

RESEARCH EXCELLENCE FRAMEWORK 2021

GLYNDŴR UNIVERSITY: Code of Practice on the fair and transparent identification of staff with significant responsibility for research, determining who is an independent researcher, and the selection of outputs.

Amended September 2020

Part 1: Introduction

1. This document is Glyndwr University's Code of Practice on the fair and transparent identification of staff with significant responsibility for research, determining who is an independent researcher, and the selection of outputs, with regard to the preparation of submissions to the 2021 Research Excellence Framework (REF 2021). It has been approved by the University's Research Committee and Vice-Chancellor's Board. The Code relates specifically to REF 2021 and is not designed to contribute to any policies or processes related to broader academic career progression issues.
2. The University's Equality and Diversity Policy for Staff and Students states that, 'Glyndwr University (the University) is committed to supporting, developing and promoting equality and diversity within its practices and activities and aims to establish an inclusive culture and environment free from discrimination, based on the values of dignity and respect.' This Code of Practice puts that commitment into practice, in the context of the identification of staff who meet and who do not meet the criteria adopted by the University, and regarding the selection of outputs.
3. The Code identifies a series of equality and diversity principles relating to the inclusion of academic staff in submissions to REF 2021 and supports the requirements placed upon the University by the Higher Education Funding Council for Wales (HEFCW).
4. The purpose of this Code is to:
 - provide guidance on how to ensure that staff embrace diversity and prevent unlawful discrimination when defining and implementing REF 2021 processes and criteria;
 - ensure that everyone involved with the University's REF 2021 submissions understands the University's commitment to comply with statutory obligations in relation to equality and diversity and promote best practice.
5. The Code is mandatory and applies to all Units of Assessment (UoA) and to all individuals involved in drafting UoA submissions, identifying staff for inclusion within those submissions and selecting research outputs for inclusion. Underlying this Code is the fundamental commitment to supporting and encouraging staff with regard to their engagement in research and scholarship and to the advancement of the University's overall research capacity and its impacts within and outside the University.
6. This Code will assist all involved with REF 2021 to:
 - understand and meet their responsibilities to promote equality and diversity;

- adopt and put into practice effective processes and criteria designed to ensure equality of opportunity for all and prevent unlawful discrimination or harassment;
 - help to create an environment where people feel they are respected and valued;
 - draw on the talents, skills, experience, networks and different cultural perspectives of the diverse university community;
 - foster good relations in the academic community and workplace;
 - contribute to an overall quality profile consistent with the University's mission.
7. This Code is based on the principle that the University has an overriding obligation to ensure that it best meets the generic and specific requirements of REF 2021 in terms of research quality in order to maximize the outcome for the University but with due regard to equality and diversity.
 8. A guiding principle adopted by the University is that the REF is an assessment of research quality within specific Units of Assessment and that there may be valid grounds for the University to request exception from submission in the case of one or more UoAs with which staff eligible for inclusion are associated.
 9. Further to the above paragraph, the identification of staff (past, present or future) for inclusion within the University's REF 2021 submissions will be based on criteria that are objective and non-discriminatory. This means as a fundamental principle, the University will not tolerate unjust decisions, practices or requirements that qualify or exclude an individual from submission to the REF on the basis of that individual's age, disability, ethnic origin, marriage or civil partnership status, race, religious belief or affiliation, gender, sexual orientation, nationality, gender reassignment, pregnancy, maternity and paternity or any other irrelevant distinctions. The University will also not tolerate unjust decisions about submission of individuals to the REF where those individuals have been affected by personal circumstances that might have influenced their creation of research outputs or other evidence of research activity and where these are in accord with REF requirements, as indicated in Appendix 1 – Personal Circumstances.
 10. The University's commitment to comply with statutory obligations in relation to equality and diversity and to promote inclusivity applies to all staff irrespective of role, duration of contract of employment, or mode of employment.
 11. In the period since REF2014 the University has undergone significant restructuring over several years across all academic and professional services areas. Many of the current academic staff cohort of the University have less experience of undertaking research than did their predecessors. In consequence there has been a focus on supporting academic staff who are at earlier stages of research careers: to gain their own doctoral qualification; to take first steps in collaboration; to achieve a research output for the first time, to recognise the importance of impact arising from research, etc. That emphasis on supporting less experienced academic staff has taken priority over recruiting established researchers, and so the University is not in a position to submit 100% of Category A eligible staff to REF2021.
 12. The University is committed to addressing the principles of Transparency, Consistency, Accountability and Inclusivity in demonstrating fairness.

Transparency:

13. The processes for identifying staff with significant responsibility for research, determining research independence, and selecting outputs for inclusion in REF submissions are set out

clearly in this Code. The Code is published as a PDF document in the University's staff intranet. All staff (including those absent from work) will be notified of its publication in the intranet, via the weekly Campus News and via Associate Deans for Research. Notification will include an explanation of the purpose and relevance of the Code of Practice and an overview of the processes for identifying staff with significant responsibility for research, determining research independence, and selecting outputs for inclusion in REF submissions.

Consistency:

14. This Code sets out the principles to be applied to all aspects/stages of the process at all levels within the University where relevant decisions are made. The approach to identifying staff with significant responsibility for research does not vary by unit of assessment.

Accountability:

15. This Code defines the roles of the various actors (individuals and bodies) who are involved in identifying staff with significant responsibility for research, determining research independence, and selecting outputs for inclusion in REF submissions, and describes the relevant training undertaken by the individuals involved.

Inclusivity:

16. It is the explicit intention of the University that the processes described in this Code will promote an inclusive environment, enabling identification of staff who have significant responsibility for research, all staff who are independent researchers, and the excellent research produced by staff across all protected groups.
17. The initial draft of this Code was developed by staff with overall responsibility for stimulating and supporting research activity: the PVC (Research), the Researcher Development Tutor and the Head of Research Services. That draft was circulated to all academic staff (including those absent from the work) and to the University and College Union for consultation in January 2019, and presented to and discussed at a meeting of the University's Research Committee on 30th January 2019, with further refinement following publication of the final REF Guidance documents. The consultation process with staff did not give rise to any need for substantive changes. UCU branch officers have been asked on four occasions to offer an opinion on the Code of Practice as circulated, but they have declined to do so. Instead they have passed on UCU national position that it is unacceptable to UCU to use the outputs of former staff whose posts have been made redundant, in any circumstances. Following an Equality Impact Assessment, a final draft was approved by the Research Committee on 28th March 2019 and subsequently submitted to the Vice-Chancellor's Board meeting on 8th April 2019 for approval and subsequent publication. The development of this Code has been supported by expert advice from the University's Organisational Development and Diversity Manager, who will continue to support the conduct of Equality Impact Assessments. Following the Assessment Outcome dated 16 August 2019, further clarification has been added to this Code regarding expectations of an individual's contribution to the output pool where circumstances are declared.
18. A REF Working Group was established by the Research Committee to lead the University's preparation of REF submissions. The Working Group's Terms of Reference and Membership are set out in Appendix 3. Its role includes ensuring (through advising Research Committee and Vice-Chancellor's Executive Team [VCET]) that the University's preparations for REF 2021 are consistent with the Guidance on Submissions and this Code of Practice. The REF Working Group and the Research Committee have advisory roles in relation to REF; the VCET's role is to consider advice and make decisions.

19. The Research Committee will receive progress reports regarding REF, identification of staff with significant responsibility for research, determining who is an independent researcher, and the selection of outputs, as a standing item in its agenda, together with Equality Impact Assessment reports. The Committee's discussions and subsequent reports to Academic Board help to ensure transparency in the process, in addition to the Research Committee's formal recommendations to VCET regarding submissions to REF.
20. In order to ensure that all individuals involved in identifying individuals for submission to the REF are able to implement the Code of Practice and the University's policies and processes consistently, a programme of training led by a senior member of staff nominated by the Vice-Chancellor will take place for individuals in the following categories:
 - Members of the REF Working Group
 - Members of the VCET
 - Members of the Research Committee
 - Members of the Professorial and Readerships Committee
 - Staff of Strategic Planning and Student Administration
 - Faculty Deans and Associate Deans (Research)
 - Members of the REF Appeal Panel
21. Terms of Reference for the groups above are set out in Appendix 4. Role descriptions are contained in Appendix 5.
22. Training sessions will take place during Autumn 2019. The training covers the nature and application of this Code together with training on equality and diversity tailored to the REF process, using case studies as appropriate, to ensure that they have an awareness of the key legislation, its impact in terms of identification of staff for the REF, and an understanding of best practice in terms of ensuring that there is no discrimination in identifying staff for the REF.

DISSEMINATION

23. The University will ensure that all staff are aware of this Code of Practice and the policies, processes and criteria for the REF, and that everyone involved with the identification of staff and selection of outputs for inclusion in the University's REF 2014 submissions understands the Code and the University's commitment to comply with statutory obligations in relation to equality and diversity and to promote inclusivity at all stages in the selection process.
24. This Code of Practice and the University's processes and criteria will be disseminated widely, via
 - Faculty Deans and Associate Deans (Research)
 - University's staff intranet news pages and weekly electronic staff newsletter
 - Workshops for staff enabling issues to be raised and processes explained
25. The University will ensure that eligible staff absent from work are informed by letter about this Code of Practice and the processes and criteria for the inclusion of staff in submissions. There are no academic staff based outside the UK.

26. The results of staff identification and output selection decisions and appeals will be communicated to staff individually.

APPEALS

27. Once draft Unit of Assessment submissions have been reviewed and endorsed by the Research Committee and approved by VCET, this will be publicised and relevant information about individual academic staff will be made available to them by the Chair of the Research Committee on request. Having received this information, staff may informally discuss their inclusion/exclusion with the Chair of the Research Committee within two weeks of the information becoming available. That time limit may be extended if absence from the workplace means that an informal discussion is not possible within two weeks. If the individual is not satisfied with the explanation about their inclusion/exclusion and the outcome of the discussion they may appeal in writing within two further weeks to the Deputy Vice-Chancellor who will convene a REF Appeal Panel to consider such cases consisting of:
- Deputy Vice-Chancellor (Chair)
 - A professor of the University not involved in the identification of staff, nominated by the Vice-Chancellor
 - An external member with significant experience of identifying staff for inclusion in the REF
 - A Senior Member of Human Resources nominated by the Vice-Chancellor
 - The Director of Strategic Planning and Student Administration or nominee (Clerk)
28. The acceptable grounds for appeal against exclusion are normally limited to: (i) failure to adhere to this code of practice or (ii) incorrect or inappropriate application of the REF criteria as laid down by the relevant REF assessment panels. The REF Appeal Panel will consider the issues independently and advise VCET as to whether it agrees or not with the decision to include/exclude the individual, and the reasons for doing so. The REF Appeal Panel will give the appellant and the Chair of the Research Committee (or nominee) the opportunity to provide oral and/or written comments. The Chair of the Panel will formally write to any appellants, outlining the reasons for the Panel's final recommendation on their inclusion in, or exclusion from, particular submissions. The VCET will make the final decision as to the inclusion/exclusion of individuals in particular REF submissions after receiving the advice from the REF Appeal Panel. In cases where the VCET decides against the advice of the REF Appeal Panel, it will provide a written explanation to the individual member of staff of its reasons for doing so and advise the Panel of the same.
29. The Chair of the Appeal Panel will not be present in the meeting(s) of the VCET when either draft submissions or the recommendations of the Appeal Panel are considered.

EQUALITY IMPACT ASSESSMENTS

30. The University has undertaken an Equality Impact Assessment (EIA) to assist in the development of this Code of Practice and to determine whether its policies for the REF may have a detrimental impact on particular groups. Supported by analysis of data on identification as meeting criteria for inclusion in submissions, and relating to the spread of research outputs across different groups of staff, the EIA will be reviewed periodically during the REF process, to inform review of policy and processes and to ensure that any necessary changes to policy and process to prevent discrimination or promote equality are

implemented prior to the submission deadline. Further EIAs will be undertaken in October 2019, in August 2020 (based on the REF staff census), and in April 2021 (based on the staff included in REF submissions). EIAs will be published following the REF submission, including the outcomes of any actions taken to prevent discrimination or to advance equality.

31. Draft submissions considered by the Research Committee and VCET will be accompanied by anonymised statistical data on the diversity of individuals included within each draft submission in line with the University's Equality and Diversity policy in order to ensure appropriate monitoring. This monitoring will endeavour to ensure that the institution is legally compliant and that best practice in the sector is followed, bearing in mind the need to obtain the maximum outcome for the University from the REF submissions. Any issues will be referred to the Research Committee for reconsideration before the submissions are finalised.

Part 2: identifying staff with significant responsibility for research

32. Glyndŵr University falls into the category of institutions for which the definition of Category A eligible staff¹ will identify staff who do not have significant responsibility for research. As a consequence the University has developed criteria and a process to identify which staff meeting the core eligibility criteria have significant responsibility for research. Underpinning this work has been the principle that the criteria and process should be reliable and capable of straightforward verification.
33. The University considered a range of factors which can contribute to an assessment of 'significant responsibility' including those set out in paragraph 141 of the Guidance on Submissions (REF 2018/01 January 2019), taking into account that a member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs.

'Explicit time and resources are made available'

34. A Work Allocation Model has been implemented by the University; the WAM identifies time allocated for research. However the WAM process is in its early stages at the University and in the short term, is unlikely to be a reliable guide to identifying 'significant responsibility'.

'To engage actively in independent research'

35. The majority of the research undertaken across the University is not funded through a specific external grant or contract, and a very small number of academic staff are Principal Investigators in funded project work. The unfunded research activity taking place across the University is valued and valuable; however there is currently no consistent and reliable method of assessing the extent to which any member of staff leads or contributes to such activity, enabling an assessment of either 'independence' or 'significant responsibility'. Taking the PI role as the principal indicator of 'independence' would be overly selective and would act against the University's desire to take an inclusive approach to REF 2021.

'And that is an expectation of their job role'

¹ Category A eligible staff are defined as academic staff with a contract of employment of 0.2 FTE or greater, on the payroll of the submitting institution on the census date, whose primary employment function is to undertake either 'research only' or 'teaching and research'.

36. The majority of academic staff have ‘teaching and research’ contracts of employment. Glyndŵr University is a small institution with a cohort of academic staff who are often at relatively early stages of their research pathways, whatever their achievements in professional practice may be. Following restructuring, many of the current academic staff cohort of the University have less experience of undertaking research than did their predecessors, with a consequent focus of researcher development activity on supporting academic staff who are at earlier stages of research careers. Academic Employment Function on its own is judged to be a poor measure of ‘significant responsibility’. Consideration has also been given to academic career pathways (for example, enabling staff to focus on teaching, knowledge exchange, research, leadership, etc.). However, no formal processes are in place or under development in this field, and so this cannot assist in the identification of staff with ‘significant responsibility’.

GLYNDŴR UNIVERSITY’S CRITERION FOR IDENTIFYING ACADEMIC STAFF WITH SIGNIFICANT RESPONSIBILITY FOR RESEARCH, DETERMINING WHO IS AN INDEPENDENT RESEARCHER

37. To set criteria capable of reliable and straightforward verification supporting the University’s inclusive approach to REF 2021, the University has opted to use only the criteria for staff to be eligible for nomination as a Principal Supervisor in the supervisory team of a postgraduate research student. This is an appropriate approach for an institution in which responsibility for a research student is a particularly important research related role to take on. The criteria demand that the individual can demonstrate active involvement in ongoing [research] projects and has experience of supervising research at M level or above. This approach enables the University to maximise inclusiveness while at the same time ensuring a reliable and straightforward method of verification.
38. The process used by the University to confirm staff as eligible to be nominated as a Principal Supervisor is administered by the Student Administration office. Associate Deans (Research) confirm that a member of staff meets the criteria. The form used is included in Appendix 2, together with the University of Chester criteria².
39. The register of potential PGR Principal Supervisors will include academic staff who are not Category A eligible staff, by virtue of their contracted FTE (i.e. less than 0.2 FTE) and so who will not be eligible for inclusion in a submission to REF 2021.
40. The Head of Research Services maintains a list of academic staff eligible to be included in REF submissions, which is updated twice annually and based on the most recent PGR Supervisors Register. The University aims to ensure that it identifies all eligible staff who can be included in REF submissions, and that its policies and processes are implemented consistently across the institution. In the month preceding the REF Census Date, additional checks will be made in liaison with the University’s HR Department to ensure that there are no accidental omissions. The approach to identifying staff with significant responsibility for research does not vary by unit of assessment.

Part 3: Determining research independence.

41. The University’s arrangements for determining independence as are set out in Part 2: identifying staff with significant responsibility for research.

² The University of Chester is Glyndŵr University’s awarding body, for research degrees.

Part 4: Selection of outputs

42. In establishing criteria for the selection of outputs for inclusion in submissions to REF 2021, the University has taken into account the published REF Guidance which includes the requirement to include at least one output for each Category A submitted staff member (unless individual circumstances apply).
43. The criteria are based on the principle that the University has an overriding obligation to ensure that it best meets the generic and specific requirements of REF 2021 in terms of research quality in order to maximize the outcome for the University but with due regard to equality and diversity.
44. The main guiding principle to be adopted is that the REF is an assessment of research quality of Units of Assessment and that outputs will be judged for inclusion within UoA submissions on the basis of an evaluation of their quality (in terms of originality, significance and rigour), in light of the wider strategic objectives of the University with reference to the specific panel and generic requirements for REF submission.
45. Selection of outputs for inclusion in submissions will take place during the first 6 months of 2020, following dissemination of the Code of Practice, dissemination of information about policies and processes and selection criteria, and relevant training for individuals involved in the selection of outputs.
46. The University has established a REF working group to manage the process of selecting outputs. The working group comprises the PVC (Research), the two Associate Deans for Research and the Head of Research Services. Those staff will receive training as described above.
47. The University may include outputs of former staff in submissions. In that event, outputs will be selected through discussion in the REF Working Group. The University has confirmed to the University and College Union that it may include in that selection, outputs of former members of staff whose posts have been made redundant who have continued to have an academic relationship with the University (for example, as a Visiting Professor).
48. In the event that the REF Working Group requires assistance in assessing the apparent quality of outputs under consideration for inclusion in submissions, members of the Professorial and Readerships Committee with no direct association with the submitting UoA will be asked to assess quality, and to advise in circumstances where there are more outputs of equivalent quality available than are required for submission, taking into account the provisions of paragraph 43.
49. Where individuals and outputs may reasonably be associated with more than one REF unit of assessment, the VCET will make the final decision on with which UoA the association will be made, based on recommendations from the REF Working Group.
50. Members of the REF Working Group involved in selecting outputs for submission to the REF are expected to declare to the Chair of the Group any relevant interests related to outputs under consideration, and to withdraw from any discussion relating to those outputs. Personal data collected in the course of preparing and making submissions to the REF will be processed in accordance with current Data Protection legislation and regulations.

Individuals have a right to check or amend the data held, to know what it is being collected for and how it will be used. Due care will be taken to ensure confidentiality. The data collected for the REF will only be used to prepare and make submissions to the REF and to inform future University research strategy.

51. All individuals who meet the criteria for inclusion in the University's submissions will be provided by the REF Working Group with relevant information drawn from the Guidance on Submissions and invited to complete a "Declaration of individual staff circumstances form". Individuals will be free to choose whether or not to declare any characteristic which would enable a reduction in the number of research outputs required to be included in the REF submission. The forms will be submitted in confidence to the University's Human Resources Department to enable individual circumstances to be taken into account in the drafting of submissions. Where an individual has experienced circumstances with an equivalent effect to absence as described in paragraph 160e. of the Guidance on submissions, Organisational Development and Diversity Manager will be asked to advise the REF Working Group regarding the reduction to be applied. In the case of circumstances listed in Tables L1 and L2 and relating to Qualifying periods of family-related leave in Annex L: Reductions for staff circumstances [REF 2018/01 Guidance on Submissions], that advice will be based on the tariffs set out in that Annex. In the case of other eligible circumstances requiring a judgement about reductions, the advice will be based on an estimate of the equivalent months absence from work in terms of the impact of the circumstances on the individual's ability to work productively in the assessment period, applying the reductions as set out in Table L2 by analogy. Academic staff are encouraged and supported to engage in research activity and produce research outputs, and the preparation of a Personal Research Plan is a requirement for staff seeking to be eligible to act as a postgraduate research student supervisor. However the University does not set specific targets for individuals regarding research activity and research outputs, and a disclosure of individual circumstances in the context of the REF does not have any detrimental impact on the University's expectations of any individual.
52. The REF Working Group will consider on a case by case [UoA] basis whether or not the declaration of individual circumstances leading to a reduction in the number of outputs required in the case of one or more individuals merits a request to reduce the total number of outputs required for that UoA, based on the cumulative impact on the number and range of outputs available for selection where equality related issues have had a disproportionate effect.

BREACHES OF THE CODE

53. Breaches of the Code may be regarded as misconduct and treated seriously by the University under the disciplinary policy/procedures.

CONTACT FOR ENQUIRIES

54. Staff may contact the Head of Research Services for information and/or advice about the REF.

Part 5: Appendices

Appendix 1 – Personal Circumstances

This appendix provides a list of circumstances in which individuals' personal circumstances may have the effect of reducing the number of outputs required for inclusion on a submission. This information is taken from the REF Guidance on Submissions (REF 2018/01 January 2019), *Annex L: Reductions for Staff Circumstances*.

1. Circumstances with a clearly defined permitted reduction in the output pool for a UoA:

- a) Qualifying as an Early Career Researcher, as defined in the Guidance on Submissions paragraph 148.
- b) Absence from work due to secondments or career breaks
- c) Absence from work due to maternity, paternity or adoption leave

2. Circumstances requiring a judgement about reductions

In the following circumstances institutions are required to make a judgement about the effect of the circumstances in terms of the equivalent period of time absent. Where a draft submission includes staff who have declared such circumstances, the REF Working Group will seek the advice of the Human Resources Department to come to a judgement as set out in paragraph 51 of this Code.

- a) Disability
- b) Ill health, injury, or mental health conditions
- c) Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside the allowances set out in Annex L
- d) Other caring responsibilities (such as caring for an elderly or disabled family member)
- e) Gender reassignment
- f) Other circumstances relating to protected characteristics (Age, Disability, Gender reassignment, Marriage and civil partnership, Pregnancy and maternity, Race, religion and belief including non-belief, Sex (including breastfeeding and additional paternity and adoption leave), Sexual orientation, Welsh language), or relating to activities protected by employment legislation

The University supports individuals who declare equality-related circumstances to mitigate against negative impacts on the productivity and outputs of researchers by providing a process to declare circumstances, which in turn provides the University with the opportunity to support them wherever reasonably practicable. Staff whose outputs are eligible for submission are sent guidance which invites them to disclose any equality-related circumstances as set out above that may have an impact, to enable the University to:

- recognise the effect that the circumstances may have on an individual's ability to research productively and to adjust expectations in terms of expected workload/production of outputs;
- determine if the declared circumstances are sufficiently high enough to warrant a request for a reduced number of required outputs to be submitted;
- provide appropriate support to the individual where reasonably practicable.

Should any staff members have experienced constraints due to one or more of the circumstances detailed in this Annex they are invited to complete a form to share their disclosure, should they wish to. The form is completed and returned to the University's HR Team, where a copy is secured confidentially on the individual's personnel file. Following an assessment of the equivalent period of absence from work, the individual is made aware that that information only will be shared

confidentially with the REF Working Group and their line manager and are asked for their permission to share this information.

The form also asks the individual if they give permission for a member of the HR Team to meet with them to discuss their circumstances and requirements in order to discuss support mechanisms.

Appendix 2 – University of Chester criteria for Approval of an Individual as Accredited UoC PGR Supervisor; Glyndŵr University approval form

University of Chester: Quality and Standards Manual Handbook G: Postgraduate Research Degrees Section 4: Supervision

Criteria for Appointment of Supervisors

2.1. The University sets minimum essential eligibility criteria that academic staff must meet in order to be considered for approval as a PGR supervisor. Meeting this criteria does not entitle an individual to act as a supervisor, which is subject to the approval of their Head of Department.

2.2. Individual academic departments may set higher eligibility criteria, such as requiring greater experience or higher qualifications.

2.3. For the appointment of individuals as Principal Supervisors across PhD, MPhil and Professional Doctorate programmes the criteria are:

2.3.1. *Either*, the individual is a subject specialist and currently research active, as demonstrated by a publication record which includes both recently published work and work in progress, or active involvement in on-going projects;

2.3.2. *Or*, the individual is an expert practitioner, demonstrated by ten years or more of professional experience in a relevant field that includes holding an appropriate senior position, and being involved in on-going research projects;

2.3.3. Experience of the supervision of research projects at M level (or above);

2.4. An individual who does not have any previous supervisory experience will not be appointed as a Principal Supervisor.

2.5. The criteria for appointment as Secondary Supervisor are:

2.5.1. *Either*, the individual is a subject specialist and currently research active, as demonstrated by a publication record which includes both recently published work and work in progress, or active involvement in on-going projects.

2.5.2. *Or*, the individual is an expert practitioner, demonstrated by appropriate professional experience in a relevant field that includes holding an appropriate senior position, and being involved in on-going research projects;

2.6. Supervisors should have relevant research experience and normally hold a qualification at Doctoral level or, alternatively, at least to Master's level where the Master's has a demonstrable piece of independent research associated with its award. Qualifications of PhD or Professional Doctorate should be from a higher education institution providing secure academic standards for undertaking research and learning about research approaches, methods, procedures and protocols and with a research environment that offers students quality of opportunities and support. The qualifications held should be relevant to the subject matter and have made a contribution to original research;

2.7. All supervisors are required to engage in professional development as appropriate in relation to best supervisory practice. Additionally all appointed supervisors must undertake appropriate supervisor development at least every three years.



APPROVAL OF INDIVIDUAL AS ACCREDITED UOC PGR SUPERVISOR

This form should be used to add Wrexham Glyndŵr University (WGU) academic staff members to the University of Chester’s Accredited Supervisor List. It should be completed by the individual seeking approval and signed off by the appropriate Faculty Associate Dean (Research).

The process for individuals who are external to WGU and wish to be considered for approval is the same.

Further information on the eligibility criteria for PGR supervisors can be found in Section 4, Handbook G of the Quality and Standards Manual which is appended to this form.

PLEASE TICK ALL BOXES THAT APPLY

SECTION A			
Name			
Job title			
Email address			
Faculty	Faculty of Arts, Science and Technology FAST	<input type="checkbox"/>	
	Faculty of Social and Life Sciences FLS	<input type="checkbox"/>	
SECTION B			
Please select the supervisor status being confirmed	Principal	<input type="checkbox"/>	Secondary <input type="checkbox"/>
<i>Principal</i>			
Please confirm the individual meets the eligibility criteria to act as Principal Supervisor			
Principal (at least one box to be ticked in this section)	<i>Either</i> , the individual is a subject specialist and currently research active, as demonstrated by a publication record which includes both recently published work and work in progress, or active involvement in on-going projects	<input type="checkbox"/>	
	<i>Or</i> , the individual is an expert practitioner, demonstrated by ten years or more of professional experience in a relevant field that includes holding an appropriate senior position, and being involved in on-going research projects.	<input type="checkbox"/>	
Principal (at least one box to be ticked in this section)	<i>Either</i> , holds Doctoral level qualification	<input type="checkbox"/>	
	<i>Or</i> , holds Masters level qualification with demonstrable piece of independent research	<input type="checkbox"/>	
Principal	Experience of the supervision of research projects at M level (or above)	<input type="checkbox"/>	
OR			
<i>Secondary</i>			
Please confirm the individual meets the eligibility criteria to act as Secondary Supervisor			
	<i>Either</i> , the individual is a subject specialist and currently research active, as demonstrated by a publication record which includes both	<input type="checkbox"/>	

Secondary (at least one box to be ticked in this section)	recently published work and work in progress, or active involvement in on-going projects	
	Or , the individual is an expert practitioner, demonstrated by ten years or more of professional experience in a relevant field that includes holding an appropriate senior position, and being involved in on-going research projects.	<input type="checkbox"/>
Secondary (at least one box to be ticked in this section)	Either , holds Doctoral level qualification	<input type="checkbox"/>
	Or , holds Masters level qualification with demonstrable piece of independent research	<input type="checkbox"/>
SECTION C		
To be completed by the Associate Dean (Research)		
I confirm: <ul style="list-style-type: none"> ✓ the individual stated above meets the eligibility criteria as outlined in Section 4 of Handbook G (appended) for the type of supervisor status being granted ✓ where appropriate documentation confirming the eligibility as above has been witnessed and retained within the Student Administration office ✓ the individual stated above has a current Personal Research Plan (i.e. within the last 12 months) 		
Eligibility Recommendation for completion by ADR:	Principal Supervisor <input type="checkbox"/>	Secondary Supervisor <input type="checkbox"/>
Name		
Signature		
Date		

Please return this form and supporting documentation to studentadministration@glyndwr.ac.uk

Please ensure that the supporting documentation provides evidence of meeting specific criteria

Typed signatures cannot be accepted, please add an electronic stamp to the form or sign in hard copy.

SECTION D – Noted by Chair of URDSUBC			
Name			
Signature		Date	
SECTION E – UoC Senior PGR Tutor Sign Off			
Name			
Signature		Date	
SECTION F – University of Chester Student Administration Office			
Name			
Signature		Date	
SECTION G – Student Administration Register/DB/Email Distribution List Update			
Name			
Signature		Date	

Appendix 3 – REF Working Group Terms of Reference and Membership

RESEARCH EXCELLENCE FRAMEWORK 2021

REF Working Group – Terms of Reference and Membership

Terms of Reference

1. To inform and to make recommendations to Research Committee, Vice-Chancellor's Board and Vice-Chancellor's Executive Team as appropriate in relation to the preparation of submissions to REF 2021.
2. To make recommendations regarding requests for exceptions from submission.
3. To ensure that the University's preparation of submissions is consistent with the requirements set out in the Guidance on Submissions, and with the University's Code of Practice on the fair and transparent identification of staff with significant responsibility for research, determining who is an independent researcher, and the selection of outputs.
4. To select research outputs for inclusion in submissions, with the benefit of independent external assessment where available, on the basis that the University has an overriding obligation to ensure that it best meets the generic and specific requirements of REF 2021 in terms of research quality in order to maximize the outcome for the University but with due regard to equality and diversity.

Working Methods

1. The Group shall meet at least once per semester and more frequently when required; the Group's business may also be conducted by correspondence.
2. The Group shall make recommendations to Research Committee, Vice-Chancellor's Board and Vice-Chancellor's Executive Team as appropriate in relation to the preparation of submissions to REF 2021.
3. The Chair is authorised to take such executive action as may be necessary to expedite urgent business in between meetings, provided that the Chair is content that the full Group would approve the decision and that a report of such action is provided to the Group.
4. The Group's decisions shall be based on consensus wherever possible.

Membership

Pro Vice-Chancellor (Research) (Chair)
Associate Dean (Research), Faculty of Arts, Science and Technology
Associate Dean (Research), Faculty of Social and Life Sciences
Head of Research Services

Additional members may be co-opted where specific expertise is required.

Appendix 4 – Terms of Reference for:

- 4.1 Vice-Chancellor’s Executive Team
- 4.2 Research Committee
- 4.3 Professorial and Readerships Committee

VICE-CHANCELLOR’S EXECUTIVE TEAM (VCET)

Terms of Reference

1. **Financial Health** - To ensure appropriate arrangements are in place for the managing and monitoring of the financial health of the University in line with best practice enabling the University to expand its resource capability.
2. **Resource Management** - To review and evaluate in year resource utilisation across the University and determine appropriate corrective action.
3. **Strategic Imperatives** - To identify strategic initiatives / projects and determine their value against the University’s Strategic Framework and plan for the impact of them on the University’s available resources.
4. **Action Planning** - To review and assess the University’s status in relation to:
 - Finances
 - Income generation
 - KPIs

and take appropriate decisions and identify individuals/teams to formulate action plans to progress the University’s position in relation to its Strategic Framework.

5. **Partnerships** – To receive and approve proposals on University Partnerships to further enhance the University’s provision and standing within the sector and beyond. In addition report to the Board of Governors on such partnerships which are of high risk and have a strategic and financial impact on the University.
6. **External Impacts** - To receive and share information on the external environment and the potential impact on the sector/University thereby determining appropriate actions to mitigate against any potential negative impact.
7. **Risk Management** - As part of its normal mode of operation, the Committee will identify, consider and keep under review any risk implications associated with carrying out its remit and make changes, where appropriate, to manage those risks.
8. To consider issues referred from other Boards or one of its sub-committees, taking decisions and providing detailed advice and guidance as may be appropriate in order to support the efficiency and effectiveness of its/their work and/or make recommendations to one of its sub-committees as appropriate providing evidence/audit trails and proposals for enhancement where necessary to support and inform subsequent decision making.

Modus Operandi

- The VCET shall report to the Board of Governors matters that are appropriate within its jurisdiction.
- The VCET shall refer to the VCB, as appropriate, matters which require further debate and consideration.
- The VCET shall refer to Academic Board matters that are appropriate, within its jurisdiction.

- The VCET may delegate some functions to sub-committees as appropriate, but will monitor the activities undertaken on its behalf by such sub-committees.
- The VCET shall, at all times, work within the policies and procedures of the University.
- The VCET shall meet, generally every three weeks, with meetings scheduled one week ahead of VCB, which also meets every three weeks during the academic year. Meetings normally take place on Monday afternoons.
- Agenda items, with any supporting documentation must be submitted no later than lunch time of the preceding Thursday.

Membership

Vice-Chancellor and Chief Executive (Chair)	1
Deputy Vice-Chancellor	1
Pro Vice-Chancellor. Partnerships (UK and International)	1
Pro Vice-Chancellor, Research*	1
Director of Operations	1
Director of Finance	1
Director of Human Resources	1
Total	7

Clerk

Senior Executive Officer/PA	1
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*Part time position; not required to attend all meetings.

RESEARCH COMMITTEE

(November 2018)

Status: A committee of Academic Board

Reporting: Reporting to Academic Board and acting in accordance with the Standing Order on the Conduct of Committees

Rationale: To support the Academic Board in its discharge of responsibility for research across the University, in particular through the development of relevant policies and procedures

Terms of Reference

MATTERS FOR RECOMMENDATION

1 To recommend to Academic Board the establishment and development of policies and procedures to support and embed research activity in the University.

MATTERS FOR REPORT (Delegated Powers)

2 To advise the Vice-Chancellor and the Executive Group on research activities, recommending Key Performance Indicators to underpin the objectives in the University's Strategic Plan relevant to research activity and monitoring progress against strategic targets for research activity and its impacts.

3 To monitor via an annual report the performance of the University's provision of research degree programmes in terms of the enrolment, progression, withdrawal and completion of candidates including those enrolled on taught and research components of the Professional Doctorate programmes and to be assured that procedures for assessing research degree registration proposals, monitoring reports and examining arrangements are exercised appropriately.

4 To act as a forum for the identification and dissemination of good practice in research across the University and to consult and communicate with the Faculties on such matters, overseeing the development and provision of research methodology training programmes for new research degree candidates and others; transferable skills development programmes and processes for all research degree candidates; establishing and overseeing training for research degree supervisors; and overseeing the University's implementation of the Concordat to support the career development of researchers.

5 To oversee the University's implementation of the Concordat to Support Research Integrity, to include oversight of the work of the Research Ethics Sub-Committee.

6 To ensure that relevant regulations and codes of practice (in particular the UK Quality Code for Higher Education) are fully considered in the development of Research Degree Programmes.

7 To ensure that effective arrangements are established through the Student Voice, surveys and other means to enable student feedback to contribute to the enhancement of provision, to ensure that feedback is given due consideration and to monitor the University's responses to such feedback.

8 To determine the standards, policies and procedures in relation to the inclusion of research outputs in the Research Repository and to receive an annual report from the Head of Research Services regarding the Research Repository.

9 To consider, approve and report on draft University responses to consultation papers relating to research and scholarship from external bodies such as the Funding Councils, University of Wales, University of Chester, QAA, Research Councils etc.

To provide for Academic Board:

- regular reports (as appropriate) consistent with its terms of reference, including information with regard to its sub-committees;
- a regular evaluation of the committee's effectiveness, participating in any effectiveness review of Academic Board, as appropriate.

10 To authorise the Chair to take such Executive action as may be necessary to expedite urgent business in between meetings, provided that the Chair is content that the full Committee would approve the decision and that a report of such action is provided to the Committee.

Membership (RC)

Pro Vice-Chancellor Research (Chair)

Vice Chair (Nominated from existing membership)

Researcher Development Tutor

Associate Dean (Research) or alternative member nominated by the Dean if the Associate Dean already has a role on the committee (x2)

Academic staff nominated by Deans of Faculties (x2) – one from each faculty

Strategic Planning and Student Administration Representative

Pro Vice-Chancellor for Partnerships (UK & International)

OpTIC Site Director

Research Staff Representative

PGR student representatives (x2)

Co-opted members (x2)

By invitation

External Adviser

In attendance

Clerk/Secretary

Frequency of Meetings

The Research Committee shall meet no less than 3 times in each Academic Session

Professorial and Readership Committee

The Professorial and Readership Committee is a committee of the Vice-Chancellor's Board and will determine the conferment of the title of Professor, Reader, Emeritus/Emerita Professor, Visiting Professor and/or Visiting Senior Fellow as appropriate. In addition the Professorial and Readership Committee will be notified of Visiting Research Fellow/Industrial Fellow and Visiting Researcher appointments that have been made by the Head of School.

1. To make arrangement for consideration of applications for conferment of Professor and/or Reader linked to an externally advertised post;
2. Stage One: To consider through references and give preliminary consideration to applications for Professor and Reader and establish prima facie cases;
3. Stage Two: To consider through external assessment and/or interview the suitability of the candidates who have passed Stage One for the conferment of the title Professor and Reader;
4. To consider recommendations for the appointment of Emeritus/Emeriti Professors;
5. To consider recommendations for the appointment of Visiting Professors and Visiting Senior Fellows or note appointments made through Chair's Action;
6. To receive reports on the appointment of Visiting Research / Industrial Fellows and/or Visiting Researchers appointed at School level.
7. To establish a Professorial Advisory Committee to raise the research culture of the University.

Modus Operandi

- The Professorial and Readership Committee has delegated authority to make appropriate appointments based on the Professorial and Readership Guidelines but shall report to Vice-Chancellor's Board when such appointments have been made.
- The Professorial and Readership Committee shall inform Human Resources, as appropriate, on all appointments made.
- The Professorial and Readership Committee shall report to VCET/Vice-Chancellor's Board, as appropriate, on all matters falling within its jurisdiction.
- The Professorial and Readership Committee may nominate members to sit on interview panels for external appointments at Professorial and Readership level.
- The Professorial and Readership Committee shall invite any of the University's Readers to attend a meeting if it is deemed appropriate to the agenda.
- The Professorial and Readership Committee shall normally meet twice a year.
- The Professorial and Readership Committee shall, at all times, work within the policies and procedures of the University.

Membership

Chair - Vice-Chancellor and Chief Executive	1
Vice-Chair – Deputy Vice-Chancellor	1
All Professors of the University	

Attendance at a Professorial and Readership Committee will be drawn from the pool of Professors who will be chosen for the specialist areas required for the applications submitted and will be determined by the Chair and Vice Chair of the Professorial and Readership Committee. Where possible such Membership should provide a degree of continuity in constitution in order to ensure consistency and fairness.	6
Dependant on the agenda and applications received it may be appropriate for a Reader(s) to be chosen from the pool of University's Readers to attend	2
One external Professor to the University (optional)	1
Total	10

Dependant on the agenda and applications received it may be appropriate for a Reader(s) to be chosen from the pool of University's Readers to attend (2) One external Professor to the University (optional) 1 Total 10

Clerk: Senior Executive Officer

In Attendance:

Any member of staff may be asked to be in attendance at Professorial and Readership Committee from time to time at the request of the Chair.

Quorum: 4 (normally to include Chair or Vice Chair).

Appendix 5 – Role Descriptions

Pro Vice-Chancellor (Research)

The PVC (Research) role is 0.4 FTE . It includes responsibility for stimulating research activity, income and outcomes across the University as well as leading the preparations for an application for Research Degree Awarding Powers. The PVC (Research) chairs the REF Working Group and the Research Committee, and acts as the link between REF preparations and the Vice-Chancellor's Executive Team.

Associate Deans (Research)

Each of the University's two faculties has an Associate Dean (Research) (0.4 FTE). The Associate Deans provide both strategic and operational leadership within their faculties in relation to research activity, income and outcomes. The Associate Deans are key members of the REF Working Group, assessing data, considering outputs and case studies which may be included in REF submissions, and leading the preparation of environment statements.

Head of Research Services

The Head of Research Services leads on the development and implementation of research support services including contracts and agreements, open access to research outputs and research data, the management of intellectual property, research ethics, compliance with Codes of Practice and the requirements of funders, accreditors and regulators, and associated internal and external reporting. The Head of Research Services is a member of the REF Working Group, providing logistical support including communications with staff, data analysis and impact case study drafting.