



**Code of Practice for the Preparation of  
the Research Excellence Framework 2014 Submission**

**June 2013**

## Contents

1	Commitment.....	2
2	Introduction .....	2
3	The Legislative Context.....	3
4	General Principles.....	3
5	Communication of code of practice to staff.....	3
6	Selection of staff to be returned to the REF.....	4
7	Criteria for inclusion and exclusion.....	5
8	Senior Management and Committee Structure for REF Submissions .....	6
9	Appointment of External Advisers .....	7
10	Equality Analysis .....	7
11	Appeals Process .....	8
12	Personal Circumstances .....	8
13	Fixed-term and Part-time Staff.....	10
14	Further Information .....	10

### *Appendices*

## **1 Commitment**

- 1.1 Sheffield Hallam University is intent on advancing equality and diversity as key features within all its activities, as it believes this to be ethically right and socially responsible. Equality and Diversity are essential factors that contribute to the academic and business strengths of the University.
- 1.2 Sheffield Hallam University believes that excellence will be achieved through recognising the value of every individual. We aim to create an environment that respects the diversity of staff, students and other stakeholders in the University's community and enables them to achieve their full potential, to contribute fully, and to derive maximum benefit and enjoyment from their involvement in the life of the University. Through the principle of inclusivity, the talents of all individuals will be utilised to achieve organisational goals.
- 1.3 To this end, the University acknowledges the following basic rights for all members and prospective members of its community:
- to be treated with respect and dignity
  - to be treated fairly with regard to all procedures, assessments and choices
  - to receive encouragement to reach their full potential
- 1.4 These rights carry with them responsibilities and the University requires all members of the community to recognise these rights and to act in accordance with them in all dealings with fellow members of the University. In addition, the University will comply with all relevant legislation and good practice.

## **2 Introduction**

- 2.1 Sheffield Hallam University's strategy for the Research Excellence Framework (REF) is determined by the overall research strategy of the University which encompasses a broad range of research and scholarly activity. This ranges from curiosity-driven to market-driven research and application of knowledge and its use in the real world through applied research, professional practice and consultancy.
- 2.2 Within this context, only part of our overall research activity is relevant to the REF which continues to emphasise excellence as evident mainly in peer reviewed, published output. This does not mean that other areas of research and scholarly activity are not valued by the University. All staff are expected to make a contribution to the University's work that is commensurate with their grade and experience and all contributions are valued. Development support to encourage the realisation of individual potential relative to all forms of contribution (teaching, research, management, etc.) will be provided wherever possible, and this will always be within an open and transparent framework.
- 2.3 It is key to the University strategy that it will submit staff who are conducting high-quality research to the REF 2014. As an equal opportunities employer the University seeks to create conditions whereby staff are treated solely on the basis of their merits, abilities and potential, regardless of gender, race, colour, nationality, ethnic or national origin, age, socio-economic background, disability, religious or political beliefs, Trade Union membership, family circumstance, sexual orientation or any other irrelevant distinction. Further information on the University's commitment to Equality and Diversity can be found at:

<http://www.shu.ac.uk/university/overview/diversity/>

- 2.4 The Code of Practice applies to all those involved in the selection of staff and submission of the University's REF 2014 return. It provides a framework within which recommendations and decisions are made giving information about how the University will carry out its selection and submission process. The intention, for every Unit of Assessment (UOA) for which a return is prepared for the University, is to include those staff who will contribute to an overall quality profile consistent with the principal aim of maximising the income that will flow directly and indirectly as a result of the assessment. This statement of intent applies to all UOAs.

### **3 The Legislative Context**

- 3.1 Throughout all stages of the planning and implementation of the REF, legislative requirements must be met. The University recognises its obligations as an employer under the following key pieces of equality legislation:

- Equality Act 2010
- Fixed-term Employees (prevention of less favourable treatment) Regulations 2002
- Part-time Workers (prevention of less favourable treatment) Regulations 2000 (amended 2002)
- Gender Recognition Act 2004
- Human Rights Act 1998

Further legislative details can be found in Appendix 1.

### **4 General Principles**

- 4.1 The following principles will be followed in all stages of preparing REF submissions:

- Transparent REF selection processes.
- The Code of Practice will be adopted and applied consistently across the University, with the exception that some UOAs may apply a higher minimum quality threshold than others (see section 7).
- Selection of staff will be subject to the quality of research taking into account the main and sub-panels' published criteria for research quality.
- Consideration will be given to any personal circumstances which may apply to an individual as detailed in Section 12.

### **5 Communication of Code of Practice to Staff**

- 5.1 The Code of Practice will be published on both the University's staff intranet site and external website.
- 5.2 An e-mail will be sent from the Chair of the REF Implementation Group, to all staff, advising that the Code of Practice can be accessed in these places. The e-mail will also state that the Code of Practice will, on request, be made available in large print format.

- 5.3 Information on the Code of Practice will be published in the Research and Funding Opportunities newsletter
- 5.4 A list of the eligible staff who are absent from the University (i.e. sickness, unpaid leave) or who have difficulty accessing e-mail, will be produced by Human Resources. The Research and Innovation Office will provide hard copies of the Code of Practice to Human Resources, who will ensure that these documents are sent out to eligible staff who are identified on the list.
- 5.5 Staff will be advised of any subsequent updates to the published code using the same process.

## **6 Selection of Staff to be Returned to the REF**

- 6.1 UOA Coordinators will recommend to the REF Implementation Group the Category A research active staff to be returned for each relevant UOA in the REF 2014 submission from the list of eligible staff provided by the Human Resources Department. Membership and Terms of Reference of the REF Implementation Group are shown in Appendix 2.
- 6.2 Eligible Category A staff must be employed under a contract of employment of 0.2 FTE or greater with the University on the census date (31<sup>st</sup> October 2013). Their contract must list research or research and teaching as their primary function (Paragraph 78 REF 2014 Assessment Framework and Guidance on Submissions)
- 6.3 Exceptionally, where Research Assistants are named as Principal Investigator or equivalent on a research grant or significant piece of research work and satisfy the definition for Category A academic staff, they may be added to the list of Category A research active staff (Paragraph 81, REF 2014 Assessment Framework and Guidance on Submissions).
- 6.4 UOA Coordinators are responsible for identifying Category C staff (none of whom have contracts of employment with the University on the census date) for inclusion, taking account of the criteria and requirements for the relevant UOA.
- 6.5 The following procedure for agreeing the inclusion of eligible staff will be followed:
- 6.5.1 In order to ensure that all eligible research active staff have the opportunity to be considered for selection and submission to REF 2014, the Chair of the REF Implementation Group (or nominee) will send two e-mails (in 2012 and 2013) requesting that all staff who wish to be considered for submission contact the relevant UOA Coordinator or the University's REF Coordinator. Any staff employed at the University who have not made contact with either of these parties (and for whom there are no extenuating circumstances), and/or, who have failed to provide the necessary information to allow their research outputs to be reviewed and considered for submission, by 31st March 2013, will not be included in the submission.
- 6.5.2 UOA Coordinators will select eligible staff for inclusion in each UOA in accordance with the criteria for inclusion in Section 7. They will also take into account the fit of research outputs with the UOA descriptor paying particular attention to interdisciplinary work.
- 6.5.3 The UOA Coordinator will advise individual staff of the recommendation being made about them and for those in the provisionally included category, identify the conditions that must be met by the census date for them to be included.
- 6.5.4 The REF Implementation Group will review the recommendations, with the Assistant Deans Research and Knowledge Transfer (R&KT) or nominee, presenting the recommendations for their area. The REF Implementation Group will be responsible for the final approval of

the list of eligible staff to be submitted for each UOA. A final decision on the staff being returned will be made on 15<sup>th</sup> July 2013.

- 6.5.5 Following REF Implementation Group approval, UOA Coordinators will be advised of decisions for staff in their UOA and will be responsible for informing staff of the outcome. The REF Implementation Group will keep a record of all staff who have been considered for inclusion in the University's REF submission, and following the 15<sup>th</sup> July 2013 deadline, will ensure that all of these individuals are contacted in writing to confirm the decision about their inclusion in or exclusion from the submission.
- 6.6 Eligible staff who are excluded have the right to appeal the decision (see Section 11).
- 6.7 In the event that an individual's circumstances change significantly, the UOA Coordinator will be required to make a further recommendation to the REF Implementation Group via the relevant Assistant Dean (R&KT) or nominee.
- 6.8 Staff inclusion in the submission will be reviewed by the REF Implementation Group in September 2013, to ensure that any eligible staff who have joined the University since 31<sup>st</sup> March 2013 can be considered for inclusion in the submission.

## **7 Criteria for Inclusion and Exclusion**

- 7.1 The University is seeking to achieve a mean quality score of 2.5 which would essentially mean that 50% of the quality profile would be rated at 4\* or 3\*. It is, therefore, expected that staff will be selected for inclusion in the submission if their selected research outputs have an average estimated quality of 2.5 or above with the following caveats:
- Efforts will be made not to return 1\* outputs. However, it is recognised that some may need to be returned in order to return staff who may have other 4\* or 3\* outputs.
  - A small number of UOAs who wish to increase or maintain their subject specific position in the league tables are likely to need to set higher targets.
  - The decision whether to include staff with a mean estimated quality score less than 2.5 will be influenced by the overall quality profile of the UOA.
- 7.2 The threshold for research activity that will qualify individual staff for inclusion for an individual UOA will be communicated to staff within the relevant UOA and will be published on the staff intranet, once the REF Implementation Group have agreed that the way in which the threshold will be applied for each UOA is consistent with the Code of Practice.
- 7.3 Staff should be included in the submission where they have met the threshold for research activity in the relevant UOA taking into account the range and weighting of factors that contribute to the overall quality profile. In applying this criterion UOA Coordinators will take into account the relevant sub-panel and main panel criteria and working methods statements, including those relating to personal circumstances. It is expected that normally individual staff will submit four relevant research outputs.
- 7.4 In the event that fewer than four relevant outputs meeting the required threshold are cited for an individual, staff may nonetheless be included provided that individual staff circumstances have been identified which fall within those set out as being relevant in the equal opportunities statement which forms part of the main panel or sub panel guidance. A decrease in the number of outputs submitted, proportionate to the amount of time absent from active research duties, may be allowed under certain circumstances (Section 12)

- 7.5 The threshold for research activity that will qualify individual staff for inclusion is determined by the requirement that to be included staff must have delivered quality research activity in the REF 2014 period. This is defined as that which will contribute to the University's intention for each UOA to achieve an overall quality profile that is consistent with the University's vision with the aim of maximising the income that will flow directly and indirectly as a result of the assessment.
- 7.6 Any individual, eligible to be classed as Category A staff, who does not meet the threshold that will qualify individual staff for inclusion for the relevant UOA will be excluded from the University's REF submission. In drawing up the submission, to scrutinise the inclusion or non inclusion of individual members of staff, it will be ensured that all relevant information is obtained to inform decisions.
- 7.7 Work deemed to be of a quality that does not meet the definition of the minimum threshold determined by the UOA, or which does not meet the published definition of research for the purposes of the REF, will not be included. Indicators used to judge research outputs will include originality, significance and rigour, as demonstrated by the extent to which knowledge, theory or understanding in the field has been increased or practice has been, or is likely to be, improved.
- 7.8 A record will be kept of all decisions made about the inclusion and exclusion of staff, and the minutes of any discussions relating to this by the UOA Coordinator and/or the REF Implementation Group. Records will be kept in accordance with the University Records Retention Schedule and the Data Protection Policy.

## **8 Senior Management and Committee Structure for REF Submissions**

- 8.1 The REF Implementation Group has responsibility for the REF process (this group has formerly been known as the Research Excellence Sub-committee (2008-12) and the RAE Management Group (2005-08)). This Group reports to both the University's Research and Knowledge Transfer Committee (RKTC), for academic related issues, and the University's Executive Group (UEG), for executive related issues.
- 8.2 Membership of the REF Implementation Group is drawn from the Assistant Deans (R&KT) or their nominees, other senior research staff from across the University and staff from Central Departments who play a key role in coordinating the University's REF submission (Appendix 2).
- 8.3 Assistant Deans (R&KT) or their nominees have been given the responsibility to work closely with UOA Coordinators within their Faculties, to plan and develop REF submissions and bring forward regular reports and recommendations to the REF Implementation Group.
- 8.4 UOA Coordinators are appointed by Assistant Deans (R&KT) or their nominees, in consultation with the Faculty Pro Vice-Chancellors, to lead the planning and preparation of submissions within a Faculty. Each UOA in which the University is preparing a submission has a Coordinator, the role of which is described in Appendix 3.
- 8.5 UOA Coordinators will convene a small group of staff from the UOA to assist with the review of research outputs and drafting of the submission. Details of the membership of this group will be published on the staff intranet.
- 8.6 Equal opportunities training is mandatory for staff involved in making recommendations and decisions about whether members of staff will be included in or excluded from the REF submission. In the first instance, all staff will be expected to have completed the University's mandatory on-line Equality and Diversity E-learning module.

- 8.7 In addition, the University's Secretary and Registrar's Directorate will develop and deliver appropriate REF specific Equality and Diversity training to individuals involved in making decisions about staff inclusion in and exclusion from the return. The training will be based upon the guidance and example case histories which will be issued by the Equality Challenge Unit (ECU).
- 8.8 All staff with REF responsibilities will be provided with a copy of the Code of Practice. Formal and informal discussions, involving members of the REF Implementation Group, Assistant Deans (R&KT) and UOA Coordinators and which concern the inclusion of staff in, or exclusion of staff from, the University's REF submission must be carried out in accordance with the Code of Practice.
- 8.9 Final authorisation of decisions on the inclusion and exclusion of staff in the REF submission will be made by the Pro Vice-Chancellor, Academic, following recommendation by the REF Implementation Group. UOA Coordinators are responsible for providing feedback to individuals regarding decisions on inclusion or exclusion. Staff will be informed about the decision made about their inclusion in, or exclusion from, the REF submission by 15<sup>th</sup> July 2013.

## **9 Appointment of External Advisers**

- 9.1 Arrangements for seeking external advice in relation to the inclusion and exclusion of staff and planning of REF submissions must be approved by the Chair of the REF Implementation Group. Assessors will be asked to comment on the quality of an individual's research only; they will not make decisions on which staff are to be submitted to the REF. Except where they have previously undertaken equivalent training, it is mandatory for all External Advisers to complete the online training module in Equality and Diversity supplied by the Human Resources Directorate of Sheffield Hallam University.

## **10 Equality Analysis**

- 10.1 The University has undertaken the initial stages of an Equality Impact Assessment (EIA) to inform our Code of Practice and associated processes around the selection of staff. Consultation on the Code of Practice has taken place with all committees described in Section 8.1, the Equality and Diversity Board and the Information and Consultation Committee at the University which includes Trade Union representation.
- 10.2 The University will conduct a preliminary EIA at the end of the University's first draft submission and again at the end of the second draft submission. The preliminary EIA will enable the University to investigate any areas where there appears to be an imbalance in staff submitted as part of the REF and those who are not, against the protected characteristics. The outcomes of the preliminary EIA will be reported to the committees described in Section 10.1 to ensure that any necessary changes to prevent discrimination or promote equality are taken prior to the REF 2014 submission deadline. Any changes will be reflected in the Code of Practice or accompanying guidelines and processes and will be clearly communicated as described in Section 5.



- 10.3 After the REF 2014 submission date, a final EIA will analyse the final submission for differences in submission rates against all the protected characteristics. This will be extended further to include part-time working and fixed-term contracts, where data makes this possible. The outcomes of the final EIA will be reported to the committees described in Section 10.1. The final EIA will inform wider University policy and practice to ensure that any identified inequalities can be addressed, where possible.
- 10.4 The final version of the University's EIA for REF 2014 will be made available on both the staff intranet and external websites.

## **11 Appeals Process**

- 11.1 An individual has the right to appeal against a decision to exclude them from the REF 2014 submission. If an individual wishes to make an appeal they should submit a letter in writing to the REF Coordinator stating the grounds of the appeal within five working days from when the decision to exclude them from the REF has been notified to them by the UOA Coordinator or their nominee. This will then be investigated by the Pro Vice-Chancellor, Faculty of ACES, or a suitable nominee, who is not a member of the REF Implementation Group and has not been involved in making decisions about staff selection.
- 11.2 The Pro Vice-Chancellor, Faculty of ACES, will have ultimate responsibility for deciding the outcome of an appeal, but can take advice from a panel consisting of:
- a member of the Equality and Diversity Team in the Secretary and Registrar's Directorate - to advise on equality and diversity related issues
  - a member of the Research and Innovation Office - to advise on REF 2014 process and guidance issues
  - the University's Head of Research Ethics - to advise on academic related issues.
- 11.3 A written response will be provided by the Pro Vice-Chancellor, ACES, to the member of staff who has lodged the appeal, within ten working days of receipt of their letter from the REF Coordinator.
- 11.4 This does not in any way impinge on the rights of individuals under University Statutes.

## **12 Personal Circumstances**

- 12.1 All decisions made relating to submissions to the REF will be made in accordance with the principles and criteria for inclusion and exclusion as detailed in this Code of Practice. However, there will be individual clearly defined or complex circumstances which can and should be taken into consideration, as guided by the published criteria for main panels and sub panels (Paragraphs 187-201 REF 2014 Assessment Framework and Guidance on Submissions), such as:
- Qualifying as an Early Career Researcher
  - Part-time working
  - Maternity, paternity or adoption leave. Note that maternity leave may involve related constraints on an individual's ability to conduct research in addition to the defined period of maternity leave itself. Constraints related to pregnancy or maternity will indeed be considered in addition to a clearly defined period of maternity leave. These

may include but are not limited to: medical issues associated with pregnancy or maternity; health and safety restrictions in field work during pregnancy or breastfeeding; constraints on the ability to travel to undertake fieldwork due to pregnancy or breastfeeding.

- Secondments or career breaks outside of the higher education sector, and in which the individual did not undertake academic research
- Disability
- Ill health or injury
- Mental health conditions
- Childcare or other caring responsibilities
- Gender reassignment
- Other circumstances relating to the protected characteristics described in the Equality Act 2010

## **12.2 Procedures Related to Individual Staff Circumstances**

12.2.1 The University will operate a process to enable staff to disclose their circumstances in an appropriate and confidential manner. The information provided by staff will be used exclusively for the purposes of the REF 2014 submission made by the University.

12.2.2 A downloadable form about individual circumstances will be made available on the staff intranet.

12.2.3 UOA Coordinators will disseminate information on this form to those staff who have declared themselves under consideration for submission in REF 2014, and ask any staff who believe that they may have specific personal circumstances to download and complete the form. Information relating to this form will be disseminated in the same e-mails as the Code of Practice.

12.2.4 To ensure the appropriate level of confidentiality, the process will be managed centrally, and the form should be submitted in hard copy to the Research Development Manager in the Research and Innovation Office by a final date of 31 March 2013. A group consisting of the Equality and Diversity Officer in Secretariat, Chair of the REF Implementation Group, Research Development Manager and a Human Resources representative will then determine:

- The number of outputs to be submitted for those circumstances that are clearly defined. This will be done following the criteria and working methods of each panel.
- The number of outputs to be submitted when circumstances are deemed 'complex', or when circumstances combine clearly defined and 'complex' circumstances

12.2.5 The Research Development Manager will report the reductions in outputs to the relevant staff and UOA Coordinators who will adjust individual submissions accordingly.

### **13 Fixed-term and Part-time Staff**

- 13.1 As part of the University's commitment to equality and diversity the University has developed policies to support fixed-term staff. As part of the University's commitment to staff development, all members of staff within the University, regardless of whether they are fixed-term or permanent, part-time or full-time, should be subject to regular appraisals by their line manager to review progress and identify development needs. Where part-time and/or fixed-term staff are eligible for inclusion in the University's REF 2014 submission, they will not be treated any less favourably than full-time staff and/or staff on permanent contracts.

### **14 Further Information**

- 14.1 Further advice relating to this Code of Practice can be obtained by contacting Beth Taylor, Research and Innovation Office (ext 4530 or email [b.l.taylor@shu.ac.uk](mailto:b.l.taylor@shu.ac.uk)).

## **Appendix 1**

### **Key Legislation**

#### **Equality Act 2010**

The Equality Act 2010 came into force on 1 October 2010 with the stated aim of reforming and harmonising discrimination law, and promoting equality of opportunity

The Equality Act 2010 introduced nine 'protected characteristics', extending protection from discrimination from three to nine equality areas contained below:

- Age
- Disability
- Gender Reassignment
- Marriage and Civil Partnership
- Pregnancy and Maternity
- Race
- Religion and Belief
- Sex
- Sexual Orientation

The protected characteristics are the grounds upon which discrimination is unlawful under the Act.

#### **Employment Provisions of the Equality Act**

Sections (39) and (40) of the Act provide protection from discrimination in the field of employment.

Under s.39 of the Act , Employers must not discriminate against or victimise job applicants in:

- the arrangements they make for deciding who should be offered employment;
- in the terms on which they offer employment; or
- by not offering employment to the applicant

Furthermore, s.39 (2) states that Employers must not discriminate against or victimise an employee:

- as to the terms of employment;
- in the way they make access to opportunities for promotion, transfer or training or for receiving any other benefit, facility or service;
- by dismissing the employee; or
- subjecting them to any other detriment

s.39 (5) contains the Employers Duty to make reasonable adjustments

s.40 provides that Employers have a duty not to harass job applicants or their employees

## **Fixed-Term Employees (prevention of less favourable treatment) Regulations 2002**

These regulations make it unlawful to treat a fixed-term employee less favourably than a permanent employee on the grounds that they are a fixed-term employee unless it can be objectively justified. The regulations limit the successive use of fixed-term contracts to four years unless the further use can be objectively justified. Only service accumulated from 10 July 2002 will count towards the four year limit.

## **Part-Time Workers (prevention of less favourable treatment) Regulations 2000 (amended 2002)**

These regulations make it unlawful to treat a part-time employee less favourably than a full-time employee on the grounds that they are a part-time employee unless it can be objectively justified. The regulations state that part-time employees must receive (pro-rata where appropriate) the same treatment as comparable to a full-time employee regarding; rates of pay, access to pension schemes and pension scheme benefits, access to training and development, holiday pay, entitlement to career break schemes, contractual sick pay, contractual maternity and paternity pay and treatment in the selection criteria for promotion and transfer and for redundancy.

## **Gender Recognition Act 2004**

The Gender Recognition Act 2004 received Royal Assent on the 1 July. The Act introduces a mechanism whereby transsexual people will have the opportunity to apply for legal recognition in their acquired gender.

## **Human Rights Act 1998**

The Act gives people a clear legal statement of their basic rights and fundamental freedoms.

The Human Rights Act means that:

- convention rights and responsibilities form a common set of binding values among public bodies and the public, right across the UK
- public bodies must have human rights principles in mind when they make decisions about people's rights
- human rights must be part of all policy making.

## **Appendix 2**

### **REF Implementation Group**

The REF Implementation Group (formerly known as the Research Excellence Sub-committee) reports to both the University's Research and Knowledge Transfer Committee (RKTC) and the University's Executive Group. Membership is drawn from staff in the four Faculties and the Research and Innovation Office and other relevant Central Departments.

The Group has responsibility for the REF submission and works closely with the University's UOA Coordinators to ensure the quality of research in each UOA.

### **Terms of Reference**

#### **Purpose:**

To manage the strategic direction and coordination of the Research Excellence Framework submission

#### **Objectives:**

1. To have responsibility for the REF submission, including quality assurance thereof
2. To determine and advise the RKTC on the strategic and operational requirements to optimise future REF returns
3. To have overview of Faculty and Departmental responsibilities in contributing to the University REF submission to ensure compliance with Higher Education Funding Council for England (HEFCE) requirements, University strategy and operational procedures
4. To liaise with corporate data, management and planning programmes to ensure accurate and optimal data collection that meets the requirements of the REF
5. To brief the RKTC on evolving requirements and best practice across the sector
6. To review, disseminate and advise on the results of all HEFCE research quality assurance exercises
7. To have overview of strategic investment of HEFCE Quality Related funds
8. To recommend to the RKTC and Academic Board policies and procedures for the conduct of the REF submission and quality assurance thereof
9. To subject its own activities to continuous review and present an annual report on its activities to the RKTC

#### **Membership criteria:**

1. The RKTC shall appoint the Chair from within the members of the Sub-committee
2. The Sub-committee shall elect a Deputy Chair from within its membership
3. Ex Officio

- Director of Research and Innovation Office
- Research Development Manager, Research and Innovation Office

4. Faculty representatives

Up to 3 representatives per Faculty to ensure appropriate breadth or depth of expertise in a specific aspect of REF activity:

5. Up to 3 members nominated by the RKTC against the following criteria to ensure appropriate subject breadth and depth of expertise in a specific aspect of research activity:

- Experience of RAE/REF panel/sub-panel membership or expert advisor role
- Substantial research experience leading to publication together with an understanding and appreciation of the meaning of research quality in terms of rigour, originality and significance
- To reflect a balance of expertise appropriate to the current and anticipated work of the Sub-committee
- To provide research leadership and influence within the Faculties in issues relating to REF

6. A Secretary who will normally be a member of the Research and Innovation Office

7. Co-options (internal/external) in accordance with the criteria specified above to serve one or more of the following purposes:

- To provide continuity between assessment exercises
- To strengthen the external perspective
- To ensure an appropriate balance of membership to cover the entire range of the Sub-committee's terms of reference
- To provide expert advice and support to ensure the accurate collection and provision of University data

Co-options are tenable for a period of one year and can be renewable. All such co-options must be approved by the Research and Knowledge Transfer Committee

**Membership of the Research Excellence Sub-committee**

- Assistant Dean Research and Knowledge Transfer, D&S (Chair)
- Emeritus Professor, D&S
- Head of Art and Design Research Centre, ACES
- MERI Head of Post-Graduate Area, ACES
- Assistant Director, Learning and Information Services, SLS

- Assistant Dean International Sport & Olympic Research & Business Development, H&W
- Research Development Manager, Research and Innovation Office
- Director, Research and Innovation Office
- Head of Centre for Sports Engineering Research, H&W
- Head of Graduate School, D&S
- Emeritus Professor, ACES
- Director of Research and Doctoral Programmes, SBS
- Head of Communication and Computing Research Centre, ACES
- Assistant Dean Research and Knowledge Transfer, H&W
- Head of Biomedical Research Centre, H&W
- REF Coordinator, Research and Innovation Office

**Secretary:**

- Research Support Officer, Research and Innovation Office

**Affiliate Members:**

- Finance Directorate
- Graduate Studies
- Human Resources
- Library and Information Services
- IT Services



## Appendix 3

### Unit of Assessment Co-ordinators

- Selection: Assistant Deans R&KT (or nominee) will identify academic research staff to act as UOA Co-ordinators; all of whom will have substantial research experience together with an understanding and appreciation of the meaning of research quality (as defined by the REF 2014 in terms of rigour, originality and significance).
- Purpose: UOA Coordinators will provide strategic management and lead preparations for the REF; moreover, they will monitor and develop research within the UOA supporting the relevant Head(s) of Research Centre/Institute and Assistant Dean R&KT in meeting the requirement of the UOA, Faculty and corporate research strategies.
- Reporting: For all REF related matters UOA Coordinators will formally report to their Faculty Assistant Dean R&KT, or nominee.

### Key Duties

- Measuring the research performance of the UOA (research quality, impact and environment) compared with the research strategy established in the RAE 2008 and University key performance indicators on an annual basis.
- Working with the Head of Research Centre/Institute (or Assistant Dean R&KT or nominee for those groups outside of a formal Research Centre) to provide intellectual research leadership for the UOA together with developing and implementing the REF 2014 research strategy.
- Overall responsibility for the preparation of the UOA submission, including liaising with staff, preparing the textual commentary, selection of research outputs, collating and verifying all information appropriate to the submission; including the selection of staff for consideration and approval by the REF Implementation Group.
- Coordinating all UOA contributions to the planning, implementation and evaluation of institutional submissions to any national research assessment exercise, external consultations and data collation activities.
- Acting as the main contact point between the UOA, the Assistant Dean R&KT and central administrative staff (Research and Innovation Office, Graduate Support Team, Faculty Finance and Human Resources) during the REF period.
- Establishment of a local UOA working group (or use of existing Faculty group) to share responsibility for the preparation, development and monitoring of the UoA.
- Undertaking all equal opportunities training as recommended by the REF Implementation Group and in line with the University's equality code of practice.
- Attending University REF planning meetings in advance of the submission
- Keeping abreast of REF developments specific to the UOA and disseminating information to the UOA

## Support

- UOA Coordinators will be expected to be provided with sufficient time to undertake the duties required.
- UOA Coordinators will be expected to have local administrative support appropriate to the preparation of the submission this includes support from research administrators, finance and UoA working group.
- UOA coordinators will be expected to receive support and input from the UOA working group.
- UOA Coordinators will be expected to receive additional management, strategic and operational support from the REF Implementation Group, the Assistant Dean R&KT, the Head(s) of Research Institute/Centre, and the Research Support Team within the Research and Innovation Office.