

# CODE OF PRACTICE ON THE SELECTION OF STAFF TO INCLUDE IN THE RESEARCH EXCELLENCE FRAMEWORK 2014 SUBMISSION

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## CODE OF PRACTICE ON THE SELECTION OF STAFF TO INCLUDE IN THE RESEARCH EXCELLENCE FRAMEWORK 2014 SUBMISSION

### INTRODUCTION

1. This Code of Practice has been prepared to set out how the University will manage the process of developing its submission to the Research Excellence Framework (REF) 2014. It has been developed with a view to ensuring fair processes for the selection of staff. This Code is based on the principles of transparency, consistency, accountability and inclusivity.
2. This Code of Practice operates within the requirements of the Equality Act 2010, relevant employment law and the University's own policy on equal opportunities.

### GUIDING PRINCIPLES

3. The University's agreed objective for REF2014 is to prepare a submission capable of securing the highest quality profile based on internationally excellent and world-leading research. As a result a high degree of selectivity will be applied to deciding which research outputs will be included in the final REF2014 submission in order to meet the University's strategic goal, guided by this Code of Practice.
4. The University's aim is to ensure that the research outputs of all staff conducting internationally excellent and/or world-leading research who meet the eligibility requirements, as set out in REF 02.2011 '*Assessment framework and guidance on submissions*' paragraphs 78-82, are considered for inclusion in the final REF2014 submission and that the process of selectivity advances equality, complies with current legislation and avoids discrimination.
5. Exceptionally staff may not be included in the REF2014 submission for strategic reasons e.g. in relation to their research fit within a Unit of Assessment (UOA) or to the viability of a particular UOA.
6. In cases where staff are not selected for the REF2014 submission individuals will be informed in writing and will have the opportunity to discuss the reasons behind their non-selection and, if appropriate, produce a plan to support their research development.

### THE SELECTION PROCESS

7. The REF Management Group, chaired by the Pro Vice-Chancellor (Research), established by the Research Committee of the University's Academic Board and reporting to the Vice-Chancellor, has been tasked with overseeing the REF2014 submission. It is supported by the REF Manager who was appointed in accordance with the University's Recruitment and Selection Policy published on StaffNet. Communication is directed through the Research Institute Directors of Research to Unit of Assessment Coordinators appointed by the REF Management Group from the Research Leads in each School. The process is supported by expert external assessors nominated by Unit of Assessment Coordinators and Research Institute Directors of Research on the basis of expertise in previous RAE exercises. Details of the decision-making structure for REF2014 and the training for those involved in the decision-making is set out in Annex B.
8. The process by which the University of Hertfordshire will select staff for inclusion in the REF2014 submission is as follows:
  - (a) Initial decisions were taken by the REF Management group in May 2011 about the Units of Assessment in which the University is likely to be able to make a submission. These decisions were informed by the outcome of RAE2008 and subsequent developments within the University.

- (b) A first mock REF exercise is being held in early 2012 as a scoping exercise. All staff members that are eligible as Category A staff, as defined in REF 02.2011 paragraph 78, who have at least one research output since 1 January 2008, will be invited to enter their research outputs onto the University's Research Information System and self-select up to four research outputs to be considered for the mock REF2014. Staff who are known to be absent on a long term basis from the University will be contacted in writing with advice on how to ensure their research outputs are considered for the mock REF.
  - (c) The Units of Assessment and Unit of Assessment Coordinators for the first mock REF exercise are listed in Annex E. Any changes to this list for the second mock and for the final REF Submission will be published on the REF2014 pages of StaffNet <http://staffnet/academic-and-research-services/research-excellence-framework-ref-2014.htm>.
  - (d) Unit of Assessment Coordinators will prepare a mock REF2014 submission comprising the research outputs of their Unit, an Environment Statement, an Impact Statement and the appropriate number of Impact Case Studies. These mock submissions will be circulated to the expert external assessors in early May 2012.
  - (e) The first mock REF will not exclude staff for having less than four outputs. As a consequence the University will not seek information from staff before the first mock on circumstances which may have had an impact on their ability to produce four research outputs.
  - (f) The REF Management Group will consider the mock submissions and the feedback from the expert external assessors.
  - (g) The REF Management Group will report to the Vice-Chancellor on the outcome of the first mock REF exercise and make recommendations in relation to a second mock REF, with particular reference to the Units of Assessment to be included.
  - (h) Staff included in the first mock REF exercise will be invited before the second mock REF exercise to disclose in confidence on the Individual Staff Circumstances disclosure form circumstances which may have had an impact on their ability to produce four research outputs in the period 1 January 2008 to 31 December 2013. The procedure by which the University will consider individual staff circumstances is set out in Annex C.
  - (i) Staff who will not have four research outputs by 31 December 2013 and do not declare any clearly defined or complex circumstances which would have impacted on their ability to produce four outputs by 31 December 2013 will be excluded from the second mock REF. They will be informed in writing by their Dean of School. Exceptionally, where the Dean of School is not selected for the second mock REF, he or she will be informed in writing by the Pro Vice-Chancellor (Research). Staff will have the right to appeal the decision. The Appeals process is set out in Annex D.
  - (j) The second mock REF exercise, which will run from October 2012 to May 2013, will involve expert external assessors as noted in paragraph 7, who will be asked to read and comment on the quality of the research outputs, the impact and environment statements and impact case studies.
  - (k) The REF Management Group will consider the mock submissions and the feedback from the expert external assessors and make recommendations to the Vice-Chancellor about the submission to REF 2014. The REF Management Group will use the selection criteria set out in Annex G to reach a view on which outputs and hence staff will be included in the final REF2014 submission.
  - (l) Staff whose research outputs are judged not to meet the quality threshold set by the University will be informed in writing by their Dean of School. Exceptionally, where the Dean of School is not selected for the REF 2014 submission, he or she will be informed in writing by the Pro Vice-Chancellor (Research). Staff will have the right to appeal the decision. The Appeals process is set out in Annex D.
9. The timetable for the preparation of the REF2014 submission, including the timeframe for feedback for staff who are not selected and for appeals to be considered, is set out in Annex H.

## EQUALITY IMPACT ASSESSMENT

10. The policy and procedures set out in this Code, and their implementation, are intended to ensure lawful and fair treatment and to advance equality. Initial consultation has taken place with the Recognised Trade Union and with the Head of Equality on analysing the impact on equality of the implementation of the approved code and procedures. It has been agreed that the staff profile will be analysed at each stage of the REF submission to assess impact on equality and identify any changes needed.

## COMMUNICATION

11. Communication about preparations for REF2014 will be overseen by the REF Manager. The communication channels will be by email, the StaffNet intranet and by letter to staff who are known to be absent on a long term basis from the University. Communications will also be made via Research Institute Directors of Research and Unit of Assessment Coordinators where appropriate. The Code will be published in draft on the staff intranet at <http://www.staffnet.herts.ac.uk/academic-and-research-services/research-excellence-framework-ref-2014.htm>. When formally confirmed by HEFCE that the University's Code meets the REF2014 published requirements the Code will be published on the University's website. Staff will be informed when the Code is published.

## EFFECTIVE START DATE FOR THE CODE OF PRACTICE

12. This Code of Practice will become applicable on the date published.
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## ANNEX A: MANAGEMENT STRUCTURE FOR RESEARCH

### COMMITTEE STRUCTURE

1. Subject to the overall responsibility of the Board of Governors, the University's Academic Board is responsible for determining the University's principles, policies, regulations and procedures for research. The Vice-Chancellor is chair of the University's Academic Board, which has devolved responsibilities for research within the University to the Research Committee of the Academic Board. The Research Committee of the Academic Board meets three times per academic session. In addition, the Academic Board has established a Research Degrees Board of the Academic Board with devolved powers for the quality assurance and award of research degrees and support of research students. The Research Degrees Board of the Academic Board meets seven times per academic session.
2. The Vice-Chancellor has determined that the Research Committee of the Academic Board establish a REF Management Group to make recommendations on strategic and operational issues relating to the University's preparation and submission to REF2014 and will report to the Research Committee of the Academic Board. Membership of the REF Management Group is listed in Annex B.

### MANAGEMENT RESPONSIBILITY FOR RESEARCH

3. The Pro Vice-Chancellor (Research) has a remit for the research undertakings of the University reporting to the Vice-Chancellor. He is Chair of the Research Committee of the Academic Board.

### RESEARCH INSTITUTES

4. All research in the University is organised within three Research Institutes:
  - Health and Human Sciences Research Institute (HHSRI)
  - Science and Technology Research Institute (STRI)
  - Social Sciences, Arts and Humanities Research Institute (SSAHRI).
5. The primary purpose of each Research Institute is to foster the progress of the highest quality research (that which is considered by peers to be, or capable of becoming, internationally excellent) and to encourage developing research to progress towards excellence.
6. Each Research Institute has a Director of Research, appointed by the Vice-Chancellor, and reporting to the Pro Vice-Chancellor (Research). Each Research Institute has a management group which reports to the Pro Vice-Chancellor (Research). The Research Institute management groups consider REF-related matters but do not make decisions on the selection of staff.

### RESEARCH SUPPORT SERVICES

7. Research in the University is supported by the Research Grants Team situated within the Business and Enterprise Unit and by Academic Services situated within Registry which specifically supports Research degrees. Together with the REF Manager, who is part of the Office of the Vice-Chancellor, these services have responsibilities across the University for: research policy and strategy; links with UK Research Councils; the REF; research degrees including examinations; and, research grant funding. The Research Grants Team undertakes the secretariat role for the Research Committee and the Research Degrees Team

within Academic Services undertakes the secretariat role for the Research Degrees Board of Academic Board.

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## ANNEX B: DECISION-MAKING STRUCTURES FOR REF2014

### VICE-CHANCELLOR

1. The Vice-Chancellor will make the final decision on the REF2014 submission. The Vice-Chancellor will receive recommendations from the REF Management Group.

### REF MANAGEMENT GROUP

2. The REF Management Group, established by the Research Committee of the Academic Board, has the responsibility for advising and making recommendations to the Vice-Chancellor on the University's submission to REF2014. It normally meets once every two months and more frequently leading up to the REF2014 submission. Its key remit is to make recommendations to the Vice-Chancellor about the REF2014 submission and it will also report to the Research Committee of the Academic Board. It has the following terms of reference:

- To agree and make recommendations to the Vice-Chancellor on strategic issues relating to the University's submission to REF2014.
- To promote and disseminate to University staff the University's code, policy and procedures on preparing the REF2014 submission.
- To develop a code of practice on the selection of staff for inclusion in the REF2014 submission and to monitor the implementation of and compliance with the code of practice.
- To make recommendations about the Unit of Assessments under which submissions to REF2014 will be made.
- To confirm the nominations of Unit of Assessment Coordinators from the Research Institute Directors of Research.
- To have an overview of the data collection, electronic and hard copy as required, and provide guidance to the REF Manager as appropriate.
- To have an overview, and offer guidance, on the development and selection of impact case studies.
- To have an overview, and offer guidance on, the Impact Statement and the Environment element of REF2014 submissions.
- To manage external peer review of REF2014 submissions prior to submission (mock review), including appointment of expert external assessors.
- To ensure that the University makes its submission by the published deadline date.

### Membership (from 1 August 2012)

Pro Vice-Chancellor Research (Chair)	Professor John Senior
Director of Research, Health and Human Sciences Research Institute	Dr John Done
Director of Research, Science and Technology Research Institute	Professor Paul Kaye

Director of Research, Social Sciences, Arts and Humanities Research Institute	Professor John Lippitt
Nominee from the Senior Research Leads HHSRI	Professor Sally Kendall
Nominee from the Senior Research Leads STRI	Professor Jim Hough
Nominee from the Senior Research Leads SSAHRI	Professor Graham Holderness
REF Manager	Dr Catherine Manthorpe
Director of Research Degrees	Dr Susan Grey
HR Advisor	Mrs Naomi Holloway
Information Hertfordshire Advisor	Mrs Gill Hall
Special Advisor	Professor Jonathan Morris
Special Advisor	Mrs Lilian Caras
Research Support Co-ordinator (in attendance)	Ms Ellie Hubbard

## REF MANAGER

3. The REF Manager was appointed in November 2010 in accordance with the University's Recruitment and Selection Policy.
4. The REF Manager is responsible for overseeing the preparation of the REF2014 submission reporting to the Pro Vice-Chancellor (Research) and the REF Management Group. The REF Manager is responsible for implementing the REF Strategy as determined by the Vice-Chancellor and acts as the University's point of contact with the UK Higher Education Funding Council for England (HEFCE) REF team. She is responsible for managing and co-ordinating the trial Research Impact and mock REF processes; assisting in the preparation of, and ensuring compliance with, the University's REF code of practice on the selection of staff; liaising with the Research Institute Directors of Research, Unit of Assessment Coordinators and other University officers in relation to the preparation for the University's REF2014 submission; ensuring coordination of appropriate support from relevant central departments; attending external events and meetings appropriate to REF2014 and preparing and submitting progress reports to the REF Management Group and the Research Committee of the Academic Board.

## RESEARCH SUPPORT CO-ORDINATOR

5. The Research Support Co-ordinator was appointed in 2007 in accordance with the University's Recruitment and Selection Policy.



6. The Research Support Co-ordinator has a broad range of responsibilities in relation to supporting the work of the Research Grants Team, the REF Manager and in particular the implementation and ongoing management of the University's Research Information System.

## RESEARCH INSTITUTES

7. Directors of Research of the three Research Institutes are members of the REF Management Group. They have responsibilities under this Code to ensure that the process for the selection of work within their Research Institute is transparent, consistent, accountable and inclusive; for the way in which the expert external assessors for the mock review contribute to the selection of submissions and research outputs; and for keeping staff informed of decisions taken for REF2014. They work closely with the REF Manager and Unit of Assessment (UOA) Coordinators.

## UNIT OF ASSESSMENT COORDINATORS

8. Unit of Assessment Coordinators were nominated by the Directors of Research of the three Research Institutes based on their research leadership role in the subject area or discipline and confirmed by the REF Management Group. The UOA Coordinators were appointed ahead of the publication of the HEFCE Consultation on Panel Criteria and Working Methods in July 2011 in order that they could lead on the consultation in their respective areas. The Guidelines for UOA Coordinators are set out in Annex F.

## EXPERT EXTERNAL ASSESSORS

9. Two expert external assessors have been appointed for each UOA for both mock REF2014 exercises. Assessors have been appointed on the basis of their research experience and particularly experience in relation to previous research assessment exercises. Assessors have been asked to review and comment on draft impact and environment statements, impact case studies and research outputs for each UOA. Expert external assessors will not be asked to comment on individual staff circumstances nor will they be advised about individual staff circumstances. The views of assessors will be taken into account when considering the final submissions to REF2014 but the University will not rely solely on the judgements of the external assessors.

## SUPPORT AND TRAINING FOR REF2014

10. Members of the REF Management Group and UOA Coordinators have received copies of the Assessment Framework and Guidance on Submissions (REF 02.2011) and the Panel Criteria and Working Methods (REF 01.2012) and will receive other relevant documentation as and when published.
11. All staff involved with preparing submissions and selecting staff (ie the REF Management Group, UOA Coordinators, REF Manager, Research Support Co-ordinator) will receive equalities and diversity training which will be tailored to the requirements of REF2014. This training will aim to ensure that all involved in the preparation of the REF2014 submission understand the Equality Act 2010 and relevant employment legislation in the context of REF2014 and the implications of this legislation for their role. It will also aim to ensure that those involved in the preparation of the REF2014 submission do not discriminate unlawfully against individuals because of age, disability, sex (gender), marriage and civil partnership, race (ethnicity), religion or belief, or sexual orientation or because they are pregnant or have recently given birth. It will also aim to ensure that part-time and fixed-term employees or Early Career Researchers or staff on secondments are not treated any less favourably than those on open contracts or full-time workers

12. The University's Equality and Diversity Policy is set out in Annex I and its statement on Fixed Term and Part-Time staff is set out in Annex J.
  13. There will be briefings to UOA coordinators on their role before the first mock REF and as required during the lead up to the REF2014 submission.
  14. Expert external assessors will be briefed on their role including the equality and diversity elements of REF2014.
  15. There will be a programme of communication activity to inform all staff about REF2014, including staff absent from the University. This activity will include information posted on the StaffNet intranet; University-wide emails to all staff and emails to research-related distribution lists; lunchtime briefing sessions; and briefing sessions to specialist staff (e.g. HR staff).
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## ANNEX C: INDIVIDUAL STAFF CIRCUMSTANCES

1. In considering submissions to REF2014 the University will take into account individual staff circumstances which may have had an impact on an individual's ability to produce four research outputs in the period 1 January 2008 to 31 December 2013.
2. The University will follow the guidance on the type of staff circumstances set out in the *Panel Criteria and Working Methods* document published by HEFCE in January 2012 (HEFCE REF 01.2012, paragraphs 63-91, [http://www.hefce.ac.uk/research/ref/pubs/2012/01\\_12/](http://www.hefce.ac.uk/research/ref/pubs/2012/01_12/)). As well as describing the types of staff circumstances that HEFCE will take into account the HEFCE guidance also explains how the REF Panels will consider staff circumstances and the role of its Equality and Diversity Advisory Panel.
3. Under the HEFCE guidance staff circumstances fall into two categories:
  - a. Clearly defined circumstances, and
  - b. Complex circumstances.
4. For the first mock REF exercise the University will not collect information on individual staff circumstances. All staff who have at least one research output since 1 January 2008 who have entered details onto the University's Research Information System will be considered eligible for the first mock REF exercise.
5. Information will be collected on individual staff circumstances for all staff that are to be considered for the second mock REF exercise. This group of staff will be invited to complete the individual staff circumstances disclosure form and return it in confidence to the REF Manager.
6. If the circumstances fall under the category of 'clearly defined circumstances'
  - a. The REF Manager will check the details to ensure the University has appropriate evidence to support the case and calculate the appropriate reduction in research outputs for that individual;
  - b. Where additional information is sought the REF Manager will contact the individual as required;
  - c. The REF Manager will report all such cases on an anonymous basis to the REF Management Group for it to approve formally that, should the individual be selected for the REF, a case may be made to HEFCE for a reduction in outputs;
  - d. The individuals concerned will be advised of the REF Management Group's decision;
  - e. The REF Manager will store information on the Research Information System in preparation for the final submission to HEFCE; only the REF Manager and the Research Support Co-ordinator will have access to this information. All persons involved in the selection of staff will see that a case has been made but not the nature of the case;
  - f. Any paper information will be held in secure storage and destroyed after the final publication of the REF2014 results.
7. If the circumstances are complex
  - a. The REF Manager will refer the case on an anonymous basis to the Equality and Diversity Advisory Group (EDAG) of the REF Management Group;
  - b. The EDAG, which has been established to advise the REF Management Group on complex staff circumstances, comprises the REF Manager, a nominee of the Director of Human Resources and the Head of Equality. The EDAG will call on additional expertise as required to assist it in its consideration of complex circumstances;
  - c. The EDAG will consider the case and gather additional information as required from the individual in order to reach a view on the appropriate number of reductions in research outputs that would be appropriate. In conducting its business the EDAG will draw on the case studies published by the Equality Challenge Unit <http://www.ecu.ac.uk/documents/ref-materials/complex-circumstances-examples> ;

- d. The EDAG will make a recommendation to the REF Management Group, preserving the anonymity of the individual, for it to approve formally that, should the individual be selected for the REF, a case may be made to HEFCE for a reduction in outputs;
  - e. The individual will be informed in writing of the decision of the REF Management Group;
  - f. The REF Manager will store information on the Research Information System in preparation for the final submission to HEFCE; only the REF Manager and the Research Support Co-ordinator will have access to this information. All persons involved in the selection of staff will see that a case has been made but not the nature of the case;
  - g. Any paper information will be held in secure storage and destroyed after the final publication of the REF2014 results.
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## ANNEX D: PROCESS FOR THE CONSIDERATION OF APPEALS BY STAFF NOT SELECTED FOR REF2014

1. The aim of this process is to create a mechanism by which staff not selected for REF2014 (or for the first or second mock REF exercise) may appeal that decision and that appeal be considered in a timely fashion and before the final selection to the REF is made. This process has been developed specifically to support the process of developing the University's submission to the 2014 REF and is not linked to the University's Staff Grievance Policy.
  2. The process applies to all staff considered for the first mock REF, the second mock REF and the final REF2014 submission.
  3. Any member of staff not selected for one of the mock REF exercises or the final REF2014 submission will be informed in writing within one calendar month of the actual decision date and given reasons for that decision.
  4. If the staff member wishes to appeal the decision he or she should put the request in writing to the Deputy Vice-Chancellor or in his absence, his nominee who shall a Pro Vice-Chancellor other than the Pro Vice-Chancellor (Research).
  5. The Deputy Vice-Chancellor, or his nominee, will consider the appeal with support from an HR Business Partner.
  6. In the course of his investigation the Deputy Vice-Chancellor, or his nominee, may interview the appellant and anyone involved in the decision not to select. The employee will have the right to be accompanied and represented by a Friend(1)
  7. The Deputy Vice-Chancellor, or his nominee, will set out his conclusions in writing to the appellant normally within one month of the appeal being lodged with his office.
  8. The Deputy Vice-Chancellor's decision, or the decision of his nominee, will be final.
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1 'Friend' is a person chosen by the employee to accompany him/her to a hearing and who is either a colleague employed by the University or an employee or official of a Trade Union. The Friend may present the employee's case and confer with the employee but will not be permitted to answer direct questions for the employee.

## ANNEX E: UNITS OF ASSESSMENT AND UNIT OF ASSESSMENT COORDINATORS FOR MOCK EXERCISES

	<b>UOA</b>	<b>Co-ordinator</b>
A2	Public Health, Health Services and Primary Care	Dr David Wellsted
A3	Allied Health Professions, Dentistry, Nursing and Pharmacy	Professor Sally Kendall Dr Julia Williams Professor Anwar Baydoun
A4	Psychology, Psychiatry and Neuroscience	Dr Mike Page
A6	Agriculture, Veterinary and Food Science	Professor Bruce Fitt
B9	Physics	Professor Janet Drew
B11	Computer Science and Informatics	Professor Bruce Christianson/Dr Volker Steuber
B15	General Engineering	Dr Rodney Day
C19	Business and Management Studies	Professor Keith Randle
C25	Education	Professor Philip Woods
D29	English Language and Literature	Dr Andrew Maunder
D30	History	Professor Jonathan Morris
D32	Philosophy	Professor Dan Hutto/ Professor John Lippitt
D34	Art and Design: History, Practice and Theory	Dr Steven Adams
D35	Music, Drama, Dance and Performing Arts	Professor Tim Blinko

## ANNEX F: GUIDELINES FOR UNIT OF ASSESSMENT COORDINATORS

1. Unit of Assessment (UOA) Coordinators are responsible for preparing submissions for the mock assessment and the final assessment. Different UOA Coordinators may be appointed by the REF Management Group for each stage. Their duties involve but are not limited to:
    - a. Communicating the REF process to staff in their subject area/department/UOA
    - b. Identifying potential expert external assessors for the mock assessment
    - c. Collecting and collating information on research outputs in their subject area/department/UOA using the Research Information System (RIS) as appropriate
    - d. Making recommendations, in liaison with the Director and Head of the relevant Research Institute, to the REF Management Group on research outputs (and therefore staff) to be selected for submission based on the criteria set out in the Code of Practice on the selection of staff to include in the REF2014 submission (Code of Practice).
    - e. Documenting the decision making process
    - f. Assisting with the collection of electronic and hard copies of research outputs
    - g. Collecting and collating from the staff to be submitted the 'other relevant details' required for each output as specified by the relevant REF panel.
  2. UOA Coordinators must familiarise themselves with all relevant REF2014 publications which can be found on the HEFCE REF website <http://www.hefce.ac.uk/research/ref>
  3. UOA Coordinators must comply with the Code of Practice and take appropriate account of issues relating to equality and diversity.
  4. When preparing submissions UOA Coordinators will work closely with the REF Manager and Research Institute Directors of Research.
  5. UOA Coordinators will lead on the internal consultation for the HEFCE Consultation on Panel Criteria and Working methods to be published in Summer 2011.
  6. UOA Coordinators should seek advice and guidance on REF2014 from the REF Manager who will also provide updates and briefings periodically to UOA Co-ordinators.
  7. UOA Coordinators should encourage all staff in their subject area to provide information on their research outputs so that they may be considered for selection.
  8. Where staff put forward their research outputs for consideration that are later not accepted for submission, the UOA Coordinator should document the reasons for these decisions paying particular attention to the criteria set out the UH Code of Practice. Such decisions should be taken in conjunction with the REF Manager.
  9. For the mock assessments UOA Coordinators should identify expert external assessors with appropriate academic standing in their subject community and who have an understanding of the requirements REF2014. They should seek advice on suitable nominees from their colleagues in the subject area and make the Research Institute Director of Research aware of their decisions. The UOA Coordinator should approach suitable individuals informally in the first instance. Once potential expert external assessors have accepted the appointment informally, their names and contact addresses should be forwarded to the REF Manager for formal appointment.
  10. As new research outputs will come in to the public domain after the mock assessments, UOA Coordinators in the UOAs approved for subsequent mocks or the final submission should contact colleagues again requesting details of these new research outputs.
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## ANNEX G: REF2014 SELECTION CRITERIA

### SELECTION CRITERIA FOR THE FIRST MOCK REF2014

1. Does the member of staff meet the eligibility requirements to be classified as a Category A member of staff (2) (Research assistants are not eligible unless they are named as principal investigator or equivalent on a research grant or significant piece of work on the census date) or does the member of staff meet the eligibility requirements to be classified as a Category C member of staff (3)?
2. Does the member of staff have at least one research output since 1 January 2008 normally with others in process to be delivered/published before 31 December 2013?

### SELECTION CRITERIA FOR THE SECOND MOCK REF2014

1. Does the member of staff meet the eligibility requirements to be classified as a category A member of staff or does the member of staff meet the eligibility requirements to be classified as a Category C member of staff?
2. Does the staff member have, or have in press, four research outputs in the period 1 January 2008 to 31 December 2013?
3. If no to question two, does the staff member have clearly defined or complex circumstances as defined in Annex C which would have impacted on their ability to produce four outputs in the relevant period and if yes, do they have sufficient outputs when these circumstances have been taken into account?
4. Do the research outputs fit within one of the Units of Assessment to which the University has decided to make a submission?
5. With consideration of any feedback from the first Mock REF2014 exercise and in the judgement of the UOA Coordinator and the Director of Research for the Research Institute is the balance of 3 and 4 star quality within the outputs such that the member of staff can be entered into the UOA?
6. Is the judgement made by the UOA Coordinator and Director of Research for the Research Institute confirmed by the REF Management Group?

### SELECTION CRITERIA FOR INCLUSION IN THE REF2014 SUBMISSION

1. Does the member of staff meet the eligibility requirements to be classified as a Category A member of staff or does the member of staff meet the eligibility requirements to be classified as a Category C member of staff?
2. Will the staff member have, or have in press, four research outputs in the period 1 January 2008 to 31 December 2013?
3. If no to question two, does the staff member have clearly defined or complex circumstances as defined in Annex C which would have impacted on their ability to produce four outputs in the relevant period and if yes, do they have sufficient outputs when these circumstances have been taken into account?
4. Do the research outputs fit within one of the Units of Assessment to which the University has decided to make a submission?
5. With consideration of the feedback from the second Mock REF2014 exercise and in the judgement of the UOA Coordinator and the Director of Research for the Research Institute is the balance of 3 and 4 star quality within the outputs such that the member of staff can be entered into the UOA?
6. Is the judgement made by the UOA Coordinator and Director of Research for the Research Institute confirmed by the REF Management Group?

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2 Is s/he academic staff with a contract of 0.2fte or greater and on the payroll of the University on the census data (31 October 2013) and whose primary function is to undertake either 'research only' or 'teaching and research'?

3 Is s/he employed by an organisation other than the University whose contract or job role includes the undertaking of research and whose research is focused primarily in the University on the census date?



## ANNEX H: REF2014 PREPARATION TIMETABLE

Date	Action
2012	
January	<i>Publication of panel criteria and working methods</i> Start of first Mock REF
February	Briefing for UOA Coordinators
January -March	Identification of and appointment of external assessors
8 March	REF Management Group
30 March	Deadline for draft Mock REF submission
During April	RI Heads to give feedback to UOA Coordinators
25 April	REF Management Group
27 April	Submit to HEFCE Code of Practice on the selection of staff
30 April	Deadline for UOA Coordinators to submit redrafted mock submissions to REF Manager in the light of feedback from RI Heads
Week beginning 8 May	Submissions circulated to external assessors
May/June/July	Equality and diversity training for all involved in selection of staff
1 June	REF Management Group
End June	Reports back from external assessors
7 July	Publish Code of Practice on the selection of staff (assuming positive outcome from HEFCE)
September and thereafter as required	Meeting of Equality and Diversity Advisory Group to consider individual staff circumstances and to make recommendations to the REF Management Group
Mid-September	REF Management Group to consider reports of external assessors together with recommendations from UOA coordinators and Research Institute Directors
October	<ul style="list-style-type: none"> <li>• Feedback to individuals on outcome of first mock</li> <li>• Start second mock REF</li> </ul>
Autumn	<i>Pilot of the REF submission system</i>
October	<i>Invitation to HEIs to make submissions; invitation to request multiple submissions; and start of survey of submission intentions</i>
9 November	Deadline for submission of appeals by individuals against exclusion from REF submission
14 December	Deadline for decisions on appeals of first Mock REF
December	<i>Survey of submission intentions complete</i>

	<i>Deadline for requests of multiple submissions</i> <i>Deadline to request permission to submit confidential case studies</i>
2013	
January	<i>Launch of submission system and accompanying technical guidance</i>
February	Submissions circulated to external assessors
Mid-April	Reports back from external assessors
Mid-2013	<i>Appointment of additional assessors to panels</i>
June	REF Management Group to consider reports of external assessors together with recommendations from UOA Coordinators and Research Institute Directors of Research
End June	Report to Vice Chancellor on outcome of the second mock REF
July	<ul style="list-style-type: none"> <li>• Feedback to UOA Coordinators on the second REF mock assessment</li> <li>• Feedback to staff considered for non-inclusion in final submission</li> <li>• Decision on final list of case studies to be included and authors informed</li> </ul>
July	<i>End of assessment period (for research impacts, the research environment, and data about research income and research doctoral degrees awarded)</i>
August	<i>Provision of Income-in-kind data from Research Councils</i>
9 September	Deadline for appeals by individuals against non-inclusion in REF submission
15 October	Deadline for decisions on appeals
Mid-October	REF Management Group to review and agree final draft of submissions
31 October	<i>Census date for staff eligible for selection</i>
Mid-November	Deadline for signing off final paper versions of submissions by PVC/Heads/Directors of Research of RIs/UOA Coordinators and ultimately the VC
22 November	Target date for submission to HEFCE
29 November	<i>Closing date for submissions</i>
31 December	<i>End of publication period (cut off point for publication of research research outputs, and for research outputs underpinning impact case studies)</i>
2014	
Throughout year	Responding to requests from HEFCE re verification of data/audit etc
January -November	<i>Panels assess submissions</i>
December	<i>Publication of outcomes</i>
2015	
Spring	<i>Publication of submissions, panel overview reports and sub-profiles</i>

## ANNEX I: EQUALITY AND DIVERSITY POLICY

1. The University of Hertfordshire is committed to being an equal opportunities organisation that ensures equality of opportunity and fair treatment both as an employer and as a provider of education and other services. The Board of Governors adopted a revised Equality and Diversity Policy (UPR EQO/3) with effect from 30 January 2012. This over-arching equality and diversity policy articulates a renewed vision for advancing equality and valuing diversity which supports the achievement of the University's Strategic Plan. The policy statement set out in UPREQO/3 summarises how the University will realise this vision, ensure compliance with the Equality Act 2010, and other relevant legislation.
  2. The University has a separate policy to promote dignity and respect and to prevent and deal with Harassment and Bullying (UPR EQ01, refers).
  3. All equality policies may be accessed from <http://www.herts.ac.uk/about-us/equality-and-diversity/policies-for-equality-and-diversity/home.cfm> or in other formats from the Equality Office email: [equalityunit@herts.ac.uk](mailto:equalityunit@herts.ac.uk).
  4. The University's Equality Office provides information and advice on:
    - Equality legislation and best practice
    - How to advance fairness, respect, equality, diversity and inclusivity
    - Preventing and dealing with discrimination, harassment and bullying.
  5. The Equality Office reports on progress against agreed equality action plans and publishes, on its website, the outcomes of impact assessments and monitoring at University-level. The Office helps to ensure that staff have appropriate opportunities to develop knowledge and approaches to meet their legal duties and promote equality.
  6. This Code of Practice has been compiled within the context of the University's equality policies and with the advice of the Head of the University's Equality Office.
  7. The REF Management Group will monitor all stages of the University's REF2014 submission preparation including individual staff circumstances using the available data on protected characteristics. It will also monitor appeals.
  9. The University will produce an equality profile – in terms of disability, sex (gender), age and race (ethnicity) – of staff who are eligible for submission and indicate those who are submitted and those who are not.
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## ANNEX J: STATEMENT ON FIXED TERM AND PART-TIME STAFF

1. The University, as an equal opportunities employer, seeks to offer a range of flexible working arrangements in order to attract and retain good staff. The University already employs staff in a variety of contracts including full-time, fractional, part-time, term-time and sessional. The University complies with national regulations relating to the employment of staff on fixed-term contracts.
  2. All staff are employed on open-ended contracts unless there are valid and justifiable reasons not to do so, for example, where the funding for a post is available only for a fixed term.
  3. Fixed-term and part-time (fractional) staff have access to the same range of resources available to staff on full-time, open-ended contracts and are appraised on an annual basis. They have access to the normal staff benefits, including the pension scheme and staff development.
  4. The University has a range of policies which help staff to balance work and family commitments including: Maternity Leave, Maternity Support (previously Paternity) Leave, Adoption Leave, Parental Leave, Emergency Leave and Requesting a variation in contract. In addition the University offers a range of flexible working options that include flexitime, fractional contracts, term-time only contracts and job-sharing. These policies are available on *StaffNet* on <http://staffnet.herts.ac.uk/human-resources.htm> . The application of these University's policies is done in consultation with the manager of the member of staff concerned.
  5. The submission process for the REF2014 will be fair for all staff regardless of contract, provided that staff meet the eligibility requirements for REF (see REF 02.2011, July 2011). The process includes arrangements, outlined in Annex C of this Code, to take proper account of any relevant individual staff circumstances. Other factors that will influence the decision making process, regardless of contract, are set out elsewhere in this Code relating to definitions of quality levels of research outputs and the University's REF2014 strategy.
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