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Loughborough  
University

# HEFCE Research Excellence Framework 2014

Loughborough University Code of Practice for the Selection of Staff

18 July 2012

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# HEFCE Research Excellence Framework (REF) 2014

## Loughborough University Code of Practice for the Selection of Staff

July 2012

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This document will be circulated electronically to all academic staff and is available on the Research Office intranet <https://internal.lboro.ac.uk/research/office/uniwide/ref.htm>

Copies of the document are also available in hard copy from the Research Office, REF Team on request (Tel: 01509 222453)

Prepared by the REF 2014 Code of Practice for the Selection of Staff Working Group.

# 1. Introduction

In November 2013 the University will submit its research for national assessment, (Research Excellence Framework (REF) 2014) – see Appendix A). The University aims to submit the largest number of staff possible, within an overall strategy of maximising the profile for the University. Staff will be selected according to the quality of their research.

Loughborough University has adopted this Code of Practice for the REF 2014 to comply with relevant legislation and to ensure fair processes for the selection of staff that will be returned in the REF 2014 University submission.

# 2. Principles

Loughborough University will submit the work of all of its eligible and excellent researchers to REF 2014. This Code of Practice for the Selection of Staff demonstrates fairness to its staff and is based upon the principles of transparency, consistency, accountability and inclusivity. It describes the processes for identifying staff, procedures for establishing the committees responsible for the selection of staff as well as a description of the location of these committees in the University structure. It also describes the system for disclosure of individual staff circumstances, ensuring equality for all staff and enabling feedback and appeals. The University will ensure that all potential REF eligible staff will be notified and receive an electronic copy of the Code of Practice. For those staff that are absent from work, a hard copy will be sent directly to them.

General guidelines for staff concerning the selection and non-selection of staff for REF 2014, are as follows.

- It is intended that all eligible staff will have sufficient research outputs to be returned in the REF 2014. However, some staff may not have achieved the 'quality threshold' by the time of the census date, and hence will not be returned.
- There will be no formulaic approach to the selection of staff and each case will be judged in terms of university and REF Unit Team strategy in line with legislation and this Code of Practice.
- Quality of research for an individual will be judged primarily on the predicted (using subject expert review) Grade Point Average of his or her research outputs profile. (GPA = weighted average of all outputs based upon ratings of 4\*; 3\*; 2\*; 1\*; 0). The higher the GPA, the more likely the member of staff will be returned in the submission.
- Deans together with UoA Champions and AD(R)s (REF Unit Team) will make recommendations to the Research Performance Monitoring Committee (RPMC) who will check the recommendation against relevant REF Unit Teams and University policy documents and challenge the REF Unit Teams if they believe there to be inconsistencies. After these deliberations RPMC will undertake the final approval. Where a consensus cannot be reached this will be referred to the Vice-Chancellor (VC).
- All staff eligible to be returned in the REF 2014, and who are not selected, will be informed of the reasons for non-submission by the Dean of School (DoS), encouraged in their development towards School objectives post REF, and will have the right to appeal.
- The decision on whether a staff member is returned to REF 2014 will not directly determine their progression within the university. This will be determined, as for all staff, through existing processes and independently of the REF 2014 exercise. A member of staff will not experience detriment as a direct result of the REF 2014 selection process.

As well as the quality of research (output, environment, impact), there may be other factors relevant to an individual case. These individual circumstances will be considered by a specially convened group organised by HR.

A timetable for the implementation of the Code of Practice is provided. The timetable began early in 2012 with an assessment of the research of all eligible staff. Any staff deemed to be "at risk" of non-inclusion has/or will be provided with feedback on how they can improve their outputs to ensure subsequent selection. Monitoring of progress and providing advice will be an on-going process within the Schools. Full training for all staff involved in staff selection for REF will be provided from October 2012.

### 3. Staff and Committees

The highest level decision making bodies are **Council** and **Senate**. Responsibility for the monitoring of research has been devolved to the Research Performance Monitoring Committee (RPMC) which reports to Council and Senate. School and REF Unit Teams will submit to this group their plans and strategies for submission to the REF.

**Research Performance Monitoring Committee (RPMC)**, Chaired by the Pro-Vice Chancellor for Research (PVC(R)), consists of senior academic staff, most of whom are members of HEFCE REF Sub-Panels or have been members of RAE Sub-Panels. RPMC is responsible for monitoring the research performance of the University's academic Schools in light of the University's strategic aims and objectives. In this role it has devolved responsibility for REF planning and overviews the whole submission. RPMC will challenge Schools/REF Unit Teams on recommendations made by Schools in order to ensure a robust submission to REF 2014 in line with University strategy and this policy document.

Since 2003 RPMC has met with Deans of Schools, Heads of Departments and Associate Deans of Research (AD(R)s), previously Deans of Faculty and Heads of Departments, to review the performance of all staff with regard to research activity utilising the on line Personal Research Plans (PRPs). The terms of reference and constitution of RPMC are detailed in Appendix B.

**Research Committee (RC)**, is a committee of Senate, Chaired by the Pro-Vice Chancellor for Research. Research Committee acts in the initiation, promotion and development of research in the University in accordance with the current Strategic Plan. This committee drives the research strategy of the University and it acts as a two way forum for information sharing. The terms of reference and constitution are detailed in Appendix C.

**REF Unit Teams**, have been set-up for each UoA to be submitted. They consist of a UoA Champion, Dean, AD(R) and in some cases Head of Department (where relevant) and REF Administrative Contact. The AD(R) leads the team and is responsible for co-ordinating activities at local level.

**REF UoA Advisers:** Members of RPMC are assigned to work with specific REF Unit Teams. This ensures best practice is shared across REF Unit Teams and any interim issues brought to the attention of RPMC.

**Impact Review Working Group** includes the PVC(R), Research Office (RO) Director, RO Research Development Officer, RO Senior Research Policy Officer, Deputy Pro-Vice Chancellor (Enterprise), Director of Marketing and an external advisor. The group reviews and assists in REF impact preparations.

**The Code of Practice for the Selection of Staff Working Group** has been set-up to prepare this Code and to consider individual staff circumstances. The group includes the PVC(R), an Academic Dean, an academic member of the Ethics Committee, a representative from Human Resources (HR), a Union representative, the Equality and Diversity Officer and RO Senior Research Policy Officer.

**REF Appeals Panels** will be set-up by Human Resources, through the Director of Human Resources, on a case by case basis. Each case will be heard by a Pro Vice Chancellor or a Dean who has not had previous involvement with the case.

The **Research Office (RO), REF Team** responsible to the PVC(R), co-ordinates and manages the REF process and collates the submission within the REF software as well as providing guidance and support to all areas of the university. The HEFCE REF Contacts are situated within the Research Office. Queries concerning HEFCE guidance and procedures should be raised with the RO REF team in the first instance.

The **REF Central Administration Team**, incorporates representation from Human Resources (HR), Library, Planning Office, Research Student Office, Finance Office and RO Post Award Team, which works alongside and under the guidance of the Research Office REF team, in the preparation of specific elements of the REF data. IT Services assist in the preparation of data to upload to the REF software, links between systems for REF and other technical issues concerning the REF software.

## 4. Equality Impact Assessment (EIA)

The University embraces its responsibilities and obligations with regards to equality and diversity and this is evidenced by the opening statement from the Code of Practice on Equal Opportunities:

“Loughborough University is committed to achieving equality for all those who learn and work here and wishes to develop a demonstrably fair and supportive environment which provides equality of opportunity and freedom from unlawful discrimination on the grounds of race, colour, nationality, ethnic origin, gender, gender identity (transsexual), marital or civil partnership status, disability, including mental health difficulties, sexual orientation, religion or belief, age, social class or offending background. We are proud of our diverse community and wish to encourage and celebrate its full contribution to a University life where all colleagues are treated equally and with respect.”

### **Equality and Diversity has been embedded in the University’s ‘Strategic Plan – Towards 2016’:**

#### **Under Our Values:**

- Embed a commitment to equality and diversity and value the positive aspects of our differences.

#### **Under Operating Principles:**

- A fair, supportive and cohesive environment that promotes equality of opportunity for staff and students and values diversity.

#### **And under Human Resources Management:**

We respect and value positive difference. This means that we will:

- Value diversity and recognise that differences in styles, perspectives, values and beliefs are an asset to the University.
- Ensure that access to the opportunities offered to staff and students is fair and equitable.
- Recognise that the most effective team is one in which the different skills, knowledge and experiences of each member contribute to the delivery of a shared goal.’

The University has published its key Equality and Diversity Objectives for the next four years and has produced an Action Plan. The University publishes annual progress reports along with yearly statistics on equality data:

- <http://www.lboro.ac.uk/admin/personnel/documents/EqualityObjectivesActionPlanDec112.pdf>
- [http://www.lboro.ac.uk/admin/personnel/documents/Equality\\_Stats\\_report\\_2011\\_v41FINALVERSIONPDF.pdf](http://www.lboro.ac.uk/admin/personnel/documents/Equality_Stats_report_2011_v41FINALVERSIONPDF.pdf)

‘Respecting Diversity’ is a mandatory course for all staff. All those involved with the recruitment and selection of staff must also attend the University’s ‘Recruitment and Selection’ course. Furthermore, those staff involved in making decisions regarding REF submissions and forming REF Appeal Panels will be required to attend a ‘REF 2014 Briefing for Senior Managers’ prior to any decisions regarding individuals.

The University strives to embed good equality practice into all its policies and procedures as represented in an equality impact assessment (EIA). An EIA has been carried out on this Code and on the eligible staff demographic (March 2012). The EIA will be reviewed at key stages in the process prior to and immediately following submission. The assessment will be carried out in a thorough and systematic way led by Human Resources and guided by the Code of Practice on the Selection of Staff Working Group. It will be used at institution level but may also be used at UoA level if this is deemed appropriate.

Individuals included in Section 3, Staff and Committees (page 5), have been recruited to their positions on the basis of a systematic approach which is fair, unbiased and objective as outlined in the university’s ‘Good Recruitment Practice’ document. <http://www.lboro.ac.uk/services/hr/a-z/recruitment-guide—page.html>

Committee membership is based on the same fair process for recruitment and appointment of the most relevant and appropriate individual for the position. Committee terms of reference and membership are normally reviewed annually.

## 5. REF Eligible Staff (taken from HEFCE Assessment Framework and Guidance on Submission Part 3. 77-83)

77. Each HEI must decide which individuals to select for submission, in accordance with its internal code of practice. Staff selected for submission must be listed in one of the two possible categories, A or C

### Category A staff

78. Category A staff are defined as academic staff with a contract of employment of 0.2 FTE or greater and on the payroll of the submitting HEI on the census date (31 October 2013), and whose primary employment function is to undertake either 'research only' or 'teaching and research'<sup>1</sup>.
79. Regardless of their job title, all staff who satisfy the definition at paragraph 78, along with the supplementary criteria in paragraphs 79-81, are eligible as Category A staff:
- a. Staff who hold institutional/NHS joint appointments are eligible to be returned as Category A. These staff should be returned with an FTE less than 1.0, reflecting their contract of employment with the institution.
  - b. Pensioned staff who continue in salaried employment contracted to carry out research and meet the definition at paragraph 78 are eligible to be returned as Category A staff.
  - c. Academic staff who are on unpaid leave of absence or on secondment on the census date and are contracted to return to normal duties up to two years from the start of their period of absence or secondment are eligible to be returned as Category A, provided that any staff recruited specifically to cover their duties are not also listed as Category A.
  - d. Academic staff who are employed by the submitting HEI and based in a discrete department or unit outside the UK are eligible only if the HEI demonstrates that the primary focus of their research activity on the census date is clearly and directly connected to the submitting unit based in the UK. Staff whose connection cannot be demonstrated to the satisfaction of the REF manager, as advised by the relevant panel, will be discounted from the assessment and removed from the REF database.
  - e. Staff absent from their 'home' institution but working on secondment as contracted academic staff at another UK higher education institution on the census date, may be returned by either or both institutions. In such a case the individual and both institutions concerned should agree how the return is to be made. Their total FTE may not exceed their contracted FTE with their main employer.
  - f. Other than individuals on secondment on the terms described in sub-paragraph e, an individual may only be returned as Category A by more than one HEI if they have a contract with and receive a salary from more than one HEI. In such cases:
    - i. The two HEIs must ensure that the total FTE value of the individual sums to no more than the lower of 1.0 or the individual's total contracted FTE duties. If any individual is returned in submissions with a contracted FTE that sums to more than 1.0, the REF team will rectify this through verification, and will apportion the FTE to each HEI pro-rata to the individual's contracted FTE at each HEI.
    - ii. The same research outputs may, but need not be, listed in each submission.
  - g. No individual may be returned in more than one submission, except as described at sub-paragraphs e and f. Where an individual holds a joint appointment across two or more submitting units within the same institution, the HEI must decide on one submission in which to return the individual.
  - h. Staff whose salary is calculated on an hourly or daily basis are eligible only if they meet the definition at paragraph 78 and on the census date have a contract of employment of at least 0.2 FTE per year over the length of their contract.
  - i. Staff who hold more than one contract for different functions within the HEI, are eligible if one of those contracts satisfies the definition of Category A staff at paragraph 78. Such staff should be returned with an FTE that is no greater than that of the qualifying contract.

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<sup>1</sup> These are staff returned to the HESA Staff Collection with an activity code of 'Academic Professional' (currently identified as code '2a' in the ACT1, ACT2 or ACT3 fields) and an academic employment function of either 'Research only' or 'Teaching and research' (currently identified as codes '2' or '3' in the ACEMPFUN field). Revised guidance on the coding of these staff in HESA returns will be issued following the review of the HESA staff record, which is due to conclude in September 2011.

### Research assistants

80. *Research assistants are individuals who are on the payroll of and hold a contract of employment with the institution. They are academic staff whose primary employment function is defined as 'research only'. They are employed to carry out another individual's research programme rather than as independent researchers in their own right (except in the circumstances described in paragraph 81). They are usually funded from research grants or contracts from Research Councils, charities, the European Union (EU) or other overseas sources, industry, or other commercial enterprises, but they may also be funded from the institution's own funds. Individuals who meet this definition may be described in HEIs' grading structures as something other than research assistant (for example research associate, assistant researcher).*
81. *Research assistants, as defined in paragraph 80, are not eligible to be returned to the REF unless, exceptionally, they are named as principal investigator or equivalent on a research grant or significant piece of research work on the census date and satisfy the definition of Category A staff in paragraph 78. Research assistants must not be listed as Category A staff purely on the basis that they are named on one or more research outputs.*

### Category C staff

82. *Category C staff are defined as individuals employed by an organisation other than an HEI, whose contract or job role (as documented by their employer) includes the undertaking of research, and whose research is primarily focused in the submitting unit on the census date (31 October 2013).*
83. *Category C staff may be employed by the NHS, a Research Council unit, a charity or other organisation except for an HEI. Submitted outputs by Category C staff will inform the quality profiles awarded to submissions, but these staff will not contribute to the volume measure for funding purposes. For clarity, the following are not eligible to be returned as Category C staff:*
- a. *Any staff employed by the HEI, including vice-chancellors or heads of HEIs; HEI staff on non-academic contracts, including those working in university museums and libraries; or retired staff who are still active in research. (Where they satisfy the definition at paragraph 79i or, for retired staff, paragraph 79b, these staff are eligible to be returned as Category A staff.)*
  - b. *Visiting professors, fellows and lecturers employed by other HEIs.*

## 6. Disclosure of Individual Staff Circumstances (ISC)

HEIs are allowed to list the maximum of four outputs against any staff member, irrespective of their circumstances or the length of time they have had to conduct research.

As a key measure to support quality and diversity in research careers, individuals may be returned with fewer than four outputs without penalty in the assessment, where their circumstances have significantly constrained their ability to produce four outputs or to work productively throughout the assessment period.

In order to capture all individual staff circumstances, where circumstances have significantly constrained ability to produce four outputs or to work productively, a form will be circulated to all REF eligible staff by the end of November 2012, prior to the January to April 2013 research output review. Thereafter the form will be sent to all new starters at commencement of contract, and made available to all staff again in July 2013 to ensure that changes in circumstances are picked-up. These forms will be made available electronically to all staff and in hard copy, where preferred, and information regarding the form will be widely disseminated through Schools, Departments and the intranet.

An ISC form will remain confidential to the individual and those that review the form. If a member of staff wishes to discuss, in-confidence, their possible disclosure of ISC, they may contact Anne Lamb in HR directly (Tel: 222168) (a.e.p.lamb@lboro.ac.uk). Each form will be reviewed and a decision made by up to four members of the Code of Practice Working Group with at least one member of Human Resources (HR) and a member of the Research Office REF Team. If a decision cannot be reached then the issue under review will be anonymised and raised as a generic issue with the full Code of Practice on the Selection of Staff Working Group. Decisions regarding reductions of outputs, but no other details, will be reported in writing to the individual and REF Unit Teams. Forms will be kept securely within HR and no other members of staff will have access to them. Forms will be destroyed after the REF results are published (December 2014).

A standard list of individual staff circumstances has been identified by HEFCE as those that institutions and HEFCE will take into account. Individual panels have also specified in the Panel Criteria and Working Methods document how their panel will take account of these circumstances (as defined in the Assessment Framework and Guidance on Submissions paragraph 92, as detailed below):

- 92 a. *Clearly defined circumstances:*
- i. *Qualifying as an ECR (as defined at paragraphs 85-86 of the Assessment Framework and Guidance on Submissions).*
  - ii. *Part-time working.*
  - iii. *Maternity, paternity or adoption leave. (Note that maternity leave may involve related constraints on an individual's ability to conduct research in addition to the defined period of maternity leave itself. These cases can be returned as 'complex' as described at sub paragraph b below, so that the full range of circumstances can be taken into account in making a judgement about the appropriate number of outputs that may be reduced without penalty).*
  - iv. *Secondments or career breaks outside of the higher education sector, and in which the individual did not undertake academic research.*
- b. *Circumstances that are more complex and require a judgement about the appropriate number of outputs that can be reduced without penalty. These circumstances are:*
- i. *Disability. This is defined in Part 4, Table 2 under 'Disability' of the Assessment Framework and Guidance on Submissions.*
  - ii. *Ill health or injury.*
  - iii. *Mental health conditions.*
  - iv. *Constraints related to pregnancy or maternity, in addition to a clearly defined period of maternity leave. (These may include but are not limited to: medical issues associated with pregnancy or maternity; health and safety restrictions in laboratory or field work during pregnancy or breastfeeding; constraints on the ability to travel to undertake fieldwork due to pregnancy or breast-feeding.)*
  - v. *Childcare or other caring responsibilities.*
  - vi. *Gender reassignment.*
  - vii. *Other circumstances relating to the protected characteristics listed at paragraph 190 of the Assessment Framework and Guidance on Submissions.*

## 7. Fixed Term and Part-Time Staff

The University makes every effort to support its fixed term and part-time staff, including contract research staff, in relation to equality and diversity. The statement below relates to fixed term staff and is taken from the Academic and Related Staff Conditions of Service <http://www.lboro.ac.uk/admin/personnel/conditions.html>

"The University acknowledges that fixed term contracts are not good models for long-term employment and is committed to reducing their use. It recognises the responsibilities placed on it by the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations 2002. In all cases where fixed term contracts are proposed or in place there should be objective reasons for their use. Objective reasons or circumstances could include those set out below. If the University proposes to use a fixed term contract in any other circumstance the reasons will be discussed with the relevant trades union."

Similarly the University recognises its responsibilities to give full consideration to requests for flexible working, which may include part time working, for staff who are also carers. The University values its part time employees and recognises that they are a valuable and committed resource within the University.

Loughborough University aims to treat all staff in a fair and equitable manner including those on fixed and part time contracts and those on career breaks, sabbaticals and secondments. The university aims to provide security of employment and the opportunity to progress up the scale where appropriate. All research staff on temporary contracts will be kept fully up-to-date, as far as possible, on the state of their existing funding and career guidance is available if opportunities to continue are limited or individuals do not wish to remain in research.



## 8. Feedback and Appeals

### Communication of Decisions to Staff

Schools are expected to be open and transparent in the process of reviewing the quality of outputs and subsequently the outcomes of REF Unit Team strategic decisions.

REF eligible staff should feel able to raise any queries or concerns at any stage in the preparations with either the local REF Unit Team or RO REF Team.

Staff will be kept informed of the research output quality review process and interim and final decisions regarding exclusion will be communicated to individual staff members via the REF Unit Teams as early and as clearly as possible with reasons for exclusion.

### Appeals

If individuals are concerned about the decision making process, in preparation for REF 2014, they should discuss these with their Dean of School in the first instance. If issues remain unresolved, or not resolved to the satisfaction of the individual concerned, they may appeal to the Director of Human Resources.

Any appeal must be submitted in writing to the Director of Human Resources within two weeks of receipt of the decision regarding their non-inclusion in the REF submission. The written document must set out the grounds for appeal. The appellant's Dean will also have the opportunity to provide a written statement explaining the process followed and how the decision has been reached. Appeals will be heard by a Pro Vice Chancellor or a Dean who has not had previous involvement with the case. Their decision will be final.

## 9. Timetable and Decision Making Processes for REF

### REF Decisions

A review of all published outputs planned to be submitted for REF for all UoAs (at 31 December 2011) took place in Spring 2012. This was undertaken on the basis of School submissions. Feedback and advice has/will be provided to all eligible members of staff. A further review of all revised output selections will take place January to April 2013. Output selections will continue to be updated and reviewed at local level until submission on 30 November 2013. The decision making process regarding inclusion of staff will be informed by these reviews.

Deans of Schools have been encouraged to undertake early and open discussions with staff in the Schools regarding plans towards REF 2014. Individuals will be informed of recommendations via the REF Unit Teams. RPMC will make final decisions concerning sub-panel submissions. Any decisions which cannot be agreed by RPMC will be referred to the Vice-Chancellor. Records will be kept of all committee discussions regarding decisions and reports submitted by one committee to another regarding REF discussions.

Most academic staff are eligible for inclusion in the REF but some individuals may not be submitted for strategic reasons which may not reflect an individuals' contribution to the activities within the teaching, research and enterprise environment. Staff not included in the submission will be informed of the reasons for non-submission and encouraged in their development towards School objectives post REF. Decisions about whether staff are included in submissions will be based on UoA criteria and strategies for UoA submissions including expected GPA and QR income. All such decisions will be reviewed at local and central level by the groups indicated in the REF management organisation listed in section 3, Staff and Committees (page 5), with final decisions confirmed by RPMC.

## Loughborough Timetable regarding Research Output Selection, Individual Staff Circumstances and Selection of Staff.

Event	Date
Review of quality of outputs of all REF eligible staff (census Dec 2011)	January to April 2012
Initial indications regarding the local output quality review process and outcomes of the review, including individual estimated ratings of outputs at this point in time, to be communicated with advice to staff	April to July 2012
Commence equality training for all staff involved in the selection and appeals process	October 2012
Circulation of individual staff circumstances form to all REF eligible staff. (Circumstances may be requested to be examined earlier for an interim decision)	By the end of Nov 2012
Review of individual staff circumstances (ISC) forms by members of Selection of Staff Working Group (minimum two/maximum of four people) and decisions regarding requests for reductions in submitted outputs reported back to individuals and UoA contacts	January 2013
Equality Impact Assessment (to be reviewed on an on-going basis through to submission)	Initially prepared March 2012. To be reviewed at key points throughout and following submission
Update of quality output review for revised selected outputs of all REF eligible staff (census Dec 2012)	January – April 2013
Review of additions/changes of output selections on an on-going basis until the submission deadline	April 2013 – November 2013
REF eligible staff to report updates/declare new individual staff circumstances for reductions in submitted outputs	Reminder to be sent July 2013. Deadline for forms – beginning of Sept 2013
Decisions regarding staff exclusions to be communicated to individual staff clearly with indication of reasons for exclusion, where applicable, via REF Unit Teams	April to September 2013
Last date for appeals against decisions regarding staff exclusions	11 October 2013
REF 2014 census date for staff in position	31 October 2013
REF submission deadline	30 November 2013

## 10. Publication of Results and Submissions

The outcome of the REF will be an overall quality profile for each UoA submission. This information will be published in December 2014. The quality profile will show the proportions of research activity judged to meet each of four starred quality levels, in steps of 1 per cent. Output, impact and environment sub-profiles that were combined to produce the overall quality profiles will also be published in due course. Further details can be found in the 'Assessment Framework and Guidance on Submissions' document, Annex B. Alongside the quality profiles the FTE of staff submitted will be included.

In early 2015 feedback will be received which will include a published report by each main panel and concise feedback summarising the reason for the quality profile awarded. Concise feedback will be sent to the Vice-Chancellor only and will be disseminated to relevant School REF Unit Teams. All data prepared for REF 2014 will remain confidential to the institution prior to publication by HEFCE of the results and the non-confidential areas of submissions.

In Spring 2015 the submissions will be published on the internet. This will include names of selected staff and the listings of research outputs, but remove personal and contractual details. Submitted numerical data on research doctoral degrees awarded and research income and submitted textual information about impact and the environment will also be published. The submission software will include a facility for HEIs to redact the names of any staff, listed outputs, impact case studies or textual parts of the submissions that should be omitted from the published data for specific reasons, such as commercial sensitivity or security.

## Appendices

### Appendix A. REF 2014 Overview

The Research Excellence Framework is the system for assessing the quality of research in Higher Education Institutions in the UK, and replaces the Research Assessment Exercise (RAE), last conducted in 2008. The primary purpose of REF 2014 is to produce assessment outcomes for each submission made by institutions:

- To inform the selective allocation of their grant for research to the institutions which they fund, with effect from 2015-16.
- To provide accountability for public investment in research and produce evidence of the benefits of this investment.
- To provide benchmarking information and establish reputational yardsticks, for use within the higher education (HE) sector and for public information.

### HEFCE REF 2014 Timetable

The main assessment period deadlines and census dates for REF 2014 are as follows:

- **31 July 2013.** End of assessment period (for research impacts, the research environment, and data about research income and research doctoral degrees awarded).
- **31 October 2013.** Census date for staff eligible for selection.
- **29 November 2013.** Closing date for submissions.
- **31 December 2013.** End of publication period (cut-off for publication of research outputs, and for outputs underpinning impact case studies).
- **Throughout 2014.** Panels assess submissions.
- **December 2014.** Publication of outcomes.

## **Appendix B. Research Performance Monitoring Committee**

### **Terms of Reference**

The Research Performance Monitoring Committee will monitor the research performance of all the University's academic schools, research schools, institutes and centres in the light of the University's targets set in the Strategic and Operational Plan.

In undertaking this role, the Committee will:

1. have regard to the University's aim of being amongst the top-rated UK universities based on REF measures.
2. receive and consider performance related data pertaining to REF Units of Assessment and, where appropriate, set in the context of Faculty, School and individuals' research plans.
3. benchmark Departmental research performance against that of leading UK (and, where appropriate international) University Schools and research institutes.
4. liaise as appropriate with the Finance Committee and other University committees.
5. make recommendations as required on the University's underpinning support for research, including financial support, having regard especially to any development or special initiatives.
6. report regularly to Senate and Council.

### **Constitution**

Chair: Pro-Vice-Chancellor (Research).

Chair of Council or nominee.

Provost and Deputy Vice-Chancellor.

Up to ten members of the academic staff, appointed by Senate on the nomination of the Vice-Chancellor, any such member normally expected to be, or have been, a panel member in the national process for evaluation of the quality of research.

Up to two co-opted members.

## **Appendix C. Research Committee**

### **Terms of Reference**

As a Committee of Senate it shall be required to act in an executive and advisory capacity in the initiation, promotion and development of research in the University in accordance with the current Strategic Plan, and in particular:

- (i) To develop and support a co-ordinated strategy for the growth of high quality research in the University and make recommendations to Operations Committee on the resource and budget implications of this strategy.
- (ii) To identify new areas of potential growth and opportunities, especially in multi-disciplinary activity and to build upon existing strengths in high quality research.
- (iii) To monitor and evaluate research performance across the University, and to take action to ensure quality improvement.
- (iv) To monitor the performance of interdisciplinary research schools and to make recommendations on the continuation of existing research schools and the establishment of new ones.
- (v) To monitor the performance of the Graduate School and to ensure that it is effective in providing quality procedures and in enhancing the research student experience.
- (vi) To review and evaluate the processes for the recruitment, admission and monitoring of postgraduate research students.
- (vii) To keep under review the external influences on the development of research, including HEFCE, Research Council and European Union policies on the funding of research in order to take maximum advantage of funding opportunities and initiatives.

- (viii) Via the AD(R)s, to communicate and to facilitate a dialogue with Schools and to promote awareness within the wider research community of the University.
- (ix) To liaise appropriately with the Learning and Teaching Committee and the Enterprise Committee where there is convergence of interests.
- (x) To ensure that the University provides an environment, facilities and staff to deliver high quality research.
- (xi) To report to Senate.

## Constitution

Pro Vice-Chancellor (Research).

Director, Research Office.

Dean of the Graduate School.

Associate Deans (Research).

Senior Assistant Registrar (Research Student Office).

Director of a Research School.

Postgraduate Research Student Representative.

Other individuals may also be invited to attend for items relevant to their areas of expertise.

The Committee meets approximately once per month.

## Appendix D. References

1. Assessment Framework and Guidance on Submissions (pages 17-21 & 34-42)
2. Panel Criteria and Working Methods, Part 1, Generic Statement (pages 9-13)
3. Equality Briefing for Panels  
[http://www.ref.ac.uk/media/ref/content/pub/equalitybriefingforpanels/REF\\_equality.pdf](http://www.ref.ac.uk/media/ref/content/pub/equalitybriefingforpanels/REF_equality.pdf)
4. Equality and Diversity in the REF <http://www.ref.ac.uk/equality/>
5. Decision on taking account of maternity leave in the REF  
[http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/O2\\_11add.pdf](http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/O2_11add.pdf)
6. ECU FAQs on Developing a Code of Practice  
<http://www.ecu.ac.uk/documents/ref-materials/codes-of-practice>
7. ECU Differences in Code of Practice RAE 2008 and REF 2014  
<http://www.ecu.ac.uk/documents/ref-materials>
8. Loughborough University – Towards 2016 Strategic Plan 2006-2007 Edition  
[https://internal.lboro.ac.uk/admin/registry/univide/Strategic\\_Plan.pdf](https://internal.lboro.ac.uk/admin/registry/univide/Strategic_Plan.pdf) (intranet only)
9. Loughborough's Code of Practice on Equal Opportunities  
<http://www.lboro.ac.uk/admin/personnel/policies/equaloppspolicy.htm>
10. Good Recruitment Practice <http://www.lboro.ac.uk/services/hr/a-z/recruitment-guide--page.html>
11. Code of Practice for the employment of Research Staff <http://www.lboro.ac.uk/admin/personnel/code.html>

## Appendix E. Useful Contacts

### Research Office REF Team

#### Pro-Vice Chancellor (Research):

Professor Myra Nimmo. Tel: 01509 226311 (m.a.nimmo@lboro.ac.uk)

#### RO Director:

Peter Townsend Tel: 01509 222450 (p.a.townsend@lboro.ac.uk)

#### RO REF Team:

Angela Crawford Tel: 01509 222453 (a.m.crawford@lboro.ac.uk)

Bal Sandhu Tel: 01509 228596 (b.sandhu@lboro.ac.uk)

Zoe Stockdale Tel: 01509 222423 (z.c.stockdale@lboro.ac.uk)

The Research Office website (intranet) provides REF details and links to this document and key HEFCE REF documents: <https://internal.lboro.ac.uk/research/office/uniwide/ref.htm>

### HR REF Contact

Anne Lamb: Tel: 01509 222168 (a.e.p.lamb@lboro.ac.uk)

#### Staff Development – Equality and Diversity

Abida Akram: Tel: 01509 222389 (a.p.akram@lboro.ac.uk)

## Appendix F: Code of Practice Communication

Loughborough University is committed to a programme of communication activity to disseminate the Code of Practice and explaining the processes related to selection of staff for submission, as follows:

- The Code of Practice will be made widely available to all potential REF eligible staff, including on the University's intranet
- An email from the PVC(R) will be circulated to all those involved in the selection process and all those eligible for submission, to disseminate the Code of Practice. A hard copy will be sent to staff absent from the University
- A link to the Code of Practice will be included in the covering note to the individual staff disclosure form. The staff disclosure form will be emailed to all eligible staff and a hard copy to those absent from work.
- Each REF Unit Team will devise a strategy for a Decision Map which clearly outlines the basis on which they will determine the inclusion of staff for each UoA, for approval by the Research Committee and subsequent communication to the staff concerned.
- We will encourage staff to discuss questions they may have on the Code of Practice or the University's preparation for REF with their REF Unit Team (Dean, ADR, UoA Champion). Staff will also be able to email the central Research Office REF Team ([researchpolicy@lboro.ac.uk](mailto:researchpolicy@lboro.ac.uk)) with any queries regarding the process, or to arrange a meeting to address any specific questions directly.

This document will be circulated electronically to all academic staff and is available on the Research Office intranet <https://internal.lboro.ac.uk/research/office/uniwide/ref.htm>

Copies of the document are also available in hard copy from the Research Office, REF Team on request (Tel: 01509 222453)

Prepared by the REF 2014 Code of Practice for the Selection of Staff Working Group

**[www.lboro.ac.uk](http://www.lboro.ac.uk)**