

**CARDIFF METROPOLITAN UNIVERSITY**

**CODE OF PRACTICE ON PREPARING SUBMISSIONS  
FOR THE 2014 RESEARCH EXCELLENCE FRAMEWORK**

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## CODE OF PRACTICE ON PREPARING SUBMISSIONS FOR 2014 REF

### 1. Introduction

Cardiff Metropolitan University recognises that discrimination is unacceptable in any form and is committed to equality of opportunity for staff and students in all aspects of its activities as an employer, a provider of Higher Education and as a community resource.

Cardiff Metropolitan University is committed to providing a working and learning environment free from any form of harassment, intimidation, victimisation or discrimination on the grounds of age, nationality, sex, race, colour, ethnic or national origin, disability, religion and belief, sexual orientation, gender reassignment, marital status and civil partnership, pregnancy and maternity, language, social origin, political opinion, property and birth or status. All individuals will be treated with dignity, respect and valued for their contribution.

This Code of Practice covers the principles and procedures Cardiff Metropolitan University will apply in preparing its 2014 REF submission. The Code of Practice has been drawn in accordance with the guidance published (REF Assessment Framework and Guidance on Submissions, Part 4) informed by the Equality and Diversity Advisory Group and with the relevant legislation listed in Annex A. It has been further informed by lessons learned through participation in previous research assessment exercises and has been the subject of wide consultation with schools and other internal / external stakeholders specifically internally from Research & Enterprise Board, University Ethics Committee and Equality & Diversity Committee and externally from a senior equality and diversity specialist.

### 2. Overview of Cardiff Metropolitan University's REF Strategy

Cardiff Metropolitan University's REF strategy is guided by a basic principle that any submission to an individual Unit of Assessment (UOA) must, as a minimum requirement, be both highly credible and therefore capable of enhancing the University's reputation in the discipline area in question. This will therefore limit the Cardiff Metropolitan University submission to those groups who can clearly demonstrate that they can meet this requirement.

Criteria defining how such a judgement might be made against quality starred levels<sup>1</sup> are:

- No material likely to be rated as Unclassified<sup>2</sup> or One star should be included.
- There must be strong evidence that 50% of material is likely to be rated as either Three or Four star with the remainder being classified as Two star.

No criteria are given in relation to the overall size (i.e. staff FTE numbers) of a submission. However, given the requirement to demonstrate a research environment that is both robust and sustainable, it is unlikely that submissions relying upon only a

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<sup>1</sup> See Assessment framework and guidance on submissions (REF 02.2011, Annex A) for definitions of starred levels supplemented by Main Panel (A, B, C, D) criteria and working methods.

<sup>2</sup> Unclassified: Quality that falls below the standard of nationally recognised work. Or work which does not meet the published definition of research for the purposes of the assessment.

One star: Quality that is recognised nationally in terms of originality, significance and rigour.

Two star: Quality that is recognised internationally in terms of originality, significance and rigour.

Three star: Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence.

Four star: Quality that is world leading in terms of originality, significance and rigour.

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small number of staff would be successful. No lower limit on size is therefore defined but, as a guide, any proposal for an individual UOA submission which relied upon fewer than six FTE would need to be very carefully justified. With regards to upper limits, this will be governed by the number of impact case studies available for inclusion.

The full 2014 REF Strategy document is given in Annex B.

### 3. Principles

The following principles form the basis of this Code of Practice and will be applied at all stages in the submission process.

Transparency	The process of preparing the 2014 submission is clearly defined, accessible, publicised and open to scrutiny.
Consistency	The process will allow equal consideration to be given to the work of all staff who submit for the exercise. The process will also be consistent across all schools and UOAs.
Accountability	<p>All staff engaged in making judgements on submitted work will be identified by name and role and completely familiar with:</p> <ul style="list-style-type: none"><li>i. This Code of Practice</li><li>ii. The selection criteria set out in Cardiff Metropolitan University's 2014 REF Strategy</li><li>iii. The main panel criteria and working methods assessment criteria for the relevant UOA(s).</li><li>iv. The terms of reference of the committee of which they are a member (see Annex C).</li></ul> <p>All staff engaged in making such judgements will have undertaken appropriate equality and diversity related staff development.</p>
Inclusivity	The process will promote an inclusive environment enabling the identification of all excellent researchers and accounting for individual circumstances that might have had an effect on an individual's output volume.

### 4. Identification of Eligible Staff

Staff to be considered for submission, irrespective of their location within the University, will be identified from a list of eligible staff.

Eligible Category A staff will be identified by Research and Enterprise Services (RES) in collaboration with the Human Resources (HR) Department and Schools. Such staff must be academic staff with a contract of employment of 0.2 FTE or greater, in post<sup>3</sup> and on Cardiff Metropolitan University's payroll on the census date<sup>4</sup> and whose primary function is to undertake either "research only" or "teaching and research". For

<sup>3</sup> This will include staff who are not present at the institution due to factors such as sick leave or maternity leave

<sup>4</sup> Census date is 31<sup>st</sup> October 2013

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the purposes of consideration, no distinction will be made between permanent and fixed term staff. All staff on fractional appointments with a value of 0.2 FTE or greater will be considered. [*REF 02.2011 Assessment Framework and Guidance on Submissions para 78-79*]

In relation to fixed term and part-time staff, in the light of the Fixed-term and Part-time Regulations, consideration will be given to individual circumstances affecting part time and fixed term staff. Such circumstances might for example include pro rata consideration of the application criteria for submission in the case of part time staff and breaks in the continuity of employment of fixed term and where relevant, contract research staff.

Exceptionally, where research assistants are named as principal investigator on a research grant or significant piece of work and satisfy the definition for Category A staff, they may be included in the list of eligible Category A staff. [*REF2014 Assessment Framework and Guidance on Submissions para 80-81*]

Deans of School will be responsible for identifying individuals who fall under Category C and who may be considered for inclusion in Cardiff Metropolitan University's REF submission on this basis. The decision on whether these individuals are included will then be made via the standard process as detailed below. Category B and D staff can no longer be submitted.

### **5. The Selection Process**

All eligible staff will be invited to submit details of their research. This will include:

- details of their research output and in particular, the four outputs which would be submitted (or less than four if individual circumstances are to be cited).
- details of their research funding track record, impact resulting from their research and information relevant to the research environment such as indicators relating to collaboration and contribution to the discipline.

Staff will also be invited to make known the details of any individual circumstances that may have had an effect upon their potential contribution to a submission. More details on this are provided in the coming sections of this Code of Practice.

All information will be submitted by staff to Research & Enterprise Services. The consideration and selection process will then proceed in three phases:

Phase One: At institutional level to examine any individual circumstances which have been submitted in order to determine which staff may be considered with less than 4 [allowable] outputs and the minimum number of outputs each may submit;

Phase Two: At school level to determine the individual staff to be included in any proposed UOA submission;

Phase Three: At institutional level to examine the proposed UOA submissions arising from Phase Two and to determine those which will form Cardiff Metropolitan University's final submission.

In all phases records of the consideration and selection process will be kept and the criteria used for making judgements will be recorded.

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All individuals involved in any phase of the decision making process will undertake appropriate training in regard to the Equality Act 2010. In addition, panel members at Phase One will also undertake training with regard to consideration of cited individual circumstances.

### Phase One: Decisions regarding cited individual circumstances (Institutional Level)

All decisions made relating to submissions to the 2014 REF will be made in accordance with the principles and criteria set out in this Code of Practice and the 2014 REF Strategy. However, in order to ensure that individuals are not disadvantaged in any way, there will be a number of individual circumstances that will be taken into consideration.

Clearly defined circumstances will include:

- Qualifying as an Early Career Researcher
- Part-time working
- Absence due to maternity, paternity/maternity support leave or adoption leave
- Secondments / career breaks outside of higher education

More complex circumstances will also be considered including:

- Disability
- Ill health or injury
- Mental health conditions
- Constraints related to pregnancy or maternity
- Childcare or other caring responsibilities
- Gender reassignment
- Other circumstances related to the protected characteristics of the Equality Act 2010 (e.g., age, race, sex).

Consideration of cited individual circumstances that have constrained an individual's ability to produce four outputs of the requisite standard for inclusion or to work productively throughout the assessment period will be the responsibility of the Pro Vice Chancellor, Research in conjunction with a small advisory group consisting of members of Research & Enterprise Services and Human Resources. Terms of Reference & Membership of this Committee can be found at Annex C.

Staff will be invited to make any individual circumstances known at the same time as they submit their research work for consideration and, in order for individual circumstances to be considered by this group, a staff member must have returned the relevant details as requested. Pro formas developed by The Equality Challenge Unit will be used as a basis for the process of requesting information from staff.<sup>5</sup>

Any individual who has provided details of less than four research outputs *must* provide details of individual circumstances in order to be considered for inclusion in any Cardiff Metropolitan University REF 2014 submission.

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<sup>5</sup> Information disclosed as part of this process will be treated as confidential and shared only with the members of the Phase One decision making panel. In the event of an appeal, the information will, however, be shared with the members of the Appeals Panel.

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Annex D sets out the approach that Cardiff Metropolitan University will take in dealing with cases where staff cite such individual circumstances. Reference will also be made to the [E&D Case Studies developed by the Equality Challenge Unit](#).

Decisions made by this group will be formally relayed to School panels prior to commencement of the consideration and selection of individual staff. Details of the individual circumstances which have been considered will remain anonymous and confidential and will not be relayed to Schools.

Decisions made by this group will be relayed in writing to the relevant individual staff member. Any member of staff who is unhappy with the decision made may engage the appeals process detailed in the coming sections of this Code of Practice.

### Phase Two: Decisions regarding inclusion (or otherwise) of individual staff (School Level)

Consideration and selection will be the responsibility of the Dean of School (or Director of PDR), advised by the School Director of Research and other senior researchers (for example, school members of the Professoriate) as appropriate. These individuals will form a School committee to consider the inclusion of individual staff in the REF submission. The names of the members of this committee will be made known in advance of the process taking place (see Annex E for full timeline). Terms of Reference & Membership of this committee can be found at Annex C.

The research output and track record of each staff member will be considered against the appropriate criteria as stated in the REF Framework and Guidance on Submissions Annex A and Main Panel Criteria and Working Methods.

Staff who have cited less than four outputs will only be considered in cases where the School has been advised that individual circumstances cited are sufficient to justify a reduction in output.

For each staff member who has submitted information, one of the following decisions will be made:

Included in the submission	The work submitted is judged to meet the criteria for inclusion and will be incorporated in the UOA submission.
Provisionally included in the submission	The work submitted is judged to meet the criteria for inclusion subject to certain defined conditions being met (see below).
Excluded from the submission	The work submitted is judged as not meeting the criteria for inclusion.

Provisional inclusion might, for example, require confirmation that a particular 'in press' paper is publically available and therefore eligible before the deadline for inclusion.

Any use of external advisors to the committee will require careful justification in writing to the Pro VC (Research). Decisions regarding the use of externals will be made on an individual UOA basis. In normal circumstances, external advice will only be sought

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in the case of a discrepancy with regards to inclusion in or exclusion from the submission.

It will be the responsibility of the Dean of School (or PDR Director) to inform staff in writing of the outcome of the selection process. The Dean, together with a representative from the decision making panel, will also meet with each individual member of staff and provide feedback on the decision which has been reached.

### Phase Three: Decisions regarding proposed composition of Cardiff Metropolitan University submission (Institutional Level)

Consideration and selection of the proposed UOA submissions (as opposed to individual staff members) will be the responsibility of the Vice-Chancellor, advised by the Pro Vice-Chancellor (Research), Research & Enterprise Services and a representative for each of the proposed submissions. Terms of Reference & Membership of this Committee can be found at Annex C.

Each proposed UOA submission must be considered against the appropriate criteria for inclusion set out in the Cardiff Metropolitan University 2014 REF Strategy and one of the following decisions made:

Included	The overall UOA submission is judged to meet the criteria for inclusion and will form part of Cardiff Metropolitan University's 2014 submission.
Provisionally included	The overall UOA submission is judged to meet the criteria for inclusion subject to certain defined conditions being met (see below).
Excluded	The overall UOA submission is judged as not meeting the criteria for inclusion.

Provisional inclusion covers the case where the Vice-Chancellor is satisfied with the overall quality of the proposed submission but requires one or more amendments to be made (for example to the REF5 Environment Template).

It will be the responsibility of the Vice-Chancellor to inform the Deans of School (and Director of PDR) of the outcomes of the selection process and to provide feedback to individual Deans (or Director of PDR) where a UOA submission has been excluded (or substantially amended).

This group will also meet immediately prior to the closing date for REF submissions in order to sign off the Cardiff Met submission.

### The Selection Process in the case of a Joint Submission

It is recognised that, in the case of a Joint Submission, it will be necessary to hold additional meetings with representatives from partner institutions. This is likely to mean that Phases Two and Three in particular may require consideration of factors external to the Cardiff Met Code of Practice and the 2014 Research Excellence Framework Strategy (Annex B). Efforts will however be made to ensure that joint



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decision-making across Institutions will not compromise adherence to this Code of Practice.

### 6. Appeal Process

Individual staff have a right to appeal against a decision to exclude them from the REF *only* if they believe that the decision to exclude them is based on reasons relating to the protected characteristics covered by the Equality Act 2010<sup>6</sup> which are:

- Age
- Disability
- Gender reassignment
- Marriage and civil partnership
- Pregnancy and maternity
- Race
- Religion or belief
- Sex
- Sexual orientation

No appeals on the grounds of academic quality judgement will be considered. The decision of those staff responsible for assessing the academic quality of an individual's submitted work will be final and binding.

Appeals will be considered by an appeals panel, the Terms of Reference and Membership of which can be found at Annex C. The appeals process will operate in two stages:

#### Stage 1

The appellant will submit a comprehensive written account of their appeal to the Chair of the appeals panel for consideration by committee members. A pro forma will be made available for this purpose. If the committee agrees that there is a prima facie case to consider, Stage 2 of the process will be invoked.

#### Stage 2

The appellant will be invited by the Chair to attend a tribunal where the panel will consider the details of the appeal. Reasonable adjustments will be made in order to ensure that arrangements are accessible to the appellant. Members of staff have the right to be represented by a trade union representative or work colleague.

In order for appeals to be considered fully, information disclosed during Phase One with regard to individual circumstances will be made available to members of the Appeals Panel. Members of the Appeals Panel will have a responsibility to treat any such information as confidential.

Cardiff Metropolitan University recognises the need to ensure all appeals are considered in a timely manner in order to allow sufficient time for successful appellants to be included in its REF submission. Details of when appeals will be considered can be found on the REF Timeline at Annex E.

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<sup>6</sup> See Annex D for details of how individual circumstances will be considered.

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The decision of the appeals panel will be final.

### 7. Equality & Diversity Analysis

A period of consultation has taken place with regard to this Code of Practice to ensure that it does not disadvantage any particular groups of staff within Cardiff Metropolitan University specifically internally from the Equality & Diversity Committee and externally from a senior equality and diversity specialist. The Code has also been subject to a full Equality Impact Assessment.

An Equality & Diversity Analysis (EDA) will form an integral part of the preparations for the 2014 REF and this will take place at three predetermined times during the process as follows:

- a) **Prior to Phase One**  
Research & Enterprise Services, supported by the HR Department, will produce an equality profile in respect of the protected characteristics for which data are available of the staff that meet the criteria for inclusion in the REF submission.
- b) **Prior to Phase Two**  
A second equality profile will be produced of the staff who have submitted their work for consideration for inclusion in the REF submission. This equality profile will then be compared to that produced under a) above.
- c) **After Phase Three**  
A third equality profile will be produced of the staff included in the REF submission. This equality profile will be compared to those produced under a) and b) above.

The outcomes of the comparison exercises will be analysed and thoroughly investigated and one of the following courses of action followed:

#### Outcome 1: No major change

Analysis demonstrates the policy is robust; there is no potential for discrimination or adverse impact. All opportunities to promote equality have been taken.

#### Outcome 2: Adjust the policy

Analysis identifies potential problems or missed opportunities. The policy will be adjusted to remove barriers or better promote equality.

#### Outcome 3: Continue the policy

Analysis identifies the potential for adverse impact or missed opportunities to promote equality. The case for continuation of the policy would be clearly set out in order to justify its continuation. The justification will be included in the EDA and will be in line with the duty to have due regard.

#### Outcome 4: Stop and remove the policy

Analysis shows actual or potential unlawful discrimination. The policy will be stopped and removed or changed.

Should analysis highlight specific areas where there seems to be an imbalance between the sub-set of staff to be included and the total potential pool of eligible staff,

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the Dean of the School in question will be responsible for providing an account of this perceived imbalance.

In addition to the schedule outlined above, Cardiff Metropolitan University may also wish to implement a policy whereby at any stage of preparation for the REF, new information coming to light relating to equality and diversity issues would be investigated and acted upon.

Cardiff Metropolitan University will publish the Equality & Diversity Analysis undertaken once the REF 2014 submission has been made. Published details will include the outcomes of any actions taken to prevent discrimination.

### **8. Dissemination of the Code of Practice**

As part of its commitment to the transparent and fair selection of staff for inclusion in the REF, Cardiff Metropolitan University will ensure this Code of Practice is circulated widely to staff as detailed below:

- The Code will be made available on the research section of the Cardiff Met Staff Portal (intranet) and will be publicised via an email to all staff and a link on the main home page. (August 2012 onwards)
- Hard copies of the Code will also be made available to Schools and Units for dissemination to members of staff. School Directors of Research will be required to ensure that members of staff who are absent from work are provided with a paper copy of the Code and a link to the Code on the intranet. (September 2012 onwards)
- A series of staff briefing events will be held to explain the process of selection and other issues included in the Code. (September & October 2012)

**Relevant Legislation**

- Equality Act 2010
- Part-time Workers (prevention of less favourable treatment) Regulations 2000
- Fixed-term Employees (prevention of less favourable treatment) Regulations 2002

## Cardiff Metropolitan University

### 2014 Research Excellence Framework Strategy

#### 1. Introduction

1.1 This paper sets out a strategy covering preparation for the 2014 REF. It builds on the approach adopted by UWIC in preparing for the 2001 and 2008 Research Assessment Exercises and reflects the outcomes of a series of discussions with schools.

#### 2. Background

2.1 The UWIC strategy in 2001 and 2008 was one of focus and selectivity<sup>7</sup>. Only those groups judged as being of 3b quality and above were entered in 2001. For 2008, those groups thought likely to achieve a quality profile where 80% of material would be rated as internationally recognised were submitted. This in turn influenced decisions regarding the individual members of staff who were entered in those groups. This strategy of focusing on the most well-developed groups and then selecting only those staff operating at national level or better (2001) or international standard (2008) was effective in that it continued to yield a rising profile of QR funding from the 1996 exercise of £490k: 2001 - £1400K; 2008 - £1510K.

2.2 The strategy was effective initially in that it made a major contribution to a significant improvement in UWIC's position in the commonly cited 'league table' for the 2001 return. However, despite an increase in QR funding in 2008, this position was not maintained due to variable quality profiles in some submitting units; UWIC's successful drive to achieve Research Degree Awarding Powers was also a contributing factor.

2.3 The shape of the 2014 framework is markedly different to that of the 2008 exercise. Key changes are outlined as follows:

- i. The UOAs and sub-panels have been reduced from 67 to 36, and main panels from 15 to 4.
- ii. Definitions of Category A and C staff have been revised; Categories B and D can no longer be submitted.
- iii. Some sub-panels will make use of citation data.
- iv. There is now an explicit element to assess the non-academic 'impact' of excellent research.
- v. 'Esteem' is no longer included as a distinct element.
- vi. A revised structured template is included for the assessment of 'environment'.
- vii. Measures to promote equality and diversity have been strengthened.

2.4 In light of the revised funding arrangements in Wales full consideration needs to be given to the need to maximise QR return and enhance UWIC's external reputation over and above potential issues commonly raised by Schools relating to:

- i. the effect of the failure to make a REF submission on recruitment of students, particularly at postgraduate levels;

<sup>7</sup> 2001 and 2008 strategy documents available from Research & Enterprise Services.

- ii. the concomitant effect on recruitment and retention of high quality research staff;
- iii. the need to recognise the growing volume and quality of the work of research groups not entered in previous exercises.

### 3. Principles of the Strategy

3.1 The basic principle of the strategy is that any submission must, as a minimum requirement, be both highly credible and capable of enhancing Cardiff Metropolitan University's reputation in the discipline area in question. Any individual submission made in the 2014 REF must not unduly damage the reputation of the institution or the discipline in question. This will therefore limit the Cardiff Metropolitan University submission to those groups who can clearly demonstrate that they can meet this requirement. Criteria defining how such a judgement might be made are set out below.

3.2 The other key principle is that equality of opportunity is central to the process of considering and selecting staff against these criteria for inclusion and that this process will be as transparent as possible. This principle is covered in a separate Code of Practice which each HEI is required to develop, submit and adopt as part of their preparation for the 2014 exercise.

### 4. Criteria for Selection

4.1 Translating the above principles into the form of the 2014 profiling system suggests the following as the basis for a set of selection criteria:

- No material likely to be rated as Unclassified<sup>8</sup> or One star should be included.
- There must be strong evidence that 50% of material is likely to be rated as either Three or Four star with the remainder being classified as Two star.

4.2 The following selection criteria will therefore form the basis for selecting groups for submission in the 2014 framework.

Criterion 1	The submission must contain no material likely to be rated as Unclassified or One star.
Criterion 2	The submission must contain strong evidence that a minimum of 50% of material is likely to be rated as Three or Four star.
Criterion 3	The submission must contain a maximum of 50% of material likely to be rated at Two star.

The overall effect of applying these criteria would be to produce UOA submissions where 100% of material would be likely to be judged as being worthy of at least international recognition with 50% attaining the highest quality standards.

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<sup>8</sup> Unclassified: Quality that falls below the standard of nationally recognised work. Or work which does not meet the published definition of research for the purposes of the assessment.

One star: Quality that is recognised nationally in terms of originality, significance and rigour.

Two star: Quality that is recognised internationally in terms of originality, significance and rigour.

Three star: Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence.

Four star: Quality that is world leading in terms of originality, significance and rigour.

4.3 Given the nature of the 2014 assessment process, these criteria will be interpreted in relation to the submission as a whole, i.e. the material on research environment and impact, not simply the individual staff research output. It is further suggested that these be regarded as the minimum criteria that should be applied to each submission. Individual groups, for example those successful in 2008, may wish to consider setting more stringent targets to inform their internal selection processes.

4.4 No criteria are given in relation to the overall size (i.e. staff FTE numbers) of a submission. However, given the requirement to demonstrate a research environment that is both robust and sustainable, it is unlikely that submissions relying upon only a small number of staff would be successful. No lower limit on size is therefore defined but, as a guide, any proposal for an individual UOA submission which relied upon fewer than six FTE would need to be very carefully justified. With regards to upper limits, this will be governed by the number of impact case studies available for inclusion.

## **5. Collaboration**

5.1 In line with the 2008 RAE strategy, Cardiff Metropolitan University welcomes collaboration with other HEIs where such collaboration can be mutually beneficial. Accordingly, no bar is placed on groups who wish to seek collaboration in respect of their REF submission.

5.2 However, the principles and criteria set out above must still apply. Any joint submissions must be highly credible and be capable of reflecting well on the institutions involved. In practice this means that such collaboration must be capable of being seen as meaningful, fruitful and sustainable. Given the short time period before the census date, it is likely that no collaboration that is not already at a developed stage can be considered.

5.3 Potential proposals for any collaborative REF submission should be notified to the Research & Enterprise Services at the earliest possible stage and, in any case, by no later than 1<sup>st</sup> December, 2011.

Research & Enterprise Services  
September 2011

Strategy approved by Research & Enterprise Board: 11<sup>th</sup> October 2011  
Strategy approved by Academic Board: 11<sup>th</sup> November 2011

## Cardiff Metropolitan University

### Preparation of the 2014 Research Excellence Framework Submission

#### Phase One – Institutional committee to consider individual circumstances

##### Terms of Reference

This committee has responsibility for consideration of cited individual circumstances which have constrained an individual's ability to produce four outputs of the requisite standard for inclusion or to work productively throughout the assessment period. The committee will:

1. Consider cited individual circumstances in accordance with the principles and criteria set out in the Cardiff Metropolitan University Code of Practice on Preparing Submissions for the 2014 REF and the Cardiff Metropolitan University 2014 REF Strategy.
2. Report decisions to Schools prior to commencement of the consideration and selection of individual staff for inclusion in the 2014 REF (Phase Two).
3. Report, in writing, decisions regarding individual circumstances to the relevant staff member.
4. Protect in a confidential and anonymous manner the details of the individual circumstances detailed.

##### Membership

Pro Vice Chancellor, Research (Chair)	1
Head of Research & Enterprise Services	1
Research Support Manager	1
Representative from Human Resources*	1

\* The name and job title of the representative to be included on the committee will be forwarded to Research & Enterprise Services prior to commencement of the process.



## Cardiff Metropolitan University

### Preparation of the 2014 Research Excellence Framework Submission

#### Phase Two – School committee to consider the inclusion of individual staff in a REF submission

##### Terms of Reference

This committee has responsibility for determining the individual staff to be included in a proposed UOA submission by Cardiff Metropolitan University. The committee will:

1. Consider the research output and track record of each staff member who has requested that their work be included in the Cardiff Metropolitan University 2014 REF submission. Decisions will be made using the appropriate criteria as stated in the REF Assessment Framework and Guidance on Submissions, the appropriate Main Panel Criteria and Working Methods and the Cardiff Metropolitan University 2014 REF Strategy.
2. Act on instructions received from the institutional committee to consider individual circumstances (Phase One) with regard to which staff may be included with less than 4 outputs.
3. Inform individual staff of the outcome of the selection process and provide feedback on the decision which has been reached.
4. Report decisions to the Pro Vice Chancellor, Research.

##### Membership

Dean of School (or equivalent) (Chair)	1
School Director of Research	1
Senior School Research Staff*	up to 4
Pro Vice Chancellor, Research (ex officio)	1

##### In Attendance

A member of administrative staff from the School	1
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\* Names of research staff to be included on the committee will be forwarded to Research & Enterprise Services prior to commencement of the selection process.

Up to two additional members maybe co-opted onto the committee following receipt of written permission from the Pro Vice Chancellor, Research.

## **Cardiff Metropolitan University**

### **Preparation of the 2014 Research Excellence Framework Submission**

#### **Phase Three – Institutional committee to consider the Cardiff Metropolitan University 2014 REF Submission**

##### **Terms of Reference**

This committee has responsibility for determining which proposed UOA submissions will form part of Cardiff Metropolitan University's 2014 REF submission. The committee will:

1. Consider the proposed UOA submissions against the appropriate criteria as stated in the REF Assessment Framework and Guidance on Submissions, the appropriate Main Panel Criteria and Working Methods and the Cardiff Metropolitan University 2014 REF Strategy.
2. Inform Deans of School (or the equivalent) on the outcomes of the selection process and provide feedback on the decision which has been reached.

##### **Membership**

Vice Chancellor (Chair)	1
Pro Vice Chancellor, Research	1
Research Support Manager	1
Research & Enterprise Services Representative	1
A representative from each of the proposed submissions	as necessary

**Cardiff Metropolitan University**

**Preparation of the 2014 Research Excellence Framework Submission**

**Institutional Appeals Committee**

**Terms of Reference**

This committee has responsibility for the consideration of appeals of individual staff against a decision to exclude them from the REF where staff believe they have been omitted for reasons relating to their individual circumstances relevant to the protected characteristics covered by the Equality Act 2010. The committee will:

1. Consider written reports submitted by appellants in order to establish if a prima facie case for an appeal exists.
2. In cases where a prima facie case exists, consider the details of the appeal at a tribunal event.
3. Report outcomes of the appeal process to appellants.
4. Protect in a confidential and anonymous manner the details of the appeal and any information disclosed in relation to it.

**Membership**

European Projects Director	1
Representative from Vice Chancellor's Board	1

## Dealing with Individual Circumstances

### Introduction

The following guidelines are intended to assist in ensuring that Cardiff Metropolitan University staff who cite individual circumstances as influencing their research output during the REF assessment period receive parity of treatment. These guidelines draw on experience gained from participation in the 2008 RAE and refer to the standard tariffs given in the REF2014 Assessment Framework and Guidance on Submissions.

In the REF 2014, Category A and C staff may be returned with fewer than four outputs without penalty in the assessment if one or more of the circumstances outlined in the General Statement of the REF Panel Criteria and working methods significantly constrained their ability to produce four outputs of the required quality standards or to work productively throughout the assessment period.

For REF 2014, individual circumstances have been split into two categories: clearly defined circumstances and more complex circumstances.

### Clearly defined circumstances

Clearly defined circumstances are<sup>9</sup>:

- i. Qualifying as an early career researcher
- ii. Absence from work due to working part-time, secondments or career breaks
- iii. Qualifying periods of maternity, paternity or adoption leave
- iv. Other circumstances that apply in UOAs 1-6.

For each of these circumstances, guidance has been provided by the REF Team regarding the number of outputs that may be reduced without penalty. In all cases where an individual submits details of a clearly defined circumstance, Cardiff Metropolitan University will follow this guidance. Therefore,

For **Early Career Researchers** (as defined in para 72 of the REF Panel Criteria and Working Methods) the following guidance will be followed:

**Table A**

<b>Date at which the individual first met the REF definition of an Early Career Researcher</b>	<b>Number of outputs may be reduced without penalty by up to:</b>
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

<sup>9</sup> See para 69a of the REF Panel Criteria and Working Methods

For **Part-Time working, secondments or career breaks outside of the higher education sector in which the individual did not undertake academic research**, the following guidance will be followed:

**Table B**

<b>Total months absent between 01/01/08 and 31/10/13 due to working part-time, secondment or career break:</b>	<b>Number of outputs may be reduced without penalty by up to:</b>
0 – 11.99	0
12 – 27.99	1
28 – 45.99	2
46 or more	3

As outlined in para 75 of the REF Panel Criteria and Working Methods, individuals may reduce the number of outputs by one for each discrete period of:

- a) **Statutory maternity leave or adoption leave** taken substantially during the period 01/01/08 to 31/10/13, regardless of the length of the leave.
- b) **Additional paternity/maternity support leave or adoption leave** lasting for four months or more, taken substantially during the period 01/01/08 to 31/10/13.

### **More complex circumstances**

Where more complex circumstances are cited by an individual, Cardiff Metropolitan University (Phase One committee to consider individual circumstances) will make a judgement about the appropriate number of outputs that can be reduced without penalty. Each case will be considered on its own merits.

As far as is practicable, the impact of these circumstances on an individual's ability to work productively throughout the assessment period should be equated to the impact of clearly defined absences and the number of outputs reduced in line with Table B above.

The following precepts are intended to provide general guidance and to facilitate the consideration process where more complex circumstances are cited.

The precepts are:

Effect of the cited individual circumstance	Individual circumstances will only be accepted as a reason for the submission of less than four research outputs. They will not be accepted as reason for reduced quality of output <sup>10</sup> .
Periods of absence 1	Multiple periods of significant absence will normally be aggregated when considering their effect upon

<sup>10</sup> It should be noted that this principle will also apply in cases where clearly defined circumstances are cited.

research output. (The Equality Challenge Unit (ECU) have developed case studies which provide working examples of how complex circumstances may be cumulative and add up to a reduction in output).

Periods of absence 2

All reasons for absence would be accepted as having equal weight in terms of their effect upon research output.

Periods of absence 3

There should be some consideration of the fact that immediately after a significant period of absence, staff usually require a "re-entry period" before they become fully research active once again.

Other work related responsibilities

Significant other responsibilities related to an individual's position at Cardiff Met (i.e. those other than teaching or research) would not normally be considered as a reason for reduced output of research.

		CARDIFF MET TIMELINE						
HEFCE Timeline		REF Strategy	REF Code of Practice (CoP)	Impact	Selection of Staff	Collation of Submissions	Required Documentation / Actions	
2011	Oct		Development of REF Code of Practice					
	Nov	Consideration of REF Strategy by Academic Board						
	Dec							
2012	Jan	Publication of panel criteria and working methods	Schools select members for decision making panels to inform CoP	Impact Audit: Request details of proposed impact case studies from Schools	RES to distribute initial list of eligible staff to Schools		Terms of Ref for School Committees Case study pro forma	
	Feb		Presentation of CoP at R&E Board					
	March			Impact Audit: Initial decisions regarding which case studies to be taken forward				
	April	1st submission date for Codes of Practice	Submission of CoP to HEFCE					
	May					Working Group meeting		
	June							
	July	2nd submission date for Codes of Practice						
	Aug		RES to carry out awareness raising of CoP					
	Sept	Pilot of submission system				Working Group meeting		
	Oct	Survey of submission intentions and requests for multiple submissions			RES to work with HR and Schools to produce updated lists of eligible staff			
	Nov			Impact Audit: Presentation of complete impact case studies by Schools	Output Audit: Individual members of staff to submit details of research outputs and any special circumstances. Nil responses will be required.		List of eligible staff Recording sheets for each output type Recording sheets for personal circumstances	
	Dec					Working Group meeting		

		CARDIFF MET TIMELINE						
HEFCE Timeline		REF Strategy	REF Code of Practice (CoP)	Impact	Selection of Staff	Collation of Submissions	Required Documentation / Actions	
2013	Jan	Launch of submission system and release of HESA data for preparation of RA4a/b			Ongoing monitoring of case studies and drafting of impact statement		RES to work with Registry and Finance re completion of RA4a/b	
	Feb				Phase One: Consideration of cited individual circumstances	Working Group meeting	Terms of Reference	
	March				Phase One: Appeals Procedure			
	April				Phase Two: School based decisions re inclusion or otherwise of individual staff		Terms of Reference Decision recording materials (to be standard for all Schools)	
	May				Phase Three: Cardiff Met initial decisions regarding proposed make up of Cardiff Met submission	Input of data into REF submission system	Terms of Reference Terms of Reference for Appeals Committee and pro forma for appeals	
	June				Drafting of environment section			
	July	31st End of assessment period (impact, environment, income, students)				Working Group meeting		
	Aug							
	Sept							
	Oct	31st Census date for staff eligible for selection				Working Group meeting		
	Nov	29th Closing Date for Submissions			Phase Three: Final meeting regarding proposed Cardiff Met submission	Final Submission		



		CARDIFF MET TIMELINE					Required Documentation / Actions
	HEFCE Timeline	REF Strategy	REF Code of Practice (CoP)	Impact	Selection of Staff	Collation of Submissions	
	Dec					Final E&D Assessment including the publication of Equality & Diversity analysis undertaken	