

**THE UNIVERSITY OF GREENWICH CODE OF PRACTICE ON THE PREPARATION OF THE RESEARCH EXCELLENCE  
FRAMEWORK (REF) 2014 SUBMISSION**

**NOVEMBER, 2012**

**Notes**

- The University of Greenwich intends to make a submission to the Research Excellence Framework 2014 (REF2014) that includes research which is of internationally excellent quality or better. For the purposes of the REF, we define research as 'a process of investigation leading to new insights effectively shared'.
- The funding bodies require that each submitting institution develop, document and apply a Code of Practice on staff selection to ensure equality and fairness for staff. Codes of Practice must be submitted to the REF Team on or before 31<sup>st</sup> July, 2012.
- The Research Excellence Framework (REF) Equality and Diversity Advisory Panel (EDAP) will examine these codes of practice prior to the submission deadline.
- The REF Team will publish the Codes of Practice of all submitting institutions at the end of the assessment process.
- This Code of Practice is developed in accordance with guidance provided by the Equality Challenge Unit, with reference to the Equality Act 2010<sup>1</sup>.
- The Code of Practice will be made available to all internal REF contacts who are invited to comment on the codes, reviewed by the R&E Committee REF Subgroup's and Academic Council before sign off by the Vice Chancellor.
- It is a requirement of the REF2014 that as part of the REF submission preparation, internal REF staff members are identified by role in addition to their responsibilities. All roles documented in this version are correct as of June, 2012.
- All internal timelines for the REF preparations can be found at:  
<http://www.gre.ac.uk/research/intranet/ref-2014>

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<sup>1</sup><http://www.ecu.ac.uk/our-projects/REF>

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## Introduction

1. This code of practice for the University's REF2014 submission builds upon good practice during the RAE2008 submission in 2007. The code sets out our management approaches to REF2014 exercise along with clear, transparent, formal policies and procedures for handling the University's REF submission. Procedures are designed in such a way as to discharge the University's legal responsibilities in relation to equal opportunities legislation.
2. The code provides a common framework within which all the University's REF Unit of Assessment (UoA) submissions must be prepared. The code is mandatory and applies to all University staff, committees and management structures (Schools, Departments and Offices) within the University.
3. The code is developed in accordance with The Equality Act 2010<sup>2</sup> to ensure that the University's process in the selection of staff is based on the academic merit of their work on a fair and equal basis and is not informed by personal characteristics or factors such as age, disability, ethnicity, employment status, gender, gender reassignment, marriage and civil partnership, political opinion, race, religion or belief, sexual orientation, socioeconomic status, or other criteria.

## University Approach to REF submissions

4. The assessment period for the REF2014 submission is 1 January 2008 to 31 December 2013, and will be judged under the umbrella of four national main panels with thirty-six expert sub panels (Annex A), formed to deal with one discipline, i.e. 'Unit of Assessment' (UoA). Each submission will be judged in terms of the percentage of research activity that falls in to each of the five grades. The grade system will be used to profile three aspects of research: Outputs<sup>3</sup>, Impact<sup>4</sup> and Environment<sup>5</sup>. The REF2014 will result in an overall quality profile for each UoA submission which is aggregated from the weighted sub-profiles produced for outputs, impact and environment. The *overall UoA profile*, in addition to the *outputs* sub-profile, will consist of five starred levels;

Four star	Quality that is world-leading in terms of originality, significance and rigour.
Three star	Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence.
Two star	Quality that is recognised internationally in terms of originality, significance and rigour.

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<sup>2</sup>[REF 02.2011] <sup>2</sup>Assessment framework and guidance on submissions' para. 190.

<sup>3</sup>[REF 02.2011] <sup>3</sup>Assessment framework and guidance on submissions' para. 21b.

*Details of publications and other forms of assessable output which they have produced during the publication period (1 January 2008 to 31 December 2013). Up to four outputs must be listed against each member of staff included in the submission.*

<sup>4</sup>[REF 02.2011] <sup>4</sup>Assessment framework and guidance on submissions' para. 21c.

A completed template describing the submitted unit's approach during the assessment period (1 January 2008 to 31 July 2013) to enabling impact from its research, and case studies describing specific examples of impacts achieved during the assessment period, underpinned by excellent research in the period 1 January 1993 to 31 December 2013

<sup>5</sup>[REF 02.2011] <sup>5</sup>Assessment framework and guidance on submissions' para. 21e.

A completed template describing the research environment, related to the period 1 January 2008 to 31 July 2013

One star	Quality that is recognised nationally in terms of originality, significance and rigour.
Unclassified	Quality that falls below the standard of nationally recognised work. Or work which does not meet the published definition of research for the purposes of this assessment.

The *impact* sub profile will consist of the following five starred levels;

Four star	Outstanding impacts in terms of their reach and significance.
Three star	Very considerable impacts in terms of their reach and significance.
Two star	Considerable impacts in terms of their reach and significance.
One star	Recognised but modest impacts in terms of their reach and significance.
Unclassified	The impact is of little or no reach and significance; or the impact was not eligible; or the impact was not underpinned by excellent research produced by the submitted unit.

The *environment* sub profile will consist of the following five starred levels;

Four star	An environment that is conducive to producing research of world-leading quality, in terms of its vitality and sustainability.
Three star	An environment that is conducive to producing research of internationally excellent quality, in terms of its vitality and sustainability.
Two star	An environment that is conducive to producing research of internationally recognised quality, in terms of its vitality and sustainability.
One star	An environment that is conducive to producing research of nationally recognised quality, in terms of its vitality and sustainability.
Unclassified	An environment that is not conducive to producing research of nationally recognised quality.

5. The University will promote an inclusive environment when identifying eligible staff with a research, or research and teaching contract, so as to carefully consider variations of approach when deciding which research outputs to submit to which UoA. Eligible academic and research staff will be identified by the HR office and will be validated against the University's annual individualised staff return provided by the Higher Educational Statistics Agency (HESA). The process of selecting each staff member and UoA will be a formal part of our preparation process.
6. In the event of a joint submission with a partner institution, principles set out in this code of practice will apply when conducting the selection of research staff employed at the University of Greenwich. It is expected the University with the highest proportion of FTE will be identified as the UoA lead in terms of management. Data for the joint submission will be submitted separately by each institution.
7. The University has identified two distinct aims of the REF2014 and are as follows: a) to achieve REF income; b) within the constraint of (a), to ensure that each UoA overall quality profile represents the University's measurable research capabilities and performance. These aims imply that the University should seek to submit all research which is considered to be internationally excellent or better. Note that where a submission is considered to have a real prospect of achieving REF income by the inclusion of lower graded work, the University reserves the right to include that work.

8. A 'Statement of Intent', Annex B will be formulated for each submission by its REF Unit of Assessment (UoA) Co-Ordinator. Each statement will be used to formulate a Survey of Submission intention in response to HEFCE's request to assist with identification of required resources for the REF assessment, and internally, to establish quality profile targets consistent with the goals stated above in paragraph 7.
9. In seeking to achieve the best possible outcome from REF2014 the University recognises that, in addition to providing the basis for Government funding decisions, the existence of published quality profiles will have other impacts on the University. Profiles will be used by external individuals and organisations to assess the research quality of the University, either generally or in the particular context of contract funding bids. Where appropriate, centres of excellence will be highlighted for the benefit of the submission. It is also likely that funding of PhD students will depend on the number of research doctoral degrees awarded in each academic year; 1 August 2008 to 31 July 2013.
10. Subject to paragraph 9 above, the University will not normally submit work which is not reliably recognised as internationally excellent, neither will it submit work which does not clearly meet the REF2014 published guidance[REF 02.2011] <sup>6</sup>*Assessment framework and guidance on submissions*'.
11. A process of expert review will be conducted with discipline-based external experts, to judge the calibre of research performance within each UoA, to ensure the selection of research activity for the submission is recognised as internationally excellent or better.
12. Research excluded from submissions with high grade point targets which is nevertheless considered to be of international significance may, where appropriate, be submitted in other units of assessment where such work is considered to enhance that submission.

## REF Procedures

13. A timeline for the preparation of the REF2014 as provided by HEFCE is shown in Table 1. There are two main phases of preparation, the first between October and December 2012, the second between January 2013 and 29<sup>th</sup> November 2013. It is intended that all submissions will be substantially completed by the end of October 2013 if not before. Activity after that date will focus on the finalisation of metrics and troubleshooting.
14. On completion of the first **Greenwich REF Assessment Trial 2011 (GREAT 2011)**, the Research and Enterprise Committee agreed that second assessment will take place in the first half of 2012 and referred to as the **Greenwich REF Assessment Trial 2012 (GREAT 2012)**. The GREAT 2012 will be announced with a published timeline. GREAT 2012 will trial the University's Code of Practice to assess its fitness for purpose, paying particular attention to;
  - Transparency
  - Consistency
  - Accountability
  - Inclusivity

Guiding Principles of GREAT 2012 are provided in Annex C.

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<sup>6</sup>[http://www.hefce.ac.uk/research/ref/pubs/2011/02\\_11/](http://www.hefce.ac.uk/research/ref/pubs/2011/02_11/)

15. The aims of GREAT 2012 are:

- a. To provide advance assessment of broad options for the University of Greenwich submission to REF2014
- b. To assess the merits of different submission options against currently available information about the criteria and processes to be used in REF2014
- c. To test the Code of Practice for its effectiveness as part of an impact assessment during GREAT 2012 for the (re)design of internal policies in relation to the University's REF2014 submission, if required
- d. To trial and optimise procedures for:
  - i. Collection of information for REF2014
  - ii. Development of outputs submissions
  - iii. Creation of Impact Case Studies and Impact Statements
  - iv. Creation of submissions regarding the Research Environment at the University of Greenwich
  - v. To provide peer review and feedback on trial submissions including feedback from external advisors

16. REF Phase 1 preparations will include;

- b. Approval of the University Code of Practice
- c. Confirmation of staff eligibility
- d. Provisional mapping of research programmes to REF sub panels
- e. Provisional identification of staff to be included and research to be submitted by REF Unit of Assessment. (Note that this will be refined in Phase 2 as the research portfolio of the University will have evolved between Phase 1 and Phase 2).
- f. External assessor appointed at the discretion of the School Dean to provide advice during planning, and feedback as it is required
- g. Decisions on target profiles for each submission and production of Statements of Intent

17. REF Phase 2 preparations will include;

- h. Preparation of environment statements consistent with target performance of each unit
- i. Determination of impact and case studies consistent with target performance of each unit
- j. Preparation of submission including;
  - i. Final external assessor scrutiny (if necessary)
  - ii. Equality monitoring activity
  - iii. Final decision on staff to be included and research to be submitted
  - iv. Final determination of funding metrics

Roles and responsibilities relating to preparations are given below.

**TABLE 1: HEFCE REF TIMETABLE**

<b>January 2012</b>	Publication of panel criteria and working methods
<b>31 July 2012</b>	Institutions intending to make submissions to the REF submit their codes of practice on the selection of staff
<b>Autumn 2012</b>	Pilot of the REF submissions system
<b>October 2012</b>	Invitation to HEIs to make submissions; invitation to request multiple submissions; and start of survey of submissions intentions
<b>December 2012</b>	Survey of submissions intentions complete and deadline for requests for multiple submissions
<b>January 2013</b>	Launch of submissions systems and accompanying technical guidance
<b>31 July 2013</b>	End of assessment period (for research impacts, the research environment, and data about research income and research doctoral degrees awarded)
<b>Mid 2013</b>	Appointment of additional assessors to panels
<b>31 October 2013</b>	Census date for staff eligible for selection
<b>29 November 2013</b>	Closing date for submissions
<b>31 December 2013</b>	End of publication period (cut-off point for publication of research outputs, and for outputs underpinning impact case studies)
<b>Throughout 2014</b>	Panels assess submissions
<b>December 2014</b>	Publication of outcomes
<b>Spring 2015</b>	Publication of submissions, panel overview reports and sub-profiles

## The Role of University Officers

### 18. Deputy Vice Chancellor (Research & Enterprise)

Ultimate responsibility for the co-ordination of the REF submission and decisions on which staff will be submitted to which units of assessment lies with the Deputy Vice Chancellor (Research & Enterprise), working in consultation with the Vice Chancellor.

### 19. Research Support Manager

The Research Support Manager, based in Greenwich Research & Enterprise (GRE), is responsible for the day to day project management of the University's REF preparations. In conducting this work the Research Support Manager will report to the Director of GRE and will work closely with the Deputy Vice Chancellor (Research & Enterprise). In addition to overall project management, the Research Support Manager will take particular responsibility for;

- a. The provision of general training and support in relation to the REF submission.
- b. Co-ordination of the REF equal opportunities monitoring reports, and equal opportunity training.
- c. The administration of the University's REF Equality and Diversity Panel and REF Appeal panels and procedures dealing with decisions on the selection of staff for the Ref submission.
- d. Co-ordination of contributions from the Finance, Human Resources and Postgraduate Research Offices.

### 20. Director of Research & Enterprise

The Director of Research & Enterprise will oversee the management of the University's REF submission in collaboration with the Research Support Manager.

### 21. School Director of Research/Enterprise

Responsibility for supervising and coordinating the preparation of submissions within a School lies with the School Director of Research/Enterprise (working with the School Dean). The University's code of practice will be brought to the attention of individual School Research Boards by the School Director of Research/Enterprise, who will ensure that the principles of the codes are effectively communicated and understood using the most appropriate means of communication to all staff members within retrospective Schools.

### 22. REF Unit of Assessment (UoA) Co-Ordinators

Each School will identify a REF UoA Co-Ordinator for each intended submission. These will be members of academic or research staff with specialist expertise in a discipline relating to their particular submission. REF UoA Co-Ordinators will be responsible for writing/assembling the submission. A School Director of Research/Enterprise may also act as a REF UoA Co-Ordinator.

### 23. REF Finance Officer

A named REF Finance Officer in the Finance Office will be responsible for assembling all financial information for the REF submissions, cross checking this information with Schools and finalising it for submission in such a way that it is auditable by HEFCE REF Officers on request.

### 24. REF Statistical Analyst

A named REF Statistical Analyst in the Planning and Statistics Office will be responsible for the validation of Higher Education Statistics Agency (HESA) data provided to the University consisting of



postgraduate research degrees awarded for academic years (1 August – 31 July) 2008-09, 2009-10, 2010-11 and 2011-12. Data for 2012-13 will be collated by the REF PGR Officer in collaboration with REF UoA Co-Ordinators for cross checking and finalising with the REF Statistical Analyst. Validation of HESA data provided to the University consisting of research income awarded for academic years (1 August – 31 July) 2008-09, 2009-10, 2010-11 and 2011-12 will be reviewed in collaboration with the REF Finance Officer. Data for 2012-13 will be collated by the REF Finance Officer for cross checking and finalising with the REF Statistical Analyst.

25. REF PGR Officer

A named REF PGR Officer in the Postgraduate Research Office (PGRO) will be responsible for assembling all necessary information on research students, cross checking with Schools and finalising the information for submission.

26. REF Administrators

Each School will identify one named REF Administrator for each UoA. It is anticipated that in most cases a single School REF Administrator will cover all units of assessment that falls under the remit of an individual School. The REF Administrator duties will include but not be limited to; a) ensuring all School REF meetings are accurately recorded, b) inputting all text and other content into REF proformas including all submitted paper details, c) providing support to the REF UoA Co-Ordinators, and to work more generally on REF preparations within the School.

27. REF Human Resources Officer

A named REF HR Officer from the Human Resources Office will be responsible for provision of definitive information on employment status and related issues regarding academic and research staff in the context of the REF. That officer will also compile the equal opportunities analysis as specified in paragraph 61.

28. Human Resources Equality Officer & Diversity Champion

The Equality & Diversity Champion from the Human Resources Department will be responsible for scrutinising the equal opportunity analysis and for providing advice and recommendations on equal opportunities aspects of the REF preparation. The Equality & Diversity Champion will also provide training on equal opportunities issues for those responsible for making recommendations and decisions on selection of staff for submission.

29. REF School Equality & Diversity Champion

Each School will identify one named REF School Equality & Diversity Champion who will be responsible for disseminating information on all matters in regards to equality and diversity, assisting staff (where possible) in understanding how equalities matters may be considered in light of the University's REF submission, and supporting the equal opportunity statement to aid the promotion of an inclusive environment.

30. Individual personal discussions between the REF School Equality & Diversity Champion and staff may contain sensitive issues and are therefore bound by confidentiality requirements at the request of the staff member. Intricate matters should be addressed by the REF School Equality & Diversity Champion in consultation with of the REF Equality & Diversity Champion, once approved by the individual staff member.

31. University Secretary & Registrar

The University Secretary & Registrar will chair the REF Appeals Panel initiated by staff alleging unfair exclusion from the REF submission. Panel membership will consist of the HR Director, Deputy Vice Chancellor; Academic Development, and the Director of the Greenwich Maritime Institute. The REF Appeals Panel will also review appeals submitted by staff in relation to the REF Equality and Diversity Panel recommendations on the reduction(s) of research outputs.

## The Role of the University Committees

32. A central REF Subgroup will be established with members chosen to provide a balance of expertise in evaluating research performance from across the research portfolio of the University coupled with experience of preparing for research assessment exercises at institutional level, while ensuring that leaders of key UoAs in the institution are left free to concentrate on development of submissions in those UoAs. The panel will consist of the Professor Tom Barnes; Deputy Vice Chancellor (Research & Enterprise) as Chair, Dr Martin Davies; Director of Research & Enterprise, Dr Steve Woodhead; School of Engineering, Professor Andrew Lambirth; School of Education, Professor Choi-Hong Lai; School of Computing and Mathematical Sciences, Professor Pat Schofield; School of Health and Social Care, Professor Andrew Westby; Director of the Natural Resources Institute, and Professor Sarah Palmer; Emeritus Professor, Greenwich Maritime Institute. The group will be administered by the Research Support Manager. Officers from Finance, HR and PGRO will be co-opted as and when necessary.
33. A central REF Equality Panel will be established with members who have experience of equality issues and also an understanding of relevant legal matters. The panel will consist of Professor Neil Spiller; Dean of School of Architecture, Design & Construction as Chair, Sarah Greer - Barrister; School of Law as Vice Chair, Dr Linda Burke; Dean of Health and Social Care, Dr Stuart Ashenden; Acting Dean, School of Engineering, the Human Resources Equality Officer & Diversity Champion, and the Research Support Manager. Members of the REF Equality Panel are not permitted to participate in the discussions on staff selection, or hold a dual role as a REF UoA Co-ordinator. Members will be required to sign a confidentiality agreement prior to any commencement of work on the panel.
34. The REF Equality and Diversity Panel will review staff personal circumstances documented in the Individual Staff Circumstances Disclosure Form, Annex D, and will provide a route for staff to share sensitive information that they do not wish to disclose to direct line managers, the REF UoA Co-ordinators, the central REF Subgroup or the central Research & Enterprise Committee.
35. Within each School, Directors of Research, REF UoA Co-ordinators and REF School Equality & Diversity Champions will operate as a team to ensure all academic and research staff members are made aware of the preparations, code of practice, equality and diversity requirements, and statements of intent.
36. Research & Enterprise Committee
- The University Research & Enterprise Committee will advise on all aspects of the preparation for all REF submissions including;
- a. Approving the Code of Practice and statements of intent
  - b. Target setting for REF submissions, where
    - i. target setting will determine research which is defined as internationally excellent or better is submitted, and

- ii. ensuring that the overall submission from the University is optimised, so that the University achieves REF income while at the same time achieving an overall average evaluation for the quality of research at the University of 2.75 or greater where research is internationally recognised.
- c. Reviewing the final REF selection
  - i. the final REF selection will be reviewed against panel criteria guidance for the relevant UoAs as issued by HEFCE.

### 37. REF Subgroup's role

- a. To provide overall academic and administrative oversight of the process
  - i. The REF Subgroup will disseminate REF2014 guidance information to all staff as illustrated in the panel criteria and Assessment framework and guidance on submissions.
- b. To provide feedback at University level to Schools regarding their submissions
  - i. The University will use external assessors to provide impartial feedback in each UoA in which it submits research. Feedback will be transmitted to Schools in each UoA through both 'REF submission evaluation meetings' with School UoA Co-Ordinators and members of School REF subgroups, and written communications.
- c. To make recommendations about which research should be submitted congruent with University strategy
  - i. The University aims to submit research which is rated internationally excellent or better.
  - ii. The University aims to achieve an overall evaluation of 'internationally excellent' or better in each UoA in which submissions are made, taking into account the balance of scoring from 'Outputs', 'Impact' , and 'Environment'.
  - iii. Subject to (i) and (ii) above, the University aims to optimise REF income achieved from each UoA in which it submits.
- d. To evaluate the results of the GREAT 2012 trial and to make recommendations to the Research and Enterprise Committee about options for the REF2014
  - i. The subgroup will have the authority to co-opt other members as necessary
- e. Report to the Research & Enterprise Committee

The subgroup will have the authority to co-opt other members as necessary.

### 38. REF Equality and Diversity Panel's role

- a. Equal opportunities monitoring and assurance
- b. Provision of support to the REF School Equality & Diversity Champions
- c. To review submission of the Individual staff circumstances disclosure forms
  - i. The REF Equality and Diversity Panel will draw upon guidance issued by the Equality Challenge Unit (ECU) to review all individual staff circumstances
  - ii. All panel members will adhere to a strict confidentiality contract when reviewing material submitted for consideration.
- d. To review and recommend to the number of reduction(s) to staff outputs
  - i. The reduction of outputs will be recommended to the REF Subgroup in accordance with specified tariffs set for clearly defined matters identified from complex staff circumstances.
- e. Reports to the REF Subgroup

### 39. School Research Committees

School Research committees will advise on all aspects of the preparation for RAE submissions from the School. They will;

- a. Monitor the progress of preparations in compliance with the University time line (table 1), code of practice and statements of intent.
- b. Monitor equal opportunities issues including ensuring consistent treatment of all academic and research staff.
- c. Ensure that submissions will meet internal deadlines

From June 2012 to July 2013 all School Research Committees should have a standing agenda item considering 'REF2014 Matters'.

### 40. REF Appeals Panel

- a) To consider staff appeals against exclusion from the REF submission
- b) To consider staff appeals against recommendations made by the REF Equality and Diversity Panel
- c) Reports to the REF Subgroup

### 41. Academic Council

This committee will review the University's final REF submission, before sign off by the Vice Chancellor.

## The Role of External Assessors

42. Schools will organise an external assessment of research as part of their phase 1 preparations for the REF2014 submission. External assessors will be approved in collaboration with the R&E Committee REF Subgroup. Appointments of external assessors will be signed off by the Chair of the R&E Committee REF Subgroup. Schools employing external assessors must adhere to the guidance provided in Annex E. External Assessors will assess the quality of research carried out, make recommendations on how the University can optimise its position for the REF2014 assessment, and make recommendations as to which staff should maximise their position to fortify the University's submission. The Terms of Reference for External Assessors are given in Annex E.

43. REF UoA Co-Ordinators are required to use the report of the External Assessor as a source of advice when proposing staff for submission.

44. Note that Schools will also take external advice when preparing their submissions to the GREAT2012 exercise. Normally, external advice for GREAT2012 will be provided by people who are different to the external assessors for Phase 1, but there may be some overlap.

## Training of Staff

45. All those involved in proposing or selecting staff for REF2014 submission will participate in a training session delivered by the University's REF Equality & Diversity Champion supported by the Research Support Manager scheduled for autumn 2012 as part of the overall GREAT 2012 exercise. The training sessions will cover the topics listed in Annex F. Details of all REF workshops and events will be published on the University's [REF web pages](#).

46. REF School Equality Champions and all members of the REF Equality and Diversity Panel are required to participate in equality and diversity training delivered by the University's REF Equality and Diversity Champion supported by the Research Support Manager.
47. Other staff development needs relating to the REF preparation including training for the REF Administrators will be provided and/or organised by the Research Support Manager.

## **Selection of Staff for Submission**

48. All academic and research staff within the University will be considered for submission to the REF using criteria which reflect the aims of the University in entering the REF as stated in paragraph 7.
49. Fixed-term and part-time and Early Career Research staff who are eligible for inclusion in the REF will be reviewed on the same basis, and following the same procedures as other eligible staff, with consideration to the likelihood of output reduction(s).
50. Selection will be a two-stage process following the timeline for the Phase 1/Phase 2 process as described in paragraphs 16 and 17.
51. A review of the University's mock exercise, GREAT 2012, informed the Equality Impact Assessment (EIA) and a communication strategy describing the process for staff selection and time line has been developed (Annex H).
52. The process of staff selection for REF will commence in January 2013, therefore in light of this, the communication strategy will commence in December 2012 where all academic and research staff will be sent an email from the Deputy Vice Chancellor (Research and Enterprise) (including a hard copy to those staff absent from work due to maternity, long term illness and other), outlining the staff selection process and timelines for the REF process, and to inform them about the University's internet pages where all REF news will be made available. These pages will include all University REF contact details roles and responsibilities, University and HEFCE REF timetables and policy documents. Non-confidential information will also be made available on the public pages of the University web site as appropriate.
53. Following approval of the Codes of Practice, the process of staff selection will commence on 1<sup>th</sup> January 2013. On this date:
  - All Academic and Research staff employed by the University as of 1<sup>st</sup> January and who are eligible for inclusion in the REF will be identified from the HR database of the University.
  - The Deputy Vice Chancellor, Research & Enterprise will E-Mail these staff. The E-Mail will announce the start of the selection process for the REF. Staff will be informed that they must familiarise themselves with the Code of Practice for REF, and then complete the REF pro-forma and the Special Circumstances form. Staff will be informed that this information must be provided to the Central Research Office by 12<sup>th</sup> February. The E-Mail will include a link to the relevant section on the University intranet where REF resources are available.
  - The University's Codes of Practice, REF pro-forma, and Special staff Circumstances form will be made available on the University's intranet for downloading. Information regarding eligibility for inclusion in the REF will also be available.

- One week following the E-Mail from the Deputy Vice Chancellor (Research and Enterprise), Heads of Schools will email all academic and research staff in their Schools, repeating the requirement to understand the REF Code of Practice and complete the REF Pro Forma and Special Staff Circumstances form as described above.
- Staff absent from work due to maternity leave, long term illness, or other reasons will be identified from the University HR database. A letter detailing the requirement for familiarity with the Code of Practice and provide the completed REF Pro Forma and Staff Special Circumstances form will be sent to these staff in hard copy. The Code of Practice, a blank REF pro-forma, and a Special Staff Circumstances form will be included with the letter, which will also include links to the relevant part of the University intranet.

This approach will ensure that all academic and research staff who meet the eligibility criteria are aware of the University process for staff selection and have the opportunity to be included.

54. Staff will be required to return the forms described above to the central research support office by the 12<sup>th</sup> February 2013. Staff data will then be verified again with HR records as a second check to ensure that all staff have been given the opportunity to be included in REF.
55. Following this, and by the end of February 2013, the Deputy Vice Chancellor (Research and Enterprise) will email all academic and research staff contacted above (ie those in post with the University at the beginning of January 2013) thanking them for participating in the process and letting staff know that they will be considered by the appropriate UoA Co-Ordinators for inclusion in the University's submission and that those staff not selected will be receiving a letter during May 2013. A hard copy will be sent to staff absent from work due to maternity leave, long term illness, or other reasons.
56. All staff must complete the Individual Staff Circumstances Disclosure Form - Annex D, which details the circumstances that will be taken into account. The information provided on this form will remain confidential and handled in accordance with the Data Protection Act 1998. Issues of a sensitive nature will not be disclosed beyond the REF Equality and Diversity Panel. Examples of personal circumstances can be found in Annex G.
57. The Equality and Diversity panel will consider all available cases of special circumstances at the first meeting in March 2013. The University will follow the guidance for REF panels when considering individual circumstances and their effect on the productivity of staff during the assessment period. This guidance can be found at [REF Guidance](#).

#### **NEW STAFF**

58. Greenwich Research & Enterprise (GRE) will check monthly with HR to determine new staff who have accepted offers to join the University after 1<sup>st</sup> January 2013. New staff who are eligible for inclusion will be given information about the REF along with a REF Pro Forma and staff special circumstances form. In addition they will receive a letter from the Deputy Vice Chancellor (Research & Enterprise) stressing the need to reply by the deadline set below.

59. These new staff will be required to:
- a. complete these forms and return them to the central research support office either within 1 week of joining the University, or before 1<sup>st</sup> September, whichever is the earliest.
  - b. contact their School Director of Research and Enterprise and discuss with them which Unit of Assessment they may be most appropriately submitted either within 2 weeks of joining the University, or by 1<sup>st</sup> September, whichever is the earliest.
  - c. Provide relevant information regarding their research profile (including details of outputs that may be submitted to the REF) to the UoA Co-Ordinator, either within 2 weeks of joining the University or before 1<sup>st</sup> September, whichever is the earliest. The UoA Co-Ordinator will then ensure that they are considered for inclusion in the REF.
60. GRE will check whether this information has been received each month up until 1<sup>st</sup> September 2013. Where it has not been received, reminders will be issued. By September all staff who are eligible to join the REF will have been identified. At this point reminders will be sent weekly to staff who have not yet submitted their information. These reminders will contain the message that they will be unable to be submitted to the REF if the required information is not received by the beginning of October.
61. The Equality and Diversity panel will meet at two month intervals (or more often where necessary to conclude its business in time for the final submission date) to consider new cases of special circumstances following their first meeting in March 2013 and make recommendations to the REF UoA Co-Ordinators and the REF Subgroup. Meetings will be held prior to the meetings of the University REF Subgroup. The University will follow the guidance for REF panels when considering individual circumstances and their effect on the productivity of staff during the assessment period. This guidance can be found at [REF Guidance](#).
62. REF UoA Co-Ordinators and the REF Subgroup responsible for the decision process will also meet at two month intervals (or more often where necessary to conclude their business in time for the final submission) in the period between January 2013 and the final submission date to select staff for submission. An additional meeting of the REF Subgroup will be held at the end of October 2013, when final selection decisions will be made and confirmed.
63. All staff will have been considered by the UoA Co-Ordinators and REF Subgroup, by the time of the September REF subgroup meeting. The cases of all staff with special circumstances will have been considered by the Equality and Diversity panel. Decisions will be communicated to members of staff within 5 days of the meeting by letter or E-Mail. Staff not selected for submission will be provided with a reason for this decision in the communication.
64. In selecting staff, REF UoA Co-Ordinators and the REF Subgroup responsible for the decision process, will take into account any recommendations for the reduction of output(s) over the REF census period as presented by staff member(s) and assessed by the REF Equality and Diversity Panel.
65. For staff not selected the reason will be recorded and securely archived using encryption software. It is University policy that although research performance will normally form part of appraisal and progression criteria for the University, non-submission to the REF will specifically not be used as a criterion in determining career progression in the University. Staff members not submitted to the REF will be offered

mentoring and professional development opportunities, to assist with career development and potential inclusion in the next REF assessment.

66. The University will on request, provide feedback to staff that are not selected for submission to the REF2014 assessment. Requests for such feedback should be made by e-mail to the REF UoA Co-Ordinator, copied to the School Director of Research/Enterprise and the University Research Support Manager. REF UoA Co-Ordinators will normally be expected to provide this feedback within 5 working days of receiving the request.
67. Should the decision to include, or not include, staff in the submission be made contrary to the recommendation of the School, the School Director of Research/Enterprise and relevant REF UoA Co-Ordinator will be provided with a written explanation of the reasons for the decision by the Deputy Vice Chancellor (Research & Enterprise).
68. REF UoA Co-Ordinators will consult with staff who are selected for inclusion in the submission about which of their research outputs will be submitted. Decisions will be made on the basis of the best overall configuration of the submission. REF UoA Co-Ordinators should normally avoid putting one output against more than one university co-author in the same UoA unless otherwise allowed by the appropriate REF panel [*REF 01.2012*] <sup>7</sup>*Panel Criteria and Working Methods*]. Where this policy would prevent submission of one of two co-authors who have an insufficient number of papers between them, the decision on who to submit or whether exceptionally to submit both will be informed by the UoA Statement of Intent and made in the best interests of the University. Where the position of a particular REF panel on this matter is ambiguous further guidance will be sought.
69. Where an academic colleague disagrees with decisions on which output to list against her or his name, a written explanation will be provided within 5 working days of receipt of a request by the REF UoA Co-Ordinator.

## **APPEALS**

70. All staff eligible for REF 2014 have the right to appeal against non-selection for the UoA's submission where this is on the grounds of the quality of their research or relates to any protected characteristic defined under the Equality Act 2010.
71. The University will seek to optimise its submission and may adopt different submission approaches across UoAs. Consequently, the achievement of the minimum GPA for a particular UOA will not necessarily guarantee an individual's return in REF 2014 and should not be considered a reflection on the quality of their research per se.
72. Appeals against decisions regarding inclusion in the REF must be made within 5 working days of receiving notification of the decision from the REF Subgroup, prior to the next meeting of the REF Appeals panel, and in any case prior to the last meeting of the REF Appeals Panel. Further information and guidance will be available on the REF 2014 pages on the University's Research intranet.
73. All appeals will be concluded prior to the final selection meeting at the end of October. The appeals procedure is detailed in Annex I.

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<sup>7</sup>[http://www.hefce.ac.uk/research/ref/pubs/2012/01\\_12/](http://www.hefce.ac.uk/research/ref/pubs/2012/01_12/)



## Equal Opportunities Analysis

74. Decisions on the selection of staff will be monitored in equal opportunities terms by comparison of the staff who are eligible for submission in the REF against the subset of those who are proposed for submission. For these purposes 'eligible staff' is taken to mean those with four or more formal research outputs (publications and/or equivalents) or with a lesser number mitigated by personal circumstances detailed in Annex G. The equality analysis will be conducted in relation to data available against the protected characteristics, including age, disability, gender and ethnicity, and other relevant criteria such as employment contract and part-time working. If, through these means, a significant imbalance between the two groups is found the University will account for it in terms of research quality (i.e. output quality, income, impact etc.) Initially the analysis will be conducted in relation to all eligible University academic and research staff aggregated across all units of assessment. In the case of perceived issues raised by staff, further investigation may be initiated at the UoA level.
75. This equal opportunities analysis will be provided by the REF Equality & Diversity Champion and scrutinised by the central REF Subgroup, who will report his or her findings to the Research & Enterprise Committee for consideration.



## Annex A – REF2014 UNITS OF ASSESSMENT

### REF2014: Units of assessment

Main panel	Unit of assessment (UoA)	
A	1	Clinical Medicine
	2	Public Health, Health Services and Primary Care
	3	Allied Health Professions, Dentistry, Nursing and Pharmacy
	4	Psychology, Psychiatry and Neuroscience
	5	Biological Sciences
	6	Agriculture, Veterinary and Food Science
B	7	Earth Systems and Environmental Sciences
	8	Chemistry
	9	Physics
	10	Mathematical Sciences
	11	Computer Science and Informatics
	12	Aeronautical, Mechanical, Chemical and Manufacturing Engineering
	13	Electrical and Electronic Engineering, Metallurgy and Materials
	14	Civil and Construction Engineering
C	15	General Engineering
	16	Architecture, Built Environment and Planning
	17	Geography, Environmental Studies and Archaeology
	18	Economics and Econometrics
	19	Business and Management Studies
	20	Law
	21	Politics and International Studies
	22	Social Work and Social Policy
	23	Sociology
	24	Anthropology and Development Studies
	25	Education
	26	Sport and Exercise Sciences, Leisure and Tourism
D	27	Area Studies
	28	Modern Languages and Linguistics
	29	English Language and Literature
	30	History
	31	Classics
	32	Philosophy
	33	Theology and Religious Studies
	34	Art and Design: History, Practice and Theory
	35	Music, Drama, Dance and Performing Arts
	36	Communication, Cultural and Media Studies, Library and Information Management

## Annex B – STATEMENT OF INTENT FORM



### STATEMENT OF INTENT FORM

PLEASE COMPLETE ONE FORM PER UNIT OF ASSESSMENT AND SUBMIT THIS PAGE 1 OF THIS FORM TO:  
**RESEARCH SUPPORT MANAGER**  
**GREENWICH RESEARCH & ENTERPRISE**  
**ROOM 121, QUEEN MARY BUILDING, GREENWICH CAMPUS**

<b>Unit of Assessment (number)</b>	
<b>REF Unit of Assessment (UoA) Co-Ordinator and Deputy</b>	
<b>School</b>	

**Section one:**

**Please select as appropriate:**

- This submission will include Early Career Researchers – please refer to Annex I for HEFCE definition of an Early Career Researcher.
- This submission will include interdisciplinary research and panel cross-referral will be required.

**Section two:**

<b>Total volume (headcount) of Early Career Researchers</b>	
<b>Total volume (headcount) of staff</b>	
<b>Will this submission will include any highly confidential areas of impacts or papers/reports<sup>8</sup>.</b>	
<b>Research specialism (and volume) i.e. Sub discipline fields – for panels to understand the breadth and depth of expertise required for the assessment, and in particular to inform the recruitment of additional assessors.</b>	

<sup>8</sup>[REF 02.2011] ‘Assessment framework and guidance on submissions’ para. 116.  
 All panel members, advisers, observers and others involved in the assessment process are bound by a confidentiality agreement. Therefore, it is possible for HEIs to submit confidential reports without compromising any duty of confidentiality upon them.

<b>Number of outputs in welsh or other language (and volume)</b>	
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## Annex C – GUIDING PRINCIPLES FOR GREAT 2012

### Guiding Principles for GREAT 2012

GREAT 2012 will follow key guiding principles as set out below:

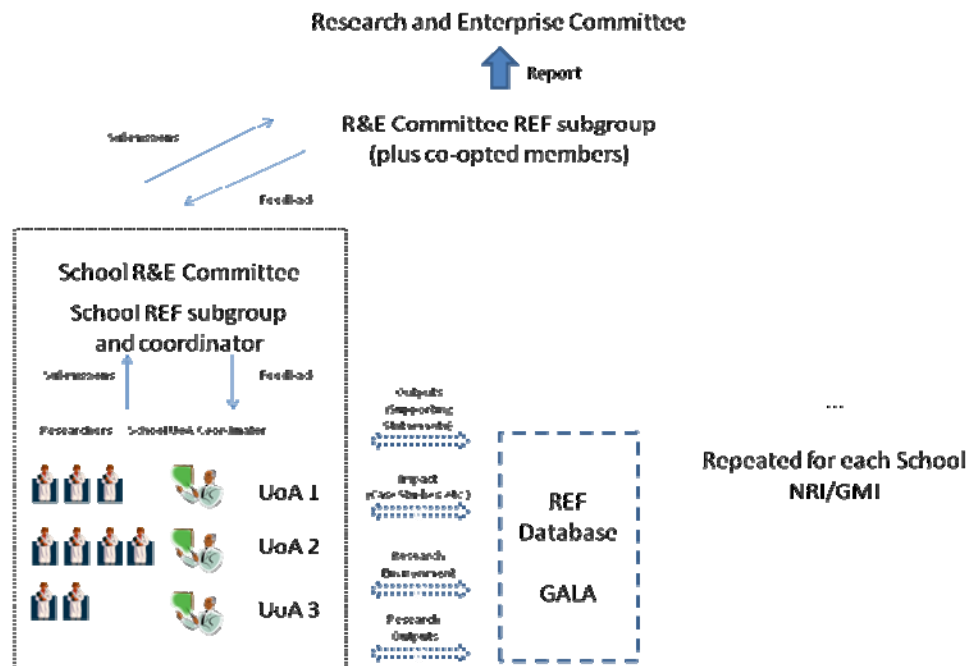
1. GREAT 2012 seeks to collect and provide feedback on the submissions of all staff with current and future potential to be included in REF2014, consistent with the University aims for participating in the REF.
2. The trial will include assessment of all three aspects to be evaluated in the REF:
  - a. Research outputs
  - b. Impact
  - c. Research Environment
3. The trial will be conducted mainly on a school-by-school basis, recognising that the final submission from the University will combine information from different schools into submitted Units of Assessment.
4. The trial will explore options for combination of submissions across Schools to create optimal groupings by Unit of Assessment.
5. The participation of any colleague in GREAT 2012 in any UoA at School level does not necessarily imply that they will be included in that UoA in the submission to REF2014 from the University of Greenwich. Separate transparent processes, which are informed by GREAT 2012 but are not part of it, will be used to inform the inclusion of colleagues into the REF2014 submission.
6. The Greenwich Academic Literature Archive (GALA) will be used as the definitive research outputs database for both the trial and the REF submission. Staff members are required to ensure that GALA entries are deposited.
7. Research degree completions will be lodged in the database (with outputs in GALA) by the Postgraduate Research Office
8. Development of submissions, and the provision of feedback, will be done electronically wherever possible.

### Organisational structure for GREAT 2012

9. The organisational structure proposed for GREAT 2012 is illustrated in the figure below.
10. A REF subgroup will be convened with terms of reference as follows:
  - a. To provide overall academic oversight of the process
  - b. To provide feedback at University level to Schools regarding their submissions
  - c. Makes recommendations about which research should be submitted congruent with University strategy
  - d. To evaluate the results of the trial and to make recommendations to Research and Enterprise Committee about options for the REF2014
  - e. Reports to the Research & Enterprise Committee

The subgroup will have the authority to co-opt other members as necessary.

## GREAT 2012 Organisational Structure



11. In each School, a subgroup of the School Research and Enterprise Committee will be convened to oversee development of submissions from the School. This subgroup will be chaired by the School REF Co-Ordinator and will work with the School Research and Enterprise Committee to:
  - f. Publicise GREAT 2012 within the School
  - g. Determine which UoAs the School will submit to for the purposes of GREAT 2012
  - h. Identify School UoA Co-Ordinators to lead development of each UoA submission for the School, and who will develop the Research Environment and Impact information for their UoAs.
  - i. Assist colleagues where necessary in deciding which research outputs they will submit to GREAT 2012 – ensuring that these are entered into GALA. Collect (using the database system provided by GRE) supporting statements, and provide feedback on these.
  - j. Liaise with other Schools where researchers are to be ‘hosted’ by them for the purposes of GREAT 2012 (See paragraph 12 below).
  
12. In some cases, researchers normally associated with a particular school might undertake most of their research with colleagues in another School. Their ‘home’ school may decide not to make a submission into a UoA with which they would logically be associated. In these cases, they should be ‘hosted’ by the most appropriate School after consultation between the REF Unit of Assessment (UoA) Co-Ordinators, Directors of Research and Enterprise from the involved Schools and the researcher.

### Panel Composition

13. Panels will consist of internal members and also have the opportunity to seek external benchmarking and advice during the planning and review of the GREAT 2012 submission itself.

**Annex D – INDIVIDUAL STAFF CIRCUMSTANCES DISCLOSURE  
FORM**



**INDIVIDUAL STAFF CIRCUMSTANCES DISCLOSURE FORM**

**PLEASE SUBMIT THIS FORM TO:  
RESEARCH SUPPORT MANAGER  
GREENWICH RESEARCH & ENTERPRISE  
ROOM 121, QUEEN MARY BUILDING, GREENWICH CAMPUS**

<b>Name</b>	
<b>Department</b>	
<b>School</b>	
<b>Unit of Assessment (number)</b>	

**Contracted Hours:**

<b>What is your current FTE (ie full time, 0.8, 0.6 etc)</b>	
<b>Please indicate whether your contract has changed or will change in the period 01.01.2008 to 31.10.2013 and give exact dates when the changes were made.</b>	

**Section one:**

**Please select one of the following:**

- I have no individual circumstances that I wish to be taken into consideration for the purposes of the Research Excellence Framework (REF). (Please sign the declaration at the end)
- I have individual circumstances that I wish to be taken into consideration for the purposes of the Research Excellence Framework (REF). In completing this form I am seeking a reduction in research outputs. (Please complete sections two, three and four)

**Section two:**

**Please select as appropriate:**

- I would like to be contacted by a member of Human Resources staff to discuss my circumstances and requirements and/or the support provided by the University of Greenwich. My contact details for this purpose are:

<b>Email</b>	
<b>Telephone</b>	
<b>Preferred method of communication</b>	



I do **not** wish to be contacted by a member of Human Resources staff

### Section three

I wish to make the University aware of the following circumstances which have had an impact on my ability to produce four outputs or work productively between 1 January 2008 and 31 October 2013:

**Please provide information required on relevant circumstance/s and continue onto a separate sheet of paper if necessary:**

<b>Circumstance</b>	<b>Information required</b>
Part time employee	<b>FTE and duration in months</b>
<b>Information</b>	
Career break or secondment outside of the higher education sector	<b>Dates and duration in months</b>
<b>Information</b>	
Maternity leave, statutory adoption leave, or additional paternity leave (taken by partners of new mothers or co-adopters)	<b>For each period of leave state which type of leave was taken and the dates and duration in months</b>
<b>Information</b>	
Disability (including conditions such as cancer and chronic fatigue)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Mental health condition	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Ill health or injury	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare <b>in addition to</b> the period of maternity, adoption or additional paternity leave taken.	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	

Other caring responsibilities (including caring for an elderly or disabled relative)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Gender reassignment	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Other exceptional and relevant reasons, not including teaching or administrative work	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	

Please select as appropriate:

- I confirm that the information provided is a true and accurate description of my circumstances.
- I recognise that the information provided will be used for REF purposes and will be seen by the REF Equality and Diversity Panel.
- I realise that it may be necessary to share information with the UK funding bodies' REF team, who may make the information available to REF panel chairs, members and secretaries and/or the Equality and Diversity Advisory Panel. Where permission is not provided the University of Greenwich will be limited in the action it can take.

Signature: ..... Date: .....

(Staff member)

**For official use only**

Following consideration of the personal circumstances described above, the REF Equality and Diversity Panel:

- Will progress the staff member's inclusion in the REF submission with [insert number] of research outputs. [Subject to specified institutional criteria]. Rationale for the proposed number of outputs:

*e.g. this decision is based on the tariffs outlined in the panel criteria.*

- Requires further information of the circumstances described as follows:

*e.g. please provide information from your occupational health assessment on the effectiveness of reasonable adjustments provided.*

- Does not feel that the staff member meets the criteria outlined within the REF 'Panel criteria and working methods' for submitting fewer than four research outputs. The reason(s) for this decision are:

*e.g. circumstances detailed are not recognised within the assessment framework and guidance on submissions.*

If [insert name of staff member] wishes to appeal against the decision of the [insert name of the committee or REF UoA Co-Ordinator] they will need to do so by [insert date] and details of the appeals process can be found at <http://www.gre.ac.uk/research/intranet/ref-2014/fag/codes-of-practice/equality-and-diversity/>

Signature: ..... Date: .....

(Chair of the REF Equality and Diversity Panel)

Signature: ..... Date: .....

(Research Support Manager)

## Annex E – EXTERNAL ASSESSORS

### EXTERNAL ASSESSORS

#### GUIDANCE NOTE AND TERMS OF REFERENCE

##### Overall purpose:

External Assessors are appointed by the R&E Committee REF Subgroup to assess the research carried out in the University and make recommendations on how the University can optimise its position for REF2014 assessment.

##### Guidance:

- a) External Assessors should have specialist knowledge of the discipline.
- b) External Assessors should not have close working relationships with the relevant members of staff;
- c) External Assessors should have a sound understanding of the REF assessment process and may have served as a panel member in RAE 2008;
- d) External Assessors should provide a written report, detailing their judgements on the current strengths and weaknesses of the research activity in REF terms, taking into account all three elements of the research assessments; outputs, impact and environment, providing a rating of the work of each member of staff under consideration, using the REF2014 quality profile as defined in the [REF 02.2011]: *‘Assessment framework and guidance on submissions’* published by HEFCE.
- e) REF UoA Co-Ordinators and Directors of Research/Enterprise should aim to have personal meeting with the Assessor to discuss their rating and the report. The evidence submitted to the External Assessors will be in line with [REF 02.2011]: *‘Assessment framework and guidance on submissions’*.

##### Terms of Reference:

- a) To use their specialist knowledge objectively to make recommendations on the basis of the evidence submitted to them;
- b) To rate the evidence using the following REF2014 quality profiles;

##### The *outputs* sub-profile;

Four star	Quality that is world-leading in terms of originality, significance and rigour.
Three star	Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence.
Two star	Quality that is recognised internationally in terms of originality, significance and rigour.
One star	Quality that is recognised nationally in terms of originality, significance and rigour.
Unclassified	Quality that falls below the standard of nationally recognised work. Or work which does not meet the published definition of research for the purposes of this assessment.

##### The *impact* sub profile;

Four star	Outstanding impacts in terms of their reach and significance.
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Three star	Very considerable impacts in terms of their reach and significance.
Two star	Considerable impacts in terms of their reach and significance.
One star	Recognised but modest impacts in terms of their reach and significance.
Unclassified	The impact is of little or no reach and significance; or the impact was not eligible; or the impact was not underpinned by excellent research produced by the submitted unit.

The *environment* sub profile;

Four star	An environment that is conducive to producing research of world-leading quality, in terms of its vitality and sustainability.
Three star	An environment that is conducive to producing research of internationally excellent quality, in terms of its vitality and sustainability.
Two star	An environment that is conducive to producing research of internationally recognised quality, in terms of its vitality and sustainability.
One star	An environment that is conducive to producing research of nationally recognised quality, in terms of its vitality and sustainability.
Unclassified	An environment that is not conducive to producing research of nationally recognised quality.

- c) To support their rating with a written report commenting on strengths and weakness of the evidence submitted, and giving recommendations on how the relevant UoA could improve its position in the remaining time available;
- d) To discuss their findings and report with the relevant UoA Co-Ordinator, the Director of Research/Enterprise or Head of School and on request the Deputy Vice-Chancellor (Research and Enterprise).

#### **Phase 2 Involvement:**

- a) At the request of the School Dean to the Deputy Vice-Chancellor (Research and Enterprise) some involvement of external assessors in phase 2 of the REF preparations may be initiated to inform the refinement of the submission.

#### **Remuneration:**

External Assessors will receive full remuneration for work completed and are not normally expected to spend more than 3 days on the assessment.

## Annex F – REF EQUALITY AND DIVERSITY TRAINING

All those involved with proposing or the selection of staff for REF2014 submission, will participate in Equality & Diversity training tailored to the principles of the REF. REF Administrators will be offered intermediate training on the essentials of Equality and Diversity matters in their supportive role to the Unit of Assessment Co-ordinators. All courses will be presented by the Human Resources Equality Officer & Diversity Champion, supported by the Research Support Manager subsequent to attendance to equality & diversity events, hosted by the Equalities Challenge Unit in March 2012.

### REF Specific E&D Training – Advanced

#### *Participants:*

- Deputy Vice Chancellor (Research & Enterprise)
- Director of Research & Enterprise
- School Directors of Research/Enterprise
- REF Unit of Assessment (UoA) Co-ordinators
- REF School Equality & Diversity Champions
- Members of the Equality & Diversity Panel: Professor Neil Spiller; Dean of School of Architecture, Design & Construction as Chair, Sarah Greer - Barrister; School of Law as Vice Chair, Dr Linda Burke; Dean of Health and Social Care, Dr Stuart Ashenden; Acting Dean, School of Engineering, the Human Resources Equality Officer & Diversity Champion, and the Research Support Manager.
- Members of the Appeals Panel: HR Director, Deputy Vice Chancellor; Academic Development, and the Director of the Greenwich Maritime Institute.
- Members of the REF subgroup: Deputy Vice Chancellor (Research & Enterprise), Dr Steve Woodhead from the School of Engineering, Professor Andrew Lambirth from the School of Education, Professor Choi-Hong Lai, from the School of Computing and Mathematical Sciences, Professor Pat Schofield from the School of Health and Social Care, the Director of the Natural Resources Institute, and Professor Sarah Palmer; Honorary Research Professor, Greenwich Maritime Institute.
- REF Human Resources Officer

Training programme will include an online e-learning module; 'Equality & Diversity in REF 2014' covering the following topics:

- How the REF process works.
- The circumstances that can justify a reduction in research outputs.
- Protected characteristics and their significance in a REF context.
- The benefits of taking account of equality & diversity factors.
- Clearly defined circumstances and their impact on research outputs.
- Complex circumstances and how these should be handled.
- The importance of handling personal and sensitive data confidentially.

One to one workshops will commence upon completion staff of the e-learning module covering the following topics:

- An overview of the main legislation and its practical implications.
- Your role in the REF process

- Issues to be aware of since the RAE 2008
- Why equality is important in the REF
- Identifying clearly defined and complex staff circumstances and using tariffs
- Implications for staff responsible for selecting staff for submission to the REF
- Using case studies to identify complex staff circumstances
- Discrimination and harassment
- Preconceptions, stereotypes and barriers to equality
- Communication and behaviour

## **E&D Essentials with online module – Intermediate**

### ***Participants:***

- REF Administrators

Training programme will include an online e-learning module; 'Equality & Diversity in REF 2014' covering the following topics:

- How the REF process works.
- The circumstances that can justify a reduction in research outputs.
- Protected characteristics and their significance in a REF context.
- The benefits of taking account of equality & diversity factors.
- Complex circumstances and how these should be handled.
- The importance of handling personal and sensitive data confidentially.

## Annex G – LIST OF PERSONAL CIRCUMSTANCES

### LIST OF PERSONAL CIRCUMSTANCES TO BE TAKEN INTO ACCOUNT WHEN SELECTING STAFF

In selecting staff, REF UoA Co-Ordinators and the R&E Committee REF Subgroup will take recommendations received from the REF Equality and Diversity Panel, in view of one or more of the individual circumstances identified through receipt of the Individual Staff Circumstances Disclosure Form, Annex D. REF UoA Co-Ordinators and the R&E Committee REF Subgroup are encouraged to submit those individuals whose volume of research output may have been limited for reasons covered by the listed individual circumstances:

- Absence due to maternity/adoption leave/breastfeeding/child care
- Parents returning to part-time work after maternity/parental leave in the period (1 August to 31 July) 2008-09 to 2012-13
- Adoptive parents returning to part-time work after adoptive leave in the period (1 August to 31 July) 2008-09 to 2012-13
- Part-time work
- Disability, including temporary incapacity that lasts for at least 12 months including people with Cancer, Multiple Sclerosis and HIV from the point of diagnosis.
- Young staff who entered the profession during the period (1 August to 31 July) 2008-09 to 2012-13
- Mature staff who were new entrants to the profession during the period (1 August to 31 July) 2008-09 to 2012-13
- Absence due to ill-health or injury
- Mental Health conditions
- Gender reassignment
- Direct carers of someone with a protected characteristic
- Other circumstances relating to the protected characteristics listed at paragraph 190 of 'guidance on submissions'.

Staff wishing to discuss support for personal circumstances should contact the HR department in confidence.

In addition, when making submissions to UoAs that are laboratory-based, UoA Co-Ordinators and the R&E Committee should be mindful of health and safety restrictions imposed on pregnant and breastfeeding women, which may have prevented them from undertaking the type of research they would have normally undertaken during the period 1 August 2008-09 to 31 July 2012-13. Similar consideration should be given to the restrictions on pregnancy and nursing which might place during fieldwork.

UoA Co-Ordinators and the R&E Committee REF Subgroup should also take into account absences for sabbaticals, career breaks and secondments. In particular, staff should be considered for submission, if their absence was due to sabbatical, secondment or a career break, during the period 1 August 2008-09 to 31 July 2012-13 and it was felt that this resulted in limited research output.



## Annex H – REF Communications Strategy

December 2012	Deputy Vice Chancellor (Research & Enterprise) will email all academic and research staff (including a hard copy to those staff absent from work due to maternity, long term illness and other), outlining the staff selection process and timelines for the REF process, and to inform them about the University's internet pages where all REF news will be made available. A copy of the email will also be published on the website.
1 <sup>st</sup> January 2013	All staff employed as of 1 <sup>st</sup> January and who are eligible for inclusion in the REF will be identified from the HR database of the University.
4 <sup>th</sup> January 2013	<p>Deputy Vice-Chancellor (Research &amp; Enterprise) will email all eligible staff announcing the start of the selection process for the REF. Staff will be informed that they must familiarise themselves with the Code of Practice for the REF, and then complete the REF pro-forma and the Special Circumstances form.</p> <p>All relevant information will be made available on the University's intranet for downloading.</p> <p>Staff absent from work due to maternity leave, long term illness, or other reasons will be identified from the University's database. A letter detailing the requirement for familiarity with the above documents along with the relevant forms will be sent to these staff in hard copy.</p>
11 <sup>th</sup> January 2013	Heads of School will email all academic and research staff in their Schools, repeating the requirement to understand the REF Code of Practice and complete the REF Pro-Forma and Special Staff Circumstances form as described above.
January 2013 onwards	<p>REF UoA Co-Ordinators within each School meet at 2 monthly intervals (or more often where necessary to conclude its business in time for the final submission dates) to recommend staff for submission.</p> <p>University REF Subgroup meet at 2 monthly intervals to consider recommendations from REF UoA Co-Ordinators and Equality and Diversity Panel (where these are available) and to select staff for submission. Decisions will be communicated to staff within 5 working days of meeting.</p>
1 <sup>st</sup> February onwards	Greenwich Research & Enterprise will check monthly with HR to determine new staff who have accepted offers to join the University after 1 <sup>st</sup> January 2013.
12 <sup>th</sup> February 2013	Deadline for receipt of REF pro-forma and Special Circumstances form.
13 <sup>rd</sup> February 2013	Staff data will be verified again with HR records to ensure that all staff have been given the opportunity to be included in the REF.
End February 2013	Deputy Vice Chancellor (Research & Enterprise) will email all academic and research staff contacted above (including a hard copy to those staff

	absent from work due to maternity, long term illness and other) letting them know they will be considered by the appropriate UoA Co-Ordinator for inclusion in the University's submission.
End February 2013	REF process update added to University's intranet.
Early March 2013 onwards	The Equality and Diversity panel will meet at 2 monthly intervals (or more often where necessary to conclude its business in time for the final submission date) to consider new cases of special circumstances.
April 2013 onwards	REF Appeals Panel meet at 2 monthly intervals (or more often where necessary to conclude its business in time for the final submission date) to consider staff appeals against exclusion from the REF submission or against recommendations made by the REF Equality and Diversity Panel.
September 2013	Final meetings of the REF UoA Co-Ordinators and Equality and Diversity Panels.
31 <sup>st</sup> October 2013	Final meeting of the University REF Subgroup (NB all appeals will have been considered at this stage).
5 <sup>th</sup> November 2013	Final decisions will be communicated to staff within 5 working days of the above meeting by letter or email.

## Annex I – APPEAL PROCEDURES

### APPEAL PROCEDURES

Staff who believe they have been unreasonably excluded from the University's REF submission, or who wish to pursue a review of the recommendation(s) made by the REF Equality and Diversity Panel on the number of output reductions, may appeal on the grounds of unlawful discrimination or in contradiction of Annex G (personal circumstances to be taken into account). The following procedure will apply.

#### **INFORMAL PROCESS**

##### a) Quality of research

Where the reason for the appeal is based solely on non-selection on grounds of the quality of the appellant's research, the member of staff should arrange a meeting with their REF UoA Co-Ordinator within 5 working days of receiving notification of exclusion from the REF UoA Co-Ordinator or the REF Subgroup Panel. This meeting must occur within 5 working days of the approach. The staff member should endeavour to set out the case that the quality of research is sufficient to be included in the UoA submission, in particular identifying any new information or evidence that may not have been taken into account during the selection process. If on the basis of that meeting the member of staff continues to believe there is a case for appeal they should initiate a formal appeal outlined below.

##### b) Relates to a protected characteristic

Where the reason for appeal relates to one or more protected characteristics the informal process is as follows. Within 5 working days of receiving notification of the reduction to outputs from the REF Equality and Diversity Panel, the member of staff should arrange a meeting with the Chair or Vice Chair of the REF Equality and Diversity Panel. This meeting must occur within 5 working days of the approach. If on the basis of that meeting the member of staff continues to believe there is a case for appeal they should initiate a formal appeal as follows.

#### **FORMAL PROCESS**

1. A member of staff who continues to feel there is a case for appeal after initiating the informal stage above should submit a formal appeal to the University Research Support Manager in time to be considered at the next REF Appeals Panel meeting. The Research Support Manager will collate all documentation from the relevant REF UoA Co-Ordinator, and or the REF Equality and Diversity Panel minutes and pass the appeal documentation to the University Secretary & Registrar within 5 working days of receiving the appeal.
2. The Secretary & Registrar will conduct an investigation into the appeal and report findings within 10 working days of receiving the documentation. In conducting the investigation, the Secretary & Registrar may need to meet the appellant, the REF UoA Co-Ordinator, Chair or Vice Chair of the REF Equality and Diversity Panel, the School Director of Research and or Enterprise, School Dean, the Deputy Vice Chancellor, (Research & Enterprise) or any other Officer involved to discuss the appeal.

3. The outcome of the appeal will be communicated to the appellant and any other relevant officers within the 10 working day appeal period and in advance of the final meeting of the REF Subgroup at the end of October.

The decision of the Secretary & Registrar will be final, there being no further right of appeal.

## Annex J – EARLY CAREER RESEARCHERS

### REF Definition of Early Career Researchers

Early career researchers are defined as members of staff who meet the criteria to be selected as Category A or Category C staff on the census date, **and** who started their careers as independent researchers on or after 1 August 2009. For the purposes of the REF, an individual is deemed to have started their career as an independent researcher from the point at which:

- a. They held a contract of employment of 0.2 FTE or greater, which included a primary employment function of undertaking 'research' or 'teaching and research', with any HEI or other organisation, whether in the UK or overseas, **and**
- b. They undertook independent research, leading or acting as principal investigator or equivalent on a research grant or significant piece of research work. (A member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs.)