



# **Research Excellence Framework: REF2014**

## **Code of Practice**

**Final Version 2**

## Table of contents

Table of contents.....	2
List of tables and figures .....	3
Glossary of abbreviations.....	4
1. Introduction .....	5
2. BU strategy and decision making for REF2014 .....	7
2.1 Governance structure and responsibility for decision making.....	7
2.2 Approval of the Code.....	9
3. Preparing the BU submission for REF2014 .....	10
3.1 Definition of staff eligibility .....	10
3.2 REF preparation exercises and UOA action plans .....	10
4. Criteria for the selection of staff for submission to REF2014 .....	14
4.1 Decision-making framework and criteria .....	14
4.2 Appeals process.....	14
5. Equality and diversity .....	16
5.1 Equality and diversity development.....	16
5.2 Disclosure of individual staff circumstances.....	17
5.3 Equality assessment.....	21
6. Internal communication plan.....	23
7. Further information .....	25
Appendix 1 .....	26
REF Academic Steering Group Terms of Reference .....	26
Appendix 2 .....	27
REF Academic Leadership Team Terms of Reference.....	27
Appendix 3.....	29
Mock REF Expert Reviewer Terms of Reference (Light-touch Review) .....	29
Appendix 4.....	32
BU REF Appeals Process Map.....	32

**List of tables and figures**

**Tables**

Table 1: Membership of RASG ..... 7  
Table 2: Anticipated use of the guideline threshold/s on different situations ..... 11  
Table 3: Timetable of REF preparation exercises ..... 12  
Table 4: Equality and diversity development for BU staff in preparation for REF2014.. 17  
Table 5: ECRs – permitted reduction in outputs ..... 20  
Table 6: Part-time working, secondments or career breaks – permitted reduction in  
outputs ..... 20  
Table 7: BU equality assessment plan for REF2014 ..... 21  
Table 8: Internal communication plan for the final version of the BU REF Code of  
Practice ..... 23

**Figures**

Figure 1: Flowchart showing how the information about individual circumstances  
disclosed via the staff disclosure form will be used and shared ..... 20

## **Glossary of abbreviations**

BU	Bournemouth University
DDRE	Deputy Dean for Research and Enterprise
ECR	Early Career Researcher
ECU	Equality Challenge Unit
EDAP	Equality and Diversity Advisory Panel
FAQs	Frequently Asked Questions
FTE	Full Time Equivalent
HR	Human Resources
HEFCE	Higher Education Funding Council for England
HEI	Higher Education Institution
RALT	REF Academic Leadership Team
RASG	REF Academic Steering Group
RDO	Research Development Officer
RDU	Research Development Unit
REF / REF2014	Research Excellence Framework 2014
UCU	University and College Union
UET	University Executive Team
UOA	Unit of Assessment
URKEF	University Research and Knowledge Exchange Forum

# Research Excellence Framework: REF2014 Bournemouth University Code of Practice

## 1. Introduction

The Research Excellence Framework (REF) is a national exercise to assess the quality of research in UK Higher Education Institutions (HEIs). The four UK higher education funding bodies require that each institution making a submission to the REF must “develop, document and apply a code of practice on selecting staff to include in their REF submissions”<sup>1</sup>. This Code of Practice sets out the approach that will be, and has been, taken by Bournemouth University (BU) in preparing its REF2014 submission. This document will be submitted to the REF Team (acting on behalf of the funding bodies) by the University’s Vice-Chancellor by 31 July 2012. The REF Equality and Diversity Advisory Panel (EDAP) will examine all of the institutions’ codes of practice to ensure they meet the equality and diversity requirements prior to the REF2014 submission deadline, and all codes of practice will be made publicly available at the end of the assessment process by the REF Team.

The Code of Practice follows the four principles as set out in the REF guidance documentation<sup>2</sup>:

- **Transparency** – all processes for staff selection are clearly detailed in this Code of Practice, which is easily accessible to BU staff. It is also accessible via the external-facing BU website. BU staff were invited to comment on the draft Code of Practice in spring 2012.
- **Consistency** – staff selection is coordinated centrally by the REF Academic Steering Group (RASG), which is responsible for ensuring the Code of Practice is implemented uniformly.
- **Accountability** – the Code of Practice clearly defines the responsibilities of individuals involved in staff selection, and these individuals are identified by name and role. The development programme for staff involved in selection decisions is provided, as are the terms of reference for the two internal governance structures – RASG and the REF Academic Leadership Team (RALT).
- **Inclusivity** – the Code promotes an inclusive environment with processes established to enable the University to identify all REF-eligible staff who have produced excellent research for submission to the REF.

**An internal decision not to submit a member of staff does not imply unsatisfactory research performance.**

This Code of Practice has been authored by:

- Julie Northam (Head of Research & Knowledge Exchange Office)
- Anita Somner (Research Development Officer – REF)
- Dr James Palfreman-Kay (Equality and Diversity Adviser)
- Judith Wilson (HR Manager)

Professor Kathleen Galvin (School of Health and Social Care) provided input into the development of the Code of Practice. The Code of Practice has been ratified by RASG and RALT.

The whole process has been overseen by Professor Matthew Bennett (Pro Vice-Chancellor) who has delegated responsibility from the Vice-Chancellor for managing and leading BU’s REF2014 submission.

---

<sup>1</sup> Assessment Framework and Guidance on Submissions, REF 02.2011, Part 4, paragraph 188.

<sup>2</sup> Assessment Framework and Guidance on Submissions, REF 02.2011, Part 4, paragraph 204.

This Code of Practice should be read alongside Bournemouth University's [\*Dignity, Diversity and Equality Policy\*](#)<sup>3</sup>. Also, the latest BU strategy document, [\*BU 2018: Creating, Sharing, Inspiring\*](#)<sup>4</sup>, outlines how the University will uphold and encourage key values in others.

---

<sup>3</sup> Available from: <http://portal.bournemouth.ac.uk/sites/Policies%20Procedures%20and%20Regulations/Shared%20Documents/DDE/DDE%20policy%20201011.pdf>.

<sup>4</sup> Available from: <http://portal.bournemouth.ac.uk/C8/C7/Vision%20and%20Values/default.aspx>. Micro-site available at: <http://2018.bournemouth.ac.uk/>.

## 2. BU strategy and decision making for REF2014

### 2.1 Governance structure and responsibility for decision making

The internal BU preparations for the REF are being managed through a two-tier governance structure, with strategic management provided by RASG, and operational, local management provided by RALT. Full details of the membership and terms of reference for the relevant groups are given in Appendices 1 and 2; these have been made available to all BU staff via the BU Staff Portal and the BU Research Blog. All those involved in RASG and RALT will undertake the mandatory REF-bespoke equality and diversity development (see section 5).

All meetings of RASG and RALT are formally minuted by the BU Research Development Unit (RDU).

#### 2.1.1 REF Academic Steering Group (RASG)

RASG was set up by the Vice-Chancellor in June 2010 to guide and support the University's REF preparation and submission processes. The membership was reviewed in July 2011 and some minor amendments made to reduce the overlap between RASG and RALT. It is chaired by the Pro Vice-Chancellor and reports to the Vice-Chancellor. RASG is responsible for the strategic management of the REF submission, including responsibility for making recommendations to the Vice-Chancellor with respect to which units of assessment (UOAs) and which members of staff should be submitted to REF2014. RASG's recommendations with respect to staff selection will be informed by both data from and views expressed by: external expert reviewers, Deans of School, UOA Leaders and the BU REF Circumstances Board. The terms of reference for RASG are available in Appendix 1.

Formal membership of RASG is indicated in Table 1.

Role	Name of current post-holder	Role fit within the BU management framework	Rationale for inclusion in RASG
Pro Vice-Chancellor – CHAIR	Professor Matthew Bennett	Responsible for overseeing the institution's research strategy and agenda.	To chair the group and to be responsible to the Vice-Chancellor for BU's overall preparation for the REF.
Deputy Vice-Chancellor	Professor Tim McIntyre-Bhatty	Responsible for overseeing the institution's education and professional practice strategy and line-managing the Deans of Schools.	To ensure internal REF preparation decisions are communicated effectively to all Deans of Schools.
One UOA Leader	Professor Jonathan Parker (nominated by UOA Leaders)	Responsible for overseeing the research strategy and performance in the School of Health and Social Care.	To represent the views of the UOA Leaders at RASG.
Deputy Director of Human Resources (HR)	Karen Parker (or nominee: Judith Wilson)	Responsible for the operational management of the institution's HR department.	To provide advice on HR issues and staff eligibility.
Head of the Graduate School	Professor Tiantian Zhang	Responsible for the management of the Graduate School.	To help shape the environment element of the submission.

<b>Role</b>	<b>Name of current post-holder</b>	<b>Role fit within the BU management framework</b>	<b>Rationale for inclusion in RASG</b>
Director of Marketing and Communications	Vicky Lewis (or nominee: Paul Breakwell)	Responsible for the operational management of the institution's marketing department.	To ensure all opportunities for external promotion of research are maximised, and to ensure clear internal communications for the REF.
Head of Research and Knowledge Exchange Office	Julie Northam	Responsible for the management of the institution's research and knowledge exchange department.	To ensure the preparations adhere to REF guidance, Code of Practice and preparation plan.
Research Development Officer (REF) – SECRETARY	Anita Somner/Peng Peng Ooi	Responsible for the administration of the institution's REF submission.	Secretary to RASG.

*Table 1: Membership of RASG*

### *2.1.2 REF Academic Leadership Team (RALT)*

RALT was set up by the Vice-Chancellor and met for the first time in September 2010. RALT supports the work of RASG in the University's internal preparation process and final submission to the REF. RALT comprises all RASG members plus the UOA Leaders. The UOA Leaders are senior BU academics selected by the Vice-Chancellor and Pro Vice-Chancellor with the Deans of Schools to lead the preparation of candidate UOAs. The UOA Leaders were selected on the basis of subject knowledge, experience and expertise. They are responsible for coordinating and finalising their UOA's final submission and for managing these submissions through the preparatory exercises. They are also responsible for communicating closely with the relevant School(s) in disseminating key information relating to the REF and communicating RASG decisions. The UOA Leaders have a role to play in making recommendations to RASG about staff selection but the final selection recommendations will be made by RASG alone. The terms of reference for RALT and a list of the formal membership are available in Appendix 2.

### *2.1.3 BU REF Circumstances Board*

The BU REF Circumstances Board will consider information disclosed by individual staff members as part of the individual staff circumstances data collection exercises (see section 5.2.1). The Board will be responsible for reviewing all disclosed individual staff circumstances – both clearly defined and complex circumstances<sup>5</sup>. The Board will comprise individuals who are independent from the REF preparations and submission, and who are therefore not involved in decision-making about staff selection. The Board will be chaired by one of the HR managers (independent from the REF) with support from the Equality and Diversity Adviser, and will have a remit to determine whether the submitted cases meet the requirements on individual staff circumstances as set out in the REF guidance<sup>6</sup>. These post-holders have been selected based on their prior knowledge and expertise in individual staff circumstances and equality and diversity issues. Membership will also include a minimum of one senior academic member of staff. The Board members will attend (mandatory) bespoke REF equality and diversity development sessions, as set out in section 5.1.

<sup>5</sup> Panel Criteria and Working Methods, 01.2012, Part 1, paragraph 69.

<sup>6</sup> Panel Criteria and Working Methods, REF 01.2012, Part 1, paragraphs 63-91; and Assessment Framework and Guidance on Submissions, REF 02.2011, Part 3, paragraphs 96-100.

#### *2.1.4 BU REF Appeals Panel*

The BU REF Appeals Panel will be convened by the Vice-Chancellor in the event of an appeal being lodged by an individual staff member regarding staff selection decisions. The panel will be an independent group of at least three senior academics and will have the remit to undertake a review of each case. These academics will not be members of RASG or RALT and will not have been involved at UOA or School level in the decision to exclude the individual from the submission. Six senior academics were identified by the Deputy Vice-Chancellor and the Deans in February 2012 and will receive the same bespoke REF development on equality and diversity matters as the members of RASG. In the case of an appeal based on equality and diversity grounds, the HR Manager chairing the BU REF Circumstances Board will also be included in the BU REF Appeals Panel.

#### *2.1.5 Role of Research Development Unit (RDU)*

The management and advisory structure detailed in sections 2.1.1–2.1.4 is facilitated centrally by the RDU under the guidance of the Pro Vice-Chancellor. The RDU provides support for the REF planning process, including:

- Preparing the preparation timetable;
- Offering policy guidance and advice to RASG, RALT and academic staff;
- The internal communications for the REF;
- The coordination of a series of REF preparation exercises starting in autumn 2010;
- Data collection and verification;
- Internal responsibility for the REF data collection system;
- Establishing the Code of Practice;
- Final submission to the REF exercise.

The Head of the Research and Knowledge Exchange Office (Julie Northam) is recorded with the REF Team as the BU institutional contact (both for the REF and the REF submissions system). In the first instance all REF-related queries should be directed to this post-holder, who is responsible for liaising with the REF Team on behalf of the University<sup>7</sup>.

Final submission to REF2014 will be through a single point of contact in the RDU.

## **2.2 Approval of the Code**

This Code has been approved by RASG and the Vice-Chancellor following a three-week period where BU staff were invited to comment on the draft Code. As part of this exercise, the BU Chair, Secretary and Equality & Diversity Representative of the University and College Union (UCU), and also the BU staff equality interest groups, were specifically invited to comment on the draft Code. Two equality assessments<sup>8</sup> were carried out on the Code of Practice during its development and the changes made as a result of these assessments are detailed in section 5.3.

This Code of Practice is available to both internal and external audiences via the [BU Research Blog](#)<sup>9</sup>, and is also available to BU staff via the BU Staff Portal. The Code is available in alternative formats on request.

---

<sup>7</sup> The Head of the Research and Knowledge Exchange Office can be contacted via email at: [jnortham@bournemouth.ac.uk](mailto:jnortham@bournemouth.ac.uk).

<sup>8</sup> 'Equality assessments' is the BU terminology for 'equality impact assessments' (EIAs).

<sup>9</sup> BU Research Blog: <http://blogs.bournemouth.ac.uk/research>.

### 3. Preparing the BU submission for REF2014

#### 3.1 Definition of staff eligibility

The final REF Guidance on Submissions<sup>10</sup> states that individuals who meet one of the following definitions will be eligible for submission to REF2014:

- Category A staff – defined as academic staff with a contract of employment of 0.2 FTE<sup>11</sup> 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’.
- Category C staff – defined as individuals employed by an organisation other than a 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).

These definitions will be used at BU during the internal REF preparation exercises and the final submission to REF2014.

#### 3.2 REF preparation exercises and UOA action plans

##### 3.2.1. Preparation exercises timetable

The University will undertake a series of exercises in preparation for its submission to REF2014 by discussing research performance internally and seeking specific feedback from contracted external reviewers about the current state of research activity at BU. Submissions to the preparation exercises will be coordinated by the RDU in conjunction with RALT and RASG.

The University will apply guideline thresholds in relation to the quality of individuals’ outputs and will use these thresholds as one of a number of ways of informing staff selection decisions for the REF submission. These thresholds for inclusion within the final REF submission will be determined through the iterative process of the REF preparation exercises, submission modelling and through equality assessment exercises (as per the schedule in section 5.3). The threshold figures may differ between UOAs depending on a range of factors including relative performance in RAE2008, forecast performance in REF2014, and the overall size and composition of the unit’s submission. The thresholds will **not** be used in isolation to select staff and each individual’s contribution to the submission will be discussed by RASG; the thresholds will exist solely to help inform the decision-making process.

It is anticipated that provisional thresholds will be determined by RASG in 2013 after the final REF preparation exercise and communicated openly to all REF-eligible staff at this point. Communication channels will include the Staff Portal, the BU Research Blog, email, and through the School management structures. A series of forums will also take place to provide staff with the opportunity to discuss the thresholds with the Pro Vice-Chancellor and the relevant UOA Leaders.

**In all cases, it will be the quality of an individual’s outputs that is looked at first, then the quantity.** As a guide, Table 2 sets out how the provisional threshold may be applied in different situations.

---

<sup>10</sup> Assessment Framework and Guidance on Submissions, REF 02.2011, Part 2, paragraphs 78-83, available from: [http://www.hefce.ac.uk/research/ref/pubs/2011/02\\_11/02\\_11.pdf](http://www.hefce.ac.uk/research/ref/pubs/2011/02_11/02_11.pdf).

<sup>11</sup> 0.2 FTE equates to a contract of 20% full-time equivalent, e.g. 1 day per week.

Situation	Process
<b>Individuals with four outputs</b>	
Four outputs that meet the guideline threshold overall (taken as the average score across all outputs).	It is likely that the individual will be submitted to the REF.
Four outputs, none of which meet the guideline threshold.  No disclosed staff circumstances.	It is likely that the individual will not be selected for submission based on the quality of the outputs. If this is the case then the individual will have the right to appeal to the Vice-Chancellor.
Four outputs, some of which meet the guideline threshold.  No disclosed staff circumstances.	The inclusion of the individual will be discussed by RASG who will make a recommendation based on the quality of the outputs and the anticipated benefit to the submission of including the individual. If RASG decide not to recommend the inclusion of the individual in the REF submission then the individual will have the right to appeal to the Vice-Chancellor.
Four outputs, some of which meet the guideline threshold.  Staff circumstances disclosed and accepted by the BU REF Circumstances Board as meeting the relevant criteria.	Once the BU REF Circumstances Board has calculated the reduced number of outputs then RASG will make a recommendation whether to submit the individual based on the quality of the outputs.
Four outputs, none of which meet the guideline threshold.  Staff circumstances disclosed and accepted by the BU REF Circumstances Board as meeting the relevant criteria.	Once the BU REF Circumstances Board has calculated the reduced number of outputs then RASG will make a recommendation whether to submit the individual based on the quality of the outputs. It is likely that the individual will not be selected for submission based on the quality of the outputs. If this is the case then the individual will have the right to appeal to the Vice-Chancellor.
<b>Individuals with less than four outputs</b>	
Less than four outputs, some of which meet the guideline threshold.  Staff circumstances disclosed and accepted by the BU REF Circumstances Board as meeting the relevant criteria.	Once the BU REF Circumstances Board has calculated the reduced number of outputs then RASG will make a recommendation whether to submit the individual based on the quality of the outputs.
Less than four outputs, none of which meet the guideline threshold.  Staff circumstances disclosed and accepted by the BU REF Circumstances Board as meeting the relevant criteria.	Once the BU REF Circumstances Board has calculated the reduced number of outputs then RASG will make a recommendation whether to submit the individual based on the quality of the outputs. It is likely that the individual will not be selected for submission based on the quality of the outputs. If this is the case then the individual will have the right to appeal to the Vice-Chancellor.

Situation	Process
Less than four outputs, none of which meet the guideline threshold.  No disclosed staff circumstances.	It is likely that the individual will not be selected for submission based on the quality of the outputs. If this is the case then the individual will have the right to appeal to the Vice-Chancellor.
Less than four outputs, some of which meet the guideline threshold.  No disclosed staff circumstances.	It is likely that the individual will not be selected for submission based on the quality of the outputs, then the quantity. Prior to making this decision, RASG will double-check that the individual definitely does not have any individual staff circumstances that have affected their ability to produce four outputs in the REF period by asking the UOA Leader to discuss the situation with the individual concerned. If RASG recommend the individual is not to be submitted then the individual will have the right to appeal to the Vice-Chancellor.

*Table 2: Anticipated use of the guideline threshold/s on different situations*

The iterative process to determine the guideline thresholds began with a light-touch review exercise in late 2010. The outcome of this initial exercise started to inform discussions by RASG as to which UOAs might be submitted for assessment in REF2014; **staff selection was not discussed at this early stage and will not be discussed until mid-2013.**

Subsequent REF preparation exercises (Table 3) will assist in shaping the final submission in terms of UOAs and staff submitted. The final submission thresholds will be determined by RASG following the process outlined above.

Exercise number	Exercise date	Preparation exercise
1	December 2010 – January 2011	Light-touch <sup>12</sup> review of outputs (inclusive process, i.e. open to any REF-eligible academics).
2	April 2011 – June 2011	Light-touch review of outputs (for UOAs 7 and 26 only) (inclusive process, i.e. open to all REF-eligible academics).
3	December 2011 – February 2012	Assessment of impact template (not case studies) and environment template (does not involve individuals).
4	June 2012 – August 2012	Full review of outputs (inclusive process, i.e. open to all REF-eligible academics).
5	February 2013 – April 2013	Full 'dry run' REF preparation exercise (inclusive process, i.e. open to all REF-eligible academics).

*Table 3: Timetable of REF preparation exercises*

To ensure that all staff producing excellent research are included in the final REF2014 submission, all of the preparation exercises are open to any REF-eligible member of staff who has published research outputs in the REF assessment period.

<sup>12</sup> Light-touch review – external reviewers were asked to provide overall feedback on the selected outputs as a whole and were not expected to read or respond to each output individually. All outputs were made available electronically should a reviewer wish to follow up any in more detail. Feedback for an individual focused on the overall quality of the outputs.

RASG retains the right to amend the timetable of REF preparation exercises if deemed necessary.

After the final preparation exercise, RASG's preliminary conclusions/recommendations about the shape of the final REF submission will be discussed with the relevant UOA Leaders, Deans and Deputy Deans (Research and Enterprise) (DDREs), or equivalent, to provide an opportunity for the decisions to be explained in full and for any additional clarification to be given as required. These discussions may also provide a forum for any previously undisclosed Code of Practice or equality-related concerns to be raised for consideration by the BU REF Circumstances Board. It is the responsibility of the UOA Leaders to meet with all the relevant staff individually to discuss their recommended inclusion or exclusion. In the case of recommended exclusions, the UOA Leader will be responsible for ensuring the individual has a copy of the Code of Practice and appeals procedure and understands what to do should he/she wish to appeal against the recommendation.

### *3.2.2 External expert reviewers*

External expert reviewers will be appointed to assist in all of the University's REF preparation exercises. In most exercises, two external reviewers will be used per UOA per exercise; it is anticipated that in the majority of cases different reviewers will be used for different exercises. External reviewers will be sent a terms of reference for their engagement in each of the exercises to ensure a thorough understanding of what is required as part of the task and the appropriate level of comment on individuals and their submitted outputs (an example terms of reference is available in Appendix 3). For the final two preparation exercises, the external reviewers will also be sent the BU REF Code of Practice.

The external reviewers will not be instructed to make decisions on which staff should be submitted to the REF, nor will they be given any information relating to individual staff circumstances. They will only be asked to comment on the quality of the outputs shared with them.

### *3.2.3 UOA action plans*

In March 2011, all UOA Leaders produced an action plan for their UOA. The action plans are a submission strategy and planning tool for the UOA Leaders, Deans and RASG focusing on the actions that need to be taken to strengthen the submission by October 2013. The plans cover the three REF assessment elements: outputs, environment and impact. They are confidential documents, shared only with RASG, RALT and the Deans, although individual staff members can see them on request. An equality assessment was conducted on the action planning process and documentation in December 2011.

### *3.2.4 Equality assessments during the preparation exercises*

Equality assessments have been, and will be, completed by the RDU with the support and advice of the Equality and Diversity Adviser and HR Manager. Such assessments will take place at key stages of the REF preparation exercises to identify where the process may have had a positive impact on the advancement of equality and where any potential discrimination may occur within the selection process. Further information on the equality assessment, including a timetable of planned assessments, is available in section 5.3.

## **4. Criteria for the selection of staff for submission to REF2014**

### **4.1 Decision-making framework and criteria**

The REF encourages institutions to “submit the work of all their excellent researchers”.<sup>13</sup> BU is committed to this principle and aims to identify the work of all its excellent researchers for submission, consistent with the basic principles set out in this Code of Practice.

For each UOA, RASG will look to maximise the University’s performance in REF2014 in terms of an appropriate combination of research quality and number of full time equivalent (FTE) staff submitted. Strategic and tactical decisions, informed by feedback from external expert reviewers and internal UOA Leaders, will therefore be made in respect of each individual UOA.

Appropriate internal quality guideline thresholds for outputs to be included in the final REF submission will be determined through the preparation exercises, submission modelling and equality assessments (see section 3.2.1). The decision on whether to include an individual in the University’s submission to REF in 2013 will be made first on the grounds of the quality of their research outputs, then on the quantity of their research outputs.

Where it is decided to return staff whose volume of research outputs has been affected by individual circumstances, relevant descriptions of those circumstances will be included as part of the submission (with the member of staff’s agreement) as per the requirements of the REF exercise<sup>14</sup>. Those responsible for making decisions about the composition of the submission will be aware of all current equality-related legislation so their decisions can be fully informed (see section 5.1).

### **A decision not to submit a member of staff does not imply unsatisfactory research performance.**

All recommendations made by RASG about the shape of the final REF submission will be communicated to the relevant UOA Leader via the Pro Vice-Chancellor. It is anticipated that most staff selection recommendations will be made by the end of June 2013. There may be some staff selection recommendations made after this point (e.g. for new academic entrants to BU between June 2013 and the census date or as the result of a successful appeal). Members of staff not being recommended for submission will be informed of that decision verbally by the UOA Leader and/or Dean within five working days of RASG’s decision. During this meeting, individuals will receive feedback and a justification for the decision made, and will also be reminded of the appeals process and timetable (as per section 4.2).

Using BU’s central governance structure for managing the institutional REF preparations (see section 2.1) will ensure that the framework outlined above is applied consistently across all UOAs taking into account any differences between these UOAs and the relevant REF panel criteria and working methods. To ensure fairness, the principle of equality of opportunity will be applied through the use of this Code of Practice, and all relevant legislation will be considered as part of the decision-making processes associated with the University’s REF submission.

### **4.2 Appeals process<sup>15</sup>**

In cases where RASG decide not to recommend the submission of an individual to the Vice-Chancellor for inclusion in the final REF2014 submission, the individual will have the right to

---

<sup>13</sup> Assessment Framework and Guidance on Submissions, REF 02.2011, Part 1, paragraph 18b.

<sup>14</sup> Panel Criteria and Working Methods, REF 01.2012, Part 1, paragraphs 63-91; and Assessment Framework and Guidance on Submissions, REF 02.2011, Part 3, paragraphs 96-100.

<sup>15</sup> See Appendix 4: REF Appeals Process Map.

appeal to the Vice-Chancellor. The individual will be required to provide a justification as to why their outputs should be reconsidered. Appeals will be considered before the final selection is made.

The Vice-Chancellor will convene a BU REF Appeals Panel – an independent group of at least three senior academics – to undertake a review of each case. These academics will not be members of RASG and will not have been involved at UOA or School level in the decision to exclude the individual from the submission. Six senior academics were identified by the Deputy Vice-Chancellor and the Deans in February 2012 and they will receive the same bespoke development on equality and diversity matters as the members of RASG (see section 5.1).

In the case of an appeal based on equality and diversity grounds, the HR Manager chairing the BU REF Circumstances Board will also be included in the BU REF Appeals Panel.

The appeal submission deadline will normally be **31 July 2013** and the Appeals Panel meetings will be held during August/September 2013. The REF appeals process is set out in Appendix 4 and will be administered and supported by a member of the RDU who has not previously been involved in RASG or RALT.

Any appeals submitted will normally be concluded within four weeks of the appeal submission deadline (31 July 2013).

## 5. Equality and diversity

When considering and preparing its submission to the REF, the University is committed to ensuring that aspects related to equality and diversity have been, and continue to be, actively taken into consideration. BU's equality and diversity work for the REF has been built into the University's Dignity, Diversity and Equality Action Plan.

### 5.1 Equality and diversity development

All staff involved in making decisions on staff to be submitted or included at any stage of the staff eligibility and decision-making process (to include: RASG, UOA Leaders, Deans, DDREs, the Vice-Chancellor, the RDU<sup>16</sup>, the REF Appeals Panel members, and the REF Circumstances Board) will receive mandatory REF-focused equality and diversity development.

Equality and diversity development will be offered to two staff groups:

- Group 1: Those with responsibility for advising staff on their eligibility, outputs, special considerations, etc. (i.e. UOA Leaders, REF Circumstances Board, RDU).
- Group 2: Those with responsibility for staff selection decisions (i.e. RASG, Vice-Chancellor, REF Appeals Panel members, REF Circumstances Board).

Members of Group 1 and Group 2 will be required to complete the [Marshall ACM Diversity at Work](#) e-learning package. In addition, School Deans and DDREs (or equivalent) will be required to complete the e-learning package to ensure they are aware of relevant equality and diversity considerations so they can offer support to the UOA Leaders in their Schools.

Group 1 will undertake three bespoke REF equality and diversity development sessions, based on the materials (including case studies) provided by the Equality Challenge Unit<sup>17</sup> (ECU), and will include information on the Equality Act 2010. This will ensure awareness of the relevant equality and diversity considerations and provide attendees with an opportunity to apply this knowledge to practical case studies. The aim is to equip the UOA Leaders with the knowledge and skills required to correctly guide and advise staff within their UOAs, and to ensure the REF Circumstances Board members have the knowledge and skills required to effectively review any staff considerations raised.

Group 2 will undertake one bespoke REF equality and diversity development session focused on decision-making around staff selection and UOA submission. This will ensure that those with responsibilities for shaping the final submission and deciding which staff will be submitted have a thorough knowledge and awareness of the relevant equality and diversity considerations.

Equality and diversity development will not be provided to external reviewers as they will be involved in the review of outputs, environment and impact narratives, and impact case studies only, and will not be involved in selection decisions.

Table 4 sets out the equality and diversity development that will be delivered in line with the *ECU REF Handbook for Trainers*<sup>18</sup>:

---

<sup>16</sup> Head of Research and Knowledge Exchange Office and Research Development Officer (REF)

<sup>17</sup> Available from: [www.ecu.ac.uk/our-projects/REF](http://www.ecu.ac.uk/our-projects/REF).

<sup>18</sup> ECU REF Equality and diversity training materials: handbook for trainers, published March 2012, available from: <http://www.ecu.ac.uk/documents/ref-materials/training-pack>

Development	Relevant sections in ECU REF Trainers Handbook <sup>19</sup>	Date to be delivered by	Trainers	Audience
Marshall ACM Diversity at Work e-learning package.	Not REF specific – update on BU commitment to E&D. Staff are expected to undertake this development module as a refresher.	September 2010 – February 2012.	E-learning package.	Group 1, Group 2, Deans, DDREs.
Meetings with the UOA Leaders.	Sections: 1, 2, 3, 4.	January/February 2012.	HR Manager and Equality and Diversity Adviser.	UOA Leaders only.
REF-focused E&D workshop part 1 (introduction to E&D in relation to the REF).	Sections: 1, 2, 3, 4.	April 2012.	ECU facilitator with support from HR Manager and Equality and Diversity Adviser.	Group 1.
REF-focused E&D workshop part 2 (using ECU case studies).	Sections: 5, 6, 7.	<del>May</del> /June/ <del>July</del> 2012.	HR Manager and Equality and Diversity Adviser.	Group 1.
REF-focused E&D workshop part 3 (refresher session using ECU case studies).	Sections: Overview of 1, 2, 3, 4, 5, 6, 7.	December 2012.	HR Manager and Equality and Diversity Adviser.	Group 1.
REF-focused E&D workshop (panel training and staff selection using ECU case studies).	Sections: 1, 2, 3, 4, 5, 6, 7.	March 2013.	ECU facilitator with support from HR Manager and Equality and Diversity Adviser.	Group 2.

Table 4: Equality and diversity development for BU staff in preparation for REF2014

## 5.2 Disclosure of individual staff circumstances

The REF Team has produced guidance on how REF panels will deal with individual circumstances that may constrain an individual's ability to produce four outputs within the assessment period<sup>20</sup>.

The *REF Guidance on Submissions* stipulates that “for each member of staff returned with fewer than four outputs, submissions must include...information in [form] REF1b”.<sup>21</sup> Form REF1b will be used to submit details of individual staff circumstances; these are split into two categories as outlined in the REF guidance<sup>22</sup>: a) staff with clearly defined circumstances, and b) staff with complex circumstances.

Clearly defined circumstances are:

- Qualifying as an early career researcher;<sup>23</sup>
- Absence from work due to working part-time, secondments or career breaks;<sup>24</sup>

<sup>19</sup> ECU REF Equality and diversity training materials: handbook for trainers, published March 2012, available from: <http://www.ecu.ac.uk/documents/ref-materials/training-pack>

<sup>20</sup> Equality Briefing for Panels available from: [http://www.hefce.ac.uk/research/ref/pubs/other/equality/REF\\_equality.pdf](http://www.hefce.ac.uk/research/ref/pubs/other/equality/REF_equality.pdf).

<sup>21</sup> Assessment Framework and Guidance on Submissions, REF 02.2011, Part 3, paragraph 96.

<sup>22</sup> Panel Criteria and Working Methods, REF 01.2012, Part 1, paragraph 69.

<sup>23</sup> Assessment Framework and Guidance on Submissions, REF 02.2011, Part 3, paragraphs 85-87.

- Qualifying periods of maternity, paternity or adoption leave;<sup>25</sup>
- Other circumstances that apply in UOAs 1-6.<sup>26</sup>

Complex circumstances are:

- Disability;<sup>27</sup>
- Ill health or injury;
- Mental health conditions;
- Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – those outlined in clearly defined circumstances above;
- Other caring responsibilities (such as caring for an elderly or disabled family member);
- Gender reassignment;
- Other circumstances relating to the protected characteristics listed in the REF guidance document<sup>28</sup>, or relating to activities protected by employment legislation.

Staff on part-time and/or fixed term contracts and in post on the census date (31 October 2013) will be considered for inclusion alongside and using the same criteria as for staff on permanent contracts. All BU staff are expected to meet the requirements of the [BU Dignity, Diversity and Equality Policy](#) and all receive support and have access to all BU equality and diversity resources, irrespective of contractual status.

In line with the REF guidance, academic and academic-related duties that may be reasonably expected of the post holder, including teaching and administrative duties, will not be regarded as sufficient reason for the submission of fewer than four outputs.

#### *5.2.1 Internal collation and use of data*

Specific details about individuals with potential equality and diversity considerations will initially be collected in autumn 2012. The collation of this data at this time serves three purposes:

- To aid RASG in the selection of staff for the 2013 mock exercise and final submission;
- To undergo review by the BU REF Circumstances Board in winter 2012;
- To initiate the completion of the REF1b forms for staff likely to be returned with fewer than four outputs.

It is important that relevant information is disclosed at this time to assist in the REF preparations and to ensure adequate documentation and evidence are collated (where appropriate) for the final submission to REF in autumn 2013.

Prior to this, in January 2012, the Equality and Diversity Adviser and HR Manager visited each of the UOA Leaders to discuss the equality and diversity aspects of the REF and to answer UOA Leaders' questions.

A frequently asked questions (FAQs) document was compiled and circulated to all REF-eligible staff in spring 2012 [via the BU Research Blog](#), covering the whole REF process and including all relevant equality and diversity guidance. The FAQs were [also](#) emailed to all REF-eligible staff [in late summer 2012](#) with a delivery receipt requested to demonstrate that all REF-eligible staff have been made aware of the document. After this, the FAQs will be

<sup>24</sup> Panel Criteria and Working Methods, REF 01.2012, Part 1, paragraphs 73-74.

<sup>25</sup> Panel Criteria and Working Methods, REF 01.2012, Part 1, paragraphs 75-81.

<sup>26</sup> Panel Criteria and Working Methods, REF 01.2012, Part 1, paragraphs 86-87.

<sup>27</sup> As defined in Assessment Framework and Guidance on Submissions, REF 02.2011, Part 4, Table 2.

<sup>28</sup> Assessment Framework and Guidance on Submissions, REF 02.2011, Part 4, paragraph 190.

sent to all REF-eligible new starters when they join BU to ensure they have access to the information and guidance. The FAQs will be treated as a live document with academic staff invited to suggest further areas for inclusion, and will be stored on the BU Research Blog.

In addition to the FAQs, during spring 2012 the Pro Vice-Chancellor met with the REF-eligible staff in each UOA to discuss the REF and answer any general questions they had regarding preparation and submission. During autumn 2012, the RDU will coordinate forums for the further discussion of REF preparations and submission. The forums will be chaired by the Pro Vice-Chancellor with support from the HR Manager, the Equality and Diversity Adviser, the Head of Research and Knowledge Exchange Office, the Research Development Officer (REF), and the UOA Leaders, and will be open to all staff to attend. The forums will be promoted via the BU Staff Portal and the BU Research Blog. Key messages from the forums will be shared via the BU Research Blog. Issues raised and discussed at the forums will also feed into the FAQs as appropriate.

Staff wishing to discuss equality and diversity considerations prior to the data collection exercise in autumn 2012, and indeed at any time during the REF preparation period, should speak with their UOA Leader, the Equality and Diversity Adviser and/or the HR Manager in the first instance.

In ~~autumn~~ late summer 2012, all BU staff eligible for inclusion in the REF will be sent an email by the RDU/HR Department requesting them to complete a disclosure form about their individual circumstances, which is based on the ECU individual staff circumstances disclosure form<sup>29</sup>. BU staff absent from work (such as staff on secondment or career break) at the time the email is circulated will be sent a hard copy of the form in the post. Completion of the form at this stage will not be mandatory. However, ~~The those staff who will be submitted to the REF form~~ will need to ~~be completed a form prior to submission~~ by all REF-eligible staff, even those without any relevant circumstances to disclose. In line with the Data Protection Act 1998, all data returned will be stored and treated confidentially and will only be accessible by two key contacts in HR, the Head of the Research and Knowledge Exchange Office and the Research Development Officer (REF). After this data collection exercise, REF-eligible new starters will be asked to complete a staff disclosure form when they join BU to ensure they have the opportunity to disclose information. All REF-eligible staff likely to be submitted to the REF will be reminded to update their details in summer 2013 following the same process.

Where circumstances are disclosed these will be recorded confidentially and, where possible, verified by the HR Department. All circumstances (clearly defined and complex) will be considered by the BU REF Circumstances Board and, if accepted, the decision (but not the specific details) will be shared with those making selection decisions (i.e. RASG, the relevant UOA Leader and, if necessary, the Vice-Chancellor and the Appeals Panel). Figure 1 demonstrates how the information disclosed will be used.

---

<sup>29</sup> Available from <http://www.ecu.ac.uk/documents/ref-materials/template-individual-circumstances-ref-disclosure-form.doc>.

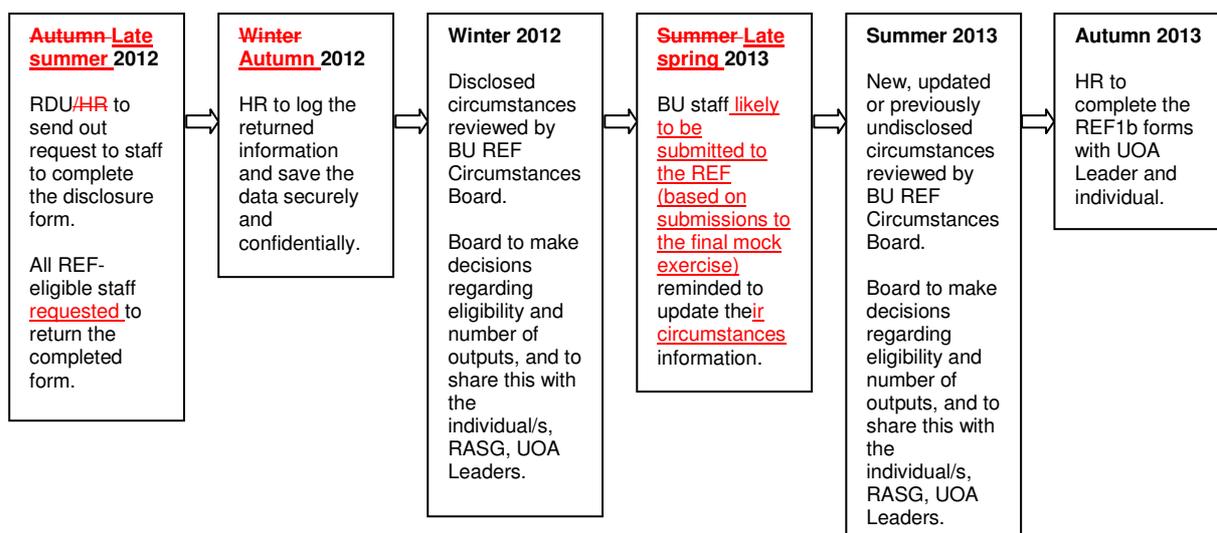


Figure 1: Flowchart showing how the information about individual circumstances disclosed via the staff disclosure form will be used and shared

The BU REF Circumstances Board will be responsible for considering the extent to which the circumstances have had a material impact on the individual's ability to produce the expected volume of outputs in the REF assessment period. As per the REF guidance, when considering clearly defined circumstances, a pro-rata rule will be used to calculate the number of outputs that may be reduced without penalty in the assessment, depending on the duration of the circumstances (or a combination thereof)<sup>30</sup>. Table 5 indicates the number of outputs that may be reduced without penalty for individuals qualifying as early career researchers (ECRs), and Table 6 shows the number of outputs that may be reduced without penalty for periods of part-time working, secondments or career breaks.

Date at which the individual first met the REF definition of an ECR	Number of outputs may be reduced by up to:
On or before 31 July 2009	0
Between 1 August 2009 and 31 July 2010 inclusive	1
Between 1 August 2010 and 31 July 2011 inclusive	2
On or after 1 August 2011	3

Table 5: ECRs – permitted reduction in outputs

Total months absent between 1 January 2008 to 31 October 2013 due to working part-time, secondment or career break:	Number of outputs may be reduced by up to:
0 – 11.99	0
12 – 27.99	1
28 – 45.99	2
46 or more	3

Table 6: Part-time working, secondments or career breaks – permitted reduction in outputs

For qualifying periods of maternity, paternity or adoption leave, an individual may reduce the number of outputs by one for each discrete period of statutory maternity or adoption leave taken during 1 January 2008 – 31 October 2013. The same reduction and timeframe applies for periods of additional paternity or adoption leave lasting for four months or more.<sup>31</sup>

<sup>30</sup> Panel Criteria and Working Methods, REF 01.2012, Part 1, paragraphs 70-81.

<sup>31</sup> Panel Criteria and Working Methods, REF 01.2012, Part 1, paragraphs 75-81.

For more complex circumstances, as set out in section 5.2, the BU REF Circumstances Board will make a judgement on the appropriate reduction in the number of outputs submitted. As far as is practicable, the impact of the circumstances on an individual’s ability to work productively throughout the assessment period will be equated to the impact of clearly defined absences, and the number of outputs reduced in line with Table 6.

The data returned via the staff disclosure form will be used to complete the REF1b form by the HR Department in conjunction with the relevant UOA Leader and, where necessary, the individual. The process will be managed centrally by the HR Department, overseen by a HR Manager. Any information disclosed via this form will be handled confidentially as personal and sensitive data in accordance with the Data Protection Act 1998.

*5.2.2 External use of data*

Information returned in the REF2014 submission on the REF1b form must be based on verifiable evidence, such as a general practitioner’s letter or consultant’s report. REF1b forms will be kept confidential to the REF Team at the Higher Education Funding Council for England (HEFCE), and to the REF panel members (for clearly defined circumstances) and to the EDAP and main panel chairs (for complex circumstances). REF sub-panel members will be aware that there are complex circumstances but will not have access to further information about the details of the circumstances.

**5.3 Equality assessment**

As required by the funding bodies, the University will conduct an equality assessment on the Code of Practice, on two of the preparation exercises, and on the BU procedures for selecting staff for submission to REF2014. The aim of the equality assessments will be to determine whether BU’s staff selection policy may have a differential impact on particular groups of staff; to highlight where changes to processes may need to be made; and to have a positive impact on the advancement of equality. The first assessment was undertaken in 2011 and will be repeated at key stages of the selection process as submissions are prepared. This includes an assessment of the first mock exercise to take into consideration new equality assessment guidance issued by the ECU. This has helped to inform the Code of Practice for subsequent preparation exercises.

Table 7 indicates the plan for conducting the equality assessments, including a summary of the changes that have been actioned as a result of the assessments.

Equality assessment	Date to be completed by	Findings and changes made to Code of Practice
1. First preparation exercise (light-touch review), and action planning process and documentation.	December 2011	No selection decisions were being made at this stage. Key points included: <ul style="list-style-type: none"> <li>• UOA Leaders need to be fully trained on equality and diversity considerations, and a full development plan has now been put in place – details added to Code (section 5).</li> <li>• BU needs to set up a REF Circumstances Board to review all individual circumstances, separate from RALT and RASG – details added to Code (section 2).</li> </ul>

Equality assessment	Date to be completed by	Findings and changes made to Code of Practice
		<ul style="list-style-type: none"> <li>An internal communications plan needs to be put in place to ensure all staff are aware of their eligibility to submit to future mock REF exercises to ensure they are still able to be considered – details added to Code (section 6).</li> </ul>
2. Draft Code of Practice.	December 2011	Greater opportunities for communicating aspects of the Code have been identified – details added to Code (section 6).
3. Final preparation exercise (March–April 2013).	April 2013	To be added.
4. Staff selection process and threshold.	August 2013	To be added.

*Table 7: BU equality assessment plan for REF2014*

The Pro Vice-Chancellor will be the sponsor for all of the assessments, and the Head of Research and Knowledge Exchange Office will be the policy owner. The Equality and Diversity Adviser and HR Manager will support and advise the RDU in completing the equality assessments. These roles have been assigned based on the knowledge and experience of the post-holders.

The Equality and Diversity Adviser will use information gained from involving staff from protected groups<sup>32</sup> to inform the equality assessment. The BU REF preparation exercises detailed in section 3 will also be used to inform the assessment.

Before submission, the Equality and Diversity Adviser, with support from HR, will prepare an equality profile of all eligible staff showing who is and who is not to be submitted as per RASG decisions and any appeals. The RDU, with support from the Equality and Diversity Adviser and HR Manager, will then undertake an assessment of the equality impact of the staff selection process as outlined in Table 7.

A final check will be made that:

- An equality profile of all staff not being submitted has been conducted and that all appeals procedures have been completed;
- An equality profile of all staff being submitted has been conducted and that the appropriate details have been provided in the submission.

As advised by the funding bodies, BU will externally publish its equality assessments after submission to REF2014. The published information will include the outcomes of any actions taken to advance equality or to prevent discrimination. No details about individuals or any confidential information will be disclosed through this process.

<sup>32</sup> A list of equality and diversity groups and networks at BU can be found via the following link: [http://www.bournemouth.ac.uk/facilitiesandresources/diversity/student\\_staff\\_networks\\_and\\_groups.html](http://www.bournemouth.ac.uk/facilitiesandresources/diversity/student_staff_networks_and_groups.html).

## 6. Internal communication plan

The communication objectives are to ensure that all stakeholders are aware of:

- The REF exercise;
- BU's internal governance structure for the REF;
- BU's internal preparation plans, including preparation exercises;
- The rules regarding eligibility and BU's criteria for the selection of staff;
- What constitutes equality and diversity considerations, how they can be raised and individual circumstances disclosed;
- The appeals procedure.

An early draft version of the BU REF Code of Practice was made available to staff via the Staff Portal in autumn 2010.

BU staff and key UCU representatives were invited to comment on a draft of the Code of Practice (henceforth referred to as 'draft version 1') during spring 2012.

A final draft version of the Code will be sent to the REF Team by 27 April 2012 (henceforth referred to as 'final version 1'). This version will be examined by the EDAP who will then advise HEFCE on the adherence of the Code to the published REF requirements. HEFCE will then liaise with BU directly to either confirm that the Code meets the requirements, or to request resubmission.

Table 8 details the communication plan for how the 'final version 1' of the BU Code of Practice will be made available to staff.

Timing	Spokesperson	Responsibility for ensuring this happens	Channel/ action	Version of Code of Practice	Purpose	Content	Audience
<b>April 2012</b>							
Late April 2012	M Bennett	J Northam	Individual staff emails.	n/a.	To ensure all REF-eligible staff are aware of the REF process, BU preparations and equality & diversity considerations.	FAQs sent to all REF-eligible staff with a delivery receipt.	All REF-eligible staff.
Late April 2012	M Bennett	J Northam	BU Staff Portal story and Code of Practice added to Policies section of the Portal.	Final version 1.	To share the draft Code of Practice with all staff.	The draft version of the Code of Practice and FAQs document.	All BU staff.
Late April 2012	M Bennett	J Northam	BU Research Blog.	Final version 1.	To share the draft Code of Practice with all staff and to ensure it is visible externally.	The draft version of the Code of Practice and FAQs document.	All BU staff and external audience.
Late April 2012	M Bennett	J Northam	'All Staff' email.	Final version 1.	To share the draft Code of Practice with all staff.	The draft version of the Code of Practice and FAQs document.	All BU staff.

Timing	Spokesperson	Responsibility for ensuring this happens	Channel/action	Version of Code of Practice	Purpose	Content	Audience
Late April 2012	A Somner	A Somner	REF FAQ pages on BU Research Blog.	FAQs and final version 1.	To create a REF section on the Blog to share the FAQs and draft Code in a more accessible format.	FAQs and final version of the Code of Practice.	All BU staff and external audience.
27 April 2012 <sup>33</sup>	J Vinney	M Bennett/ J Northam	Submit to the REF Team.	Final version 1.	HEIs are required to submit final codes of practice to the REF Team.	The final version of the Code of Practice.	The REF Team.
<b>JuneSeptember 2012</b>							
<b>JuneSeptember 2012</b>	M Bennett J Wilson J Palfreman-Kay J Northam A Somner UOA Leaders	J Northam	Open sessions.	Final version 1.	To share the <del>draft-final</del> Code of Practice and to provide a forum in which staff can raise questions. <a href="#">Also to discuss issues relating to the staff circumstances disclosure form.</a>	The draft version of the Code of Practice, FAQs document, <a href="#">staff circumstances disclosure form</a> and general information about BU's REF preparation.	All REF-eligible staff.  Key points from these sessions will be recorded and shared via the BU Research Blog and in the FAQs.

*Table 8: Internal communication plan for the draft version (as sent to the REF Team in April 2012) of the BU REF Code of Practice*

Once 'final version 1' of the BU Code of Practice has been submitted to and approved by the EDAP and HEFCE have confirmed this with BU, the final version of the BU Code of Practice (henceforth referred to as 'final version 2') will be circulated to staff using the same format and channels of communication as listed in Table 8.

The 'final version 2' of the Code of Practice will be made available in alternative formats on request.

The University Research and Knowledge Exchange Forum (URKEF) will be kept abreast of all policies and procedures regarding the University's REF preparations, and Forum members will be required to cascade information within their Schools as appropriate.

<sup>33</sup> The deadline for institutions to submit their code of practice to the REF Team is on or before 31 July 2012. See Assessment Framework and Guidance on Submissions, REF 02.2011, Part 4, paragraph 229. An optional deadline of 27 April 2012 was given by HEFCE for those institutions who wish to receive earlier confirmation that their code meets the REF requirements.

## 7. Further information

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

- [Bournemouth University's Dignity Diversity and Equality Policy](#)<sup>34</sup>
- [RAE 2008: Equality briefing for panel chairs, members and secretaries](#)<sup>35</sup>
- [Assessment Framework and Guidance on Submissions](#)<sup>36</sup>
- [Panel Criteria and Working Methods](#)<sup>37</sup>
- [Trainer's Handbook: REF Equality and Diversity Training](#)<sup>38</sup>

---

<sup>34</sup>[http://www.bournemouth.ac.uk/facilitiesandresources/diversity/docs/policies/dignity\\_diversity\\_and\\_equality\\_policy.doc](http://www.bournemouth.ac.uk/facilitiesandresources/diversity/docs/policies/dignity_diversity_and_equality_policy.doc).

<sup>35</sup><http://www.rae.ac.uk/pubs/2005/02/>.

<sup>36</sup>[http://www.hefce.ac.uk/research/ref/pubs/2011/02\\_11/02\\_11.pdf](http://www.hefce.ac.uk/research/ref/pubs/2011/02_11/02_11.pdf).

<sup>37</sup>[http://www.hefce.ac.uk/research/ref/pubs/2012/01\\_12/](http://www.hefce.ac.uk/research/ref/pubs/2012/01_12/).

<sup>38</sup><http://www.ecu.ac.uk/documents/ref-materials/handbook.doc/view>

## Appendix 1

### REF Academic Steering Group Terms of Reference

The REF Academic Steering Group (RASG) has been established to guide and support the University's internal preparation process and final submission to the Research Excellence Framework (REF).

RASG is chaired by the Pro Vice-Chancellor and administered by the Research Development Unit. RASG reports to the Vice-Chancellor and University Research and Knowledge Exchange Forum / Senate Research and Enterprise Committee via the Chair.

<b>Formal membership of RASG</b>	
<b>Prof Matthew Bennett (Chair)</b>	<b>Pro Vice-Chancellor</b>
Prof John Vinney (ex officio)	Vice-Chancellor
Prof Tim McIntyre-Bhatty	Deputy Vice-Chancellor
Karen Parker (or Nominee: Judith Wilson)	Deputy Director of HR
Vicky Lewis (or Nominee: Paul Breakwell)	Director of Marketing & Communications
Professor Tiantian Zhang	Head of Graduate School
Prof Jonathan Parker	UOA 22 Subject Leader (RALT representative)
Julie Northam	Head of Research and Knowledge Exchange Office
Anita Somner/Peng Peng Ooi	Research Development Officer (REF)

<b>Terms of reference</b>
1. RASG will be the primary decision-making body for the REF Project.
2. RASG will ratify and oversee the timetable and process for the University's internal REF preparations, including the REF mock exercise/s.
3. RASG will guide and support the REF Subject Leaders in coordinating their unit submissions.
4. RASG will decide which units of assessment will be submitted to the REF.
5. RASG will make recommendations to the Vice-Chancellor with respect to which members of staff will be submitted to the REF and is responsible for communicating these decisions with the REF UOA Leaders.
6. RASG will make any other strategic decisions that need to be taken in the context of the REF.

<b>Sub-committees</b>
REF Academic Leadership Team (RALT) (RALT is RASG members plus REF Subject Leaders)
REF Code of Practice Development Group

## Appendix 2

### REF Academic Leadership Team Terms of Reference

The REF Academic Leadership Team (RALT) has been established to support the work of the REF Academic Steering Group (RASG) in the University's internal preparation process and final submission to the Research Excellence Framework (REF).

RALT is chaired by the Pro Vice-Chancellor and is administered by the Research Development Unit. RALT is a sub-committee of RASG and membership comprises all RASG members plus the UOA Leaders as identified by the Chair of RASG and the Vice-Chancellor for candidate UOAs.

<b>Formal membership of RALT</b>	
<b>Prof Matthew Bennett (Chair)</b>	<b>Pro Vice-Chancellor</b>
Prof John Vinney (ex officio)	Vice-Chancellor
Prof Tim McIntyre-Bhatty	Deputy Vice-Chancellor
Karen Parker (or Nominee: Judith Wilson)	Deputy Director of HR
Vicky Lewis (or Nominee: Paul Breakwell)	Director of Marketing & Communications
Professor Tiantian Zhang	Head of Graduate School
Prof Jonathan Parker	UOA 22 Subject Leader (RALT representative)
Julie Northam	Head of Research and Knowledge Exchange Office
Anita Somner/Peng Peng Ooi	Research Development Officer (REF)
Prof Edwin van Teijlingen	UOA 3 – Allied Health Professions, Dentistry, Nursing and Pharmacy
Prof Sine McDougall	UOA 4 – Psychology, Psychiatry and Neuroscience
Dr Cornelius Ncube	UOA 11 – Computer Science and Informatics
Prof Mark Hadfield	UOA 15 – General Engineering
Prof Rudy Gozlan	UOA 17 – Geography, Environmental Studies and Archaeology UOA 7 – Earth Systems and Environmental Sciences
Dr Kate Welham	UOA 17 – Geography, Environmental Studies and Archaeology
Prof Philip Hardwick (interim lead)	UOA 19 – Business and Management Studies
Prof Martin Kretschmer	UOA 20 – Law
Prof Jonathan Parker	UOA 22 – Social Work and Social Policy
Prof Stephen Page	UOA 26 – Sport and Exercise Sciences, Leisure and Tourism
Prof Jian Zhang	UOA 34 – Art and Design: History, Practice and Theory
Prof Barry Richards	UOA 36 – Communication, Cultural and Media Studies, Library and Information Management
Sally Gates/Rebecca Edwards	REF Communications Manager

## Terms of reference

1. RALT will meet regularly to share good practice and information with regard to the REF preparation and submission.
2. RALT will co-ordinate their unit submissions to both the mock and final REF assessments, including overseeing timely submission of all data/metrics required by panels and sub-panels, cross-checking financial and other data with CRE and writing any textual commentary to accompany the submission.
3. RALT will communicate closely and regularly with the relevant Deans and Deputy Deans (Research and Enterprise) regarding key decisions and activity in the context of the mock and final REF submissions.
4. RALT will feed back to the relevant Deans and Deputy Deans (Research and Enterprise) regarding the outcomes of any internal mock REF exercises and will help Schools identify areas for improvement and monitor progress.
5. RALT will assist RASG in identifying which members of staff may be submitted to the REF and will help communicate the selection decisions within the relevant Schools.
6. RALT will assist RASG in shortlisting which units of assessment may be submitted to the REF.
7. RALT will oversee the appointment of and communications with the external reviewers for the BU mock REF exercises.
8. RALT will conduct an internal sift of BU staff research outputs for each discipline.
9. RALT will undertake any other procedural activity that may be needed in the context of the REF.

## Appendix 3

### Mock REF Expert Reviewer Terms of Reference (Light-touch Review)

As part of Bournemouth University's (BU) preparation for the Research Excellence Framework (REF) assessment, a series of mock exercises will be undertaken to provide management and academic staff with valuable feedback from expert reviewers whose contribution will be vital for the development of the University's research performance.

The first of these exercises will be a light-touch review, which will take place during December 2010 and January 2011. All eligible academics will be invited to be considered, and the threshold for inclusion in the review will be outputs considered internally to be 1\* or above. This will be followed by a more in-depth mock exercise during which we will establish a higher threshold for inclusion.

To guide the expert reviewers, the following terms of reference have been developed to ensure consistent and clear understanding of what is required as part of the mock exercise process.

The current draft timetable for the mock exercises is shown below. Ideally, all expert reviewers will play a part in each of these exercises but it is understood that this may not be possible in every case.

1. Provisional timetable for expert reviewer engagement in BU mock REF exercises	
<b>1.1 Light-touch exercise</b>	
Early December 2010:	Individual outputs and impact summaries, and overall unit of assessment (UOA) summaries sent to reviewers for feedback
Late January 2011:	Feedback from reviewers received and collated for consideration by BU REF Academic Steering Group
<b>1.2 Future mock exercises</b>	
Once HEFCE have issued the final REF guidance documentation, further mock exercises will be scheduled, with at least one taking place in 2013 before the submission deadline.	

### 2. Terms of reference for light-touch review

#### 2.1 Overview assessment of individuals:

- *Outputs activity:* Each academic will submit up to four outputs published since 1 January 2008 and a short justification for their inclusion (maximum of 200 characters per output), accompanied by basic journal and citation metrics (if applicable) and a self-assessment as to ranking of each output using the proposed REF five-point scale. Academics should not be penalised should they submit fewer than four outputs. Reviewers will be asked to provide overall feedback on the selected outputs as a whole and will not be expected to read or respond to each output individually. All outputs will be made available electronically should a reviewer wish to follow up any in more detail. Feedback for an individual should focus on the overall quality of the outputs.
- *Impact activity:* Each academic will submit a summary (maximum of 1,800 characters) identifying any examples of actual and/or aspirational impact of research they have undertaken since 1998. These impact examples will have occurred since 1 January 2008.
- *Overall summary:* Reviewers will be asked to make an overall assessment of the individual's submission as a whole, identifying areas of strength and weakness, and scope for improvement.

## 2.2 Overview assessment of UOA:

- UOA Subject Leaders will provide an overall summary (maximum of 3,000 characters) of their unit's activity including research environment, areas of strength and weakness, major impact case studies, and specific issues or questions to be addressed. Reviewers will be asked to submit a critique of the UOA as a whole and to address any specific concerns raised by the UOA Leader. The aim of this overall summary is to guide and help the strategic direction of the UOA; it is not a draft submission of the narrative for the impact and environment assessment elements for the actual REF submission.

2.3 The feedback on the individuals' submission and the UOA as a whole will be submitted by each expert reviewer to the Chair of the REF Academic Steering Group on the pro forma provided for the purpose. This will include suggestions for strengthening a submission or, if appropriate, for not submitting to a particular UOA.

2.4 Reviewers will complete the task within the agreed timeframe and will inform the Chair of the REF Academic Steering Group in a timely manner of any problems that might arise.

2.5 Equally, should any reviewer find that they are unable to complete the task once they have agreed to participate, they should inform the Chair of the REF Academic Steering Group immediately and arrange to return any documentation received.

## 3. Confidentiality of data

3.1 BU will not divulge any data or responses received from expert reviewers to individual staff members.

3.2 The responses will be discussed internally in confidence by the BU REF Academic Steering Group and the UOA Subject Leaders involved in conducting the mock exercise. They will also be reported to and discussed with the senior academic management of the University and the School(s) concerned.

3.3 Expert reviewers will be expected to treat any documentation and data sent in the process of administering and carrying out their assessment in the strictest of confidence. No documentation or data should be shared with any third party. All documentation and data should be destroyed at the end of the expert reviewer's involvement in BU's mock REF exercise(s).

## 4. Payment

4.1 Expert reviewers will be paid a fee of £650, plus reasonable expenses where necessary, for undertaking each exercise, including the light-touch review. (A claim form for expenses can be requested from the Centre for Research and Enterprise; all relevant receipts will need to accompany each claim.)

4.2 Payment will be made retrospectively at the end of the light-touch review exercise.

4.3 Expert reviewers are asked to provide an invoice for payment of services rendered, and to complete a BU Consultant Single Payment form (supplied by the Centre for Research and Enterprise).

4.4 On receipt of these two documents, payment will be made via cheque according to standard University procedures and timescales and will be sent by post to the address provided by the reviewer.

4.5 Should any reviewer be unable to complete their review due to unforeseen circumstances: depending on the amount of work completed at that point, a pro rata payment of the agreed fee may be considered on a case-by-case basis but is not guaranteed.

## 5. Engagement with future BU mock REF exercises

5.1 It is hoped that BU will be able to engage with the same expert reviewers in its subsequent mock REF exercises; to provide consistency and continuity in the feedback received, and an indication of improvement and development in each unit of assessment.

5.2 Therefore, before each mock exercise, the same reviewers will be invited to be involved with the process again, unless previously indicated or communicated to the Centre for Research and Enterprise.

## 6. Contact details

6.1 Address for correspondence with the REF Academic Steering Group Chair:

Professor Matthew Bennett c/o Julie Northam, Centre for Research and Enterprise, M402, Melbury House, 1-3 Oxford Road, Bournemouth, Dorset, BH8 8ES.

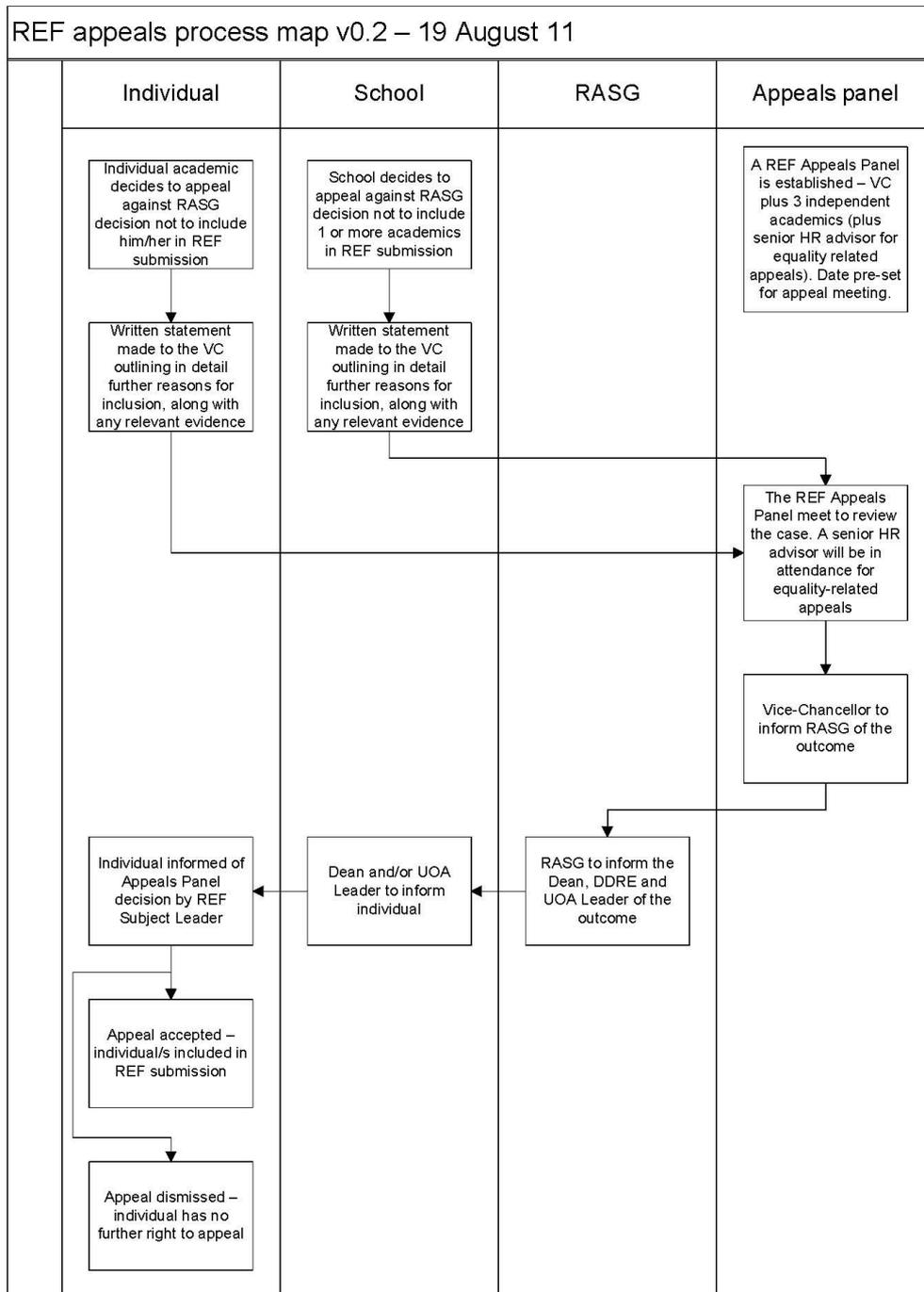
6.2 General queries to the Centre for Research and Enterprise:

Julie Northam, Head of Research and Knowledge Exchange Office – T: 01202 962108; E: [jnortham@bournemouth.ac.uk](mailto:jnortham@bournemouth.ac.uk)

Anita Somner, Editorial Administrator – T: 01202 961254; E: [asomner@bournemouth.ac.uk](mailto:asomner@bournemouth.ac.uk)

# Appendix 4

## BU REF Appeals Process Map



The appeal process will be administered and supported by a member of the Research Development Unit who has not been involved in the RASG or RALT