

REF Equality Code of Practice - Cardiff University

1) What is REF?

The 2014 Research Excellence Framework (REF) is the new process for assessing research in UK Higher Education Institutions (HEIs). The REF will be a process of expert peer review and will be undertaken by the four UK higher education funding bodies, to:

- inform the selective allocation of research funding to HEIs;
- provide benchmarking information and establish reputational yardsticks;
- provide accountability for public investment in research and demonstrate its benefits.

Expert sub-panels for each of 36 units of assessment (UOAs) will carry out the assessment, working under the guidance of four broad main panels. Institutions will be invited to make submissions to each UOA and each submission will be assessed in terms of the quality of research outputs, the wider impact of research and the vitality of the research unit.

Each institution making a submission to REF is required to develop, document and apply a code of practice on selecting staff to include in their REF submissions. Eligibility to make a submission to the REF requires that the code of practice is submitted for approval by the funding councils.

2) Purpose of this Code of Practice

The purpose of this Code of Practice is to communicate the procedural framework supporting the preparation of Cardiff University's submission to the 2014 REF and in so doing to ensure that the process of selecting staff for inclusion accords with the University's Strategic Equality Plan,¹ and with all relevant legislation.

3) General Principles

The following principles govern the University's approach to determining submissions to the 2014 REF:

- a) **Quality.** In view of the University's position as a research-led institution operating on an international stage, the University strategy for the REF is to maximise the quality of submissions taking into account school situations and relevant panel emphases.
- b) **Transparency.** The University recognises that the promotion of equality within any process requires that decisions are taken on the basis of relevant, justifiable criteria which are applied fairly and

¹ The Strategic Equality Plan is available on the Equality & Diversity web pages: <http://www.cardiff.ac.uk/govrn/cocom/equalityanddiversity/index.html>

consistently by those with relevant knowledge and expertise. Furthermore, it is integral to the University's aim of developing an inclusive culture that processes are explicit and transparent. The submission process will be open and publicised within the University. General criteria for selection will be documented clearly within this code, and schools will be asked to complete a proforma² to record discussions with staff. This documentation will be returned to the Cardiff REF Equality and Diversity Advisory Panel (CEDAP) to evidence that Schools have adhered to the Code throughout the submission process.

- c) **Consistency.** The principles underlying the decision-making process will be applied across the University in accordance with the framework presented within this Code.
- d) **Accountability.** This code will ensure that responsibilities are clearly defined and individuals and bodies involved in selecting staff for REF submission are accountable. More detail is provided in section 4 of this code.
- e) **Inclusivity.** This strategy aims to ensure that the maximum number of eligible staff who are conducting internationally excellent research and have met the UoA threshold set have their work included in the submission. The University will proactively communicate this code to all staff on teaching and research and research only contracts, (see the Communication Plan, Appendix 1), to ensure an inclusive approach.
- f) **Equality.** The circumstances of all eligible staff will be judged by reference to clearly defined criteria (see 5a), and selection decisions will be taken by staff with relevant knowledge and expertise and appropriate awareness of current equality legislation i.e. the Equality Act 2010 and its implications for the REF. Cardiff University will conduct an equality impact assessment (EIA) on the policies and procedures for selecting staff for return to the REF 2014. The EIA will inform an institution's code of practice and be kept under review as submissions are prepared.
- g) **Flexibility.** The framework provided by this Code of Practice is intended to inform individual UoA submissions, not to define criteria for determining excellence (which are set by REF Panels). Thresholds will be set according to School/UoA research strengths and strategies and will be determined at a UoA level.

4) Institutional Management Framework and Submission Decisions

A diagrammatic representation of the institutional management framework is provided in Appendix 2 and detailed as below.

² Please see Appendix 7 for the proforma.

Institutional Management Framework

Preparation and implementation of the strategy will be delegated to the REF Sub-group of the University Executive Board. The Sub-group will recommend matters of policy to University Executive Board and will also report directly to the Vice-Chancellor who will approve the final submission. Through the oversight function of the REF Sub-Group, consistency of application of the Code of Practice across schools will be achieved and REF Sub-Group Link members (see Appendix 3.5 for further information) will work as “critical friends” to schools on the formulation and execution of REF submission strategies.

The role of the REF Sub-Group will be to consider and recommend the best return for the University as a whole for the Vice-Chancellor’s consideration and approval. Heads of School, working through their college Pro Vice-Chancellors will have the responsibility to recommend the choice of outputs and impact case studies to be submitted, in order to ensure the best possible presentation of their School’s research strengths and strategy.

Heads of School will be expected to confirm and evidence that schools have followed the processes outlined in this Equality Code of Practice. This will ensure consistency and transparency in all decision-making processes at a school-level.

The processes in place for submission decisions in individual schools will be communicated to all staff by the procedure outlined in section 5 below.

The key personnel involved in the management of the University’s submission to the 2014 REF, and details of the operating criteria and terms of reference for individuals, committees and any other bodies concerned with the submission, are detailed in Appendix 3. (NB . The Code and its appendices will be published on the Cardiff’s REF webpages)

Everyone involved in the selection of staff for the REF will be expected to be fully conversant with equal opportunities issues and the legislative environment and its implications for the REF. Training (both online and workshops) will be mandatory for everyone undertaking selection decisions and training material will include the use of case studies as published by the Equality Challenge Unit in the Spring 2012.

5) Guidelines on Submission Decisions

Schools working with the REF Sub-Group will prepare submissions in accordance with this Code of Practice.

Advice will be provided to schools through the REF Sub-Group and the REF Sub-Group Link Members. In addition, the arrangements within schools to

assess the quality of outputs and impact case studies will be explicit and communicated to all staff, in accordance with the following guidelines.

a) Selecting Staff for Submission

Decisions relating to the submission of staff will be based on the criteria outlined in the following sequence. If an individual does not meet the criteria outlined below, s/he will not be submitted to the 2014 REF:

1. Eligibility: as defined within paragraphs 78-83 of the REF 2014 'Assessment framework and guidance on submissions' (attached as appendix 3). Regardless of job title, all staff who satisfy the definitions in paragraphs 78-83, are eligible as Category A and C staff.

2. Quality of research outputs: as defined by reference to the individual panel criteria, and the UoA or University threshold for submission. Thresholds will be set according to school and discipline research strengths and strategies and will be determined at a UoA level. Decisions on thresholds will be equality impact assessed.

The assessment of the quality of research outputs will be judged using a combination of internal peer review and external advice. Reviewers and advisors will be selected on basis of relevant research expertise and seniority in the field. External advisors will only be asked to comment on the quality of an individual's research outputs and/or impact case studies.

3. Quantity of research outputs relative to any relevant individual and personal circumstances (including clearly defined and complex circumstances): staff selected for submission must have four outputs of sufficient quality, unless the individual and personal circumstances listed within section 6 of this Code justify the submission of a reduced number of outputs as detailed in Appendix 6. All eligible staff will be given the opportunity to outline any circumstances that have had a significant impact on their ability to produce the expected volume of outputs in the assessment period. The REF Cardiff Equality and Diversity Advisory Panel (CEDAP) has been appointed by the University's REF Sub Group to oversee and manage the University's processes for handling disclosures of individual staff circumstances (please see Appendix 3.3).

b) Documentation and Feedback

Each head of School/UoA will be provided with a pro-forma to record their assessment of each eligible member of staff against the criteria outlined in section 5a above. Heads of School are required to complete this pro-forma to ensure that they have a written record of their selection decisions, and evidence on which the decision is based.

The information recorded on this pro-forma must be used at a meeting specifically for this purpose to structure the feedback to eligible staff not selected for submission; and to explain the reasons behind the decision. Agreed actions arising from this process should be taken forward via normal managerial and established University Appraisal processes, and should inform guidance on future development. Feedback to staff not selected for submission must be provided in a timely manner and must be completed in sufficient time to allow for the potential operation of the Appeals procedure prior to the submission.

Cardiff University will collect, store and process all information submitted in support of preparation for REF 2014 in accordance with the Data Protection Act 1998. Information will be processed for the purpose of completing a submission against the criteria outlined in the REF 2014 'Assessment framework and guidance on submissions' document and the individual 'Main Panel Working Methods and Criteria Document'.

Within the institution, information submitted by staff in respect of individual and personal circumstances listed within section 6 of this Code will be kept confidential to the CEDAP and where relevant to an appeal case, the REF Cardiff Appeals Panel (REFCAP). For clearly defined circumstances only, this information will be shared with their Head of School for validation. For complex circumstances, individuals may choose to share this with their Head of School or senior colleagues but are under no obligation to do so. Aggregated, anonymised data will be used by the wider University for management purposes.

Anyone required to handle individual staff circumstances will observe confidentiality and information will be stored securely.

Information provided on the form may be shared externally for the purposes of evidencing any reduction in the number of research outputs as follows:

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

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

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

c) Appeals

If a member of staff still has concerns about the process after the feedback meeting, s/he may appeal against the decision not to have been selected for submission but only on the grounds that due process has not been followed, or on the basis of a defect in the application of this Code. Notice of the intention to appeal must be made in writing within fifteen days of the feedback meeting to the REFCAP via the Chief Operating Officer, providing details for the grounds of the appeal.

6) Individual and Personal Circumstances that the Institution and Panels will take into account.

Paragraphs 64-91 of the 'REF 2014: Panel criteria and working methods' detail the individual circumstances that panels will consider, to the extent that they are stated to have had a material impact on the individual's ability to produce the expected volume of outputs in the assessment period. These include:

- a. Circumstances with a **clearly defined** reduction in outputs, which are:
 - i. Qualifying as an early career researcher (on the basis set out in paragraph 72 and Table 1) – See Appendix 6
 - ii. Absence from work due to working part-time, secondments or career breaks (on the basis set out in paragraphs 73-74 and Table 2) - See Appendix 6
 - iii. Qualifying periods of maternity, paternity or adoption leave (on the basis set out in paragraphs 75-81). - See Appendix 6
 - iv. Other circumstances that apply in UOAs 1-6, as defined at paragraph 86. - See Appendix 6

- b. **Complex circumstances** that require a judgement about the appropriate reduction in outputs, which are:
- i. Disability. This is defined in 'guidance on submissions' Part 4, Table 2 under 'Disability'.
 - ii. Ill health or injury.
 - iii. Mental health conditions.
 - iv. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances made in paragraph 75 - See Appendix 6
 - v. Other caring responsibilities (such as caring for an elderly or disabled family member).
 - vi. Gender reassignment.
 - vii. Other circumstances relating to the protected characteristics listed at paragraph 190 of 'guidance of submissions' or relating to activities protected by employment legislation.- See Appendix 5 'Summary of quality legislation'

The University will take into account any such individual and personal circumstance which is considered to have had a significant impact on an individual's ability to produce the expected volume of outputs in the assessment period, including those detailed above and the further circumstances outlined in the individual panel criteria. All staff can disclose such circumstances, and the assessment of whether individual and personal circumstances have had a significant adverse affect on an individual's output will be made by the CEDAP, on a case-by-case basis. Clearly defined and complex circumstances will be disclosed by individuals using the agreed proforma and submitted to CEDAP for consideration. If after all the relevant circumstances have been disclosed, a reduced volume of outputs cannot be justified, the individual will not be returned.

Information detailing the circumstances of individuals whose outputs have been reduced will be entered within the confidential domains of the REF return. Involvement in the completion of this section will be restricted to as few people as possible to ensure that information is handled sensitively and in line with confidentiality guidelines.

7) Equality Impact Assessment

The University will conduct Equality Impact Assessments (EIA) on the Code of Practice and procedures for selecting staff for REF 2014. The EIAs will enable Cardiff University to identify and address any less favourable impact or detriment that may inadvertently occur within its REF processes in relation to any protected characteristic outlined in the Equality Act 2010. The REF E&D group will be responsible for conducting these EIAs, (see Appendix 3.2).

Where any potential discrimination is identified at any stage of this process, the University will develop and implement an action plan in relation to issues identified. Initial screening has been undertaken on the Code of Practice, and a full EIA will be carried out following the University's 'mock' REF exercise in Summer 2013. Where data are available regarding protected characteristics they will be used to inform the analysis of the staff selection process. This EIA will be reviewed at relevant stages of the process including following the final submission to the REF in November 2013. The University will publish a report of its EIAs after the submissions have been made, including the actions taken to eliminate discrimination or to advance equality. The data used in published EIA reports will not identify individuals and will comply with Data Protection requirements.

APPENDIX 1 - COMMUNICATIONS PLAN FOR REF E&D CODE OF PRACTICE

The Code of Practice, which is available in both English and Welsh, will be made widely available and is also available in different formats upon request. We will use the following means of general communication:

- Cardiff University REF Website (May 2012)
- BLAS and Cardiff News (May 2012)
- Notice board and Cardiff Portal (May 2012)
- Announcement email (May 2012)
- REF Information meetings (May 2012) and January/February 2013

Specific communication channels are detailed below:

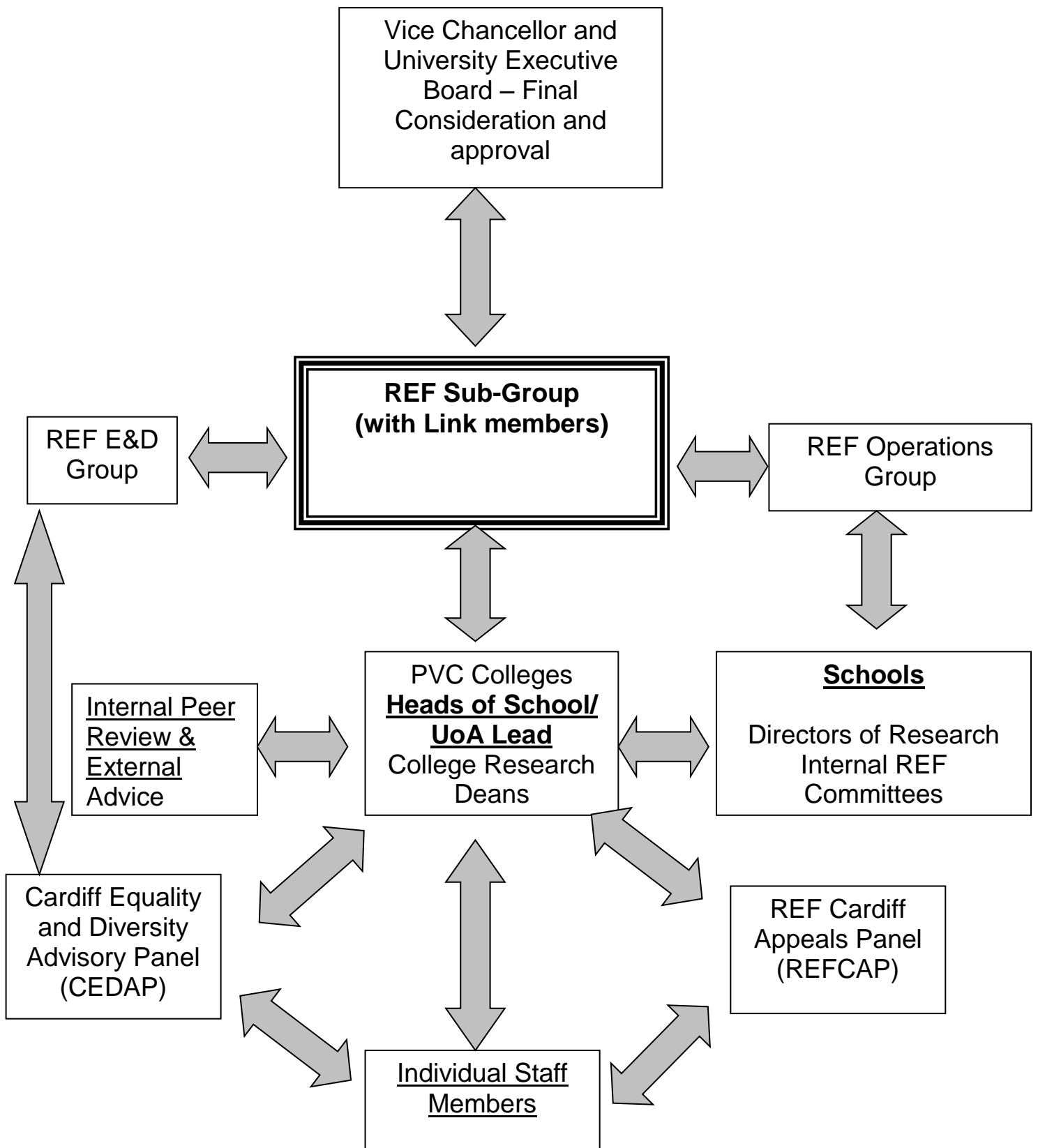
Audience	How?	Responsibility (REF E&D working group)	Timing?
REF Sub Group Members	<ul style="list-style-type: none"> • Agenda item and paper • Briefing • Physical copy for all members 	CMcG/ SM	JAN 2012 MAY 2012
Vice Chancellor	<ul style="list-style-type: none"> • Copied into REF Sub-Group papers & Minutes • Detailed briefings as necessary 	CMcG/TT	FEB 2012 MAY 2012
University Executive Board	<ul style="list-style-type: none"> • CMcG/TT to provide detailed briefing as necessary • Agenda item 	CMcG/TT	FEB 2012 MAY** 2012
Colleges	<ul style="list-style-type: none"> • Briefing 		
Heads of School & Directors of Research	<ul style="list-style-type: none"> • Agenda item on HoS & DoR Agendas. • REF Sub-Group post meeting report emailed to all HoS and DoR - Code attached as Appendix. • Regular meetings between REF link members and Schools. • REF Quickr site • Briefing • Physical Copy for all Heads of School 	CMcG/DB/SH	FEB 2012 MAY** 2012
School Managers and Research Administrators	<ul style="list-style-type: none"> • Agenda item • Quickr Site- School managers and Research Administrators 	JB/SW	MAY** 2012

Academic Staff (Professorial, T&R, R)	<ul style="list-style-type: none"> • Email • Individual meetings with HoS • Reports to Research Staff policy forum, staff reference group and E&D Co-ordinators <p><i>All eligible staff to also be sent a disclosure form</i></p>	TT/HoS/SM	MAY** 2012 and MARCH 2013
Academic Staff who are currently absent e.g maternity/ Study Leave/ Long term illness	<ul style="list-style-type: none"> • Physical Copy sent to home address via HoS • Email/Letter <p><i>All eligible staff to also be sent a disclosure form</i></p>	TT/HoS/ SM	MARCH 2013
Unions	<ul style="list-style-type: none"> • JCNF (Joint Consultation Negotiating Forum) 	TT	FEB 2012

* E&D training material (online and workshop) will be developed following the publication of case studies by ECU in Spring 2012.

** Also at regular intervals post May 2012.

Appendix 2 - REF- Institutional Management Framework



Appendix 3 - Terms of Reference and Memberships of Working Group

3. Terms of Reference and Membership

3.1 - REF Sub-Group

3.2 - REF E&D Group

3.3 - REF Cardiff Equality and Diversity Panel (CEDAP)

3.4 - REF Cardiff Appeals Panel (REFCAP)

3.5 – REF Link members and UoA Champions

3.1 Terms of Reference: REF Sub-Group

- Acting on behalf of the Vice Chancellor and the University Executive Board in carrying forward preparations ahead of the REF submission deadline.
- Collating and interpreting intelligence gathered on the likely format and operation of REF ahead of submission deadlines.
- Providing advice to the University Executive Board and the Vice-Chancellor on the composition of returns to REF.
- Liaising with Heads of School and Directors of Research in preparation for REF.
- Receiving, commenting, and advising on all returns through to their final submission.

Membership

Membership has been selected against one or both of the following criteria:

- Experience of leadership in a research role and ensuring breadth across the main disciplinary areas;
- Senior management role from relevant departments

Professor Hywel Thomas (Chair) – Pro Vice-Chancellor of Research, Innovation and Enterprise

Professor George Boyne – Pro Vice-Chancellor, Head of College for Arts, Humanities and Social Sciences

Professor Alan Clarke- Cardiff School of Biosciences

Professor Peter Coss- School of History, Archaeology and Religion

Professor Sioned Davies- School of Welsh

Professor Rick Delbridge- Cardiff Business School

Professor Dylan Jones- Pro Vice-Chancellor, Head of College for Biomedical and Life Sciences

Professor Karen Holford – Pro Vice-Chancellor, Head of College for Physical Sciences

Professor Rob Honey- School of Psychology

Professor Justin Lewis- School of Journalism, Media and Cultural studies

Professor Terry Marsden- University Graduate College

Professor Malcolm Mason- School of Medicine

Mrs Sue Midha- Human Resources Department

Professor Mike Owen -School of Medicine

Professor Terry Threadgold, Chair of REF E&D Group
Professor Elizabeth Treasure- Deputy Vice-Chancellor
Professor Roger Whitaker- School of Computer Sciences

Supported by:

Mrs Jane Boggan- Deputy Director of Planning Department
Miss Sarah Woods – REF Support, Planning Department

3.2 REF E&D GROUP – Terms of reference and Membership

1. Terms of Reference

Appointed and acting on behalf of the REF Sub- Group, the REF E&D Group supports the University in its preparations for REF 2014 and reports to the REF Sub-Group.

2. Remit

- 2.1 To manage the equality and diversity aspects of the University's preparations for, and submission of, its REF return;
- 2.2 To lead on the development of a Cardiff University Code of Practice which will inform the University's approach to REF 2014, to ensure a fair and transparent process for the selection of staff for inclusion in the REF 2014;
- 2.3 To ensure that the Cardiff REF Code of Practice is based on the principles of transparency, consistency, accountability and inclusivity;
- 2.4 To provide advice and support to the REF Sub-Group, the REF Operations Group, and Academic Schools in meeting the equality requirements of the REF 2014;
- 2.5 To lead on the development and implementation of appropriate training, ensuring that all those involved in REF decision making processes have received appropriate training.
- 2.6 To define the constitution, membership and working method of the 'individual staff circumstances' panel.

3. Membership

Membership has been selected against one of the following criteria:

- University leadership role in respect of E&D
- Senior management role/experience in a relevant departments

Pro Vice-Chancellor for Staff and Diversity -Professor Terry Threadgold,
(Chair of REF E & D Group)*

Deputy Director of Planning - Jane Boggan
Director of Leadership & Staff Development - Susan Midha
E&D Manager (Governance and Compliance) – Catrin Morgan
Planning Officer- REF Support- Sarah Woods
Supported by Human Resources

* 'Professor Threadgold retired as PVC for Staff and Diversity in December 2012, but has been re-employed by the university with delegated authority from the Vice-Chancellor to chair the REF E and D Group and the Cardiff Equality and Diversity Advisory Panel (CEDAP) until the REF submission date.'

3.3- Cardiff REF Equality and Diversity Advisory Panel (CEDAP)

Terms of reference

The REF CEDAP has been appointed by the University's REF Sub Group as a small, central panel to oversee and manage the University's processes for handling disclosures of individual staff circumstances (please see Section 6 of this Code for further details) where such circumstances have significantly constrained an individual's ability to produce four outputs or to work productively throughout the assessment period.

Remit

1. To ensure that an appropriate template is developed and circulated to all eligible staff to encourage staff to disclose relevant information in a timely and appropriate way.
2. To receive all disclosure returns and to ensure that this information is handled sensitively and is processed, recorded, and maintained in an appropriate manner and in line with confidentiality guidelines.
3. To review the disclosure templates in order to identify those presenting clearly defined and/or complex circumstances. For clearly defined circumstances to apply the agreed tariffs to determine the number of outputs that may be reduced without penalty, (Appendix 6 refers). For complex individual circumstances to make a judgement on the appropriate number of outputs to be reduced, using the ECU case studies to inform this decision-making processes.
4. To advise individual member of staff, the University's REF Sub Group and Heads of Schools/ UoA leads on CEDAP's decisions in respect of the reduction in outputs resulting from individual circumstances.
5. To ensure that clearly defined and complex individual circumstances are appropriately recorded and returned in REF 1b of the Institution's submission.

Membership

Membership has been selected against one of the following criteria:

- REF E&D Group– Chair role
- REF Sub-Group – Chair role (advisor to group as required)
- Role/experience in a relevant directorate

Pro Vice-Chancellor for Staff and Diversity and Chair of the REF E&D Group - Professor Terry Threadgold, (Chair)*

Chair of the REF Sub-Group– Professor Hywel Thomas

Mrs Sue Midha, Human Resources department

Supported by:

Miss Sarah Woods, Planning Officer – REF support

Mrs Catrin Morgan - Co-opted E&D support as necessary

* 'Professor Threadgold retired as PVC for Staff and Diversity in December 2012, but has been re-employed by the university with delegated authority from the Vice-Chancellor to chair the REF E and D Group and the Cardiff Equality and Diversity Advisory Panel (CEDAP) until the REF submission date.'

3.4 Research Excellence Framework – Cardiff Appeal Panel (REFCAP).

Terms of reference

The Cardiff Appeal Panel for REF has been appointed by the Vice-Chancellor as a small, central panel to consider and determine appeals submitted to it by staff wishing to challenge a decision regarding exclusion from Cardiff 2014 REF, either on the grounds that due process has not been followed, or on the basis of a defect in the application of the Cardiff REF Equality Code of Practice. Members of REFCAP have been appointed as a result of their senior institutional roles, and also on the basis of their independence in respect of selection decisions in support of REF. An appeal will only be accepted where evidence is produced to support the grounds outlined above, and cannot be made solely on the basis of the decision.

Remit

1. To receive and consider all Appeal requests and to ensure that this information is handled sensitively and is processed, recorded, and maintained in an appropriate manner. The Panel shall convene as and when necessary to ensure that appeals are heard promptly. This will be within 30 working days of the appeal being received by the Chief Operating Officer.
2. Following consideration of the evidence submitted/presented by the appellant in support of the appeal, to decide to uphold or reject the case that due process has not been followed or that there has been a defect in the application of the Code of Practice.

3. To communicate its decision in writing to the appellant, the School and the REF link members, normally within 20 working days of the appeal meeting, setting out the reasons for its decision.
4. To provide a summary report to the University's REF Sub Group.

Membership

Membership has been selected against the following criteria:

- Experience of Senior University Leadership or governance role
- Independence from REF selection/decision making processes.

Five senior members are named below to ensure sufficient flexibility to timetable appeals quickly and efficiently. Each appeal will be considered by a panel of three members: chaired either by the Chief Operating Officer or Director of Student Services and Governance, and including the PVC and one member of Council. All listed members will be trained in the proper operation of the Code of Practice.

Representatives from Council – TBC

Pro Vice-Chancellor for Student Experience and Academic Standards-

Professor Patricia Price,

Director of Student Services and Governance- Dr Chris Turner

Chief Operating Officer – Mr Hugh Jones

Secretary

3.5 – REF Link members

Members of the REF Sub Group are linked to each of the University's academic schools/UoAs in order to provide a two way flow of information.

Current list of link members is available below:

Professor Alan Clarke- Cardiff School of Biosciences

Professor Peter Coss- School of History, Archaeology and Religion

Professor Sioned Davies- School of Welsh

Professor Rick Delbridge- Cardiff Business School

Professor Karen Holford – Pro Vice-Chancellor, Head of College for Physical Sciences

Professor Rob Honey- School of Psychology

Professor Justin Lewis- School of Journalism, Media and Cultural studies

Professor Terry Marsden- University Graduate College

Professor Malcolm Mason- School of Medicine

Professor Mike Owen - School of Medicine

Professor Elizabeth Treasure- Deputy Vice-Chancellor

Professor Roger Whitaker- School of Computer Sciences

Appendix 4- Staff Details

(Extracted from 'Assessment Framework and Guidance on Submission Publication' – paragraph 77-83)

Part 3 Section 1: Staff details (REF1a/b/c)

77. Each HEI must decide which individuals to select for submission, in accordance with its internal code of practice (see Part 4). Staff selected for submission must be listed in **one** of the two possible categories, A or C.

Category A staff

78. Category A staff are defined as academic staff with a contract of employment of 0.2 FTE or greater and on the payroll of the submitting HEI on the census date (31 October 2013), and whose primary employment function is to undertake either 'research only' or 'teaching and research'³.

79. Regardless of their job title, all staff who satisfy the definition at paragraph 78, along with the supplementary criteria in paragraphs 79-81, are eligible as Category A staff:

- a. Staff who hold institutional/NHS joint appointments **are** eligible to be returned as Category A. These staff should be returned with an FTE less than 1.0, reflecting their contract of employment with the institution.
- b. Pensioned staff who continue in salaried employment contracted to carry out research and meet the definition at paragraph 78 **are** eligible to be returned as Category A staff.
- c. Academic staff who are on unpaid leave of absence or on secondment on the census date **and** are contracted to return to normal duties up to two years from the start of their period of absence or secondment are eligible to be returned as Category A, provided that any staff recruited specifically to cover their duties are not also listed as Category A.
- d. Academic staff who are employed by the submitting HEI and based in a discrete department or unit outside the UK are eligible **only** if the HEI demonstrates that the primary focus of their research activity

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

on the census date is clearly and directly connected to the submitting unit based in the UK. Staff whose connection cannot be demonstrated to the satisfaction of the REF manager, as advised by the relevant panel, will be discounted from the assessment and removed from the REF database.

- e. Staff absent from their 'home' institution but working on secondment as contracted academic staff at another UK higher education institution on the census date, may be returned by either or both institutions. In such a case the individual and both institutions concerned should agree how the return is to be made. Their total FTE may not exceed their contracted FTE with their main employer.
- f. Other than individuals on secondment on the terms described in sub-paragraph e, an individual may **only** be returned as Category A by more than one HEI if they have a contract with and receive a salary from more than one HEI. In such cases:
 - i. The two HEIs must ensure that the total FTE value of the individual sums to no more than the lower of 1.0 or the individual's total contracted FTE duties. If any individual is returned in submissions with a contracted FTE that sums to more than 1.0, the REF team will rectify this through verification, and will apportion the FTE to each HEI pro-rata to the individual's contracted FTE at each HEI.
 - ii. The same research outputs may, but need not be, listed in each submission.
- g. No individual may be returned in more than one submission, except as described at sub-paragraphs e and f. Where an individual holds a joint appointment across two or more submitting units within the same institution, the HEI must decide on one submission in which to return the individual.
- h. Staff whose salary is calculated on an hourly or daily basis are eligible **only** if they meet the definition at paragraph 78 **and** on the census date have a contract of employment of at least 0.2 FTE per year over the length of their contract.
- i. Staff who hold more than one contract for different functions within the HEI, are eligible if one of those contracts satisfies the definition of Category A staff at paragraph 78. Such staff should be returned with an FTE that is no greater than that of the qualifying contract.

Research assistants

80. Research assistants are individuals who are on the payroll of and hold a contract of employment with the institution. They are academic staff

whose primary employment function is defined as 'research only'. They are employed to carry out another individual's research programme rather than as independent researchers in their own right (except in the circumstances described in paragraph 81). They are usually funded from research grants or contracts from Research Councils, charities, the European Union (EU) or other overseas sources, industry, or other commercial enterprises, but they may also be funded from the institution's own funds. Individuals who meet this definition may be described in HEIs' grading structures as something other than research assistant (for example research associate, assistant researcher).

81. Research assistants, as defined in paragraph 80, are **not** eligible to be returned to the REF unless, exceptionally, they are named as principal investigator or equivalent on a research grant or significant piece of research work on the census date **and** satisfy the definition of Category A staff in paragraph 78. Research assistants must not be listed as Category A staff purely on the basis that they are named on one or more research outputs.

Category C staff

82. *Category C staff are defined as individuals employed by an organisation other than an HEI, whose contract or job role (as documented by their employer) includes the undertaking of research, and whose research is primarily focused in the submitting unit on the census date (31 October 2013).*

83. Category C staff may be employed by the NHS, a Research Council unit, a charity or other organisation except for an HEI. Submitted outputs by Category C staff will inform the quality profiles awarded to submissions, but these staff will not contribute to the volume measure for funding purposes. For clarity, the following are **not** eligible to be returned as Category C staff:

- a. Any staff employed by the HEI, including vice-chancellors or heads of HEIs; HEI staff on non-academic contracts, including those working in university museums and libraries; or retired staff who are still active in research. (Where they satisfy the definition at paragraph 79i or, for retired staff, paragraph 79b, these staff are eligible to be returned as Category A staff.)
- b. Visiting professors, fellows and lecturers employed by other HEIs.

Footnote 3

HEFCW-funded institutions must indicate which of the staff they submit meet the definition of research fellow that is set out in this footnote. This information

is requested for funding purposes. A research fellow holds a specific fellowship award on the basis of their own research record or research proposals. The fellowship award must be to a named individual in recognition of independent research they have undertaken or proposed, must include a significant element of external funding and must follow a process of expert review (including competitive review) involving an input from outside the institution. Such fellowships include Research Council fellows (senior, advanced or postdoctoral) and Royal Society research fellows and professors. Staff on an HEI-funded or awarded fellowship, even with external referees involved in the selection process, may not be identified as a research fellow for REF purposes.

Appendix 5 - Summary of Equality legislation

(Extracted from 'Assessment Framework and Guidance on Submissions Publication, Paragraph 201)

A summary of the equality legislation with which institutions have to comply generally, and which they should take into account when preparing REF 2014 submissions is included in Table 2. Panel chairs, members and secretaries have received a briefing about this legislation (see 'Equality briefing for REF panels' available at www.ref.ac.uk under 'Publications'). The briefing instructs them to develop working methods and assessment criteria that encourage HEIs to submit the work of all of their excellent researchers, including those whose ability to produce four outputs or work productively throughout the assessment period had been constrained for reasons covered by equality legislation.

Table 2: Summary of equality legislation

Age	<p>All employees within the higher education sector are protected from unlawful age discrimination in employment under the Equality Act 2010 and the Employment Equality (Age) Regulations (Northern Ireland) 2006. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group. (These provisions in the Equality Act 2010 are partially in force, but should be fully in place by April 2012.)</p> <p>Age discrimination can occur when people of a particular age group are treated less favourably than people in other age groups. An age group could be for example, people of the same age, the under 30s or people aged 45-50. A person can belong to a number of different age groups.</p> <p>Age discrimination will not be unlawful if it is a proportionate means of achieving a legitimate aim. However, in the context of the REF, the view of the funding bodies is that if a researcher produces excellent research an HEI will not be able to justify not submitting them because of the their age group.</p> <p>It is important to note that early career researchers are likely to come from a range of age groups. The definition of early career researcher used in the REF (see paragraph 85) is not limited to young people.</p> <p>HEIs should also note that given developments in equalities law in the UK and Europe, the default retirement age will be abolished from 1 October 2011 in England, Scotland, Wales</p>
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	and Northern Ireland.
Disability	<p>The Equality Act 2010, the Disability Discrimination Act (1995) (Northern Ireland only) and the Disability Discrimination (Northern Ireland) Order 2006 prevent unlawful discrimination relating to disability. Individuals are also protected if they are perceived to have a disability or if they are associated with a person who is disabled, for example, if they are responsible for caring for a disabled family member.</p> <p>A person is considered to be disabled if they have or have had a physical and/or mental impairment which has 'a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities'. Long-term impairments include those that last or are likely to last for at least 12 months.</p> <p>Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities.</p> <p>The definition of disability is different in Northern Ireland in that a list of day-to-day activities is referred to. There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people, not individuals, carry out on a daily or frequent basis.</p> <p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p> <ul style="list-style-type: none"> • sensory impairments • impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy • progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer • organ-specific impairments, including respiratory conditions and cardiovascular diseases • developmental impairments, such as autistic spectrum disorders and dyslexia • mental health conditions such as depression and eating disorders • impairments caused by injury to the body or brain. <p>It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.</p>

	<p>Equality law requires HEIs to anticipate the needs of disabled people and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a disabled researcher's impairment has affected the quantity of their research outputs, they may be submitted with a reduced number of outputs (see paragraphs 90-100 and the panel criteria).</p>
<p>Gender reassignment</p>	<p>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect from discrimination trans people who have proposed, started or completed a process to change their sex. Staff in HE do not have to be under medical supervision to be afforded protection because of gender reassignment and staff are protected if they are perceived to be undergoing or have undergone gender reassignment. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.</p> <p>Trans people who undergo gender reassignment will need to take time off for appointments and in some cases, for medical assistance. The transition process is lengthy, often taking several years and it is likely to be a difficult period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole.</p> <p>The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a transsexual may commit a criminal offence if they pass the information to a third party without consent.</p> <p>Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care.</p> <p>Staff whose ability to work productively throughout the REF assessment period has been constrained due to gender reassignment may be submitted with a reduced number of research outputs (see paragraphs 90-100, and the panel criteria). Information about the member of staff will be kept confidential as described in paragraph 98.</p>
<p>Marriage and civil partnership</p>	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 as amended, individuals are protected from unlawful discrimination on the grounds of</p>

	<p>marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and treatment in employment. The protection from discrimination does not apply to single people.</p> <p>In relation to the REF HEIs must ensure that their processes for selecting staff do not inadvertently discriminate against staff who are married or in civil partnerships.</p>
Political opinion	<p>The Fair Employment and Treatment (Northern Ireland) Order 1998 protects staff from unlawful discrimination on the grounds of political opinion.</p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their political opinion.</p>
Pregnancy and maternity	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 women are protected from unlawful discrimination related to pregnancy and maternity.</p> <p>Consequently researchers who have taken time out of work or whose ability to work productively throughout the assessment period because of pregnancy and/or maternity, may be submitted with a reduced number of research outputs, as set out in paragraphs 90-100 and in the panel criteria documents.</p> <p>In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process.</p> <p>For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.</p>
Race	<p>The Equality Act 2010 and the Race Relations (Northern Ireland) Order 1997 protect HEI staff from unlawful discrimination connected to race. The definition of race includes colour, ethnic or national origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race.</p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their race or assumed race (for example, based on their name).</p>
Religion and	<p>The Equality Act 2010 and the Fair Employment and</p>

<p>belief including non-belief</p>	<p>Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination to do with religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief.</p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their actual or perceived religion or belief, including non-belief. 'Belief' includes any structured philosophical belief with clear values that has an effect on how its adherents conduct their lives.</p>
<p>Sex (including breastfeeding and additional paternity and adoption leave)</p>	<p>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect HEI staff from unlawful discrimination to do with sex. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex.</p> <p>The sex discrimination provisions of the Equality Act explicitly protect women from less favourable treatment because they are breastfeeding. Consequently the impact of breastfeeding on a women's ability to work productively will be taken into account, as set out in paragraph 90-100 and the panel criteria documents.</p> <p>From 3 April 2011, partners of new mothers and secondary adopters will be entitled to up to 26 weeks of additional paternity and adoption leave. People who take additional paternity or adoption leave will have similar entitlements to women on maternity leave and barriers that exist to taking the leave, or as a result of having taken it, could constitute unlawful sex discrimination. Consequently researchers who have taken additional paternity and adoption leave may be submitted with a reduced number of outputs, as set out in paragraphs 90-100 and in the panel criteria documents.</p> <p>HEIs need to be wary of selecting researchers by any criterion that it would be easier for men to comply with than women, or vice versa. There are many cases where a requirement to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women.</p>
<p>Sexual orientation</p>	<p>The Equality Act 2010 and the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003 protect HEI staff from unlawful discrimination to do with sexual orientation. Individuals are also protected if they</p>

	<p>are perceived to be or are associated with someone who is of a particular sexual orientation.</p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their actual or perceived sexual orientation.</p>
<p>Welsh Language</p>	<p>The Welsh Language Act 1993 places a duty on public bodies in Wales to treat Welsh and English on an equal basis. This is reinforced by the provisions of the Welsh Language (Wales) Measure 2011.</p> <p>The arrangements for the assessment of outputs in the medium of Welsh by the REF panels are set out in paragraphs 128-130.</p>

Appendix 6 – Justification of reduced Number of outputs.

*(As taken from paragraphs 72- 87 of ‘ Panel Criteria and working methods’ documentation. **Early career researchers***

72. Early career researchers are defined in paragraphs 85-86 of ‘guidance on submissions’. Table 1 sets out the permitted reduction in outputs without penalty in the assessment for early career researchers who meet this definition.

Table 1 Early career researchers: permitted reduction in outputs

Date at which the individual first met the REF definition of an early career researcher:	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

Absence from work due to part-time working, secondments or career breaks

73. Table 2 sets out the permitted reduction in outputs without penalty in the assessment for absence from work due to:

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

Table 2 Part-time working, secondments or career breaks: permitted reduction in outputs

Total months absent between 1 January 2008 and 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

74. The allowances in Table 2 are based on the length of the individual’s absence or time away from working in higher education. They are defined in terms of total months absent from work. For part-time working, the equivalent

'total months absent' should be calculated by multiplying the number of months worked part-time by the full-time equivalent (FTE) **not** worked during those months. For example, an individual worked part-time for 30 months at 0.6 FTE. The number of equivalent months absent = $30 \times 0.4 = 12$.

Qualifying periods of maternity, paternity or adoption leave

75. Individuals may reduce the number of outputs by one, for each discrete period of:

- a. Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2008 to 31 October 2013, regardless of the length of the leave.
- b. Additional paternity or adoption leave⁴ lasting for four months or more, taken substantially during the period 1 January 2008 to 31 October 2013.

76. The approach to these circumstances is based on the funding bodies' considered judgement that the impact of such a period of leave and the arrival of a new child into a family is generally sufficiently disruptive of an individual's research work to justify the reduction of an output. This judgement was informed by the consultation on draft panel criteria, in which an overwhelming majority of respondents supported such an approach.

77. The funding bodies' decision not to have a minimum qualifying period for maternity leave was informed by the sector's clear support for this approach in the consultation; recognition of the potential physical implications of pregnancy and childbirth; and the intention to remove any artificial barriers to the inclusion of women in submissions, given that women were significantly less likely to be selected in former RAE exercises.

78. The funding bodies consider it appropriate to make the same provision for those regarded as the 'primary adopter' of a child (that is, a person who takes statutory adoption leave), as the adoption of a child and taking of statutory adoption leave is generally likely to have a comparable impact on a researcher's work to that of taking maternity leave.

79. As regards additional paternity or adoption leave, researchers who take such leave will also have been away from work and acting as the primary carer of a new child within a family. The funding bodies consider that where researchers take such leave over a significant period (four months or more),

⁴ 'Additional paternity or adoption leave' refers to leave of up to 26 weeks which is taken to care for a child where the person's spouse, partner or civil partner was entitled to statutory maternity leave or statutory adoption leave, and has since returned to work. The term 'additional paternity leave' is often used to describe this type of leave although it may be taken by parents of either gender. For the purposes of the REF we refer to this leave as 'additional paternity or adoption leave'.

this is likely to have an impact on their ability to work productively on research that is comparable to the impact on those taking maternity or statutory adoption leave.

80. While the clearly defined reduction of outputs due to additional paternity or adoption leave is subject to a minimum period of four months, shorter periods of such leave can be taken into account as follows:

- a. By seeking a reduction in outputs under the provision for complex circumstances, for example where the period of leave had an impact in combination with other factors such as ongoing childcare responsibilities.
- b. By combining the number of months for shorter periods of such leave in combination with other clearly defined circumstances, according to Table 2.

81. Any period of maternity, adoption or paternity leave that qualifies for the reduction of an output under the provisions in paragraph 75 above may in individual cases be associated with prolonged constraints on work that justify the reduction of more than one output. In such cases, the circumstances should be explained using the arrangements for complex circumstances.

Combining clearly defined circumstances

82. Where individuals have had a combination of circumstances with clearly defined reductions in outputs, these may be accumulated up to a maximum reduction of three outputs. For each circumstance, the relevant reduction should be applied and added together to calculate the total maximum reduction.

83. Where Table 1 is combined with Table 2, the period of time since 1 January 2008 up until the individual met the definition of an early career researcher should be calculated in months, and Table 2 should be applied.

84. When combining circumstances, only one circumstance should be taken into account for any period of time during which they took place simultaneously. (For example, an individual worked part-time throughout the assessment period and first met the definition of an early career researcher on 1 September 2009. In this case the number of months 'absent' due to part-time working should be calculated from 1 September 2009 onwards, and combined with the reduction due to qualifying as an early career researcher, as indicated in paragraph 83 above.)

85. Where an individual has a combination of circumstances with a clearly defined reduction in outputs **and** complex circumstances, the institution should submit these collectively as 'complex' so that a single judgement can

be made about the appropriate reduction in outputs, taking into account all the circumstances. Those circumstances with a clearly defined reduction in outputs should be calculated according to the guidance above (paragraphs 72-84).

Other circumstances that apply in UOAs 1-6

86. In UOAs 1-6, the number of outputs may be reduced by up to two, without penalty in the assessment, for the following:

- a. Category A staff who are junior clinical academics. These are defined as clinically qualified academics who are still completing their clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or its equivalent prior to 31 October 2013.
- b. Category C staff who are employed primarily as clinical, health or veterinary professionals (for example by the NHS), and whose research is primarily focused in the submitting unit.

87. These allowances are made on the basis that the staff concerned are normally significantly constrained in the time they have available to undertake research during the assessment period. The reduction of two outputs takes account of significant constraints on research work, and is normally sufficient to also take account of additional circumstances that may have affected the individual's research work. Where the individual meets the criteria at paragraph 86, and has had significant additional circumstances – for any of the reasons at paragraph 69 – the institution may return the circumstances as 'complex' with a reduction of three outputs, and provide a justification for this.

Appendix 7 - Template for record of discussion with individual staff regarding return to REF2014

Meeting Date:

Attendees:

1. Eligibility

On what basis does the individual satisfy the definitions in the Assessment framework and guidance on submissions paragraphs 78 – 83 for return to REF2014?

2. Quality of Research Outputs

- a) Please explain the thresholds that will be applied for making selection decisions in your School / UoA

 - b) Please describe the process by which outputs were reviewed and the assessment outcomes for each output considered
-

3. Quantity of Research

Does the individual have at least 4 outputs that meet the quality threshold for your School / UoA? Yes/No

If not, please confirm whether the individual intends to use the opportunity to outline in confidence (to the REF Cardiff Equality and Diversity Advisory Panel) any circumstances*

