessment' to this effect has been submitted to the Equality Impact Assessment Review Group.

51 The university has completed the initial impact assessment of the policy based on the current submission strategy and has submitted a 'Record of Impact Assessment' to the Equality Impact Assessment Review Group. It should be noted that any change in submission strategy that moves away from that agreed for the 'Compliance Survey' would need to be fully reassessed and a new 'Record of Impact Assessment' submitted to the Equality Impact Assessment Review Group.

52 While the initial Impact Assessment does not indicate any adverse effect on any particular staff group, a revised impact assessment – in terms of disability, gender, age and race – of staff who are eligible for submission will be provided monthly to the REF Working

Group and at all meetings of the Committee for Research and Knowledge Transfer. If any *prima facie* imbalance is found relative to the total potential pool, then an immediate investigation will be carried out to account for the findings.

SECTION 5: APPEALS

53 Appeals will be heard in March/April 2013 and in October 2013, after phases one and two of the process, and may relate to exclusion due to: insufficient outputs above the quality threshold outlined for their UoA by the submission strategy; ineligibility; or research field outside the scope of the University's submission. Appeals should be made in writing, setting out the case for inclusion to the Pro-Vice-Chancellor (Research) and will be considered by the Appeals Panel. Appeals from phase one should be submitted by 28th February 2013. Appeals from phase two should be submitted by 25th September 2013. Phase two appeals will be held in October 2013 in order that successful appellants may be included in the final submission.

54 For phase one and phase two appeals, the Pro-Vice-Chancellor (Research) will convene one or more Appeals Panels consisting of:

- a. two or more members of senior academic staff drawn, by the Pro-Vice-Chancellor (Research), from serving REF Panel members. Members from the same School/Institute as the appellant will be excluded from these roles so that the panel is independent of the decision to select staff from the School/Institute for the submission.
- b. A Pro-Vice-Chancellor of the University (excluding the Pro-Vice-Chancellor (Research)) who will act as panel chair.

55 The Appeals Panel will be responsible for the consideration of appeals relating to exclusion due to insufficient outputs resulting from the determination, through assessment by the REF Panels, of the number of outputs that fit the REF's Frascati Manual definition of research and are of a quality that does not fall below the standard outlined for their UoA by the submission strategy.

56 The Appeals Panel will be responsible for the consideration of appeals relating to exclusion due to ineligibility.

57 The Appeals Panel will be responsible for the consideration of appeals relating to exclusion due to research field outside the scope of the University's submission

58 Appeals regarding the allocation of included staff to final UoAs, and relating to the selection of which outputs to submit for included staff will not be heard. Appeals relating to the content of the submission strategy will not be heard.

59 Appeals on the grounds of consideration of Individual Staff Circumstances will only be considered if new evidence or new factual information is available and will be referred to the Equality and Diversity Panel.

60 The Appeals Panel will consider the reasons given for exclusion and the case put forward for inclusion. It may, if it considers it appropriate, seek the views of up to two external

assessors, one external assessor nominated by the member of staff concerned and one nominated by the REF Panel.

61 The outcomes of the appeal will be notified to the member of staff, the School REF Panel (for appeals relating to quality and eligibility) and reasons provided by 31st May 2013 for phase one appeals and by 8th November 2013 for phase two appeals. Outcomes of appeals will be notified to the REF Team who will advise the REF Working Group of any change in compliance status. Outcomes of appeals will be final.

APPENDIX A: INITIAL IMPACT ASSESSMENT

REDACTED FOR PUBLICATION

APPENDIX B: MEMBERSHIPS OF COMMITTEES AND PANELS WITH DESIGNATED REF RESPONSIBILITIES (July 2012)

NAMES REDACTED FOR PUBLICATION

Research and Knowledge Transfer Committee of Senate.

The 2012/13 **Membership** for this Committee is:

Ex-officio:

Pro-Vice-Chancellor (Research), (Chair)

Vice-Principal

Dean of the Graduate School, or nominee

Director of RSDO

Nominated:

Up to four leading researchers from the University's academic community.

REF Working Group

The 2012/13 **Membership** for this Working Group is:

Ex-officio:

Pro-Vice-Chancellor (Research), (Chair)

Deputy Heads of School (Research) School of Arts

Deputy Head of School (Research) Brunel Business School

Deputy Head of School (Research) Brunel Law School

Deputy Head of School (Research) School of Engineering and Design (representing the School and the Specialist Research Institutes: ETC; BIB; Wolfson; BCast)

Deputy Head of School (Research) School of Health Sciences and Social Care

Deputy Head of School (Research) School of Information Systems, Computing and Mathematics

Deputy Head of School (Research) School of Social Sciences

Deputy Head of School (Research) School of Sport and Education

Representative from the following Specialist Research Institutes:

Institute for the Environment (IFE)

Health Economics Research Group (HERG)

REF Panels for each Unit of Assessment, established and appointed by the Pro-Vice-Chancellor (Research) in consultation with the Heads of School.

School	REF unit of assessment	Panel	Panel Members
SS	Psychology, Psychiatry and Neuroscience	Psychology	
	Politics and International Studies	Politics	
	Sociology	Sociology	
	Anthropology and Development Studies	Anthropology	
Economics and Econometrics	Economics		
SISCM	Mathematical Sciences	Applied Maths Operational Research	
	DISC	Information Systems Computer Science	
BBS	Business and Management Studies	Business and Management	

SED	Aeronautical, Mechanical, Chemical and Manufacturing Engineering	Engineering	
	General Engineering		
	Art and Design: History, Practice and Theory		
S&ED	Education	Education	
	Sports-Related Studies	Sport Sciences	
LAW	Law	Law	
IFE	Earth Systems and Environmental Sciences	Environmental Sciences	
HERG	Public Health, Health Services and Primary Care	Health Economics	
HEALTH	Social Work and Social Policy	Health & SW	
	Allied Health Professions, Dentistry, Nursing and Pharmacy		
		Biological Sciences	
ARTS	English Language and Literature	English, Media & Journalism	
	Communication, Cultural and Media Studies, Library and Information Management		
	Music, Drama, Dance and Performing Arts	Drama & Music	

Equality and Diversity Panel**Membership of the panel will be as follows:**

Two or more senior academics drawn from a nominated pool of academics which has been approved by the Pro-Vice Chancellor (Research).

One or more of the University's equality and diversity officers or members of HR staff with expertise in equality and diversity issues or member of the REF team who has undergone equality and diversity training.

Centrally based REF Team

All REF preparations are co-ordinated by the central REF team that reports directly to the office of the Pro-Vice-Chancellor (Research). The team comprises: Deputy Director of Planning (Research), Planning Officer, Research Fellow in HE Policy, Senior Administrative Officer, Planning Assistant.

Appeals Panels

The Pro-Vice-Chancellor (Research) will convene one or more Appeals Panels consisting of:

Two or more members of senior academic staff drawn by the Pro-Vice-Chancellor (Research) from serving REF Panel members. Members from the same School/Institute as the appellant will be excluded from these roles so that the panel is independent of the decision to select staff from the School/Institute for the submission.

A Pro-Vice-Chancellor of the University who will act as panel chair.