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Introduction

This Code of Practice has been developed by Queen Mary, University of London in preparation for the Research Excellence Framework 2014. It supports our strategic aim to build on our distinctive position as a leading research-based Higher Education Institution with a strong engagement with our London location. It reflects our ambitions to meet the highest standards of research, as judged by international comparators, in a broad range of subject areas and our commitment to the idea of a university as a mutually supportive community of scholars.

The College has adopted the following Equal Opportunities Policy statement:

This Code of Practice identifies the mechanisms by which the College will exercise this policy in managing its assessments of the quality and value of the research of its academic staff through REF dry run exercises, leading up to the final submission to HEFCE in November 2013. It forms part of the University's development of its equality objectives and is supported by a programme of activities and support for academic staff delivered at both College and local level. More information on Equality and Diversity and our Research Strategy is available on the University's website <http://connect.qmul.ac.uk/research/ref/index.html>

This code of practice is based on the principles of:

Transparency: This code is designed to make it clear to staff how decisions are taken, by whom and when. It makes it clear how the decisions about REF selection will be reported to and discussed with staff and how staff can appeal against the outcome. It will be circulated to all academic staff in Queen Mary, including those who are absent and made available in accessible formats on our website.

Consistency: Staff selection is co-ordinated centrally by the Principal, Professor Simon Gaskell, assisted by the REF Senior Academic Lead, Professor Adrian Smith and the REF Strategy Group (RSG). The final decisions about staff selection are taken by the Queen Mary Senior Executive and the Principal, Professor Simon Gaskell. This ensures that the same processes and procedures have been and will be applied equitably to all staff in all UoAs at all points in the process.

Accountability: the Code of Practice clearly defines the responsibilities and the accountability of individuals involved in staff selection.

Inclusivity: The College's aim is to ensure that, wherever possible, staff with high quality research are returned to the REF. As part of HEFCE's support for equality and diversity, individuals may be returned with fewer than four outputs where their circumstances have significantly constrained their ability to produce four outputs or work productively throughout the assessment period. Part G of the Code outlines how the Code will identify and deal with such circumstances.

A. Objectives

The objectives of the Code of Practice are to:

1. Provide staff with clear information about how the College is managing its REF2014 preparations and submission

2. Describe how the College is discharging its responsibilities in accordance with the requirements of the Equality Act 2010 and relevant employment legislation;
3. Ensure consistency of practice across the College in relation to the selection of eligible staff for both preparatory exercises and the final REF 2014 submission (see Section F);
4. Ensure that selection of eligible staff for REF 2014 is made on transparent, defensible grounds relating only to the individual's research outputs and coherence with the stated research strategies of the College or its constituent schools/institutes/centres;
5. Enable the inclusion, subject to appropriate quality standards, of researchers whose volume of research output has been limited by circumstances protected under Equality legislation;
6. Ensure that all staff are aware of the mechanisms that are in place to ensure they are able to divulge in confidence any personal circumstances that may have limited the quantity of high quality research output;
7. Recognise the importance of executive management decisions regarding the selection of eligible staff in order to enhance the strategic coherence of the College's research, its academic reputation and/or to optimise its income.
8. Provide an effective communication plan that informs staff of the selection criteria and process to be followed and of their right to appeal against exclusion from the final submission.

B. Key Points

1. Responsibility for the final REF 2014 submission rests with the Principal, Professor Simon Gaskell and the Queen Mary Senior Executive (QMSE) following the recommendations of the REF Strategy Group. Heads of School/Institutes and Directors of Research or their nominee will be responsible for overseeing the preparation of draft submissions for each UoA in which the College intends to make a return. Where there is a submission that goes across internal College structures the REF Senior Academic Lead will appoint a UoA co-ordinator.
2. All College staff whose primary role includes a requirement to undertake research, and who meet the eligibility criteria as defined by HEFCE in Document REF02.2011 "Assessment framework and guidance on submissions" are eligible for return in REF2014.
3. Individuals will be asked to make the REF Senior Academic Lead aware of any 'special circumstances' (see Section G, below) that may have significantly adversely affected their ability to undertake research and/or the volume of research outputs published during the assessment period. This material will be anonymised and considered in confidence by the REF Equality and Diversity Group which is chaired by the REF Senior Academic Lead.
4. Individual suitability for submission will be assessed by reference to the Panel Criteria and Working Methods documentation. The same criteria will apply to the College's annual REF Dry Runs and to the final submission.
5. All staff deemed to have met the minimum criteria (see Section F) will be eligible for inclusion in the final submission in 2013; however, this will be subject to the REF Strategy Group's judgement of the most advantageous overall profile for the College, or for a given UoA.

6. Eligible staff may be identified for exclusion from the College's REF submission for one or more reason, including:
 - their research profile is judged not to have reached the required volume and/or standard and no acceptable clearly defined or complex circumstances have been submitted to support inclusion;
 - their research does not fit coherently with the stated research strategies of the College or its constituent schools/institutes/centres;
 - a strategic decision of the REF Strategy Group to adjust the staff profile submitted in order to enhance the academic reputation of, and/or to optimise the financial benefits to, the College.
7. Eligible staff who are identified for exclusion from the final submission will have a meeting with the Faculty Vice-Principal or their nominee (or, by exception, the Principal), in order to confirm that there are no unrecognised special circumstances, referring staff to Section G and Appendix ii of this Code of Practice. The Faculty Vice-Principal or their nominee will confirm in writing to the staff member the outcome of the meeting and the date of any follow-up meeting.
8. Eligible staff identified for exclusion from the final submission will also be provided with feedback, support and guidance through their School/Institute Directors of Research and/or their Faculty Dean for Research.
9. All College staff involved in REF selection and decision-making processes will be required to undertake appropriate equality and diversity training, and the equality profile of all persons/groups involved in the process will be monitored and published. REF-specific equality and diversity training has already been run for all those involved in the College's Dry Runs and will continue to be provided for new Heads of School/Institutes and others who are new to the REF process in 2012-13.
10. The College will undertake equality impact assessments at key points in the process. It will monitor and publish the profile of staff selected for submission in the 2011-12 Dry Run by December 2012 and by December 2013 for the final submission. The REF Equality and Diversity Group will compare this with the equality profile of all eligible staff within the College. If, at any point, an imbalance is found relative to the total potential pool of eligible staff, the College will undertake equality impact assessments at a lower level, e.g. UoA, School or Institute level. Work to support staff with protected characteristics will be undertaken where they are identified as being at risk of not being returned.
11. Where the numbers of staff are small enough to enable individuals to be identified, this data will not be published in accordance with the provisions of Data Protection legislation.

C. Outline of Procedure

1. The elements involved in the process are:
 - Annual Dry Run
 - Review of Dry Run by External Assessors
 - Internal assessment of Dry Run outcomes by the REF Strategy Group
 - Notification to individuals
2. The mechanisms used to facilitate the selection of staff for inclusion in the REF submission are inevitably interlinked with the continuous process of performance appraisal. The College aims to provide a supportive environment in which eligible staff are able to identify, develop and achieve appropriate research objectives.
3. Eligible staff who are identified for exclusion from the final submission will have a meeting with their Faculty Vice-Principal or nominee in order to confirm that there are no unrecognised special circumstances, referring staff to Section G and Appendix ii of this Code of Practice. The Faculty Vice-Principal or nominee will confirm in writing to the staff member the outcome of the meeting and the date of a follow-up meeting.

D. Time scales

REF 2014 critical dates

Staff census date	31 st October 2013
The assessment period	1 st January 2008 to 31 st July 2013
The publication period	1 st January 2008 to 31 st December 2013
The submission date	29 th November 2013

Internal Critical dates for College processes

2011 Dry Run deadline	31 st October 2011
External assessment	1 st November 2011 to 31 st January 2012
External assessment deadline	31 st January 2012
Feedback to Schools/Institutes	By mid-March 2012 at the latest
Feedback to individual researchers	By the end of April 2012
Equality Impact Assessment on 2011 Dry Run	30 th September 2012
2012 Dry Run deadline	31 st October 2012
External assessment	1 st November 2012 to 31 st January 2013
External assessment deadline	31 st January 2013
Feedback to Schools/Institutes	By mid-March 2013 at the latest
Feedback to individual researchers	By the end of May 2013
Equality Impact Assessment on 2012 Dry Run	31 st August 2013
Deadline for conclusions of appeal hearings	31 st August 2013
Confirmation of REF2014 submission staff profile	30 th September 2013
Submission to REF2014	29 th November 2013
Equality Impact Assessment on Final Submission	31 st December 2013

College Processes

1. The College's annual Dry Runs have a census (staff and outputs) and a submission date of 31st October.
2. Dry Run submissions for each UoA are sent to external assessors in November, who are asked to return their comments by 31st January .
3. From 2012 individuals will be provided with information from the assessments of their research profile, and informed in writing of the decision whether:
 - a. in a dry run year, assessments of their research indicate potential inclusion or exclusion in 2013
 - OR
 - b. in 2013, it is the College's intention that they will be included or excluded

In 2013, staff will be informed by May 30th, or as near to this date as possible, to ensure that they are able to take advantage of the College's appeal processes. Copies of all meeting notes will be held by the REF Strategy Group as part of the REF2014 audit trail.

4. Dry runs provide information that is valuable to researchers in evaluating their own progress. A request for an appeal hearing against a decision to exclude from the REF itself must be lodged with the Director of HR within fifteen working days from the date of despatch of the letter in May 2013 notifying them of the REF Strategy Group's decision. Appeal hearings will be dealt with by no later than the end of August 2013.
5. The College will aim to have the staff profile for the final REF2014 submission confirmed by no later than 30th September 2013.
6. The above dates should be regarded as indicative and may be subject to review and revision. For example: it may be necessary, in light of future additional REF guidance and instructions from HEFCE, for the College to take decisions beyond 30th September 2013 regarding the final staff profile to be submitted. Eligible staff who are identified for exclusion at this later stage will receive written notification in sufficient time to accommodate their right to request an appeal hearing (in accordance with Section I, below) prior to the final submission date.

E. Roles and responsibilities in the selection and decision making process

1. Responsibility for the final REF2014 submissions rests with the REF Strategy Group, acting on behalf of Queen Mary Senior Executive.
2. The REF 2014 preparations and submission are managed by the Principal (Professor Simon Gaskell), supported by the REF Senior Academic Lead, (Professor Adrian Smith)...
3. The REF2014 Equality and Diversity Group examines submissions for clearly defined and complex circumstances. Chaired by the REF Senior Academic Lead, it looks at the material in anonymised format and makes decisions based on the guidance provided by the Equality Challenge Unit's case studies: <http://www.ecu.ac.uk/our-projects/REF/>.
4. All College staff involved in the selection and decision-making processes have undertaken appropriate equal opportunities training covering the Equality Act, identifying clearly defined and complex circumstances and mechanisms for supporting academic staff. All College staff involved in the REF will be provided with copies of this Code of Practice and any relevant guidance issued by HEFCE.
5. The list in Appendix i gives details of the individuals, groups and committees involved in the selection and decision-making processes for REF 2014, and of the process followed for their selection to undertake the stated role(s) in relation to the College's REF preparations.
6. As part of its Equality Impact Assessment, the College will monitor and publish the composition of the body of people in the roles listed to ensure they are representative of the overall equality profile of senior staff within the College.

F. Criteria for inclusion

1. Eligible staff are defined by the HEFCE REF Team as "academic staff ... whose primary employment function is to undertake either 'research only' or 'research and teaching', and whose contract with the submitting HEI has an FTE of 0.2 or greater";
2. The College's ambition is to return all eligible staff where internal and external assessment indicates that their work is of sufficient quality to benefit the College both in terms of reputation and income. The College will be proactive in trying to ensure that staff are included.
3. Eligible staff may be identified for exclusion from the College's REF submission for one or more reason, including:
 - their research profile is judged not to have reached the required volume and/or standard and no acceptable clearly defined or complex circumstances have been submitted to support inclusion;
 - their research does not fit coherently with the stated research strategies of the College or its constituent schools/institutes/centres;
 - a strategic decision of the REF Strategy Group, to adjust the staff profile submitted in order to enhance the academic reputation of, and/or to optimise the financial benefits to, the College.

4. The College will in general return eligible staff whose research profile meets the thresholds applied by the College within a given UoA, and who achieve the number of outputs appropriate to their opportunity to contribute. The inclusion of staff will be subject to the REF Strategy Group’s judgement of the most advantageous profile for the College overall and/or for a given UoA, based on the dry run assessments and strategic fit. Minimum criteria for inclusion are based on the circumstances of each UoA’s submission. For example, where very strong impact and environment profiles are predicted, the RSG may permit the entry of a small number of outputs that are assessed as 2*; in most cases only work that has been judged as 3* & 4* quality will be entered. In all cases, clearly defined or complex circumstances will be considered for the volume of outputs but not for the quality of outputs.
5. The College will judge research outputs by the same standards for all staff eligible for submission in a given UoA, and the standards applied will be based on the criteria announced by the panels. The number of such outputs expected when special circumstances exist (see Section G, below) will depend on the individual’s resulting opportunity to contribute.
6. The same criteria will apply to the College’s annual Dry Runs as will apply to the final REF submission in 2013.

G. Special Circumstances and Confidentiality

1. The definitions of “Special Circumstances” below are designed to cover career and equal opportunities issues which may have had a material impact on the individual’s ability to produce the expected volume of research outputs or to work productively throughout the assessment period. For 2014 these have been defined by HEFCE as “clearly defined” and “more complex” as follows:

a. Clearly defined:

- i. Qualifying as an Early Career Researcher (defined by the REF Team as having started as an independent researcher on or after 1 August 2009). The table below sets out the permitted reduction in outputs

Date when the individual first met the definition of an ECR :	Number of outputs may be reduced without penalty by up to:
On or before 31 July 2009	0
Between 1 August 2009 and 31 July 2010	1
Between 1 August 2010 and 31 July 2011	2
On or after 1 August 2011	3

- ii. Part-time working
- iii. Maternity, paternity or adoption leave (although in some cases it may be more appropriate to return maternity, paternity or adoption leave under ‘more complex’ circumstances to enable the full range of circumstances to be taken into account by the panel)
- iv. Secondments or career breaks outside of the higher education sector, where an individual did not undertake academic research

The table below sets out the permitted reduction in outputs without penalty in the assessment for absence from work due to:

- a. part-time working
- b. secondments or career breaks outside of the higher education sector, and in which the individual did not undertake academic research.

Total absence from contracted work over the period 1 Jan 2008 to 31 Oct 2013 (total months):	For part-time staff this equates to contracted hours for the following average FTE over the period 1 Jan 2008 to 31 Oct 2013	Number of outputs may be reduced without penalty up to:
0-11.99	0.8287 - 1.000	0
12-27.99	0.6001 - 0.8286	1
28-45.99	0.3430 - 0.6000	2
46 or more	0.3429 or less	3

b. More complex:

- i. Any disability to which the Equality Act 2010 applies, including both permanent disabilities and any temporary disability with a duration of 12 months or more
 - ii. Physical ill health or injury.
 - iii. Mental health conditions
 - iv. Constraints related to pregnancy or maternity which may have applied , as well as or separate from the impact of a clearly defined period of maternity leave as noted in a) iii) above
 - v. Childcare or other caring responsibilities
 - vi. Gender reassignment
 - vii. Any other circumstances which relate to the protected characteristics covered by the Equality Act 2010.
2. For clearly defined circumstances, the REF panels will set tariffs by which the number of outputs may be reduced without penalty.
 3. For more complex circumstances, the institution will be required to make a judgement on the reduced number of outputs to submit. All cases submitted as 'more complex' will be assessed by the REF Equality and Diversity Group on an anonymised basis to ensure a consistent approach to all applications. This is in line with the REF Team approach where all such cases will be assessed on an anonymised basis by the REF Equality & Diversity Advisory Panel.
 4. College staff on fixed term and part-time contracts will be treated equitably with staff on permanent contracts and all College policies/procedures will be applied equitably to all staff regardless of their contractual status (unless there are objectively justified reasons why this should not be the case).
 5. Individuals will be asked to provide a personal statement in writing (see *Appendix ii*) to the eREF Senior Academic Lead regarding any special circumstances falling within those set out above and within the REF Panel guidance, and to give their written consent for this to be considered, on an anonymised, confidential

basis, by the REF Equality and Diversity Group and ultimately by the REF Equality & Diversity Advisory Panel.

6. The college seeks at all times to protect data on individuals in relation to REF selection and special circumstances and to ensure confidentiality as far as it is appropriate. Information collected on complex circumstances will be treated as strictly private and confidential and stored securely in password protected files in permissioned folders. Internally, alongside the REF Senior Academic Lead, only the College's REF Planning Officer and HR REF Team members will have access to unanonymised data. Data will be destroyed after HEFCE's audit procedures for REF 2014 have been completed.
7. The personal statement should include as much information as the individual feels is relevant and appropriate, but must include as a minimum:
 - a. A broad description of the nature of the circumstances (e.g., ill-health, maternity leave);
 - b. The timing of circumstances, i.e. when they occurred;
 - c. The duration of the circumstances;
 - d. The extent of the impact of the circumstances on the individual's ability to carry out research activities (e.g., impossible to carry out research at all, roughly 50% reduction in time available).
8. In the event that fewer than four outputs meeting the required threshold are cited for an individual, the College's criteria for inclusion in REF2014 may be adjusted to allow that individual to be included in Dry Runs and/or in the final submission provided that special circumstances have been identified and that the quality thresholds have been met.
9. The allowance made will be in accordance with the examples provided in the Equality Challenge Unit's case studies.
10. Anyone who asks for either clear or more complex circumstances to be taken into consideration will be informed of the decision by the REF Senior Academic Lead in writing.

H. Process

Annual Dry Run exercises, 2011-13

1. The objective of the Dry Runs is to establish the extent to which staff meet the criteria on quality and quantity of outputs, as indicated by the appropriate UoA panel, and to allow the College to formulate its submission to the REF to maximum effect.
2. Data, as specified for REF 2014, and communicated separately by the Head of School/Institute, will be collected and verified for the annual Dry Runs. This may not be required for those staff whose quality profile as assessed in a previous Dry Run has been judged to have fully met the quality criteria for inclusion in that UoA.
3. All eligible staff will be asked to provide a personal statement (see Appendix ii) regarding any special circumstances which apply. This information will be sent in anonymised format to the REF Equality and Diversity Group who will inform the REF Strategy Group of the potential reduction in outputs that would be permitted.

4. All data collected will be used by the relevant Heads of Schools/Institutes and Directors for Research, to formulate the Dry Run submission for each UoA, using the appropriate UoA criteria, including the equal opportunities statements. The results of this submission will be reported through the Faculty Vice Principal and Executive Deans, and will be recorded by the REF Strategy Group.
5. External assessors will be appointed for each UoA in which the College expects to be, or is considering, making a submission. They will be sent the data on all staff deemed to have met the eligibility criteria; they will not be sent any information about special circumstances. This Code of Practice and the equality and diversity briefings provided by HEFCE will be drawn to their attention. In 2011 external assessors have been asked to judge the outputs and overall research activity in accordance with the draft criteria published by the Panels; in 2012 they will use the final criteria and working methods documentation. External assessors will be asked to provide a report back to the Principal and REF Senior Academic Lead.
6. Information received from external assessors, including comments on individual outputs, will be passed to Heads of Schools/Institutes and Directors for Research who will, in conjunction with the Faculty Vice-Principal and Executive Dean, make recommendations to the REF Strategy Group about the likely contribution of each individual to the UoA's quality profile. The REF Strategy Group will make the final recommendations to QMSE on who is to be included in the final submission.
7. Individuals whose research profile is deemed by the REF Strategy Group not to meet the criteria for inclusion will be informed in writing by the Faculty Vice Principal or nominee.
8. Eligible staff who are identified for exclusion from a Dry Run will have a meeting with the Faculty Vice-Principal and Executive Dean or nominee in order to confirm that there are no unrecognised special circumstances, referring staff to Section G and Appendix ii of this Code of Practice. The Faculty Vice-Principal and Executive Dean or nominee will confirm in writing to the staff member the outcome of the meeting and the date of a follow-up meeting.
9. Eligible staff who are identified for exclusion from a Dry Run – either because their research is judged not to have reached the required volume and/or standard, or because their research does not fit with the College's stated research objectives – will also be provided with feedback, support and guidance through their Institute/School Heads and Directors for Research and the Faculty Dean for Research.
10. Eligible staff who are identified for exclusion from a Dry Run will have the right to request an appeal hearing on the grounds indicated in Section I, below.
11. The College will monitor and publish the profile of staff selected for submission in each Dry Run and compare it with the equality profile of all eligible staff in the College. If at any point an imbalance is found relative to the total potential pool of eligible staff, the College will undertake equality impact assessments at a lower level, e.g. UoA, School/Institute or Faculty level. This will take place at three points: following the 2011 Dry Run, the 2012 Dry Run and after the final submission.
12. Where the numbers of staff are small enough to enable individuals to be identified, this data will not be published in accordance with the provisions of Data Protection legislation.

Final REF submission

1. Information from the Dry Runs, including special circumstances and equal opportunities monitoring, will be used in preparing for the College's final submission in 2013.

2. Subject to the RSG's judgement of the most advantageous overall profile for the College, or for a given UoA, all staff deemed to have met the relevant UoA's criteria for high quality and an appropriate volume of submissions will be included in the final submission in 2013.
3. Eligible staff who are identified for exclusion from the final submission will have a meeting with their Faculty Vice-Principal or nominee in order to confirm that there are no unrecognised special circumstances, referring staff to Section G and Appendix ii of this Code of Practice. The Faculty Vice-Principal or nominee will confirm in writing to the staff member the outcome of the meeting, and the date of a follow-up meeting.
4. Eligible staff who are identified for exclusion from the final submission – either because their research is judged not to have reached the required volume and/or standard, or because their research does not fit with the College's stated research objectives – will also be provided with feedback, support and guidance through their Institute/School Heads and Directors of Research and the Faculty Dean for Research.
5. Eligible staff who are identified for exclusion from the final submission will have the right to request an appeal hearing on the grounds indicated in Section J, below. Appeals on any other basis will be dealt with through the HR Code of Practice on Grievance.
6. The College will monitor and publish the profile of staff selected for inclusion in the final submission and will compare it with the equality profile of all eligible staff within the College. If at any point an imbalance is found relative to the total potential pool of eligible staff, the College will undertake impact assessments at a lower level, e.g. UoA, School/Institute or Faculty level.
7. Where the numbers of staff are small enough to enable individuals to be identified, this data will not be published in accordance with the provisions of Data Protection legislation.

Data Protection

1. The college seeks at all times to protect data on individuals in relation to REF selection and special circumstances and to ensure confidentiality as far as it is appropriate. Information collected on complex circumstances will be treated as strictly private and confidential and stored securely in password protected files in permissioned folders. Internally, alongside the REF Senior Academic Lead, only the College's REF Planning Officer and HR REF Team members will have access to unanonymised data. Data will be destroyed after HEFCE's audit procedures for REF 2014 have been completed.
2. Instances will occur where Heads of School/Directors of Research are required to make judgements relating to the likelihood of a given submission being published within the assessment period. Academics are required, if requested, to share correspondence with editors that would assist in judging the nuances of their views on whether an output is ready for publication and if so, how soon. Correspondence with publishers is not private, it is a task implicit within paid research activities and as such, access to it may not be denied by College employees citing the provisions of the Data Protection Act.

I. Supporting Staff

1. The Learning Institute will provide developmental support for individual research staff where an appropriate intervention has been agreed. This would be in conjunction with the Vice Principal for Research and/or the relevant Faculty Vice-Principal, and/or Faculty Dean for Research or a combination of these. The College is a signatory to the Concordat on Career Management for contract research staff (CRS), and provides career development opportunities for CRS. This includes courses run by the Learning Institute which are designed to help CRS think through their options and develop their transferable skills in a supportive environment. The Learning Institute employs a dedicated Development Adviser for Research Staff.
2. Queen Mary has developed a number of equality initiatives to ensure staff can fulfil their potential and receive the appropriate support whilst at QM. This includes developing mentoring scheme for female academics in UoAs where they are under-represented and a cross-universities mentoring scheme for Black and Ethnic Minorities academics. QM also reviewed how disabled staff are supported in the College and developed a coordinated approach to providing reasonable adjustments. More information about QM equality objectives is available on:
<http://www.hr.qmul.ac.uk/equality/equalityobjectives/index.html>

J. Appeals

1. Eligible staff who are identified for exclusion from the final submission will have the right to request an appeal hearing on the grounds that:
 - 'special circumstances' as outlined in Section G, above, have not been given appropriate consideration;
 - the procedure outlined in this Code of Practice was applied incorrectly;
 - there has been non-compliance with any other item covered by this Code of Practice.

Appeals panels will not be able to re-assess an individual's research outputs, amend the formation of Units of Assessment and the College's strategy.

2. The employee will set out in writing to the Director of HR the full grounds of their request for an appeal hearing within fifteen working days from the date of despatch of the letter notifying them of the RSG's decision. The Director of HR will give consideration to the rejection of any such request that is received out of time.
3. The Director of HR will set up an Appeal Panel constituted as follows:
 - Up to three members of academic staff, selected from the Senate's list of staff approved to deal with academic staff disciplinary matters, grievances and appeals,
 - none of whom shall be from the same School/Institute as the employee,
 - nor have been previously otherwise involved in the case;
 - The identities of the panel members shall be made known to the employee who shall have the right of objection to a nominee on any of the above grounds;
 - The Director of HR will appoint one of the three members as Chair;
 - A member of the HR Consultancy Team shall act as Secretary to the panel.

4. The employee is entitled to:
 - reasonable written notice (normally at least 5 working days, but less by mutual agreement) of the date of the appeal hearing;
 - the opportunity to be accompanied by a trade union representative or colleague for the purpose of presenting their case.
 - postpone the meeting to another reasonable time within 5 working days of the original date, if their representative will not be available at the time proposed;
 - have access to all material available to the RSG; the identity of the assessors will remain anonymised.
 - present their perspective of the issues under consideration;
 - be given the decision in writing.
5. The panel hearing the case will:
 - have access to all material available to the RSG; the identity of the assessors will remain anonymised
 - reject any invalid grounds of appeal and explain their reasons for doing so;
 - conduct the meeting to establish the relevant facts, ensuring good order and natural justice;
 - allow all parties to:
 - put their side of the matter,
 - hear the case of the other side,
 - ask questions, present evidence and call witnesses;
 - consider valid grounds of appeal;
 - make one of the following decisions:
 - (a) uphold part or all of the employee's case; and determine a fair and proportionate course of action for redressing the concerns raised; taking into account interests of the College, and the employee, or
 - (b) to dismiss the employee's case;
 - confirm the panel's decision and the reasons for it, in writing to the individual and the REF Senior Academic Lead, within 5 working days of the hearing.
6. There is no further right of appeal under this procedure.
7. The final deadline for appeals to be lodged is Friday 12th July 2013 and all appeals must be completed by 30th August 2013.

Equality Impact Assessments

1. The College undertook an Equality Impact Assessment on its Code of Practice in January 2011 and again on this version in July 2012. The College will monitor and publish the profile of staff selected for submission and compare it with the equality profile of all eligible staff in the College following its Dry Runs. If at any point an imbalance is found relative to the total potential pool of eligible staff, the College will undertake equality impact assessments at a lower level, e.g. UoA, School/Institute or Faculty level. The EIA for the 2011-12 Dry Run will be published by the end of September 2012. Where the numbers of staff are small enough to enable individuals to be identified, this data will not be published in accordance with the provisions of Data Protection legislation. The College will undertake the same exercise following the 2012 Dry Run in good time in order to inform its final submission.

2. The College will undertake an EIA following the final submission in November 2013 and will publish this document by December 2013. Where the numbers of staff are small enough to enable individuals to be identified, this data will not be published in accordance with the provisions of Data Protection legislation.

12. Appendix i: Individuals, groups and committees involved in REF 2014

Queen Mary Senior Executive (QMSE)	
Membership	<p>The Principal, advised by the Queen Mary Senior Executive, is accountable to College and Council. http://connect.qmul.ac.uk/governance/qmse/index.html</p> <p>Membership: Professor Simon Gaskell, chair; Professor Susan Dilly, Vice-Principal for Teaching and Learning; Professor Jeremy Kilburn, Vice-Principal and Executive Dean, Science and Engineering; Professor Peter McCowan, Vice-Principal for External Engagement; Professor Morag Shiach, Vice-Principal and Executive Dean, Humanities and Social Sciences; Professor Richard Trembath, Vice-Principal and Executive Dean, Health;</p>
Selection Process	All senior college officers have been appointed through open advertisement, in line with the College's Recruitment and Selection Code of Practice, in compliance with the College's Equal Opportunities Statement.
Responsibilities in relation to REF 2014	The Principal selects external assessors for each UoA from nominations made by the Faculty VP/Deans for Research via the RSG.

REF Strategy Group (RSG)	
Membership	<p>The RSG is a sub-committee of QMSE. It includes , Professor Simon Gaskell, Principal, (Chair), Professor Adrian Smith, REF Senior Academic Lead, Professor Jeremy Kilburn, Vice-Principal and Executive Dean, Science and Engineering; Professor Morag Shiach, Vice-Principal and Executive Dean, Humanities and Social Sciences; Professor Richard Trembath, Vice-Principal and Executive Dean, Health and Professor Wen Wang, Dean for Research, Science and Engineering; Professor Virginia Davis, Dean for Research, Humanities and Social Sciences; Professor Thomas MacDonald, Dean for Research, Medicine and Dentistry; Mr Dean Curtis, Chief Administrative Officer and Ms Anne Donaldson, Research Planning Officer.</p> <p>http://connect.qmul.ac.uk/research/ref/index.html</p>
Selection Process	Most members were appointed to their posts through open advertisement, in line with the College's Recruitment and Selection Code of Practice, and complying with the College's Equal Opportunities Policy. Members were appointed to the RSG because of their College role.
Responsibilities in relation to REF2014	<p>The RSG will:</p> <ul style="list-style-type: none"> undertake College-wide planning; commission and review external assessments of research; ensure that systems for recording and uploading REF documentation are robust and effective determine criteria for selection for staff submission report on progress to QMSE submit the final College submission to QMSE for approval

REF Equality and Diversity Group	
Membership	Professor Adrian Smith, REF Senior Academic Lead(Chair), Professor Jeremy Kilburn, Vice-Principal and Executive Dean, Science and Engineering; Professor Morag Shiach, Vice-Principal and Executive Dean, Humanities and Social Sciences; Professor Richard Trembath, Vice-Principal and Executive Dean, Health; Professor Trisha Greenhalgh, Medicine and Dentistry; Mr Chris Pearson, Director of HR; Ms Anne Donaldson, Research Planning Officer
Selection Process	Most members were appointed to their posts through open advertisement, in line with the College's Recruitment and Selection Code of Practice, and complying with the College's Equal Opportunities Policy. Members were appointed because of their role or expertise.
Responsibilities in relation to REF ₂₀₁₄	This committee considers all applications for special circumstances (in anonymised format); the committee then recommends the number of outputs that an individual can reduce in line with ECU guidelines. This committee also receives and comments on Equality Impact Assessments, advising the College on good practice in equality and diversity in research.

Research Operational Group	
Membership	Professor Adrian Smith (Co-Chair), Mr Dean Curtis (Co-Chair), Anne Donaldson, Research Planning Officer, Daniella Samos, Planning Assistant (REF), Marissa Harris, HR, Ed Webb, ITS, Sarah Molloy, Library, , Faculty Administrative Officers, Chris Kearney, ITS, Leigh Money, Marketing & Communications, Coleen Colechin, Joint Research Management Office, Bertille Calinaud, HR, Emma Rabin, Research Degrees Office.
Selection Process	Most members were appointed to their posts through open advertisement, in line with the College's Recruitment and Selection Code of Practice, and complying with the College's Equal Opportunities Policy. They are appointed to this committee because of their operational roles.
Responsibilities in relation to REF 2014	This group considers all the operational issues involved in preparing for REF ₂₀₁₄ and makes recommendations to the RSG.

External Assessors for Dry Runs	
Membership	Recognised academic experts, from outside QMUL, of international standing in the relevant UoA. This is not a 'fixed' body of people and may vary for different Dry Runs.
Selection Process	Selected by the Principal from nominations made by RSG, following consultation within relevant Schools/Institutes.

Responsibilities in relation to REF2014	To provide, on a confidential basis, expert academic feedback to the Principal and the REF Senior Academic Lead on draft submissions. External Assessors will not make decisions regarding the inclusion/exclusion of individuals.
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Appendix ii: Equalities and Diversity Training

Event and Date	Details
REF Equalities and Diversity Training workshop 4 December 2011	46 attendees including all members of the REF Strategy Group attended a training exercise supported by Vitae and delivered by the REF Equalities and Diversity Group;
REF Equalities and Diversity Training workshop January 30 2012	11 attendees
Ongoing	Training provided on a one-to-one basis for new Heads of School/Institute or Directors of Research

In addition, Queen Mary University of London has 12 REF panel members, including 1 panel chair and 1 main panel deputy chair who have received HEFCE Equalities and Diversity training and guidelines.

Appendix iii: Communications Plan

The first version of this Code of Practice was considered by Senate in 2011 and was circulated for consideration by UCU and other relevant trade unions. The Code of Practice was updated following the publication of HEFCE guidelines and approved by Senate in Spring 2012; it has been circulated to all staff, including staff who were absent from the College, and made available on the College's REF website. In addition, all staff receiving feedback in Spring 2012 were given either a hard-copy of the Code of Practice or directed to an electronic version and asked to pro-actively identify whether or not they had any clear or more complex circumstances.

In 2012-13, the College will:

- Circulate the Final agreed Code of Practice to all staff through the College's e-bulletin, including an explanation of any changes that have been made following HEFCE feedback
- Publish the CoP on the College's REF website
- Ensure that the CoP is accessible in alternative formats for staff with disabilities
- Ensure that the CoP is made available to staff who are absent from the College
- Ensure that the CoP and/or a link to the CoP is given to all staff who are eligible to be submitted to the REF during their individual feedback sessions

Appendix ii: Special Circumstances Staff Disclosure Form

Template covering note and staff disclosure form

To: All members of staff eligible for return in REF 2014

From: Professor Adrian Smith, REF Senior Academic Lead

Subject: REF 2014, consideration of individual staff circumstances

Queen Mary, University of London is committed to ensuring that decisions about selecting staff for the Research Excellence Framework (REF) are made in a fair, transparent and consistent manner. Information on how eligible staff will be selected for submission to the REF can be found in the Code of Practice which can be found at <http://connect.qmul.ac.uk/research/ref/index.html#REFCodeofPractice>.

To ensure that REF processes are fair, the College is collecting data on individual circumstances from all staff eligible for submission. The data will be used to identify which staff are eligible for submission with fewer than four outputs. Summary level data collected may also be used to inform the monitoring of staff selection procedures at the institutional level.

In determining whether eligible staff may be submitted to the REF with fewer than four research outputs, the following circumstances will be taken into consideration:

- = Early career researcher (started career as an independent researcher on or after 1 August 2009)
- = Junior clinical academic staff who have not gained a Certificate of Completion of Training by 31 October 2013 **[only applicable to specific units of assessment within Panel A]**
- = Part time employment
- = Career break or secondment outside of the higher education sector in which the individual did not undertake academic research
- = Maternity leave, statutory adoption leave, and additional paternity leave (taken by partners of new mothers or co-adopters)
- = Disability (including conditions such as cancer and chronic fatigue)
- = Ill health or injury
- = Mental health conditions
- = Constraints relating to pregnancy, maternity, breastfeeding, adoption, paternity or childcare **in addition to** periods of maternity, statutory adoption or additional paternity leave taken. This could include for example, pregnancy related illness and health and safety restrictions in laboratory and field work.
- = Other caring responsibilities (including caring for an elderly or disabled relative)
- = Gender reassignment

If your research output has been affected by other circumstances, not including teaching and administration that are not listed above, please detail them on this form as they may be considered.

In determining the number of outputs staff are required to submit, the institution will observe the definitions of individual staff circumstances provided in the published REF 'Panel criteria and working methods' (January 2012) available at www.ref.ac.uk under 'Publications'. The institution will draw on the guidance and case studies provided by the Equalities Challenge Unit in making their decisions.

What action do I need to take?

If you are eligible for REF submission you are encouraged to complete the attached form.

If further information is required about any circumstances disclosed, you will be contacted by the HR REF TEam.

Who will see the information that I provide?

The information that you provide will be seen by the REF Senior Academic Lead, the REF planning officer and the HR REF officer; the information will be considered in anonymised format by members of the REF Equality and Diversity Group which is responsible for making recommendations to the REF strategy group. All information will be held securely by the College to ensure confidentiality.

- = For **circumstances with a clearly defined reduction in outputs**, information will be seen by the relevant REF sub-panel, the REF panel secretariat and the UK funding bodies' REF team. This will be information about early career researcher status, part-time working, career breaks or secondments, and periods of maternity, additional paternity or adoption leave taken.
- = For **more complex circumstances**, information will be seen only by the REF Equality and Diversity Advisory Panel, the REF Main Panel Chairs and the UK funding bodies' REF team. This will be information to explain the impact on your research of circumstances such as disability, ill health, injury, mental health conditions, gender reassignment, caring responsibilities or constraints relating to pregnancy, maternity, breastfeeding, adoption and paternity (in addition to the period of leave taken). This information will **not** be seen by the REF sub-panel.

All REF panel members, chairs and secretaries are bound by confidentiality requirements, and acceptance of the confidentiality requirements is a condition of their appointment to the role. No information relating to identifiable individuals' circumstances will be published by the funding bodies REF Team. All data collected, stored and processed by the UK funding bodies REF Team will be handled in accordance with the Data Protection Act 1998.

The REF Assessment Framework and Guidance on Submissions www.hefce.ac.uk/research/ref/pubs/2011/02_11/, requires all higher education institutions participating in the REF to ensure appropriate confidentiality in handling individual staff

circumstances.

What if my circumstances change?

The College recognises that staff circumstances may change between 1 January 2008 and 31 October 2013. If your circumstances change you can download a copy of the attached form at <http://connect.qmul.ac.uk/research/ref/index.html#REFCodeofPractice>.

Individual staff circumstances disclosure form

Name	
Department	
Unit of Assessment	

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).
- I have individual circumstances that I wish to make known but I am not seeking a reduction in outputs. (Please complete sections two and three)
- 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 Queen Mary. My contact details for this purpose are:

Email	
Telephone	
Preferred method of communication	

- 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:

Circumstance	Information required
Early career researcher (started career as an independent researcher on or after 1 August 2009)	Date on which you became an early career research
Information	
Junior clinical academic staff who have not gained Certificate of Completion of Training by 31 October 2013 [only applies to specific units of assessment within Panel A]	Please place a tick in this box if the circumstance applies:
Part time employee	FTE and duration in months
Information	
Career break or secondment outside of the higher education sector	Dates and duration in months
Information	
Maternity leave, statutory adoption leave, or additional paternity leave (taken by partners of new mothers or co-adopters)	For each period of leave state which type of leave was taken and the dates and duration in months
Information	
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
Information	
Mental health condition	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	

Ill health or injury	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare in addition to 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
Information	
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
Information	
Gender reassignment	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Information	
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
Information	

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 Senior Academic Lead, REF Planning Officer and HR REF Team and in anonymised format by members of the REF Equality and Diversity Group

I realise that it may be necessary to share anonymised 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 Queen Mary, University of London will be limited in the action it can take.

Signature: Date:
(Staff member)

COMPLETED FORMS SHOULD BE RETURNED TO:

Professor Adrian Smith, REF Senior Academic Lead, School of Geography, Queen Mary,
Mile End Campus

For official use only

Following consideration of the personal circumstances described above, the REF Strategy Group:

- Will progress the staff member's inclusion in the REF submission with 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.

Any appeal against the decision of the REF Strategy Group will need to be made by **30th August 2013 at the latest** and details of the appeals process can be found in the Code of Practice at <http://connect.qmul.ac.uk/research/ref/index.html#REFCodeofPractice>.

Signature: Date:
Professor Adrian Smith, Chair REF Equality & Diversity Group