

REF2014: CODE OF PRACTICE

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1. Introduction

- 1.1. The **Equality Act 2010** harmonised and consolidated previous anti-discrimination legislation. For the purposes of the Equality Act the University is considered to be a public sector organisation, and both HEIs and funding bodies are subject to its requirements. The **REF Assessment Framework and Guidance on Submissions (REF02.2011)**, under the public sector equality duty¹, states that the higher education funding bodies and HEIs in England, Scotland and Wales, in carrying out their functions, must have due regard to the need to:
 - 1.2. Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act.
 - 1.3. Advance equality of opportunity between persons who share a relevant² protected characteristic and persons who do not share it.
 - 1.4. Foster good relations between persons who share a relevant protected characteristic and persons who do not share it.
 - 1.5. Durham University is committed to embracing diversity and is actively implementing the requirements of the Equality Act. We have a strong history of promoting and maintaining an inclusive work and study environment which enables all members of our University community to achieve their full potential. Amongst many initiatives, our excellent disability service, clear HR policies and effective team working across the University have seen steady progress on the institution's key diversity objectives.
- 1.6. It is a requirement of the REF2014 that each submitting institution establishes a **Code of Practice** on the selection of staff for REF2014 submissions. A summary of the equality legislation with which institutions have to comply generally, and which they should take into account when preparing REF2014 submissions is given in Annex I.

¹ The public sector equality duty of the Equality Act came into force in April 2011.

² In this context a 'relevant' protected characteristic is one other than marriage and civil partnership

1.7. As an employer, a public body and a submitting institution, Durham University has established this **Code of Practice** to ensure that when preparing its REF2014 submission there is a fair and transparent selection of eligible staff, thereby promoting equality, avoiding discrimination and complying with legislation. The **Code of Practice** will be applied through the REF management and advisory structures to ensure that our selection procedures do not discriminate unlawfully against any individuals covered by the equality legislation³ and regulations.

1.8. Through its general policies and practices, Durham University recognises that fixed term employees and part-time workers have the right not to be treated any less favourably than comparable Durham employees on open and /or full time contracts. This Code of Practice binds those taking decisions about the REF submission to operate in accordance with existing policy and practice according to the relevant regulations⁴. Details of how Durham supports fixed term and part time staff, in relation to equality and diversity is included within this Code at Section 5.

- This Code of Practice sets out the approach that will be taken by Durham University in the preparation of its REF2014 submission. Sections 2 to 8 below give details of:
- Basic Principles, including the development of the Code of Practice;
- The REF2014 Management & Advisory Group Structure adopted;
- The process that will be used to develop the REF2014 submission;
- The criteria for the selection and inclusion of staff in the REF2014 submission;
- The appeals process operating in line with the Code of Practice;
- The implementation of this Code of Practice, including communication and training in support of compliance with the Code;
- The mechanisms to be used for monitoring the impact of the REF2014 submission exercise on groups covered by equality legislation (impact assessment).

1.9. Durham University acknowledges and welcomes both the requirement for the publication of all submitting institutions' Codes of Practice as part of their submissions after the conclusion of the REF2014 and the funding bodies' plan to undertake an evaluation of the Codes of Practice after the REF has concluded.

³ Equality Act 2010

⁴ Part-time Workers (Prevention of Less Favourable Treatment) Regulations 2000
Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002

2. Basic principles

- 2.1. Submissions to REF2014 are, by definition, collective responses to the requirements of the Main Panels and Sub-Panels. This Code of Practice concerns the selection of individual staff as part of the collective.
- 2.2. In determining our REF2014 submission strategy the University will be mindful of the Durham University Strategy 2010-2020: Research and the underpinning objectives: <http://www.dur.ac.uk/research/strategy/>
- 2.3. The primary consideration underpinning REF2014 decision making will be to ensure that the **University's** submission to REF2014 delivers the best outcomes for the University as a whole giving a balance of financial and reputational benefit. This consideration will be applied consistently and will take into account University strategy and the Guidance for REF Submissions.
- 2.4. Through this Code of Practice Durham University will apply the principle of equality of opportunity across the institution and ensure that all relevant legislation is considered as part of the decision making processes associated with making our REF2014 submission.
- 2.5. Implementation of the Code of Practice will be transparent and consistent across the institution. To ensure this, the Code will be made available in writing to all academic staff across the institution and this circulation will include individuals absent from the workplace. Training, which builds on existing Diversity and Equality training, will be delivered to all individuals involved in making decisions leading to the REF2014 submission and made available to those working in an advisory capacity. Further details of the communication protocol and training delivered in support of this Code are given in section 7.
- 2.6. This Code of Practice has been developed through appropriate University mechanisms including the REF Structure, Diversity and Equality Advisory Group (DEAG), Union consultation, approval by University Executive Committee and Senate.
- 2.7. The efficacy of the Code will be assessed at appropriate intervals throughout its operation. This will include an equality impact assessment on the policy and procedures for selecting eligible staff for the REF. Further details of the impact assessment are given in section 8.

3. REF2014 Management & Advisory Structure

- 3.1. In October 2011, Durham University introduced a REF2014 Management & Advisory structure which will support the REF2014 submission development process through the final 24-month period of detailed preparation and decision making prior to November 2013.
- 3.2. The structure comprises a REF Steering Group, REF Management Group, REF Advisory Group and REF Technical Group. Details of the membership and terms of reference for all four groups have been approved by Research Committee (16 June 2011), UEC (27 September 2011), reported to Senate (10 October 2011) and are given in Annex II.
- 3.3. The various roles of individuals in the REF selection process are recognised. There are three distinct roles:
- those who are advising (i.e. Heads of Department, Directors of Research and other senior staff),
 - those who are making recommendations (i.e. the REF Management Group) and
 - those who are making decisions on the submission (i.e. the REF Steering Group).
- 3.4. The REF Steering Group will make final decisions on the REF Submission, on the basis of recommendations presented by the REF Management Group.

4. Process for developing the REF2014 submission

- 4.1. The University will develop its REF2014 submission in the light of the published **REF Assessment Framework and Guidance on Submissions (REF02.2011)**, and the **Panel Criteria and Working Methods. (REF01.2012)**
- 4.2. Individual Academic Departments are expected to develop draft submissions⁵, for consideration at Faculty and University level, supported and assisted by the REF Management & Advisory Structure as appropriate. These draft submissions are designed to give as comprehensive a picture as possible to inform the development of Durham University's submission strategy during 2012.

⁵ Durham University used a series of REF Readiness Exercises ending April 2012, November 2012 and May 2013 before finalisation of the submission in November 2013. Details at <https://www.dur.ac.uk/research.office/local/ref/preparation/>

4.3. The REF Management Group will review each of the draft submissions and subsequent updates thereof make recommendations to the REF Steering Group relating to the University's REF2014 submission, including

- the mapping of Departments and individuals to REF Units of Assessment
- the content of returns REF1 to REF5 for each Unit of Assessment.

Departments will be invited to comment on the recommendations of the REF Management Group and subsequent iterations thereof.

4.4. The REF Management Group will make its recommendations on the basis of information provided by Departments following the basic principles articulated in section 2 above, and the criteria set out in paragraphs 5.1 to 5.9 in this Code of Practice.

4.5. The REF Steering Group will **review, modify and ratify** the recommendations of the REF Management Group. The Vice Chancellor will be the final arbiter.

5. Criteria for Selection of Staff for inclusion in the REF2014 Submission

5.1. The University's overall performance will be addressed through strategic and tactical decisions which will be informed by data gathered through the REF Readiness Exercises⁵ and other information provided by individuals, Departments and Faculties leading up to the final submission. To inform decision-making the REF Management Group will request updates to each draft submission at regular intervals between July 2012 and November 2013.

5.2. The decision on whether to include a member of eligible staff in the submission will be made on the combined grounds of the quality of their research outputs and their contributions to impact and environment bearing in mind the relevant REF panel criteria and the need for a balanced submission.

5.3. The submission or non-submission of a member of staff to the REF will be a strategic decision based on University-wide outcomes. The REF2014 submission will have no HR implications for the staff members who are not included.

5.4. It is acknowledged, and must be demonstrated in practice, that Departmental, Faculty and University processes for the development of the REF submission are kept separate from routine human resource or staff management processes such as probation, Annual Staff Reviews, promotion rounds and performance

management. Guidance on implementing this separation in practice will be provided to Heads of Faculty and Heads of Department by the Director of Human Resources.

5.5. In making its recommendation, the REF Management Group will consider the following:

- Relevant guidance set out in ***Assessment Framework and Guidance on Submissions (REF02.2011)***
- Discipline-specific circumstances and other relevant statements given in the ***Panel Criteria and Working Methods (REF 01.20112)***
- Evidence provided by the individual as appropriate

5.6. Where the volume of research outputs of an individual has been limited or constrained by special circumstances, the REF Management Group will recommend whether or not to include the member of staff in the submission. In making their recommendation the REF Management Group will consider the quality of the available research outputs, and contributions to impact and environment and the REF Guidance. An indicative list of circumstances which will be taken into account is given in Annex II. The process for collecting individual staff circumstances information is set out at Annex III.

5.7. Where it is decided to return staff whose volume of research output has been affected by special circumstances, the REF2014 Staff Disclosure Form⁶ will be completed with full involvement of the individual to describe those circumstances as part of the submission. Where the initial recommendation of the REF Management Group is not to return staff, the individuals concerned will be asked whether there are any as yet undisclosed special circumstances that might justify a reduction in the number of outputs before a final decision is taken on whether or not to return them. Information will be handled in line with Data Protection Act requirements. Further details on the process of gathering this information is at Annex III.

5.8. Only the types of circumstance set out in the indicative list at Annex II will be accepted as the basis for submission with fewer than four outputs. In line with the assessment criteria, academic and academic-related duties which may be reasonably expected of the post holder, including teaching and administrative duties, will not be regarded as sufficient reason for the submission of fewer than four outputs.

5.9. Staff on fixed term contracts and in post on the census date will be considered for inclusion alongside, and using the same criteria as for staff on non-fixed term contracts.

5.10. Staff on part time contracts and in post on the census date will be considered for inclusion alongside, and using the same criteria as for staff on full time contracts.

⁶ See links under Individual Staff Circumstances Disclosure <http://www.ecu.ac.uk/documents/ref-materials>

- 5.11. A report on how the University's submission strategy is applied to each UOA, including the inclusion or non-inclusion of individuals, will be provided to the Faculties by the REF Management Group. Faculty staff will meet with Heads of Department/Directors of Research and Heads of Department/Directors of Research will be responsible for providing feedback to individual members of staff.
- 5.12. Individuals will have the right to appeal as described in Section 6 and Annex IV.

6. Appeals

- 6.1. Each individual will be offered the opportunity to appeal should the University decide not to return that individual's outputs to REF2014. Details are given in Annex IV.
- 6.2. The appeals procedure will operate at University level with the REF Steering Group being the final arbiter.
- 6.3. The appeals procedure will involve a panel of up to five senior academic staff members from across the University who have not been involved in the original recommendations and/or advisory processes at Departmental or Faculty level. (see Section 3)

7. Communication & Training in support of Code of Practice

- 7.1. All members of staff involved in advising, making recommendations and decisions for the final REF submission, as described in Section 3, are required to :
- Read this Code of Practice
 - Refresh their knowledge by completing the existing online training package on Equality and Diversity if they have not done so within the last year.
 - Build on any previous Equality and Diversity training by undertaking further Equality and Diversity training specifically targeted at the Equality and Diversity elements of the REF.
 - A register of those completing the training will be kept and alternative arrangements will be made for those unable to attend training and briefing sessions.
- 7.2. Decisions will be informed by the current legislative context and the University policies on Diversity and Equality.

7.3. Communication of the Code of Practice to all members of staff will be via:

- Dedicated REF webpages
- A copy being lodged in all Academic Departments and with all members of the REF Management and Advisory Structure
- Regular updates via internal communication channels such as the Vice Chancellor's Bulletin, dedicated REF updates etc.
- Other communication routes as appropriate.

8. Impact Assessment

8.1. The REF Technical Group will oversee the monitoring and assessment of the impact of decisions with reference to the protected characteristics covered by the Equality Act 2010.

8.2. This monitoring and assessment will be supported by the REF Manager and Diversity and Equality Adviser. It will make use of all relevant data including analysis of data held in the University's staff records and information provided by the staff members themselves.

8.3. The rationale for all decisions made with respect to individual members of eligible staff will be recorded.

8.4. Impact assessments will be carried out as part of the analysis of the REF Readiness Exercise in the period May-July 2012⁷ and in the Autumn of 2013 using the data for the final submission.

9. Further information

9.1. Further information on equality matters and the legislation underpinning this Code of Practice can be found as follows:

- University webpages covering Diversity and Equality
<http://www.dur.ac.uk/diversity.equality/policy/>
- REF Equality Briefing and other HEFCE advice <http://www.hefce.ac.uk/research/ref/equality/>
- ECU Guidance <http://www.ecu.ac.uk/our-projects/REF>

⁷ REF Readiness Exercise: October 2011- April 2012.

Annex I: Extract from REF Assessment Framework and Guidance on Submissions (REF02.2011)

Table 2: Summary of equality legislation

<p>Age</p>	<p>All employees within the higher education sector are protected from unlawful age discrimination in employment under the Equality Act 2010 and the Employment Equality (Age) Regulations (Northern Ireland) 2006. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group. (These provisions in the Equality Act 2010 are partially in force, but should be fully in place by April 2012.)</p> <p>Age discrimination can occur when people of a particular age group are treated less favourably than people in other age groups. An age group could be for example, people of the same age, the under 30s or people aged 45-50. A person can belong to a number of different age groups.</p> <p>Age discrimination will not be unlawful if it is a proportionate means of achieving a legitimate aim. However, in the context of the REF, the view of the funding bodies is that if a researcher produces excellent research an HEI will not be able to justify not submitting them because of the their age group.</p> <p>It is important to note that early career researchers are likely to come from a range of age groups. The definition of early career researcher used in the REF (see paragraph 85) is not limited to young people.</p> <p>HEIs should also note that given developments in equalities law in the UK and Europe, the default retirement age will be abolished from 1 October 2011 in England, Scotland, Wales and Northern Ireland.</p>
<p>Disability</p>	<p>The Equality Act 2010, the Disability Discrimination Act (1995) (Northern Ireland only) and the Disability Discrimination (Northern Ireland) Order 2006 prevent unlawful discrimination relating to disability. Individuals are also protected if they are perceived to have a disability or if they are associated with a person who is disabled, for example, if they are responsible for caring for a disabled family member.</p>

A person is considered to be disabled if they have or have had a physical and/or mental impairment which has 'a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities'. Long-term impairments include those that last or are likely to last for at least 12 months.

Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities.

The definition of disability is different in Northern Ireland in that a list of day-to-day activities is referred to. There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people, not individuals, carry out on a daily or frequent basis.

While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:

- sensory impairments
- impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy
- progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer
- organ-specific impairments, including respiratory conditions and cardiovascular diseases
- developmental impairments, such as autistic spectrum disorders and dyslexia
- mental health conditions such as depression and eating disorders
- impairments caused by injury to the body or brain.

It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.

Equality law requires HEIs to anticipate the needs of disabled people and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a disabled researcher's impairment has affected the quantity of their research outputs, they may be submitted with a reduced number of outputs (see paragraphs 90-100 and the panel criteria).

<p>Gender reassignment</p>	<p>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect from discrimination trans people who have proposed, started or completed a process to change their sex. Staff in HE do not have to be under medical supervision to be afforded protection because of gender reassignment and staff are protected if they are perceived to be undergoing or have undergone gender reassignment. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.</p> <p>Trans people who undergo gender reassignment will need to take time off for appointments and in some cases, for medical assistance. The transition process is lengthy, often taking several years and it is likely to be a difficult period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole.</p> <p>The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a transsexual may commit a criminal offence if they pass the information to a third party without consent.</p> <p>Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care.</p> <p>Staff whose ability to work productively throughout the REF assessment period has been constrained due to gender reassignment may be submitted with a reduced number of research outputs (see paragraphs 90-100, and the panel criteria). Information about the member of staff will be kept confidential as described in paragraph 98.</p>
<p>Marriage and civil partnership</p>	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 as amended, individuals are protected from unlawful discrimination on the grounds of marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and treatment in employment. The protection from discrimination does not apply to single people.</p> <p>In relation to the REF HEIs must ensure that their processes for selecting staff do not inadvertently discriminate against staff who are married or in civil partnerships.</p>

<p>Political opinion</p>	<p>The Fair Employment and Treatment (Northern Ireland) Order 1998 protects staff from unlawful discrimination on the grounds of political opinion.</p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their political opinion.</p>
<p>Pregnancy and maternity</p>	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 women are protected from unlawful discrimination related to pregnancy and maternity.</p> <p>Consequently researchers who have taken time out of work or whose ability to work productively throughout the assessment period because of pregnancy and/or maternity, may be submitted with a reduced number of research outputs, as set out in paragraphs 90-100 and in the panel criteria documents.</p> <p>In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process.</p> <p>For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.</p>
<p>Race</p>	<p>The Equality Act 2010 and the Race Relations (Northern Ireland) Order 1997 protect HEI staff from unlawful discrimination connected to race. The definition of race includes colour, ethnic or national origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race.</p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their race or assumed race (for example, based on their name).</p>
<p>Religion and belief including non-belief</p>	<p>The Equality Act 2010 and the Fair Employment and Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination to do with religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief.</p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF</p>

	<p>submissions based on their actual or perceived religion or belief, including non-belief. 'Belief' includes any structured philosophical belief with clear values that has an effect on how its adherents conduct their lives.</p>
<p>Sex (including breastfeeding and additional paternity and adoption leave)</p>	<p>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect HEI staff from unlawful discrimination to do with sex. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex.</p> <p>The sex discrimination provisions of the Equality Act explicitly protect women from less favourable treatment because they are breastfeeding. Consequently the impact of breastfeeding on a women's ability to work productively will be taken into account, as set out in paragraph 90-100 and the panel criteria documents.</p> <p>From 3 April 2011, partners of new mothers and secondary adopters will be entitled to up to 26 weeks of additional paternity and adoption leave. People who take additional paternity or adoption leave will have similar entitlements to women on maternity leave and barriers that exist to taking the leave, or as a result of having taken it, could constitute unlawful sex discrimination. Consequently researchers who have taken additional paternity and adoption leave may be submitted with a reduced number of outputs, as set out in paragraphs 90-100 and in the panel criteria documents.</p> <p>HEIs need to be wary of selecting researchers by any criterion that it would be easier for men to comply with than women, or vice versa. There are many cases where a requirement to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women.</p>
<p>Sexual orientation</p>	<p>The Equality Act 2010 and the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003 protect HEI staff from unlawful discrimination to do with sexual orientation. Individuals are also protected if they are perceived to be or are associated with someone who is of a particular sexual orientation.</p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their actual or perceived sexual orientation.</p>
<p>Welsh</p>	<p>The Welsh Language Act 1993 places a duty on public bodies in Wales to treat</p>

Language	<p>Welsh and English on an equal basis. This is reinforced by the provisions of the Welsh Language (Wales) Measure 2011.</p> <p>The arrangements for the assessment of outputs in the medium of Welsh by the REF panels are set out in paragraphs 128-130.</p>
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Annex II: Indicative list of special circumstances, which will be taken into account, is for reduced outputs.

Below is a summary of the *Panel Criteria and Working Methods (REF 01.2012)* paragraphs 63-91 which replaced paragraphs 88-95 of the *Assessment Framework and Guidance on submissions (REF 02.2011)*

Circumstances with a clearly defined reduction in outputs are:

1. Qualifying as an early career researcher
2. Absence from work due to working part-time, secondments or career breaks
3. Qualifying periods of maternity, paternity or adoption leave
4. Other circumstances that apply in UOAs 1-6
 - a. Category A staff who are junior clinical academics
 - b. Category C staff who are employed primarily as clinical, health or veterinary professionals and whose research is primarily focused in the submitting unit.

The circumstances above are clear and individuals will be assessed on the reduced number of outputs without penalty.

Complex circumstances that require a judgment about the appropriate reduction in outputs include:

- i. Disability
- ii. Ill health or injury
- iii. Mental health conditions
- iv. Constraints relating to pregnancy, maternity paternity, adoption or childcare that fall outside of , or justify the reduction of further outputs in addition to, other allowances
- v. Other caring responsibilities (such as caring for an elderly or disabled family member)
- vi. Gender reassignment
- vii. Other circumstances relating to the protected characteristics defined in the Equality Act 2010 and listed in Annex 1

For complex circumstances, there is no facility to gain agreement on acceptable reductions in outputs prior to the final submission to REF2014 and therefore a rationale must be provided alongside the submission. The rationale will be considered by the REF2014 Equality and Diversity Advisory Panel (EDAP) and EDAP will make recommendations on the appropriate reduction in outputs that can be considered without penalty. If the EDAP recommendation is not to accept the reduction in part or in full, the “missing outputs” will be automatically graded unclassified.

Annex III: Process for collecting information about individual staff circumstances

In line with the REF 2014 Guidance, staff with clearly defined or complex individual circumstances (See Annex II above) have the **option** to submit fewer than four research outputs. If an individual submitting to REF wishes to exercise this option, completion of the REF2014 Staff Disclosure Form will be required and this will be returned as part of the REF submission. The procedure for this is set out below.

1. For the REF Readiness Exercise (November 2011 – April 2012), minimal data will be collected in the form of a reduction in the suggested number of outputs and a generic note indicating that individual staff circumstances apply.
2. No detail is required at this stage but basic information is required to inform the University's submission strategy and give an indication of the numbers of staff requesting reductions in outputs.
3. It is recognised that staff circumstances can change and that requests for reductions in outputs may occur throughout the REF preparations.
4. Following the REF Readiness Exercise and development of the University's submission strategy for REF, the REF2014 Staff Disclosure Form will be made available to staff who wish to request a reduction in outputs.
5. The REF2014 Staff Disclosure Forms will be returned to the University's REF Manager who will review them with the support of a small panel convened for the process and provide feedback on content. Forms will be anonymised for review. The rationale will need to be as strong as possible to mitigate the risk of it not being accepted in part or in full by the relevant REF Sub-Panel. Data provided will be verified using internal and external sources as required.
6. Completed REF2014 Staff Disclosure Forms will be used internally by the REF Steering Group and information provided will be returned to HEFCE as part of the REF Submission. Completion of the form will be taken as permission to use the information for REF purposes.
7. Details of individual staff circumstances will be stored securely, will be treated as confidential and only disclosed within Durham University (e.g. to Occupational Health) with the permission of the individual concerned.

Annex IV: Appeals Procedure for REF2014

Grounds for Appeal

The appeals process documented here relates to a discrete procedure pertaining solely to the selection of staff for submission to REF2014. Decisions on the University's submission will be made by the REF Steering Group on the recommendation of the REF Management Group, and appeal is against the REF Steering Group decision.

Appeals can be made on the grounds of:

- The appropriate staff selection procedures as set out in this Code of Practice not being followed.
- The recommendation not to submit the individual member of staff was made without all the relevant information being made available.

There will be no appeal against the academic assessment of outputs.

In line with the REF assessment criteria, academic and academic-related duties which may be reasonably expected of the post holder, including teaching and administrative duties will not be regarded as sufficient grounds for appeal.

Appeals Panel

This will be convened if the need arises and will comprise:

Deputy Vice Chancellor (Chair)

Five senior professors from across the University who have not been involved in other REF2014 preparations or decisions

Appeals procedure

1. An individual who wishes to have their recommendation for selection for the REF reviewed must write to the REF Manager clearly stating their reasons within two weeks of being informed of the decision.
2. This request will be referred to a specially convened Panel of senior academic staff who have not been involved in the original recommendation at either Departmental or Faculty level.
3. It is expected that most matters will be considered by written representation, although an appeal can be heard in person if preferred by the Panel.
4. Should a Panel need to meet an individual, the individual may be accompanied by a work colleague or trade union representative.
5. The Panel can either uphold the original decision or can refer the request for review back to the REF Steering Group for their reconsideration, with any additional relevant information. The outcome of the Appeals Panel will be relayed to the individual within one week.
6. There will be no further right of appeal under this REF2014 Appeals Procedure against the decision taken by the Appeals Panel nor, if a case is referred back to a REF Steering Group, against its final decision.
7. For any matters not resolved by the process outlined above, normal University procedures for raising and resolving issues are available.

Annex V: Membership and Terms of Reference for REF2014 Management & Advisory Structure

Summary

Under arrangements for the management and oversight of Durham University's REF2014 submission, we have established a REF Steering Group, a REF Management Group, a REF Advisory Group, and a REF Technical Group, which together form the **REF2014 Management & Advisory Structure**.

The Durham University REF2014 arrangements have been confirmed via Research Committee (June 2011), UEC (September 2011) and Senate (October 2011) and have been communicated to the University through these groups.

Details of the membership and Terms of Reference of each Group of the **REF2014 Management & Advisory Structure** are given in the Appendix.

Dates of the meetings of each Group, with minutes and action points, are maintained by the Research Office.

The structure and processes will include development, adoption and assessment of an appropriate **Code of Practice** to oversee the University submission, which will cross reference as appropriate, with details of:

- The REF2014 management structure adopted;
- The REF2014 submission strategy and principles employed to develop the submission;
- The criteria for the inclusion of staff in the submission, including a procedure for identifying staff allocation to UOAs and an appeals process;
- Training and communication in support of the REF2014 submission and selection;
- Additional resources in support on the planning and delivery of the submission;
- As appropriate, the mechanism to be used for monitoring the impact of the exercise on groups covered by equality legislation.

Principles

In determining the REF submission strategy the relevant Groups of the **REF2014 Management & Advisory Structure** will be mindful of the Durham University Strategy 2010-2020: Research and the underpinning objectives: <http://www.dur.ac.uk/research/strategy/>

The primary consideration underpinning REF2014 decision making will be to ensure that the **University's** submission to REF2014 delivers the best outcomes for the University as a whole giving a balance of financial and reputational benefit. This consideration will be applied consistently and will take into account University strategy and the Guidance for REF Submissions.

REF2014 Management & Advisory Structure

The management and advisory structure will support the REF2014 planning and submission process through the final period of detailed preparation and decision making.

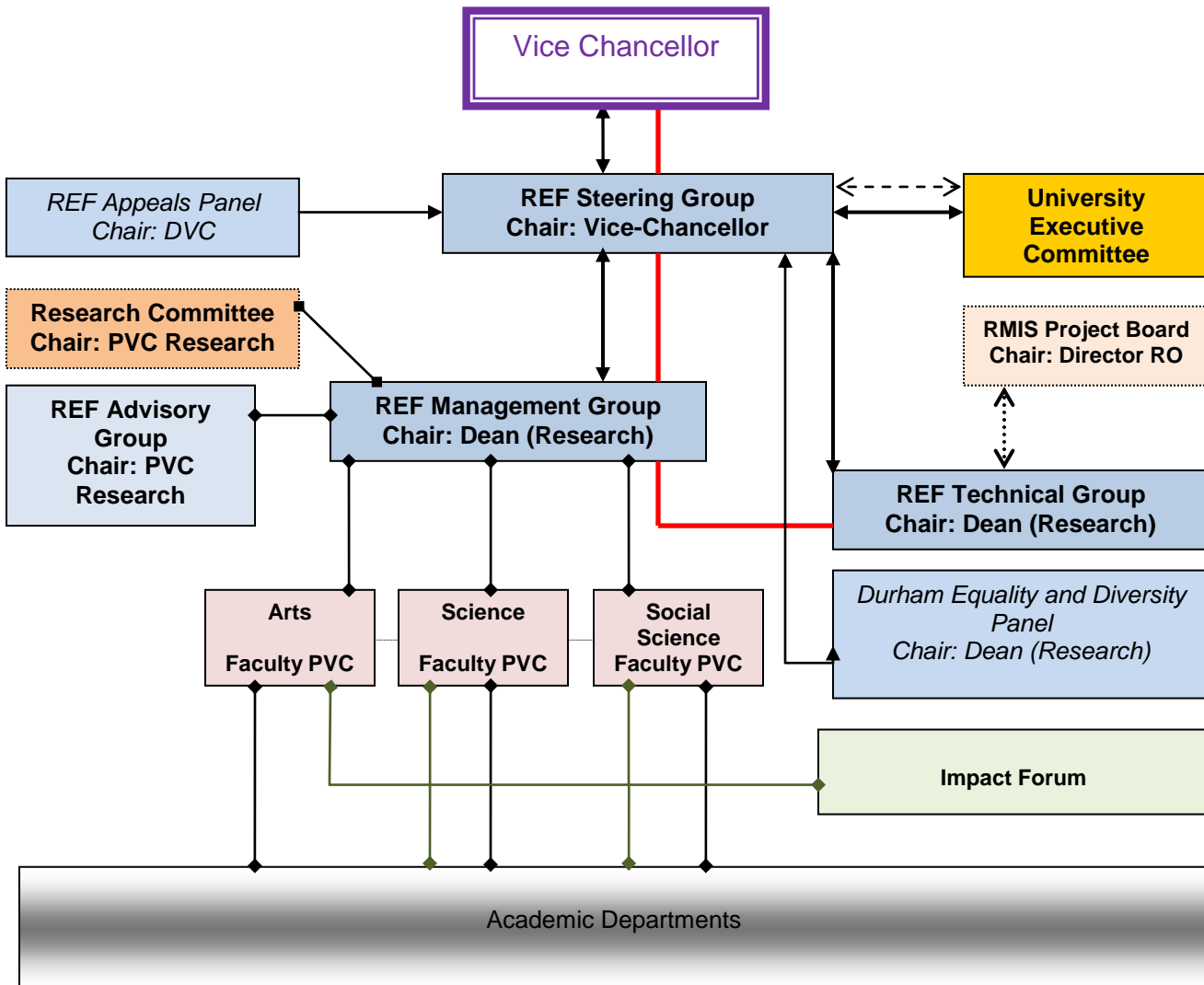
The structure comprises a REF Steering Group, REF Management Group REF Advisory Group, and REF Technical Group. The Vice Chancellor will be the final arbiter.

Details of the membership and terms of reference for all four groups are attached.

Following publication of *HEFCE's REF Assessment Framework and Guidance on Submissions (REF02.2011) and Panel Criteria and Working Methods (REF01.2012)*, the planning and process for developing the REF2014 submission will be articulated and codified, in light of these publications

Diagram: REF2014 Management & Advisory Structure

- Data
- \longleftrightarrow Reporting per REF2014 Management Structure
- \blacklozenge Advisory relationship and information flow
- $\langle \cdots \rangle$ Reporting for Research Administration Systems developments (*beyond REF2014*)
- $\langle - - - \rangle$ Reporting via formal committee



Membership and Terms of Reference for REF2014 Management Structure

REF Steering Group

Membership

Vice-Chancellor (Chair)
PVC Research
Dean (Research)
Director Research Office

Secretarial and Administrative support:

REF Manager

Terms of Reference:

The REF Steering Group will report to UEC and Council. On behalf of UEC, it will have responsibility for the submission strategy and management of the planning and preparation of the University's REF2014 submission.

The REF Steering Group will be advised and supported by the REF Management Group..

During the period October 2011 to December 2013, the REF Steering Group, with appropriate input and support, will:

- Via the REF Management Group, oversee the REF planning and preparation;
- Oversee the compilation of the draft and final REF submissions;
- Oversee the work of the REF Technical Group;
- Have responsibility for final decisions on
 - which Units of Assessment the University submits to
 - the content of the submission for each Unit of Assessment
 - any other matters regarding the submission, dependant on the relevant HEFCE guidance and criteria, which will impact materially on expected University performance in REF2014 in terms of reputation and resource;
- Ensure implementation of the **HEFCE Equality & Diversity Scheme 2012-2014 (HEFCE January 2012/03.)**

REF Management Group

Core Membership

Dean (Research) (Chair)
Deputy Head of Faculty Research (Arts)
Deputy Head of Faculty Research (Social Sciences & Health)
Deputy Head of Faculty Research (Science)
Director of Research Office

Extended membership

Faculty PVCs
Other Senior Officers (*as appropriate*)

Secretarial and Administrative support:

REF Manager

Terms of Reference:

The core (current) members of the REF Management Group are Research Committee members. In addition, the extended membership enables the involvement of other Senior Officers of the University, including Faculty PVCs. The Management Group's role is to work with and support Departments in developing their REF submissions (and to support the REF Steering Group, in line with the University's submission strategy. The REF Management Group will seek advice and support as appropriate from the REF Advisory Group,

The Management Group will meet at regular intervals and will report to Research Committee and the REF Steering Group.

The REF Management Group will include Faculty PVCs and Senior Officers (as appropriate) in order to meet its responsibilities and carry out its role, as set out in the REF2014 Management Structure, and to support the REF Steering Group in discharging its responsibilities.

During the period October 2011 to December 2013, the REF Management Group will:

- Oversee and manage the planning and preparations for the REF2014 submission
- Provide advice on which Units of Assessment the University submits to, with an articulated rationale in line with the submission strategy
- Have responsibility for the content of the submission for each Unit of Assessment and for each element of the submission i.e. outputs, impact and environment

- Review draft submissions and provide advice, guidance and feedback to departments, with appropriate support from the REF Advisory Group, for each element of the submission i.e. outputs, impact and environment
- Provide regular advice and information to the REF Steering Group, on matters relating to the submission development
- Determine other mechanisms and resources required to support submission preparation e.g. impact champions and resources
- Oversee and advise on other decisions regarding the submission, dependant on the relevant guidance and criteria

REF Advisory Group

Core Membership

PVC Research (Chair)
Dean (Research)
Deputy Head of Faculty Research (Arts)
Deputy Head of Faculty Research (Social Sciences & Health)
Deputy Head of Faculty Research (Science)

Extended membership:

REF2014 Panel members

And by invitation:

Research Committee members
Heads of Department and Directors of Research
Others e.g. impact champions

Secretarial and Administrative support:

REF Manager

Terms of Reference:

The core members of the REF Advisory Group are members of the REF Management Group (and Research Committee members). The membership allows for the **involvement of other senior members of our academic community**, and will include individuals who have a role as a REF panel member. It is envisaged that the Advisory Group will have appropriate modes of operation to allow for consideration of general issues affecting all submissions.

The Advisory Group's role is to work with and support Departments in developing their REF submissions, and to advise the REF Management Group.

During the period October 2011 to December 2013, the REF Advisory Group will:

- Provide advice and information to the REF Management Group as necessary
- Review draft submissions, as necessary, and provide advice, guidance and feedback to departments
- Spread good practice, information and intelligence

REF Technical Group

Membership

Director of Research Office (Chair)

Dean (Research)

REF Manager, Research Office

Deputy Director of Human Resources and other HR Representative(s) as appropriate for each meeting

Student Statistics Officer, Academic Office

Director of Financial Planning and Reporting,

Strategic Support Officer, Strategic Planning and Change Unit

Director of University IT to nominate CIS Representative(s) as appropriate for each meeting

University Librarian to nominate Library Representative(s) as appropriate for each meeting

Secretarial and Administrative support:

Member of Research Office

Terms of Reference:

The REF Technical Group's role is to ensure that the University's management information and IT systems support the planning and preparation of our REF submission. **Given the critical nature of this element**, for the period from June 2012 to December 2013, the Group will report to the REF Steering Group. The REF Technical Group will:

- Oversee the development of management information and data systems and processes as necessary *throughout the period and in line with CIS security requirements*
- Oversee and drive the development and population of the outputs database and environment metrics
- Have responsibility for provision of accurate and complete supporting data for REF2014 submission
- Oversee the interface with the HEFCE REF2014 submission systems
- Oversee the development of other necessary IT systems support