

**CARDIFF METROPOLITAN UNIVERSITY**  
**CODE OF PRACTICE ON PREPARING SUBMISSIONS FOR THE**  
**2021 RESEARCH EXCELLENCE FRAMEWORK**

NOTE: This Code of Practice has been reviewed in light of the delay to REF2021 caused by COVID19 and the subsequent revisions to the exercise announced by the REF Team in July 2020. Where made, revisions have been highlighted.

The revised submission date for REF2021 is 31<sup>st</sup> March 2021

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## Part 1: Introduction

1. This Code of Practice details the principles and procedures Cardiff Metropolitan University (The University) will apply in preparing its submission to REF2021. It has been developed in accordance with the published REF guidance (REF 2018/01: Guidance on Submissions and REF 2018/03: Guidance on Codes of Practice), which is informed by the Equality and Diversity Advisory Panel (EDAP), and with regard to relevant legislation. It has been further informed by lessons learned through participation in previous research assessment exercises and has been the subject of wide consultation with schools and other stakeholders, specifically Research & Innovation Committee, Equality & Diversity Delivery Group and UCU.
2. The University recognises that unlawful discrimination is unacceptable in any form and is committed to treating individuals with dignity and respect, valuing their contribution, and providing an environment that promotes equality of opportunity.
3. The University is committed to promoting and implementing best practice in Equality and Diversity (E&D) in order to provide a working and learning environment free from any form of stereotyping, harassment, intimidation, victimisation or discrimination on the grounds of age, nationality, sex, race, colour, ethnic or national origin, disability, religion and belief, sexual orientation, gender reassignment, marital status and civil partnership, pregnancy and maternity, language, social origin, political opinion, property and birth or status. The University's Equality & Diversity Delivery Group is chaired by the Pro Vice Chancellor for Student Engagement. Under her guidance, Cardiff Met has committed to a number of external awards and standards relating to E&D (see below).  
The University's Equal Opportunities Policy can be found at [Annex 1](#).
4. The most notable finding of the Equality Impact Assessment (EIA) carried out on the University's submission to REF2014 was that both the group of staff who requested to be considered for inclusion, and the group of staff who were ultimately included in the REF submission, included a lower percentage of female staff than the original eligible group. Conclusions in relation to other protected characteristics were either difficult to arrive at due to the small number of staff involved or showed no particularly concerning trends.
5. Since 2014, the University has undertaken a number of measures in relation to the promotion of E&D and specifically achieving a gender mix at the various levels of the institution which is more representative of the University's overall staff profile. Most notably, an Athena Swan bronze award has been gained at institutional level whilst three Schools have also gained bronze awards in their own right; Cardiff School of Health Sciences, Cardiff School of Sport and Cardiff School of Art & Design. Bronze award applications for both the Cardiff School of Education & Social Policy and the Cardiff School of Management are currently in development.
6. The University has also committed to improving employment opportunities and career development for disabled people and in recognition of this Cardiff Met has been certified as a Level 2 Disability Confident Employer. The institution is currently working to embed the principles of the Advance HE Race Equality Charter Mark aimed at improving the representation, progression and success of ethnic minority staff and students in higher education.
7. Cardiff Met is a Stonewall Diversity Champion, having signed up to the Stonewall Diversity Champions Programme in 2013. The programme provides an excellent framework for helping create a working environment that enables LGBT+ staff to reach their full potential. The University is committed to ensuring that our organisation is LGBT+ inclusive and a place where staff can be themselves. To achieve this, the University participates in Stonewall's annual Workplace Equality Index as a means of assessing our progress

on LGBT+ equality against best practice across 445 organisations. Cardiff Met are proud to have won a place in the Top 100 Employers list for 2019.

8. In 2017, the University launched its Strategic Plan 2017/18 – 2022/23 which includes specific Measures of Success to almost double the percentage of higher level managerial posts held by women and to significantly increase the percentage of women who are Professors, Readers and research leaders at the institution. In pursuit of this aim, the University has launched the ‘Women to Readers and Professors’ Scheme which supports the career progression of female staff. Roughly 20% of the University’s female academics (n=44) attended the initial workshops, featuring a presentation by the PVC, Research & Innovation followed by a Q&A and a problem-solving workshop led by the Director of Research. 33 women enrolled onto a series of termly Action Learning Sets led by the Director of Research and designed to provide active and ongoing support for those with the ambition to reach Readership and Professorship levels. 13 have committed to submitting Readership or Professorship applications by June 2019 as a direct result of attending the first of these workshops.
9. The following principles form the basis of this Code of Practice and will be applied at all stages in the submission process.

Transparency	The process of preparing the 2021 REF submission is clearly defined, accessible, publicised and open to scrutiny and subject to a full consultation process.
Consistency	<p>The process will allow equal consideration to be given to all individuals who meet the definition of Category A Eligible staff i.e. academic staff with a contract of employment of 0.2 FTE or greater, who are on the Cardiff Met payroll on the census date (31/07/20) and whose primary employment function is to undertake either “research only” or “teaching and research”.</p> <p>All individuals who meet one of the following two criteria will be included in the Category A Submitted staff group, regardless of where they are located within the institution or which Unit of Assessment they may be returned to (the only exception being where there are a very small number of researchers working in a particular area as outlined in <a href="#">paragraphs 24-26</a>):</p> <p>CRITERIA 1: Staff employed on the census date on a “teaching and research” basis and who are considered as having a Significant Responsibility for Research (SRR) (see <a href="#">Part 2A</a> ).</p> <p>CRITERIA 2: Staff employed on the census date on a “research only basis” and who meet the definition of an independent researcher (see <a href="#">Part 3A</a>).</p>
Accountability	<p>All staff engaged in making judgements as part of the processes described within this Code of Practice will be identified by name and role and completely familiar with:</p> <ol style="list-style-type: none"> <li>i. This Code of Practice</li> <li>ii. The REF Guidance on Submissions</li> <li>iii. The panel criteria and working methods for relevant UoAs</li> <li>iv. The terms of reference of the committee of which they are a member</li> </ol> <p>All staff engaged in making judgements will have undertaken appropriate E&amp;D related staff development (see <a href="#">paragraphs 40 - 41</a>).</p> <p>All data will be held in accordance with GDPR requirements.</p>

Inclusivity	The process will promote an inclusive environment enabling the identification of all eligible individuals with a significant responsibility for research and allow for individual circumstances which may have had an effect on an individual's ability to produce research outputs.
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#### Communication of this Code with staff across the institution

10. Development of the processes detailed within this Code has taken place over a period of some months and during that time, the Director of Research and REF & Policy Manager have presented and discussed proposals at:
  - “All-School meetings” held by each academic School within the institution (November & December 2018 and January 2019)
  - Branch Committee meetings of the University & College Union (December 2018, March 2019, April 2019)
  - Research & Innovation Committee (October 2018, December 2018, February 2019, May 2019)
  - Equality & Diversity Delivery Group (May 2019)
11. At all stages, staff have been given an opportunity to ask questions and give their views. They have also been encouraged to contact either the Director of Research or the REF & Policy Manager separately with any questions or points of clarification.
12. In addition, a consultation with all staff was initiated in early May 2019 where staff were invited to comment on the draft Code of Practice. As part of this consultation period, the draft Code was specifically shared with the various representation groups which operate within the University (e.g. the Women’s Network, the BAME Network, the LGBT+ Network and the Disability/Accessibility Network) for their consideration.

A full timetable of events can be found at [Annex 2](#)

13. An internal SharePoint site, to which all staff have access, has been developed to house all documentation related to REF2021, including this Code of Practice. In addition, the internal Yammer system has and will continue to be used to alert staff to REF-related news and events.
14. A Welsh language version of this Code of Practice will be made available. The University will also explore the possibility of producing a short multimedia feature to explain the process in straightforward and easily digestible terms.
15. Mechanisms for communication with those staff who are eligible for REF but who are away from the institution due to an extended period of leave will vary according to the nature of that leave.

For staff on a period of extended sick leave: The relevant School will consider each individual on a case by case basis, taking into account the nature of their condition and any agreement reached with the individual prior to (or during) the period of sick leave regarding making contact with them.

For staff on parental or adoption leave: In most instances, Schools will have agreed with the individual before they began the period of leave on what basis they can be contacted and via what means. Where this is not the case, advice will be sought from Human Resources.

## **Part 2: Identifying staff with a Significant Responsibility for Research**

### **A: Policies and procedures**

16. For REF2021, institutions are required to include in their submission all staff who meet the definition of Category A Eligible staff, are independent researchers and who have been identified as having a significant responsibility for research on the census date of 31/07/20.
17. Staff with significant responsibility for research (SRR) are defined by REF as *those for whom explicit time and resources are made available to engage actively in independent research, and that is an expectation of their job role*.
18. Whilst all staff on academic contracts at Cardiff Met have been employed on what is contractually described as a “teaching and research” basis since 1992, in fact, like many in the sector this is not a fair representation of their role profile. All these staff have a guaranteed minimum allocation of time for ‘research and/or scholarly activity’ the latter of which includes professionally relevant activities such as external examining or engaging with professional bodies. Even where staff do have some responsibility for research, it cannot be assumed that this responsibility is *significant*, since research can amount to a small proportion of their overall profile. As a result, while these staff are Category A Eligible, it cannot be assumed that they are either independent researchers (see below) or that they have a significant responsibility for research, or that it is an expectation of the role. This being the case, Cardiff Met is unable to submit 100% of Category A Eligible staff to REF2021 and has therefore developed a definition of SRR and a process for identifying Category A Eligible staff who are independent researchers with a significant responsibility for research. Both the definition and the process will be applied consistently across the whole institution.
19. At Cardiff Met, staff with SRR are those who:
  - Are employed on a Teaching and Research basis and are therefore expected to undertake research and/or scholarly activity as part of their role, and are allocated time for this (ie it is an expectation of their job role).

AND

  - Explicit time and resources are made available specifically to engage in independent research activities (rather than scholarly activity) for at least 20% of their time and this is recorded within their Workload Allocation Model (WAM).

AND

  - Any research activity listed in the WAM is considered as independent research except where the individual is enrolled for a PGR degree and has been allocated time and resource for the purpose of completing their studies, as the individual will not meet the REF definition of an independent researcher<sup>1</sup>(see [paragraph 27 STAGE 3](#) for further detail).
20. Having considered sector wide debate, Cardiff Met will define individuals as having significant responsibility for research (SRR) if at least 20% of their time is spent engaged in independent research related activities on the REF census date of 31/07/20 and this has been recognised in their workload allocation.
21. This will be determined via detailed scrutiny of the Workload Allocation Model (WAM) which is used across the University to agree time allocations for work-related duties. Use of the WAM ensures a consistent and

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<sup>1</sup> Guidance on Submissions paragraph 131: For the purposes of REF, an independent researcher is defined as an individual who undertakes self-directed research, rather than carrying out another individual’s research programme.

transparent approach to the identification of the Category A Submitted staff pool. For the purposes of this exercise, WAM returns collated by Schools at the commencement of the 2019/20 academic year will be considered as these will be in place on the REF census date.

22. The maximum annual time allocation for an academic member of staff on a full time contract is 1576 hours. Consequently, in order to arrive at the percentage of time engaged in independent research activities, the number of hours engaged in research will be expressed as a percentage of 1576, or the total number of hours allocated in the WAM, whichever is lower. For staff employed on a part time basis, the same calculation will be used but the lower of 1576 or the allocated hours will be multiplied by the individual's FTE.
23. A key aspect of Cardiff Met's approach will be to ensure Category A Eligible staff understand that the only judgement being made in this exercise is whether they have a significant responsibility for research according to the criteria described here. Previously understood precepts surrounding 'selection' no longer apply. Furthermore, not meeting the criteria for having a significant responsibility for research at this point has no bearing on whether or not this will be the case in future exercises.

#### Requesting exemption from submitting smaller units

24. The University will make every effort to include all staff who meet the definition of Category A Eligible staff, are independent researchers and are identified as having a significant responsibility for research on the REF census date via the process outlined below. However, where there are a very small number of researchers working in a particular area (ie the combined FTE of staff with SRR is lower than five), the University will request an exception from submission in that area. It is most likely that such an instance will occur in areas to which the University has not historically made a REF (or RAE) submission.
25. The University will make every effort to include the work of staff affected by such a decision in an alternative UoA submission where such an approach is practical and valid.
26. Any request for exemption to submit to a particular UoA will be made in line with the REF deadlines of May, September and December 2019. Each request will be made as early as possible and no later than November 2019 when the provisional Category A Submitted pool will be known. Staff who are affected by such a decision will be informed in writing by the Director of Research before the request is submitted to REF.

#### Process for establishing Significant Responsibility for Research

27. The process to establish SRR will involve 8 stages, as outlined below:

STAGE 1: Schools and Units will undertake the WAM process.

STAGE 2: HR will provide a list of Category A Eligible staff to the REF & Policy Manager, taken from the 2018/19 HESA return. Details will be provided to Schools and any other relevant units. Schools and Units will then:

- i. Alert the REF & Policy Manager of any individuals who do not appear on the list but who they believe are eligible in order that this can be queried with HR before the HESA return is finalised.
- ii. Ensure all Category A Eligible staff within their School or Unit have been included in the WAM process.

STAGE 3: An audit of all WAM returns will be undertaken by Research & Innovation Services (RIS) to determine which staff have a minimum of 20% of their time allocated to research & scholarly activity.

As noted in paragraph 19, individuals who are enrolled for a PhD, Professional Doctorate or Taught



Doctorate on the census date and have been allocated time in the WAM to pursue their studies will not be considered independent researchers. A list of such staff is held by RIS and will be used to discount these individuals from the process at this stage.

Individuals who are enrolled for the qualification of PhD by Published Works will however be considered independent researchers, even if they are enrolled for this award on the census date. This is in acknowledgment of the fact that the nature of this award is distinctly different from other PGR degrees as it is based on the contribution of published independent research undertaken by the individual to the subject field. Enrolment for such an award is for the purposes of examination only. No supervision is provided to the individual, rather, an advisor is appointed to provide general guidance on the presentation of the published works, and an associated written commentary, for examination.

**STAGE 4:** Where the time allocation has not been separated into the two distinct elements of research and scholarly activity at School level, WAM returns for those identified at STAGE 3 as having a minimum of 20% of time allocated to research & scholarly activity will be scrutinised by the Director of Research and the REF & Policy Manager in order to separate independent research activity from other scholarly activity.

The types of activities which will be considered as independent research will be:

- i. Involvement in research or knowledge exchange projects, including undertaking the project or the development of an application.
- ii. The development or creation of research outputs, including data collection, analysis and authoring.
- iii. Conference presentation.
- iv. Grant and/or output review, including journal editorial membership.
- v. PGR supervision and examination.

Any individual who spends at least 20% of their time undertaking independent research will be included in the provisional Category A Submitted staff pool.

**STAGE 5:** The Associate Dean of Research (ADR) and REF Coordinator for the relevant School will be consulted in order to identify any errors or omissions in the provisional list. Corrections will be made by the REF & Policy Manager as required.

**STAGE 6:** All Category A Eligible staff will receive an email from the Director of Research informing them of the decision to include, or not include, them in the provisional Category A Submitted staff group. A *pro forma* will be developed for this purpose and a blank copy appended to this Code of Practice by the end of Summer 2019 for reference. All those not included will be offered an opportunity to discuss the decision in person and will be advised of the appeals process (see [Part 2D](#)).

**STAGE 7:** At the end of the Summer term 2020, a second consultation with ADRs and REF Coordinators will take place to identify any significant changes to the 2019/20 WAM which require consideration. This is likely to include instances where an individual's WAM has changed significantly during the academic year due to unforeseen circumstances and allow for discussion regarding newly appointed staff (see [paragraphs 29-31](#)).

**STAGE 8:** The final Category A Submitted staff pool will be confirmed after the census date, following discussion with the PVC, Research & Innovation.

A flow diagram of this process can be found at [Annex 3](#).

28. A small number of Category A Eligible staff are based outside Schools and do not therefore participate in the WAM process. For the purposes of consistency and inclusivity, Category A Eligible staff who are not School based will be asked to undertake the WAM process for the 2019/20 academic year. R&I Services (RIS) will ensure that these staff are supported in undertaking this process. WAM returns from such staff will be included in the process outlined above.
29. Category A Eligible staff who commence employment after the 2019/20 WAM process has been completed by Schools, but before the census date, will by definition not be included in the process outlined above.
30. For the purposes of consistency and to ensure the inclusion of any such staff who meet the REF eligibility criteria, the relevant REF Coordinator (or equivalent) will ensure that all such staff complete the WAM process as soon as possible after taking up employment at Cardiff Met. It is intended that a rolling consideration of such individuals will take place throughout the period January – July 2020 in order that Schools can keep abreast of the likely size and makeup of the Category A Submitted pool in the run up to the census date.
31. Once the census date has passed, RIS will obtain data from HR to determine the final REF Category A Eligible pool. Any individuals who are part of the pool but have not been considered under the process outlined above, due to the lack of a WAM or lack of consideration of their SRR, will be considered via the same process as outlined above. Such individuals will have access to the appeals process and will be discussed with Schools in STAGE 7 of the process outlined above.

Timeline for process for establishing Significant Responsibility for Research

32. The timeline for the process of identifying Category A Eligible staff employed on a “teaching and research” basis and with a significant responsibility for research is as follows:

Activity	Date	Responsibility
WAM process (see STAGE 1)	To be completed by end September 2019	Schools and Units
Production of list of Category A Eligible staff (see STAGE 2)	September 2019	HR
Liaison re list with Schools and Units (see STAGE 2)	September 2019	REF & Policy Manager
Audit of WAM returns (see STAGE 3)	October 2019	REF & Policy Manager
Scrutiny of WAM returns for those with =>20% research and scholarly activity (see STAGE 4)	October 2019	Director of Research REF & Policy Manager
Consultation with Schools (see STAGE 5)	October 2019	Director of Research REF & Policy Manager
Agreement of provisional Cat A Submitted pool (see STAGE 5)	October 2019	Director of Research REF & Policy Manager ADR REF Coordinator
Communication of outcomes to individual staff (see STAGE 6)	November 2019	Director of Research
Submit requests for exemption from submitting for small units (if applicable) (see paragraphs 24-26)	November 2019	Director of Research

Appeals process (see STAGE 6)	November – December 2019	RIS Appeals Panel
Final provisional Cat A Submitted pool agreed (See STAGE 6)	January 2020	Director of Research
Completion of WAM forms for any new Category A Eligible staff (see paragraphs 29-31)	October 2019 – July 2020	Relevant REF Coordinator (or equivalent)
Scrutiny of WAM returns for new Category A Eligible staff with =>20% research and scholarly activity (see paragraph 29)	October 2019 – July 2020	REF & Policy Manager Director of Research
Communication of outcome to individual staff (see STAGE 6)	October 2019 – July 2020	Director of Research
Appeals process for new Category A Eligible staff (see paragraph 48)	October 2019 – July 2020	RIS Appeals Panel
Consultation with Schools (see STAGE 7)	June – July 2020	Director of Research REF & Policy Manager
Final Category A Submitted pool confirmed (see STAGE 8)	August 2020	PVC, Research & Innovation

33. It is acknowledged that confirmation of the final Category A Submitted pool will fall at a time when many academic staff are likely to be away from the University due to annual leave. This is somewhat unavoidable due to the census date falling on 31/07/20 which in turn means that the University will not officially know the final makeup of the Category A Eligible staff pool until August 2020. However, given the staged nature of the process, the majority of individuals will know if they will, or will not, be included in the Category A Submitted pool before the end of the 2019/20 Summer term.

## Part 2: Identifying staff with a significant responsibility for research

### B: Development of process(es)

34. Staff consultation has been integral to the development of this Code of Practice. It has taken place via five major routes:
- i. *Informal consultation:* UCU have been informed at major junctions in the process such as confirmation by the REF Team in November 2017 that it would be the responsibility of each institution to define SRR. Initial thoughts on how this could be managed at Cardiff Met were discussed with UCU Branch representatives at an early stage of the process.
  - ii. *Consultation via Committee:* A paper on initial thoughts with regard to defining SRR and development of the Code of Practice was discussed and approved at the University's R&I Committee on 18<sup>th</sup> October 2018. A follow up paper outlining the results of a pilot exercise was presented at R&I Committee on 12<sup>th</sup> December 2018. The draft Code of Practice was first considered at R&I Committee on 20<sup>th</sup> February 2019, with consideration of the subsequent draft undertaken at the meeting of 1<sup>st</sup> May 2019.
  - iii. *Consultation via presentation:* The Director of Research and REF & Policy Manager presented to All School meetings of all five University Schools during November and December 2018 and January 2019. Staff were informed of the proposed process for deciding SRR and for identifying the Category A Submitted pool of staff. Staff were encouraged to ask questions and make suggestions

for improvements to the proposed process and were informed that the consultation process would remain open for some months.

- iv. *UCU Consultation:* The Director of Research and REF & Policy Manager attended UCU Branch Committee meetings on 12<sup>th</sup> December 2018, 19<sup>th</sup> March 2019 and 30<sup>th</sup> April 2019 in order to discuss thinking on the Code of Practice plans as they developed. The final draft of the Code of Practice was considered and formally approved by UCU via the Academic Common Interest Group meeting held in week commencing 27<sup>th</sup> May 2019.
  - v. *Formal Consultation:* A consultation with all staff was initiated in early May 2019 where staff were invited to comment on the draft Code of Practice. As part of this consultation, the draft Code was specifically shared with the various representation groups which operate within the University (e.g. the Women’s Network, the BAME Network, the LGBT+ Network and the Disability/Accessibility Network) for their consideration
35. A full timetable of events can be found at [Annex 2](#).  
For full details of how the final agreed processes will be communicated to staff see [paragraphs 10-15](#).

## Part 2: Identifying staff with a significant responsibility for research

### C: Staff, committees and training

36. For the purposes of transparency, accountability and consistency, the procedure for identifying staff with SRR will be undertaken by named individuals whose involvement is linked to the position which they hold at Cardiff Met. The individuals are listed below, along with the nature of their involvement. All roles listed are decision making rather than advisory.

Activity	Individual(s) responsible	Rationale for responsibility
Development and agreement of individual WAM forms	Individual staff member and Line Manager	Standard Cardiff Met practice Ensure transparency of REF process as linked to existing practice.
Scrutiny of WAM forms to determine nature of activities listed as <i>research and scholarly activity</i>	Director of Research REF & Policy Manager	Responsibility for operational management of the REF process at Cardiff Met. Ensure consistency across Schools.
Ratification of outcome of scrutiny of WAM forms	School Associate Dean of Research School REF Coordinator	Responsibility for REF processes at School level.
Final decision on inclusion / non-inclusion of staff	PVC, Research & Innovation	Overall responsibility for the Cardiff Met REF2021 submission. Ensure consistency across Schools and Units of Assessment.

37. School Management & Planning Committees will be kept fully informed of progress throughout the process detailed in Part 2A by the appropriate Associate Dean of Research and REF Coordinator. This will include a report on the provisional agreement regarding which staff in the School have SRR and will therefore be included in the Category A Submitted staff pool and, once the REF census date has passed, confirmation of the final Category A Submitted staff pool for the School.

38. The University R&I Committee will be kept fully informed of progress throughout the process detailed in Part 2A by the Director of Research and the REF & Policy Manager. Reports to R&I Committee will include details of likely numbers of staff who will be included in the Category A Submitted staff pool but will not name individuals.
39. A written auditable record will be kept of all decisions made. All records will be held in RIS by the REF & Policy Manager.
40. All staff involved in the decision making process will be required to undertake the following training:
  - Cardiff Met's unconscious bias training  
To be undertaken by the end of June 2019 and repeated by the end of June 2020.
  - A bespoke module relating to E&D in REF 2021  
To be undertaken by September 2019

In addition, the University is in discussion with Advance HE to deliver a training session to senior decision makers during Summer 2019.

41. The University's Civic and International Equality and Diversity Officer will maintain a record of all those who have undertaken the training and all those obliged to do so will be reminded at regular intervals until they have undertaken it. Anyone who has not undertaken the training by the dates specified will not be permitted to be involved in the decision making process.

## Part 2: Identifying staff with a significant responsibility for research

### D: Appeals

42. Staff will be informed via email of the right to appeal at the point at which they are informed if they will be included, or not included, in the provisional Category A Submitted staff pool. For the majority of individuals, this will be in November 2019.
43. Full details of the appeals process will also be made available via SharePoint and Yammer.
44. Staff will have the right to appeal against a decision not to include them in REF2021 only if they believe that the decision taken is incorrect for one of the following reasons:
  - The data used to decide if they have SRR on the census date was inaccurate;
  - The calculation of the proportion of allocated time spent engaged in independent research related activities on the REF census date is incorrect;
  - The data used to decide independent researcher status was inaccurate.
45. In order to ensure consistency across the institution, appeals will be considered by a panel convened centrally via RIS. The Terms of Reference and membership of the Appeals Panel can be found at [Annex 4](#).
46. The appeals process will operate in two steps:
 

Step 1: The appellant will submit a comprehensive written account of their appeal to the Chair of the appeals panel for their consideration. A *pro forma* will be made available for this purpose via SharePoint.

Where the Chair rules that a *prima facie* case does not exist, they will contact the appellant in writing to inform them of that decision and the reasons for it.

Where the Chair agrees that a *prima facie* case exists, Step 2 of the process will be invoked.

The decision of the Chair at this point is final and will not be open to further appeal.

**Step 2:** The appellant will be invited by the Chair to meet with the panel to discuss and consider the details of the appeal. Reasonable adjustments will be made in order to ensure that arrangements are accessible to the appellant. The appellant will have the right to be accompanied at the meeting by a trade union representative or work colleague.

In order for appeals to be fully considered, the written account of the appeal submitted by the appellant will be made available to all panel members who will have a responsibility to treat all information as confidential.

The decision of the Panel will be final and will not be open to further appeal.

A flow diagram of this process can be found at [Annex 5](#).

47. Full recognition is given to the importance of ensuring that appeals are considered in a timely manner. This will ensure that individual staff members are aware of their status in relation to the REF2021 submission as early as possible and also allow for sufficient planning time in Schools and RIS. With this in mind, the main appeals period will run in November and December 2019, immediately following confirmation of the provisional Category A Submitted staff pool in November 2019.
48. The appeals process will remain in place for those individuals whose WAM return is scrutinised later in the process due to the fact that they were not in post when the official WAM exercise was conducted by their School. The timeline provided in paragraph 32 reflects this. It should be noted however that any individual who is informed of their inclusion / non-inclusion in November 2019 MUST invoke the appeals process during the initial appeal period in order for their appeal to be considered, unless an exceptional circumstance prevents them from doing so.

## **Part 2: Identifying staff with a significant responsibility for research E: Equality Impact Assessment**

49. To ensure that this Code of Practice does not disadvantage any particular group of staff, its development has included regular consultation with the University's Civic and International Equality and Diversity Officer who has a lead role in monitoring and advising on E&D issues across the institution. The Code has also been subject to a full Equality Impact Assessment (EIA) (included at [Annex 6](#)) and has been approved by the University Equality & Diversity Delivery Group.
50. The various representation groups at the University (Women's network, LGBT+ network, Disability/Accessibility network, BAME network) have been specifically asked to comment as part of the wider consultation with staff regarding the process of identifying staff with a significant responsibility for research.
51. In addition, the process to identify those with a significant responsibility for research will be piloted using data from the 2018/19 academic year and an EIA carried out on that pilot. The EIA will include an analysis of data related to all protected characteristics for which data are available at sufficient levels to allow valid conclusions to be drawn. The EIA will compare the characteristics of staff considered as having SRR with the characteristics of all Category A Eligible staff.
52. The EIA outcomes will be analysed and thoroughly investigated and possible actions to mitigate against any potential discrimination against any particular group will be explored. The University will endeavour to

include staff groups affected by any issues identified and will ensure that all staff are fully informed of any changes made to the policy and procedure as a result of the EIA.

53. Should analysis highlight specific areas where there seems to be a representational imbalance of protected characteristics, between staff considered as having SRR and the Category A Eligible pool of staff in a particular School or UoA, the ADR and REF Coordinator of the School in question will be asked to provide an account of this imbalance.
54. Once the final REF2021 submission has been made in March 2021 (amended from November 2020 following COVID19 related delays), Cardiff Met will undertake a final EIA to cover all aspects of this Code of Practice (e.g. processes for identifying staff with a significant responsibility for research, for determining research independence and on the selection of outputs). The outcomes shall be shared widely across the institution including through the institutional R&I, Athena Swan and E&D Committees. An action plan will be put in place to minimise the risk of negative impacts on particular protected groups in the future. The possibility of aligning this with ongoing work in relation to Athena Swan will be explored.

## **Part 3: Determining research independence**

### **A: Policies and procedures**

55. The University acknowledges the definition of an independent researcher provided by REF (see Guidance on Submissions paragraph 131) which states that, “for the purposes of REF, an independent researcher is an individual who undertakes self-directed research, rather than carrying out another individual’s research programme.”
56. The process for determining research independence which fits this definition at Cardiff Met will differ depending on the type of contract on which an individual is employed:
  - A: Staff employed on a “teaching and research” basis  
This represents the majority of eligible staff at Cardiff Met and is the group which will be included in the exercise to determine Significant Responsibility for Research (SRR) (see [Part 2](#)). Staff employed on this basis will be considered as independent researchers for the purposes of REF unless they are engaged in a programme of PGR study (other than a PhD by Published Works). Accordingly, any staff enrolled for a postgraduate research qualification on the census date *will not be* considered to be an independent researcher and will not be included in the Category A Submitted pool.
  - B: Staff employed on a Research Only basis  
A relatively small number of staff at Cardiff Met are employed on this basis and, whilst the majority are Research Assistants, the nature of the employment of these individuals can differ. These staff will not be included in the process to determine SRR detailed in Part 2A because, by definition, 100% of their time is spent on research related activities.  
Part 3 of this Code of Practice is concerned with this group of staff.
57. For the purposes of REF, any individual employed on a Research Only basis will not be considered an independent researcher unless their day to day duties include one or more of the indicators of research independence provided by REF. These are:
58. For submissions to all Main Panels:
  - Leading or acting as principal investigator or equivalent on an externally-funded research project.
  - Holding an independently won, competitively awarded fellowship where research independence is a requirement.



- Leading a research group or a substantial or specialised work package.
59. For submissions to Main Panels C&D, additional attributes are also considered to indicate research independence:
- Being named as a Co-investigator on an externally funded research grant / award
  - Having significant input into the design, conduct and interpretation of the research

#### Process for considering researcher independence

60. The process to establish researcher independence will involve 5 stages, as outlined below

- STAGE 1: HR will provide a list of all staff employed on a Research Only basis to RIS, based on the 2018/19 HESA return. Details will be provided to Schools and any other relevant units who will alert RIS of any individuals who they believe are employed on a Research Only basis but do not appear on the list. The REF & Policy Manager will discuss any perceived inaccuracies with HR and resolve if necessary.
- STAGE 2: The Director of Research and the REF & Policy Manager will meet with the relevant ADR and REF Coordinator to determine which of the individuals included on the list meet the REF definition of an independent researcher. If applicable, decisions will be informed by discussion with individual(s) with particular knowledge of the day to day activities of the staff member being considered (e.g. their line manager). Where the individual is deemed to meet the definition of an independent researcher, they will be included in the provisional Category A Submitted pool.
- STAGE 3: All staff will receive an email from the Director of Research informing them of the decision to include, or not include, them in the provisional Category A Submitted staff group. All those not included will be offered an opportunity to discuss the decision in person and will be advised of the appeals process (see [Part 3C](#)).
- STAGE 4: At the end of the Summer term, a second consultation with ADRs and REF Coordinators will take place to identify any significant changes which require consideration. This will include discussion regarding newly appointed staff (see [paragraphs 61-62](#)).
- STAGE 5: The final Category A Submitted staff pool will be confirmed after the census date, following discussion with the PVC, Research & Innovation.
61. To ensure inclusivity in the process to consider research independence, individuals who commence employment with Cardiff Met on a Research Only contract after the initial exercise has been completed i.e. November 2019, but before the REF census date, will be categorised by the relevant School as either meeting the REF definition of an independent researcher, or not meeting this definition, upon commencement of their employment. The School's REF Coordinator (or equivalent) will have responsibility for this task and for relaying this information to the REF & Policy Manager who will keep a central record.
62. Once the census date has passed, RIS will obtain data from HR to determine the final REF Category A Eligible pool. This data will be checked by the REF & Policy Manager to ensure that all individuals included in it who are employed on a Research Only basis have been categorised as either meeting, or not meeting, the REF definition of an independent researcher. Anyone who has not will be categorised prior to final confirmation of the Category A Submitted pool of staff. Such staff will be informed of their inclusion, or non-inclusion by the Director of Research and will have access to the appeals process.

#### Timeline for the process for considering researcher independence



63. This process will be undertaken concurrently with that to determine SRR and the outcomes relayed to staff in the same way, and at the same time, as detailed for that process. The timescale for this process is therefore:

Activity	Date	Responsibility
List of "Research Only" staff provided to RIS by HR (see STAGE 1)	September 2019	HR
Decisions made re independent researcher status (see STAGE 2)	September – October 2019	ADR REF Coordinator
Agreement of provisional Category A Submitted pool (see STAGE 2)	October 2019	Director of Research REF & Policy Manager ADR REF Coordinator
Communication of outcome to individual staff (see STAGE 3)	November 2019	Director of Research
Appeals process (see STAGE 3)	November – December 2019	RIS Appeals Panel
Final provisional Category A Submitted pool agreed (see STAGE 3)	January 2020	Director of Research
Continuous consideration of new Research Only staff status (including communication of outcomes to individual staff and rolling appeals process) (see paragraphs 61-62)	January – July 2020	ADR REF Coordinator Director of Research REF & Policy Manager Appeals Panel
Consultation with Schools (see STAGE 4)	June – July 2020	Director of Research REF & Policy Manager
Final Category A Submitted pool confirmed (see STAGE 5)	August 2020	PVC, Research & Innovation

## Part 3: Determining research independence

### B: Staff, committees and training

64. As detailed for the processes and procedures outlined in [Part 2C](#), for the purposes of transparency, accountability and consistency, the procedure for determining research independence will be undertaken by named individuals whose involvement is linked to the position which they hold at Cardiff Met. The individuals are listed below, along with the nature of their involvement. All roles listed are decision making rather than advisory, unless otherwise indicated.

Activity	Individual(s) responsible	Rationale for responsibility
Consideration of role in relation to REF definition of an independent researcher	School Associate Dean of Research School REF Coordinator Individual Line Manager (advisory)	Responsibility for REF processes at School level

Ratification of outcomes of decision process	Director of Research REF & Policy Manager	Responsibility for operational management of the REF process at Cardiff Met. Ensure consistency across Schools.
Final decision on inclusion / non-inclusion of staff	Pro Vice Chancellor, Research & innovation	Overall responsibility for the Cardiff Met REF2021 submission. Ensure consistency across Schools and Units of Assessment.

65. Progress through the process to determine researcher independence will be reported to School Management & Planning Committees and the University R&I Committee as detailed in [paragraphs 37 and 38](#).
66. A written record will be kept of all decisions made. All records will be held in RIS by the REF & Policy Manager.
67. Details of training to be undertaken by staff involved in the decision making process can be found in [paragraphs 40–41](#).

### Part 3: Determining research independence

#### C: Appeals

68. Staff will be informed via email of the right to appeal at the point at which they are informed if they will be included, or not included, in the provisional Category A Submitted staff pool. For the majority of individuals, this will be in November 2019.
69. Full details of the appeals process will also be made available via SharePoint and Yammer.
70. Individual staff members employed on a Research Only basis have the right to appeal against a decision not to include them in REF2021 only if they believe that the decision taken is incorrect for one of the following reasons:
- The data used to determine their status as an independent researcher on the census date was inaccurate;
  - The data used to determine their status as an independent research on the census date was misinterpreted.

For full details of the appeals process, see [Part 2D](#)

### Part 3: Determining research independence

#### D: Equality Impact Assessment

71. As previously mentioned, to ensure that this Code of Practice does not disadvantage any particular group of staff, its development has included regular consultation with the University's Civic and International Equality and Diversity Officer who has a lead role in monitoring and advising on E&D issues across the institution. The Code has also been subject to a full Equality Impact Assessment (EIA) (included at [Annex 6](#)) and has been approved by the University Equality & Diversity Delivery Group.
72. The various representation groups at the University (Women's network, LGBT+ network, Disability/Accessibility network, BAME network) have been specifically asked to comment as part of the

wider consultation with staff regarding the process of identifying staff with a significant responsibility for research.

73. In addition, the process to identify independent researchers will be piloted using data from the 2018/19 academic year and an EIA carried out on that pilot. The EIA will include an analysis of data related to all protected characteristics for which data are available at sufficient levels to allow valid conclusions to be drawn. The EIA will compare the characteristics of all Research Only staff with those within this group identified as independent researchers.
74. The EIA outcomes will be analysed and thoroughly investigated and possible actions to mitigate against any potential discrimination against any particular group will be explored. The University will endeavour to include staff groups affected by any issues identified and will ensure that all staff are fully informed of any changes made to the policy and procedure as a result of the EIA.
75. Should analysis highlight specific areas where there seems to be a representational imbalance of protected characteristics, between staff considered as being independent researchers and all Research Only staff in a particular School or UoA, the ADR and REF Coordinator of the School in question will be asked to provide an account of this imbalance.
76. Once the final REF2021 submission has been made in March 2021 (amended from November 2020 following COVID19 related delays), Cardiff Met will undertake a final EIA to cover all aspects of this Code of Practice (e.g. processes for identifying staff with a significant responsibility for research, for determining research independence and on the selection of outputs). The outcomes shall be shared widely across the institution including through the institutional R&I, Athena Swan and E&D Committees. An action plan will be put in place to minimise the risk of negative impacts on particular protected groups in the future. The possibility of aligning this with ongoing work in relation to Athena Swan will be explored.

## **Part 4: Selection of outputs**

### **A: Policies and procedures**

#### General Principles

77. In order to meet the submission requirements of REF, the University will consider all eligible outputs produced by each submitted staff member within the REF publication period (01/01/14 – 31/12/20) and, wherever possible, select the highest quality outputs produced by each individual for inclusion in the submission.
78. Cardiff Met recognises that there are many reasons why an individual may have fewer or more outputs attributable to them in the assessment period and will be mindful of equality issues throughout the selection process. To this end, and in a spirit of inclusivity, all staff will have an opportunity to declare any individual circumstances which may have had a detrimental effect on their ability to produce research outputs. Should it be recognised that an individual's capacity to produce research outputs has been affected by a declared circumstance, this will be recognised as part of the output selection process. Full details of this process are provided in [Part 4C](#).
79. All decisions made regarding the attribution of outputs to submitted staff will be for the sole purpose of ensuring the Cardiff Met REF submission is of the highest possible quality and, as such, the final attribution of outputs will not be used in any other internal contexts. Similarly, no judgements will be made linked to the number of outputs attributed to an individual within the final pool of submitted outputs. In other

words, an individual will not be penalised solely because a lower number of outputs has been attributed to them, nor would they be rewarded solely because a higher number has been attributed to them.

80. Outputs attributed to staff who are included in the Category A Submitted pool which are written in the Welsh language will be considered for inclusion in the REF submission. Such outputs will be rated in the same way, and according to the same timeline, as English language outputs.

#### Co-authored outputs

81. In the spirit of the general principles outlined above, where an output is jointly authored by two or more individuals being submitted to the same Unit of Assessment, the University will consider the submission as a whole and decide to whom outputs are best attributed to the benefit of the whole submission, and allowing for compliance with REF requirements. Individual staff will be kept informed of decisions regarding output attribution.
82. Co-authored outputs will only be attributed to an individual who made a substantial research contribution to the output.
83. The University will be fully compliant with the requirements of the main REF Panels when undertaking decisions regarding the attribution of jointly authored outputs, as detailed below. It should be noted that no specific additional requirements have been stated in relation to submissions to Main Panels B & C.

#### For submissions to Main Panel A

84. Where an output has 15 or fewer authors, two or more of whom are employed by Cardiff Met, it will normally be attributed to the lead or corresponding author if they are included in the Category A Submitted pool of staff for the Unit of Assessment.
85. Where an output has more than 15 authors, it will only be attributed to an individual where they are identified as the lead or corresponding author or a substantial contribution can be affirmed in accordance with REF requirements i.e. that:

*The author made a substantial contribution either to the conception and design of the study; or to the organisation of the conduct of the study; or to carrying out the study; or to analysis and interpretation of study data.*

AND

*The author helped draft the output; or critique the output for important intellectual content.*

#### For submissions to Main Panel D

86. Sub panels in Main Panel D will exceptionally accept the inclusion of the same co-authored output twice within the same submission. Cardiff Met will be mindful of this additional criteria when considering submissions to any UoA's which fall under the auspices of Main Panel D.

#### Submission of outputs produced or authored by former staff (including those who have been made redundant)

87. The University will consider the inclusion of outputs produced or authored by staff formally employed as Category A Eligible (former staff), where the output first became publicly available while the staff member was employed by Cardiff Met and where inclusion of the output will strengthen the overall submission. This will include outputs produced or authored by staff who left the institution on a Voluntary Severance basis, in such instances however, an output will only be included where the former staff member has given permission in writing to do so.

88. The University will not include outputs produced or authored by any former staff member who was made compulsory redundant, unless they are to be attributed to a joint author who remains under the employment of the University on the census date.

#### Process for selection and attribution of research outputs

89. The process for selection and attribution of research outputs will involve 6 stages, as outlined below

STAGE 1: All research outputs will undergo an internal rating process which will be undertaken by senior researchers within the relevant School. All rating decisions will be ratified by the School REF Panel. Where the School REF Panel is unable to agree on a definitive rating for an output they may consult an external expert.  
Terms of Reference for School REF Panels are included at [Annex 7](#).

Wherever possible, research outputs will be assessed and allocated a REF rating at the point at which they become publicly accessible (and therefore eligible for submission to REF). However, in order to ensure all REF-eligible outputs are rated, towards the end of each academic year, an audit of all research outputs produced will be undertaken at School level and an exercise undertaken to rate any previously unrated outputs.

In order to ensure transparency and accountability, the author(s) of the output will be invited to contribute to the rating process. A record will be kept at School level of the quality rating attributed to each output.

STAGE 2: Once the provisional Category A Submitted pool has been confirmed (January 2020), the number of outputs required for each submission will be calculated according to REF requirements i.e. 2.5 times the combined FTE of Category A Submitted staff included in the submission<sup>2</sup>.

Each School will compile a list of all eligible outputs authored by staff included in the pool, in quality order from the highest quality to the lowest. Authorship details will then be removed and a line drawn under the number of outputs required. As far as possible within REF requirements, this list will form the basis of the provisional selection of outputs for inclusion. However, where REF compliance issues exist, these will be addressed via the consideration of other eligible outputs. This will result in an output pool, selected on a quality basis only, and including at least one<sup>3</sup> and no more than five outputs attributed to each individual included in the Category A Submitted pool.

Decisions regarding attribution of co-authored outputs in line with the principles stated in paragraphs 81-86 will be taken at this stage.

STAGE 3: Schools will discuss details of the provisional output pool with the Director of Research and REF & Policy Manager who will validate it in terms of compliance with REF requirements. Any issues identified will be discussed with Schools and rectified at this stage.

STAGE 4: Individual staff will be informed of the provisional list of outputs to be included in the submission. Whilst appeals against decisions relating to output selection are not permitted, in the spirit of transparency, opportunity will be provided for staff to discuss the process of arriving at the provisional output list with their Associate Dean of Research and/or REF Coordinator.

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<sup>2</sup> This number will be adjusted, as appropriate, to take account of successful declarations of individual circumstances once the process for disclosure of circumstances has been completed (see Part 4c). However, the initial exercise will be conducted based on the maximum number of outputs which might be required.

<sup>3</sup> Unless circumstances have been disclosed which allow inclusion of an individual with no outputs attributed to them.

STAGE 5: Following confirmation of the final Category A Submitted staff pool, Schools will undertake a second iteration of the process outlined at STAGE 2 to allow for inclusion of any outputs which have become publicly available since the first exercise was conducted. STAGE 3 and 4 will also be repeated.

STAGE 6: Schools will ensure any REF eligible output which becomes publicly available (or is likely to) before the end of the REF census date for outputs i.e. 31/12/20 is rated and considered for inclusion in the submitted output pool. Any substitution of outputs will be discussed with RIS (to ensure compliance with REF requirements) and the author concerned (to ensure transparency).

#### Timeline for the process for the selection and attribution of research outputs

90. The timeline for the process for the selection and attribution of research outputs is as follows

<b>Activity</b>	<b>Date</b>	<b>Responsibility</b>
Continual rating of outputs	Ongoing until REF submission date	School REF Panels
Annual audit of output ratings (see STAGE 1)	June 2018 June 2019	School Associate Deans of Research School REF Coordinators School REF Panel REF & Policy Manager
Process to invite and consider declared equality related circumstances (see Part 4C)	November 2019 – December 2020 (extended to allow for circumstances related to COVID19)	Individual staff Panel members
<i>Final provisional Cat A submitted pool agreed</i>	<i>January 2020</i>	<i>Director of Research REF &amp; Policy Manager</i>
Provisional attribution of outputs to staff in provisional Cat A submitted pool (see STAGE 2)	January – May 2020	School Associate Deans of Research School REF Coordinators
Validation of provisional attribution of outputs against REF criteria (see STAGE 3)	May 2020	REF & Policy Manager Director of Research
Details of provisional final output pool shared with staff (see STAGE 4)	May – June 2020	School Associate Deans of Research REF Coordinators
Annual audit of output ratings (see STAGE 1)	June 2020	School Associate Deans of Research School REF Coordinators School REF Panel REF & Policy Manager
<i>Final Cat A submitted pool confirmed</i>	<i>August 2020</i>	<i>PVC, Research &amp; Innovation</i>
Attribution of outputs to staff in confirmed Cat A submitted pool (see STAGE 5 & STAGE 6)	August – November 2020	School Associate Deans of Research School REF Coordinators
Validation of attribution of outputs against REF criteria (see STAGE 5)	October - November 2020	REF & Policy Manager Director of Research
Details of final output pool shared with staff (see STAGE 5)	October – November 2020	School Associate Deans of Research REF Coordinators
<i>Final REF submission confirmed</i>	<i>March 2021 (amended from November 2020 following COVID19 related delays)</i>	<i>University Executive</i>

## Part 4: Selection of outputs

### B: Staff, committees and training

91. As detailed in previous sections, for the purposes of transparency, accountability and consistency, consideration and selection of outputs for inclusion in REF2021 will be undertaken by named individuals whose involvement is linked to the position which they hold at Cardiff Met. The individuals are listed below, along with the nature of their involvement. All roles listed are decision making rather than advisory, unless otherwise indicated.

Activity	Individual(s) responsible	Rationale for responsibility
Rating of outputs	Individual staff (advisory) School REF Panel External advisors (if necessary)	Individual staff – improve ability to rate own work and improve future output  REF Panel – comprises of senior researchers within the School with established knowledge of research in the subject areas covered by the relevant UoA(s)  Ensure transparency of process.  External advisors – validation of ratings against sector norms in the field
Decisions regarding the submitted output pool, including attribution to staff.	School Associate Dean of Research School REF Coordinator Dean of School School REF Panel (advisory)	ADR & REF Coordinator – Responsibility for operational management of the REF process at School level  Dean of School – Overall responsibility for School REF submission  Ensure accountability within Schools
Validation of decisions regarding the submitted output pool	Director of Research REF & Policy Manager	Responsibility for operational management of the REF process at Cardiff Met.  Ensure consistency across Schools.
Final decision on inclusion / non-inclusion of outputs	PVC, Research & innovation	Overall responsibility for the Cardiff Met REF2021 submission.  Ensure consistency across Schools and Units of Assessment.

92. School Management & Planning Teams will be kept fully informed of progress through the process detailed in paragraph 89 by the relevant Associate Dean of Research and details of both the provisional output pool and the final output pool will be shared with the Committee. However, in keeping with the stated intention (see [paragraph 79](#)) of using the attribution of outputs for the sole purpose of ensuring the quality of the Cardiff Met REF submission, details of attribution will not be shared with the Committee.

93. The University R&I Committee will be kept fully informed of progress through the process detailed in paragraph 89 by the Director of Research and the REF & Policy Manager. Details of the outputs to be included in the submission will not be reported at R&I Committee.
94. A written record will be kept of all decisions made at School level, responsibility for the upkeep of the record will lie with the ADR and REF Coordinator. Details will be shared with RIS and a copy will be held by the REF & Policy Manager.

#### Training related to the rating of outputs

95. The process outlined above for rating research outputs has been in place since prior to REF2014, meaning that the majority of research active staff are familiar with the process. A more formal process of annual review was instigated in 2017/18 and, in tandem with this, the University established an enhanced training programme related to the rating of research outputs using the REF five point scale (i.e. 4\* to unclassified). In order to allow opportunity to relate rating exercises to the intricacies of each research area, training events are organised at School level. However, staff are able to attend an event organised by a School other than that in which they are located.
96. All members of School REF Panels are obliged to attend these sessions annually and a record of attendance is kept at School level. Where a member of a School REF Panel is unable to attend an annual event, the School ADR will meet with them to discuss the process of rating outputs.
97. All individuals who have produced a research output within the period since the last event was held are strongly encouraged to attend a training event.

#### Training related to Equality & Diversity

98. Details of E&D related training to be undertaken by staff involved in the decision making process can be found in [paragraphs 40–41](#).

## **Part 4: Selection of outputs**

### **C: Disclosure of circumstances**

99. Cardiff Met is committed to the support and promotion of equality and diversity, which lies at the heart of REF2021, and recognises that there are many reasons why an individual may have fewer (or more) outputs attributable to them in the assessment period.
100. As part of this commitment, a safe and supportive process will be put in place to allow staff to declare any equality-related circumstances that may have affected their ability to research productively throughout the REF2021 assessment period (1<sup>st</sup> January 2014 – 31<sup>st</sup> July 2020), and in particular, their ability to produce research outputs at the same rate as staff not affected by such circumstances.
101. This process will be open to all staff who meet the criteria of having a Significant Responsibility for Research and of being independent researchers. Participation in the process will be completely voluntary; Cardiff Met will not attempt to coerce or persuade any individual to disclose circumstances in any instance.
102. Circumstances which will be considered as part of this process are:
  - a) Qualifying as an Early Career Researcher (ECR), as defined by REF
  - b) Absence from work due to secondments or career breaks outside the HE sector
  - c) Qualifying periods of family-related leave
  - d) Other circumstances that apply in UoAs 1-6, as defined by REF



- e) Circumstances with an equivalent effect to absence which require a judgement about the appropriate reduction in outputs, which are:
  - i. Disability
  - ii. Ill health, injury or mental health conditions
  - iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of outputs in addition to - the allowances set out by REF
  - iv. Other caring responsibilities (such as caring for an elderly or disabled family member)
  - v. Gender reassignment
  - vi. Other circumstances relating to protected characteristics, or relating to activities protected by employment legislation

NOTE (ADDED SEPTEMBER 2020): Revised REF2021 guidance released in July 2020 details certain circumstances which allow institutions to request the removal of the minimum of one output where the combination of individual staff circumstances earlier in the assessment period and the effects of COVID19 has had an exceptional effect so that the staff member has not been able to produce an eligible output.

To take account of any additional circumstances which have arisen since the start of the COVID19 pandemic, the University will extend the period during which staff in the Submitted Staff Group can disclose individual circumstances, until December 2020. Staff will be informed of this extension via Yammer and email. Any submitted circumstances will be considered in accordance with the process outlined from paragraph 110-124.

- 103. The REF Guidance on Submissions (paragraph 161) states that, as part time working is taken account of within the calculation for the overall number of outputs required for the unit (which is determined by multiplying the FTE of Category A Submitted staff by 2.5), reduction requests on the basis of part time working hours should only be made exceptionally. For example, where the FTE of the individual late in the assessment period does not reflect their average FTE over the period as a whole. Cardiff Met will follow this guidance.
- 104. All staff within a submission who meet the REF definition of an Early Career Researcher (ECR) will be identified as such in the submission via the HESA staff record. The REF & Policy Manager will work with Schools and HR to ensure the HESA record accurately identifies all ECRs, as required by REF. However, in order for ECR status to be considered as a circumstance which has affected the ability to produce research outputs at the same rate as staff not affected, ECR status must be declared by the individual concerned via the process outlined below.
- 105. The University will only take into account equality-related circumstances if they have been declared voluntarily by the individual concerned via the process outlined below. Staff should therefore ensure that they engage in this process if they wish any equality-related circumstances (including ECR status – see above) to be considered during preparation for submission to REF2021.
- 106. As previously outlined, the process to determine which staff are independent researchers with a Significant Responsibility for Research (and are therefore eligible to be submitted to REF2021) is based on the percentage of total time allocated to independent research activity, rather than the amount of research output produced by each individual; individual circumstances are not expected to affect the number of hours allocated. However, in order to mitigate against possible accidental exclusion, the appeals process allows appeals on the grounds that not all criteria for deciding significant responsibility for research were properly considered. Where individual circumstances are the root of such a decision then it can be reversed by the appeals committee.

107. The University will therefore invite only those staff who are included in the provisional Category A Submitted pool to declare any equality-related circumstances that may have affected their ability to research productively throughout the REF2021 assessment period.
108. A web based *pro forma*, based on a template provided by REF, will be made available for declaration of circumstances and the link to it made available via SharePoint. The use of a web based form will ensure access from outside of the institution, thereby enabling anyone who is away from the institution due to ongoing circumstances to undertake the declaration process. A paper version of the form will also be made available however for use by anyone who is not able to access the internet whilst away from the institution. A copy will be appended to this Code of Practice by the end of Summer 2019.
109. In order to ensure consistency across the institution, all declarations will be considered by a panel convened centrally via RIS and including individuals not involved elsewhere in preparations for REF2021. The Terms of Reference and Membership of the panel can be found at [Annex 8](#).

#### Process to consider declared individual staff circumstances

110. The process will operate in four steps:

Step 1: Staff will be invited to declare circumstances in the email to inform them that they will be included in the provisional Category A Submitted pool.

Full details of the process will also be made available via SharePoint and Yammer.

Staff who are included in the provisional Category A Submitted pool but who are away from the institution will be contacted via the same mechanisms as outlined in [paragraph 15](#).

Declarations will be submitted to the REF & Policy Manager who will be responsible for the secure storage of the completed forms. Completed forms and details of declared circumstances will be shared only with members of the panel.

Step 2: The panel will consider each case and decide how the institution will adjust its expectations of the individual's contribution to the overall output pool. This will include cases where the individual has been unable to produce an eligible output during the assessment period due to exceptional circumstances and could therefore be submitted with no outputs attributed to them.

In arriving at a decision to adjust expectations regarding the contribution of the individual to the overall output pool, the panel will be guided by the tariffs supplied by REF. These can be found in Annex L of the REF Guidance on Submissions which is included in this Code of Practice at [Annex 9](#).

Where the declaration of circumstances will result in the need to submit a request to the REF Team to remove the minimum of one output (i.e. where the circumstances have affected the individual for a period of at least 46 months or relate to two distinct periods of family leave), sufficient evidence of the circumstances will be required in order that the panel can make its decision. This may be in the form of information held by HR where that is the most appropriate form of evidence. This is required in order to enable the University to satisfy audit requirements put in place by REF. Further details of requirements will be provided in the form for the declaration of circumstances (see [paragraph 108](#))

Step 3: Staff who have declared circumstances will be invited to meet with a member of the panel to discuss the outcome of that consideration. This will help the staff member to fully understand how the decision was reached and to question it if they do not agree that all factors have been appropriately considered by the panel. It is anticipated that this approach will mean that any differences of opinion about the effect of the declared circumstances can be resolved at this stage. However, where this is

not possible, the staff member may invoke the process outlined in [Part 2D](#). In such instances, it will be necessary to share the details of the declared circumstance(s) with members of the Appeals Panel.

**Step 4:** All decisions made by the panel will be relayed to the relevant School ADR and REF Coordinator to ensure that they are aware of the context in which there may be a lower number of outputs available for inclusion. Information relayed to the School will be related to the decision of the panel only and will not include details of the circumstances declared.

111. The process will initially run between November 2019 and January 2020. Whilst the majority of this time period is also when the appeals process will operate (November & December 2019), an additional month has been allowed in order that individuals who successfully appeal against an initial decision not to include them in the Category A Submitted pool are able to declare circumstances.
112. The process will remain open beyond January 2020 in order that those eligible staff who join the institution after that date, but before the census date, are able to make a declaration. However, individuals who are informed of their inclusion in the Category A Submitted pool in November 2019 should declare any circumstances by the initial January 2020 deadline, unless exceptional circumstances prevent them from doing so. This is important because, where the University needs to request a reduction in the number of outputs to be submitted (see [paragraphs 122-124](#)) it must do so no later than March 2020, except where there are applicable changes to the Category A Submitted staff pool after March 2020. It will be difficult for the University to make a supportable case for a reduction in outputs linked to circumstances which were known prior to March 2020 after this time.

Timeline for process to consider declared individual staff circumstances

113. The timeline for the process to consider declared individual staff circumstances is as follows:

Activity	Date	Responsibility
Invitation to declare circumstances (see Step 1)	November 2019	Director of Research
Deadline to declare circumstances (see Step 1)	January 2020	Individual staff
Consideration of circumstances (see Step 2)	February 2020	Panel members
Discussion of outcome of panel meeting with individual staff (see Step 3)	February 2020	Panel members
Relay outcomes to relevant School ADR / REF Coordinator (see Step 4)	February / March 2020	REF & Policy Manager
Submission of reduction requests to REF (see paragraphs 115-124)	February / March 2020 (exact date to be provided by REF)	Director of Research
Declaration process to remain open. Declared circumstances to be considered by the Panel as and when required throughout this period (see paragraph 112)	February – December 2020 (extended period to allow for COVID19 related declarations as outlined in paragraph 102)	Individual staff (declaration) Panel members (consideration of circumstances and discussion regarding outcomes with individual staff)

114. Declarations made by individual staff via this process will allow the University to:

- Recognise the effect that equality-related circumstances can have on an individual's ability to research productively, and to adjust expectations in terms of expected production of research outputs. (see [paragraphs 115 - 118](#)).
- Enable staff who have been unable to produce an eligible output during the assessment period to be included in the REF submission without penalty where circumstances have had an exceptional effect on their ability to work productively throughout the assessment period. In this case, circumstances must meet one of the criteria set out in paragraph 120. (see [paragraphs 119-121](#)).
- Establish whether there are any Units of Assessment (UoA) where the proportion of declared circumstances is sufficiently high to warrant a request to the higher education funding bodies for a reduction in the size of the total required output pool for that UoA. (see [paragraphs 122-124](#)).

To achieve each, Cardiff Met will instigate a pre-defined process, as detailed below:

Process linked to reducing expectations (where the impact of the declared circumstance is equal to less than 46 months in the assessment period, meaning at least 1 output is required)

115. For the majority of the REF2021 publication period, Cardiff Met operated under the expectation that each member of research active staff, employed on a full time basis would produce four eligible research outputs within each REF cycle (as was the requirement under REF2014).
116. For REF2021 however, this is no longer a requirement. Instead, institutions are required to ensure that between one and five outputs are attributed to each individual included in a submission. Therefore, in cases where equality related circumstances have been declared which have resulted in an inability to research productively for 45 months or less within the REF period (except where this relates to two or more qualifying periods of family-related leave), the expectation of staff will be reduced to the production of the minimum of one eligible output within the REF period.
117. Where a reduction in expectation is approved by the Institutional Panel, the relevant School ADR and REF Coordinator will be made aware that circumstances have been declared and that production of a lower number of outputs should be expected from that individual. Information relayed to the School will be related to the decision of the panel only and will not include details of the circumstances declared.
118. Expectation will only be reduced to less than one output where equality related circumstances which have resulted in an inability to research productively for 46 months or more in the assessment period, or two or more qualifying periods of family-related leave, have been declared (as detailed in [paragraphs 119-121](#)).

Process for determining where a request will be made for removal of the "minimum of one" output requirement

119. It is a requirement of REF2021 that all Category A Submitted staff are returned with a minimum of one output attributed to them in the submission, and this includes staff with declared individual circumstances. However, where an individual's circumstances have had an exceptional effect on their ability to work productively throughout the assessment period, so that they have been unable to produce an eligible output, the University may request that the minimum of one output be removed.
120. In line with REF guidance (Guidance on Submissions paragraph 179), Cardiff Met will submit such a request where an individual has not been able to produce an eligible output due to any of the following circumstances occurring during the REF assessment period:
  - a. An overall period of at least 46 months absence from research during the assessment period, due to one or more of the circumstances set out in [paragraph 102](#).

- b. Circumstances equivalent to at least 46 months absence from research, where circumstances set out in [paragraph 102](#) apply.
  - c. Two or more qualifying periods of family-related leave, as defined in Annex L of the REF Guidance on Submissions which is Included in this Code of Practice at [Annex 9](#).
121. Requests will be submitted to REF in accordance with the guidance provided in the Guidance on Submissions (paragraphs 186-197). Requests will be submitted by the REF deadline of March 2020 except where it becomes clear after March 2020 that a reduction will be required. In such an instance, a reduction will be requested at the time the REF2021 submission is made in November 2020, in line with REF requirements (see Guidance on Submissions paragraph 199b).

Process for determining where a reduction request at UoA level is needed

122. Given the increased flexibility offered in REF2021 with regard to inclusion of outputs i.e. between one and five outputs attributed to each person submitted, and the reduction in the output requirement per FTE since REF2014, the University will make every effort to submit the required number of outputs for each UoA entered (i.e. 2.5 x the total FTE submitted).
123. However, for UoAs where 25% or more of the individuals included in the Category A Submitted staff pool declare equality related circumstances which are agreed to have had an effect upon their ability to research productively throughout the REF2021 assessment period, the University will investigate if a reduction to the overall output pool may be required. Investigations will centre on establishing if the available output pool for the UoA has been disproportionately affected by the equality related circumstances declared.
124. Requests will be submitted to REF in accordance with the guidance provided in the Guidance on Submissions (paragraphs 186-197). Requests will be submitted by the REF deadline of March 2020 except where it becomes clear after March 2020 that a reduction will be required. In such an instance, a reduction will be requested at the time the REF2021 submission is made in November 2020, in line with REF requirements (see Guidance on Submissions paragraph 199b).

## **Part 4: Selection of outputs**

### **D: Equality Impact Assessment**

125. As previously mentioned, to ensure that this Code of Practice does not disadvantage any particular group of staff, its development has included regular consultation with the University's Civic and International Equality and Diversity Officer who has a lead role in monitoring and advising on E&D issues across the institution. The Code has also been subject to a full Equality Impact Assessment (EIA) (included at [Annex 6](#)) and has been approved by the University Equality & Diversity Delivery Group.
126. The University will undertake a pilot exercise one year before the census date and will conduct an Equality Impact Assessment on the spread of outputs in that pilot. The EIA will include an analysis of data related to all protected characteristics for which data are available at sufficient levels to allow valid conclusions to be drawn. The outcomes of this exercise will be fully analysed and any major anomalies in relation to the spread of outputs in relation to the protected characteristics of the staff to be included in the submission will be noted. Possible actions to mitigate against any potential discrimination against any particular group will be explored
127. Should analysis highlight specific areas where there seems to be a representational imbalance of protected characteristics, in terms of the spread of outputs to be included in one or more submissions, the ADR and REF Coordinator of the School(s) in question will be asked to provide an account of this imbalance.

128. Once the final REF2021 submission has been made in November 2020, Cardiff Met will undertake a final EIA to cover all aspects of this Code of Practice (e.g. processes for identifying staff with a significant responsibility for research, for determining research independence and on the selection of outputs). The outcomes shall be shared widely across the institution including through the institutional R&I, Athena Swan and E&D committees. An action plan will be put in place to minimise the risk of negative impacts on particular protected groups in the future. The possibility of aligning this with ongoing work in relation to Athena Swan will be explored.



Cardiff  
Metropolitan  
University

Prifysgol  
Metropolitan  
Caerdydd

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# Equal Opportunities Policy

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<b>Impact Assessed – Date:</b>	30/11/2018
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<b>Lead:</b>	Pro-Vice Chancellor Student Engagement
<b>Date of next review:</b>	Nov - 2021

## **1. Policy Statement**

- 1.1 Cardiff Metropolitan is a global university rooted in Wales and with a history of practice-focused and professionally oriented education that requires a values driven approach to maximise its impact. Diversity is one of our four chosen values which emboldens and drives our commitment to education, research and innovation undertaken in partnership with our students, governments, business and industry and with tangible benefits for individuals, society and the economy.
- 1.2 Cardiff Metropolitan University recognises that unlawful discrimination is unacceptable in any form, is committed to treating individuals with dignity and respect, valued for their contribution, and to providing an environment that promotes equality of opportunity for existing and prospective employees and students in all aspects of its activities as an employer, and provider of higher education and as a community resource.
- 1.3 Cardiff Metropolitan University is committed to developing, promoting and supporting equality and diversity in all of our practices and activities. We aim to provide a working and learning environment free from any form of stereotyping, harassment, intimidation, victimisation or discrimination on the grounds of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex and sexual orientation. We are committed to creating a culture that enables all individuals to participate fully and where they are treated on the basis of their merits and abilities. With reference to the protected characteristic 'gender reassignment', we acknowledge that this term is outdated and misleading and that the preferred umbrella term is Trans. Cardiff Metropolitan University is committed to advancing Trans equality, however, the current policy applies to current law and therefore uses the terms referred to in the Equality Act 2010.
- 1.4 Cardiff Metropolitan University will develop and endeavour to maintain structures, practices and procedures that have the effect of treating people on the basis of their ability and potential. We recognise that different people and groups have different needs and that people have multiple-identities and multiple needs. We will make reasonable adjustments and proportional changes to our processes and procedures to provide an accessible working and learning environment for our students, employees, governors, service users and partners.
- 1.5 Cardiff Metropolitan University will ensure that every job applicant, course applicant, student, employee, visitor or contractor is treated fairly and this protection is extended based on association and perception to age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex, or sexual orientation.
- 1.6 The University will work collaboratively with employee trade unions and student representatives in the best interests of all members of the university to share a more inclusive place to work and study.
- 1.7 The Equal Opportunities Policy is enacted through the University's Equality Objectives as laid out in the Strategic Equality Plan 2016-2020. Progression against actions and objectives are reported in the Equality and Diversity Annual Report, published by 31<sup>st</sup> March each year (<https://web13staging.cardiffmet.ac.uk/about/structureandgovernance/equalityanddiversity/Pages/Annual-Reports-and-Policies.aspx>)

## **2. Statutory Obligations & Legislation**

- 2.1 Cardiff Metropolitan University will meet and fulfil its statutory responsibilities as set out within The Equality Act (2010) and associated secondary legislation, including the Public Sector Equality Duty in Wales.
- 2.2 The University, in the exercise of its functions will have due regard to:



- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
  - Advance equality of opportunity between people who share a protected characteristic and those who do not.
  - Foster good relations between people who share a protected characteristic and those who do not.
- 2.3 Cardiff Metropolitan University accepts its statutory responsibilities and it is committed to extending the principles laid down in law to any individual or groups, who are discriminated against or treated unfairly.
- 2.4 Cardiff Metropolitan University will ensure that it is fully aware of its responsibility towards the promotion of equal opportunities and will take account of the diverse needs of particular groups when providing services.

### 3. Discrimination

- 3.1 Cardiff Metropolitan University will not tolerate any form of unlawful discrimination towards any of the nine protected characteristics:
- Age
  - Disability
  - Gender Reassignment
  - Marriage and Civil Partnership
  - Pregnancy and Maternity
  - Race, including colour, and nationality (including citizenship), ethnic or national origins
  - Religion and belief, including a lack of religion or belief
  - Sex
  - Sexual Orientation
- 3.2 Under the Equality Act, there are four main types of discrimination:
- Direct discrimination
  - Indirect discrimination
  - Harassment
  - Victimisation.
- 3.2.1 **Direct Discrimination** means treating people less favourably than others are or would be treated in similar circumstances. Therefore, it would usually be unlawful to treat somebody differently because of their age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex and sexual orientation.
- 3.2.2 **Direct Discrimination based by association** when someone is treated less favourably because of their association with another person who has a protected characteristic of age, disability, gender reassignment, race, religion or belief, sex and sexual orientation. You don't have to have a protected characteristic to be directly discriminated against for it.
- 3.2.3 **Direct Discrimination based by perception** occurs when you treat a someone less favourably because you mistakenly think that they have a protected characteristic (age, disability, gender reassignment, marriage and civil partnership, race, religion and belief, sex and sexual orientation).
- 3.2.4 **Indirect Discrimination** means applying an unjustifiable provision, criterion or practice which in theory applies to everyone, but which in practice (whether intentional or not) few people in certain groups (because of their age, disability, gender reassignment, marriage and civil partnership, race, religion and belief, sex and sexual orientation) are able to comply. Requirements relating to dress,

physical characteristics and length of service can fall into this category. This type of discrimination is usually less obvious than direct discrimination and can often be unintended.

- 3.2.5 **Harassment, including sexual and racial**, is defined as unwanted/uninvited/unreciprocated conduct that violates people's dignity or creates an intimidating, hostile, degrading, humiliating or offensive environment. This could be relevant to the protected characteristics of age, disability, gender reassignment, marriage and civil partnership, race, religion and belief, sex and sexual orientation. Cardiff Metropolitan University will not tolerate this and has a specific policy and procedure for dealing with harassment and bullying matters.
- 3.2.6 **Victimisation** is defined as treating people less favourably because of action they have taken under or in connection with any of the legislation for example if someone has made, or is considering making a formal complaint of discrimination or has given or is considering giving evidence in a tribunal case.
- 3.3 Cardiff Metropolitan University is committed to creating a working and learning environment, which is totally free from all offensive, insulting or oppressive behaviour and based on the principles of dignity and respect.
- 4. Implementation**
- 4.1 The equality policy is fully supported by the senior management team and has been agreed with trade unions and network groups.
- 4.2 The Board of Governors is responsible for ensuring compliance with all equality legislation and for those who might be affected by the activities of the university.
- 4.3 The President and Vice-Chancellor alongside members of Cardiff Metropolitan University's Management Board have responsibility for ensuring this policy and related policies are implemented and adequately supported.
- 4.4 The Equality & Diversity Delivery Group is responsible for ensuring the strategic development, implementation and review of this policy. The Equality & Diversity Delivery Group will consider all aspects of equal opportunities throughout the working and educational environment of the University, ensuring that University policies and practices go beyond statutory duties to support fairness and inclusion. The membership includes representatives from the senior management team, trade unions and Students' Union.
- 4.5 The Civic and International Equality & Diversity Officer is responsible for providing advice, guidance and support on the application of this policy and for developing an action plan in conjunction with other colleagues to address equalities related issues.
- 4.6 The Coordinating Chaplain plays an advisory role for all matters relating to Religion, Spirituality and Philosophical belief, including cultural cohesion within the university community.
- 4.7 The Director of Human Resources is responsible for:
- (a) maintaining and providing accurate employee statistical records of the representation of women, men, age and members of racial or ethnic minorities, and any other characteristics required by equality legislation.
  - (b) Employee discipline, grievance and complaints, including alleged harassment.
- 4.8 Heads of School, Deans and Directors will be responsible for ensuring that their employees are aware of their responsibilities in promoting diversity and inclusion in the working and learning environment. They

will ensure that they champion diversity and inclusion through their own actions, remarks or behaviour and that they do not conduct themselves in a manner which others may perceive as harassment. They will ensure that the University's policy is implemented within their area of responsibility, ensuring the elimination of discrimination and the promotion of equality.

- 4.9 Directors/Deans will ensure that all student-facing services operate in such a way as to eliminate discrimination.
- 4.10 Academic Registry are responsible for student discipline, grievance and complaints, including alleged harassment.
- 4.11 Deans for Learning & Teaching and Academic Registry are responsible for ensuring that reasonable adjustments, as recommended by Student Services, are made to the learning, teaching and assessment environment to ensure that students do not suffer discrimination.

## **5. Employee and Student Responsibilities**

- 5.1 Every employee is required to assist the University to meet its commitment to provide equal opportunities in employment and avoid unlawful discrimination.
- 5.2 Employees can be held personally liable as well as, or instead of, the University for any act of unlawful discrimination, bullying, harassment and victimisation, in the course of their employment, against fellow employees, students, customers, suppliers and the public. Employees who commit serious acts of harassment may be guilty of a criminal offence.
- 5.3 Acts of discrimination, harassment, bullying or victimisation against employees, students or members of the public are disciplinary offences and will be dealt with under the University's Employee or Student Disciplinary Policy and Procedure.
- 5.4 Discrimination, harassment, bullying or victimisation may constitute gross misconduct and could lead to dismissal without notice.
- 5.5 Students are expected to behave in a way which respects and appreciates the diversity of the University community and the culture of others within that community as set out in the Student Charter.

## **6. Welsh Language Standards**

- 6.1 The University aims to promote and facilitate the use of Welsh Language by supporting employees, students and Welsh speaking communities.
- 6.2 The University supports the principles of the Welsh Language Measure 2011 and had adopted the principle of treating the English and Welsh language on the basis of equality.
- 6.3 The University is fully committed to meeting the Welsh Language Standards and to ensure that the Welsh language has equal status in our working practices in Wales.

## **7. Monitoring**

- 7.1 The implementation of the current Equal Opportunities Policy will be continuously reviewed in order to reflect any changes or amendments to Equality Legislation

- 7.2 Through the use of Equality Impact Assessments the University will assess the impact of its policies, procedures and practices to identify and mitigate any disadvantage to protected characteristic groups. Policy Owners will be responsible for conducting the Equality Impact Assessment.
- 7.3 Applicants for vacant posts, shortlisted candidates, new appointments, current employees, promotions, disciplinary cases, grievances, bullying and harassment cases, resignations and turnover and good practice will be anonymously monitored. This will enable a comprehensive picture of the patterns of applications and employment amongst various groups of employees to be developed and used for monitoring purposes.
- 7.4 In terms of employees, information for monitoring purposes will be obtained through voluntary self-assessment by potential and existing employees completing web recruitment application form or electronic self-service form. The information collected will form part of a confidential record to be used for monitoring this policy and its implementation and effect.
- 7.5 In terms of students, information for monitoring purposes will be obtained through the student record system, which includes statistics regarding recruitment, retention, success and first destination.
- 7.6 All aspects of the curriculum will be reviewed and monitored by providing clear guidelines for inclusive course content and teaching styles and methods.

## **8. Equality Training**

- 8.1 The University will provide equal opportunities training to managers and others likely to be involved in the recruitment or other decision making where equal opportunities issues are likely to arise.
- 8.2 The University will provide training to all existing and new employees and others engaged to work at the organisation to help them understand their rights and responsibilities under the dignity at work policy and what they can do to help create a working environment free of bullying and harassment. The University will provide additional training to managers to enable them to deal more effectively with complaints of bullying and harassment.
- 8.3 Supporting information will be provided to all students in order to raise awareness of equality and diversity and the contents of this policy.

## **9. Communication**

- 9.1 The University will ensure that employees and students are made aware of this Equal Opportunities Policy through the University's web pages, publications, induction and training provision, and through the line management structure, as appropriate. Alternative formats, can be obtained by contacting [Equality@cardiffmet.ac.uk](mailto:Equality@cardiffmet.ac.uk) or telephone 029 2020 5586.
- 9.2 Cardiff Metropolitan University's Equality and Diversity website will facilitate communication with employees, students and members of the public. It will provide an opportunity for Cardiff Met stakeholders to track the progress of equality and diversity initiatives and access published documents.

## **10. Confidentiality**

- 10.1 Any Equality and Diversity related information disclosed to Cardiff Metropolitan University will be kept strictly confidential in accordance with data protection principles and legislative requirements.

## **11. Breach of Policy**

- 11.1 Members of the Board of Governors, employees and students are collectively and individually responsible for ensuring that this Equal Opportunities Policy is put into practice. Any breach of the Equal Opportunities policy will be subject to action under the appropriate employee or student disciplinary policy and procedure.
- 11.2 Details of the University's employee and student grievance and disciplinary policies and procedures can be found at:
- Employees: <http://tsr.uwic.ac.uk/Units/HR/HR/Pages/home.aspx>  
Students: <http://www.cardiffmet.ac.uk/study/studentservices/Pages/StudentServices-Policies-and-Procedures.aspx>

## **12. Related University Policies**

- 12.1 This policy should be read in accordance with other relevant University policies including the Harassment and Bullying Policy, Grievance Policy and Procedure, Disciplinary Policy, Prevent Policy, Freedom of Belief Guidelines, and Procedure and Data Protection Policy.

## **13. Review**

- 13.1 All aspects of this policy will be subject to on-going to review and amendment as appropriate, in response to statutory changes, changes in University procedures or structures or as a result of the monitoring of the application of the policy. In any event, the policy will be reviewed every three years.

## **14. Alternative Format**

- 14.1 If you require this document in an alternative format, please contact [quality@cardiffmet.ac.uk](mailto:quality@cardiffmet.ac.uk) or telephone 029 2020 5586.

### **Sources of Further Guidance:**

Equality Act 2010 and associated secondary legislation  
Criminal Justice and Immigration Act (2008)  
The Racial and Religious Hatred Act (2006)  
The Civil Partnership Act (2004)  
The Gender Recognition Act (2004)  
Criminal Justice Act (2003)  
The Human Rights Act (1998)  
The Protection from Harassment Act (1997)  
Special Education Needs and Disability Act (2001)

Equality & Human Rights Commission: <https://www.equalityhumanrights.com/en> Equality Challenge Unit: <https://www.ecu.ac.uk/>

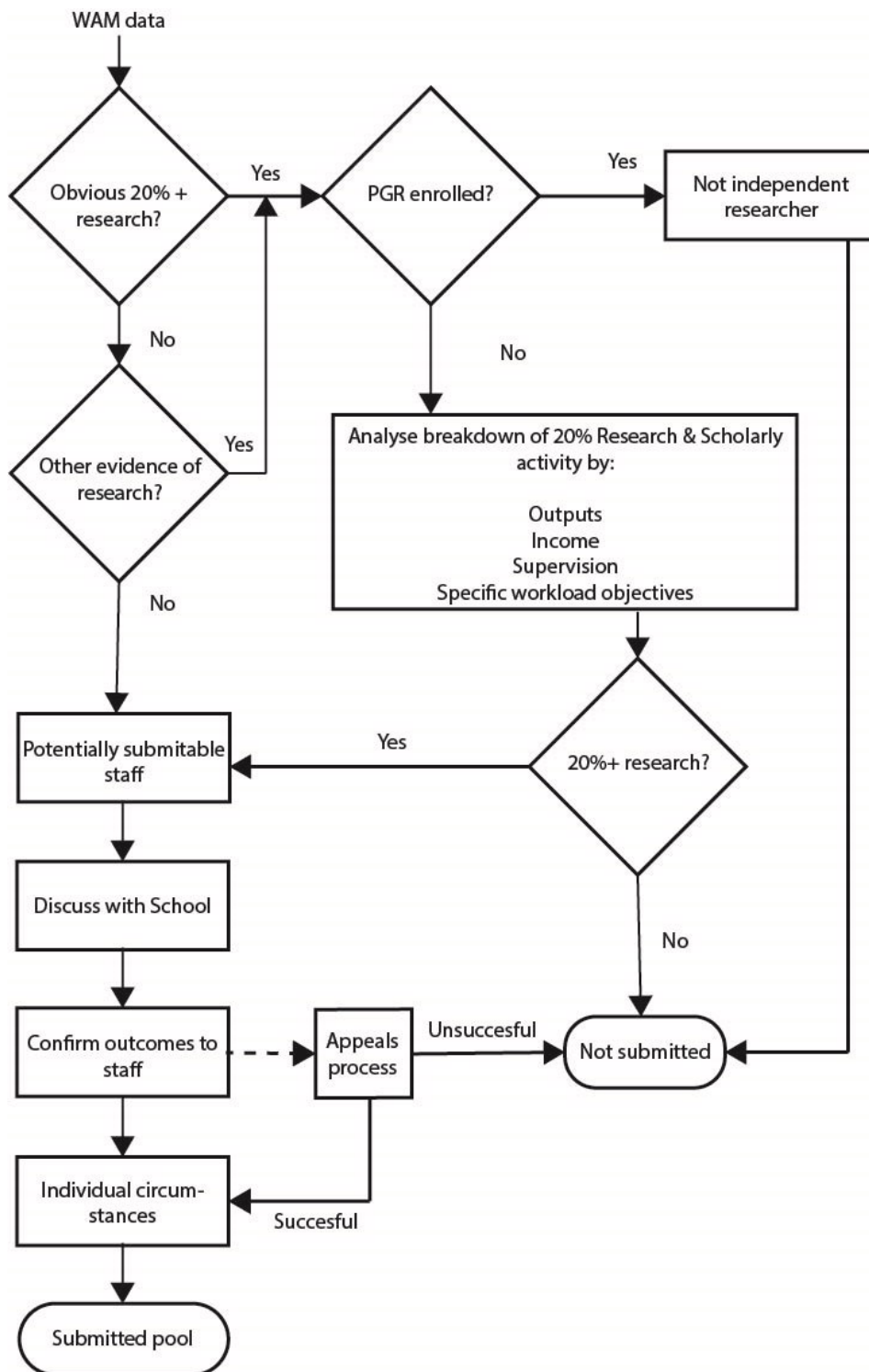
## Annex 2

### Timetable of events: Communication of Code of Practice

DATE	EVENT
18/10/18	R&I Committee
21/11/18	Cardiff School of Sport & Health Sciences (Llandaff) all School meeting
	Cardiff School of Sport & Health Sciences (Cyncoed) all School meeting
	Cardiff School of Management all School meeting
	Cardiff School of Technologies all School meeting
04/12/18	UCU Branch committee meeting
12/12/18	R&I Committee
	Cardiff School of Education & Social Policy all School meeting
19/12/18	Cardiff School of Art & Design all School meeting
31/01/19	Meet with PDR re process to identify Significant Responsibility for Research
20/02/19	R&I Committee
19/03/19	UCU Branch committee meeting
30/04/19	UCU Branch committee meeting
01/05/19	R&I Committee
06/05/19 – 17/05/19	All-staff consultation on final draft of Code of Practice
	Consultation on final draft of Code of Practice with various staff representative groups
	EIA undertaken on final draft of Code of Practice
22/05/19	Equality & Diversity Delivery Group (EDDG)
w/c 27/05/19	R&I Committee (extraordinary meeting to consider final Code of Practice)
	Academic Common Interest Group meeting (with HR and UCU) (to consider final Code of Practice)
Summer 2019 (exact date dependent on approval of Code by HECFW)	Final Code of Practice made available via SharePoint and Yammer

**Annex 3**

**Flow diagram to show the process to establish Significant Responsibility for Research**



## Annex 4

### Cardiff Metropolitan University

#### Research Excellence Framework 2021: Institutional Appeals Panel

##### Terms of Reference

This committee has responsibility for the consideration of appeals made by individual staff against a decision not to include them in the *Category A Submitted* staff pool.

The committee will consider appeals from:

- i) Staff who are employed on a teaching and research contract but have been deemed as not having a Significant Responsibility for Research (SRR). In this instance, appeals may be made on one or more of the following grounds:
    - The data used to decide if they have SRR on the census date was inaccurate.
    - The calculation of the proportion of allocated time spent engaged in independent research related activities on the REF census date is incorrect.
    - The data used to decide independent researcher status was inaccurate.The committee will also consider appeals from:
  - ii) Staff who are employed on a research-only basis and have been deemed as not being an independent researcher. In this instance, appeals may be made on one or more of the following grounds:
    - The data used to determine their status as an independent researcher on the census date was inaccurate.
    - The data used to determine their status as an independent research on the census date was misinterpreted.
1. The Chair will consider, in confidence, written reports submitted by appellants in order to establish if a *prima facie* case for an appeal exists.

In cases where a *prima facie* case exists, The committee will:

2. Consider the details of the appeal at a formal meeting with the appellant.
3. Report outcomes of the appeal process to the appellant and to the Director of Research.
4. Treat as confidential the details of the appeal and any information disclosed in relation to it.
5. Undertake REF specific equality training, prior to undertaking any duties as detailed in 1-4.

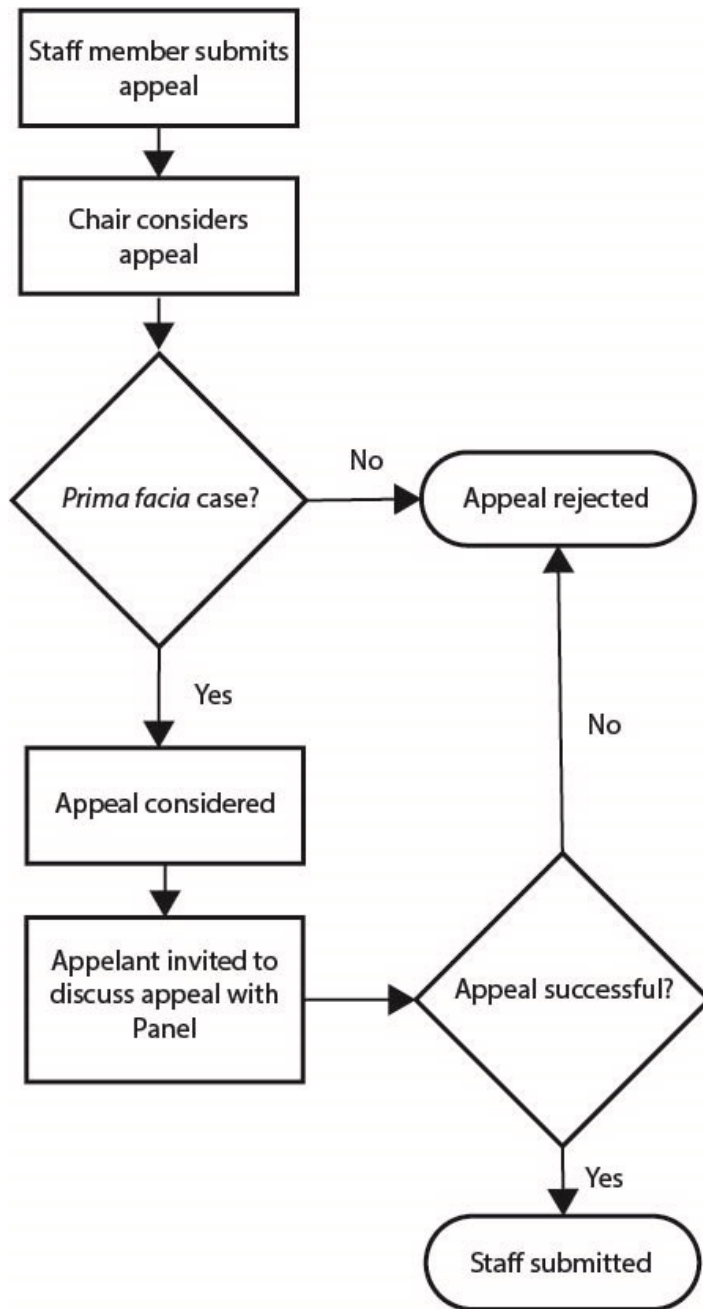
##### Membership:

Pro Vice Chancellor Student Engagement (Chair)	1
Two members of the University's Professoriate selected by the Chair with due consideration to the interests and confidentiality of the appellant	2
One member external to the University	1



Annex 5

Flow diagram to show the appeals process



## Annex 6

### Equality Impact Assessment on the Cardiff Met Code of Practice

#### Section 1: Contact details

Please complete your details and contact information in the spaces provided.

Policy/Practice owner	Prof Steve Gill
Job title:	Director of Research
School/Department:	Research and Innovation
Email:	
Submission date:	

#### Section 2: About the Policy/Practice

Please describe what you are impact assessing and who it applies to.

Title:	Code of Practice on preparing submissions for the 2021 REF			
Aims/description/purpose:	The production of a Code of Practice is a requirement of all HEIs which intend to make a submission to the 2021 Research Excellence Framework (REF). Codes will be submitted to the funding council and assessed by the Chair of the REF's Equality and Diversity Advisory Panel (EDAP).  The Code must include detail on: <ul style="list-style-type: none"><li>• The fair and transparent identification of staff with a significant responsibility for research</li><li>• Determining who is an independent researcher</li><li>• The selection of outputs</li></ul>			
People it applies to:	<input checked="" type="checkbox"/> Staff	<input type="checkbox"/> Students	<input type="checkbox"/> Visitors	<input type="checkbox"/> General public

#### Section 3: Gathering data and evidence

Have you identified relevant evidence (qualitative and quantitative) to establish whether this policy/practice could potentially affect some equality groups more than others?

Have you analysed equality data for each of the groups identified in Section 2?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
The Code of Practice has been developed in accordance with guidance published by the REF Team at HEFCE. In addition, the REF & Policy Manager has attended a training session undertaken by AdvanceHE (Equality, Diversity, Inclusion and the Research Excellence Framework 2021: A workshop for practitioners).  The Code will affect all "eligible" staff employed at Cardiff Met on the REF census date of 31st July 2020. 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". This group will be determined via reference to HESA records held by Human Resources.		
Have you identified/researched anecdotal or alternative evidence?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
The Code of Practice has been informed by lessons learned through participation in previous research assessment exercises and have been the subject of wide consultation with Schools and other stakeholders. Specifically, internal consultation has been sought via:		

- “All School” meetings
- Branch committee meetings of UCU
- Research & Innovation Committee
- Equality & Diversity Delivery Group
- Staff Equality Networks (LGBT+, Disability, Women’s and BME)

In addition, a consultation with all academic staff was undertaken 8th – 17th May. As part of this consultation period, the draft Code was specifically shared with the various representation groups, which operate within the University for their consideration.

The full timetable of consultation activities is as follows:

DATE	EVENT
18/10/18	R&I Committee
21/11/18	Cardiff School of Sport & Health Sciences (Llandaff) all School meeting
	Cardiff School of Sport & Health Sciences (Cyncoed) all School meeting
	Cardiff School of Management all School meeting
	Cardiff School of Technologies all School meeting
04/12/18	UCU Branch committee meeting
12/12/18	R&I Committee
	Cardiff School of Education & Social Policy all School meeting
19/12/18	Cardiff School of Art & Design all School meeting
31/01/19	Meet with PDR re process to identify Significant Responsibility for Research
19/03/19	UCU Branch committee meeting
30/04/19	UCU Branch committee meeting
01/05/19	R&I Committee
06/05/19 – 17/05/19	All-staff consultation on final draft of Code of Practice
	Consultation on final draft of Code of Practice with various staff representative groups
	EIA undertaken on final draft of Code of Practice
22/05/19	Equality & Diversity Delivery Group (EDDG)
w/c 27/05/19	R&I Committee (extraordinary meeting to consider final Code of Practice)
	Academic Common Interest Group meeting (with HR and UCU)

#### Section 4: Assessing the impact

Considering equality and the Welsh Language, based on your evidence, which equality groups might this policy/practice affect positively or negatively more or less than others (if any)?

Age	<input type="checkbox"/>	Race	<input type="checkbox"/>
Disability	<input type="checkbox"/>	Religion and belief (including no belief)	<input type="checkbox"/>
Gender reassignment	<input type="checkbox"/>	Gender	<input type="checkbox"/>
Marriage and civil partnership	<input type="checkbox"/>	Sexual orientation	<input type="checkbox"/>
Pregnancy and maternity	<input type="checkbox"/>	Caring responsibilities	<input type="checkbox"/>
Welsh Language	<input type="checkbox"/>		

Using examples from the evidence you have collected, please describe the impact (positive, negative or neutral) on the equality groups you have identified above.

The Code of Practice and the procedures outlined within it have been designed to ensure all eligible staff are treated equitably when deciding which have a Significant Responsibility for Research and which are independent researchers.

In order to guard against discrimination against any particular group of staff, a number of measures are built into the processes outlined in the Code of Practice. These are:

- Development and roll out of an online staff development module for all those involved in the decision making process for REF2021.
- A face to face staff development session led by Advance HE for senior decision makers.
- A clear process for staff to declare individual circumstances which may have affected their ability to produce research outputs in a safe and secure manner.
- The inclusion of an initial selection of outputs based on quality only which will only be amended should the selection not adhere to REF requirements regarding attribution to staff included in the submission.
- External verification of quality rating of outputs in many instances.
- Provision to undertake EIAs on pilot exercises and throughout the development of the submission.

As the Code has been developed specifically to protect against discrimination, no negative impact is expected as a result of its implementation.

Once approved, the Code will be made available to all staff via Sharepoint and will be communicated widely, including to staff who are currently away from the institution due to an extended period of leave. A Welsh language version of the Code will be made available.

### Section 5: Outcomes of impact assessment

Identify which of the four possible actions you intend to take with the policy/practice:

Possible Action	Please tick one outcome
No major change	<input checked="" type="checkbox"/>
Adjust the policy/practice – changes to method or implementation	<input type="checkbox"/>
Continue the policy/practice with mitigation or justification of negative impact	<input type="checkbox"/>
Stop and remove the policy/practice	<input type="checkbox"/>

### Section 6: Addressing any impact: action planning

Please describe any further actions you will undertake as a result of undertaking this assessment – include the timescale for each and who is responsible.

	Action	Timescale	Responsibility
1	No impact identified		
2			

### Section 7: Policy/Practice Review

When will the policy/practice be reviewed?

EIAs will form an integral part of the preparation for REF2021 and will be undertaken periodically (as indicated in the Code). Should ongoing analysis highlight any specific areas where there seems to be an imbalance between the sub set of staff or outputs (depending on which part of the process is the subject of the EIA) and the whole pool, this will be discussed with the relevant School or Schools and any necessary action will be taken.

## Section 8: Approval & Publishing

### Signature of EIA author:

Kate Jefferies (REF & Policy Manager, Research & Innovation Services)

**Date: 15<sup>th</sup> May 2019**

**Sent to Secretariat for publication**

**Date: 15<sup>th</sup> May 2019**

## Publication

Under the Specific Duties for Wales of the Equality Act 2010 Higher Education Institutions must assess the likely impact of proposed and reviewed policies and practices on its ability to comply with the general duty. Where an assessment shows that there is likely to be a substantial impact on its ability to comply with the general duty, HEIs must publish reports of assessments.

## Annex 7

### Cardiff Metropolitan University

#### Research Excellence Framework 2021: School REF Committees

##### Terms of Reference

These committees will have responsibility for determining the attribution of research outputs to be submitted to REF2021. Each School will convene a committee to consider attribution of outputs in the UoA(s) to which their staff will be returned.

The committee will:

1. Ratify ratings of all research outputs produced by staff in the School within the REF2021 publication period, consulting external experts where necessary.
2. Act on any instructions received from the institutional panel to consider individual circumstances regarding a reduction in expectation linked to particular staff.
3. Ensure, as far as possible, that the selection and attribution of outputs reflects the overall makeup of the submission in terms of protected characteristics.
4. Inform staff of the outcomes of the attribution process.
5. Liaise with the Director of Research & the REF & Policy Manager with regard to compliance with REF requirements.
6. Report outcomes of the process to the Director of Research.
7. Undertake REF-specific equality & diversity training.

##### Membership

As far as is practical, Schools must make every effort to ensure the committee accurately reflects the makeup of the School in terms of protected characteristics.

School Associate Dean of Research (Chair)	1
School REF Coordinator (where applicable)	1
Senior School Research staff*	up to 6
University Director of Research ( <i>ex officio</i> )	1

##### In Attendance

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

## Annex 8

### Cardiff Metropolitan University

#### Research Excellence Framework 2021: Institutional Panel to consider declared individual circumstances

##### Terms of Reference

This panel has responsibility for consideration of declared individual circumstances which may have affected an individual's ability to research productively throughout the REF2021 assessment period.

The panel will:

1. Consider declared circumstances in accordance with the principles and criteria set out in the Cardiff Met Code of Practice on Preparing Submissions for REF2021.
2. Report, both verbally and in writing, decisions made in relation to declared circumstances to the relevant staff member.
3. Report decisions to Schools prior to commencement of the process to select and attribute research outputs.
4. Treat as confidential the details of any circumstances disclosed.
5. Undertake REF-specific equality training, prior to undertaking any duties as detailed in 1-4.

##### Membership

Director of Research (Chair)	1
REF & Policy Manager	1
Civic and International Equality & Diversity Officer	1
Deputy Director of Research	1

## Annex 9

### Guidance on Submissions Annex L: Reductions for staff circumstances

1. Given the reduced output requirement for 2021, the tariffs for the defined reductions differ from those set in REF 2014. This is to ensure that a broadly equivalent reduction is given in the context of the submitted output pool, and to ensure that panels receive a sufficient selection of research outputs from each submitted unit upon which to base judgements about the quality of that unit's outputs.

#### Early career researchers

2. ECRs are defined in the "Guidance on submissions" (paragraph 148). Table L1 sets out the permitted reduction in outputs without penalty in the assessment that HEIs may request for ECRs who meet this definition.

Table L1: Early career researchers: Permitted reduction in outputs

Date at which the individual first met the REF definition of an ECR:	Output pool may be reduced by upto:
On or before 31 July 2016	0
Between 1 August 2016 and 31 July 2017 inclusive	0.5
Between 1 August 2017 and 31 July 2018 inclusive	1
On or after 1 August 2018	1.5

#### Absence from work due to secondments or career breaks

3. Table L2 sets out the permitted reduction in outputs without penalty in the assessment that HEIs may request for absence from work due to secondments or career breaks outside of the HE sector, and in which the individual did not undertake academic research.

Table L2: Secondments or career breaks: Permitted reduction in outputs

Total months absent between 1 January 2014 and 31 July 2020 due to a staff member's secondment or career break:	Output pool may be reduced by upto:
Fewer than 12 calendar months	0
At least 12 calendar months but less than 28	0.5
At least 28 calendar months but less than 46	1
46 calendar months or more	1.5

4. The allowances in Table L2 are based on the length of the individual's absence or time away from working in HE. They are defined in terms of total months absent from work.
5. As part time working is taken account of within the calculation for the overall number of outputs required for the unit (which is determined by multiplying the unit's FTE by 2.5), reduction requests on the basis of part



time working hours should only be made exceptionally. For example, where the FTE of a staff member late in the assessment period does not reflect their average FTE over the period as a whole.

### **Qualifying periods of family leave**

6. The total output pool may be reduced by 0.5 for each discrete period of:
  - a. Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2014 to 31 July 2020, regardless of the length of the leave.
  - b. Additional paternity or adoption leave<sup>4</sup> or shared parental leave<sup>5</sup> lasting for four months or more, taken substantially during the period of 1 January 2014 to 31 July 2020.
7. This approach to reductions for qualifying periods of family related leave is based on the funding bodies' considered judgement following consultation in the previous REF exercise that the impact of such a period of leave and the arrival of a new child into a family is generally sufficiently disruptive of an individual's research work to justify the specified reduction.
8. While the above reduction of outputs due to additional paternity or adoption leave is subject to a minimum period of four months, shorter periods of such leave could be taken into account as follows:
  - a. By applying a reduction in outputs where there are additional circumstances, for example where the period of leave had an impact in combination with other factors such as ongoing childcare responsibilities.
  - b. By combining the number of months for shorter periods of such leave in combination with other circumstances, according to Table L2.
9. Any period of maternity, adoption, paternity or shared parental leave that qualifies for the reduction of an output under the provisions in paragraph 6 above may in individual cases be associated with prolonged constraints on work that justify more than the defined reduction set out. In such cases, the circumstances should be explained in the request.

### **Combining circumstances**

10. Where individuals have had a combination of circumstances that have a defined reduction in outputs, these may be accumulated up to a maximum reduction of 1.5 outputs. For each circumstance, the relevant reduction should be applied and added together to calculate the total maximum reduction.
11. Where Table L1 is combined with Table L2, the period of time since 1 January 2014 up until the individual met the definition of an ECR should be calculated in months, and Table L2 should be applied.
12. When combining circumstances, only one circumstances should be taken into account for any period of time during which they took place simultaneously.
13. Where an individual has a combination of circumstances with a defined reduction in outputs and additional circumstances what require a judgement, the institution should explain this in their reduction request so that a single judgement can be made about the appropriate reduction in outputs, taking into account all the

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

<sup>5</sup> "Shared parental leave" refers to leave of up to 50 weeks which can be shared by parents having a baby or adopting a child. This can be taken in blocks, or all in one go.

circumstances. The circumstances with a defined reduction in outputs to be requested should be calculated according to the guidance above (paragraphs 2 to 10).

#### **Other circumstances that apply in UOAs 1-6**

14. In UOAs 1-6, the number of outputs may be reduced by up to one, without penalty in the assessment, for Category A Submitted staff who are junior clinical academics. These are defined as clinically qualified academics who are still completing their clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or its equivalent prior to 31 July 2020.
15. This allowance is made on the basis that the staff concerned are normally significantly constrained in the time they have available to undertake research during the assessment period. Where the individual meets the criteria in paragraph 14, and has had significant additional circumstances – for any of the other reasons set out in the “Guidance on submissions” in paragraph 160 – the institution can make a case for further reductions in the unit reduction request.

#### **Circumstances requiring a judgement about reductions**

16. Where staff have had other circumstances during the period (see paragraph 160e in the “Guidance on submissions”) – including in combination with any circumstances with a defined reduction in outputs – the institution will need to make a judgement about the effect of the circumstances in terms of the equivalent period of time absent, apply the reductions are set out in Table L2 by analogy, and provide a brief rationale for this judgement.

**Annex 10**  
**Glossary of Terms**

REF 2021	The REF is the system for assessing research in UK HEIs. It was first conducted in 2014 and replaced the previous Research Assessment Exercise (RAE).
Category A Eligible staff	Academic staff with a contract of employment of 0.2 FTE or greater, on the payroll of the submitting institution on the census date, and whose primary employment function is to undertake either “research only” or “teaching and research”. Staff should have a substantive connection with the submitting institution. Staff on “research only” contracts should meet the definition of an independent researcher. Staff meeting these criteria will form the total eligible staff pool but may not necessarily be submitted.
Category A Submitted staff	Category A Eligible staff who have been identified as having significant responsibility for research on the census date.
Census date	The date on which staff must be in post at the submitting institution and meet the eligibility criteria to be returned as Category A Submitted staff is 31 July 2020.
Early Career Researcher (ECR)	Category A staff who started their careers as independent researchers on or after 1 August 2016.
Equality and Diversity Advisory Panel (EDAP)	The Equality and Diversity Advisory Panel (EDAP) advises the funding bodies, the REF Team and the REF panels on the development of the full range of measures to promote equality and diversity in the REF.  Details of panel members are available via the REF2021 website <a href="#">here</a> .
Independent Researcher	Independent researchers undertake self-directed research, rather than carrying out another individual’s research programme.
REF assessment period	Research impact, the research environment and data about research income and research doctoral degrees awarded must fall within the assessment period. This will run from 1 August 2013 to 31 July 2020.
REF eligible outputs	The product of research, as defined in the REF as “a process of investigation leading to new insights, effectively shared”. An underpinning principle of the REF is that all forms of research output will be assessed on a fair and equal basis.  Outputs submitted to REF2021 must have been first made publicly available between 1 January 2014 and 31 December 2020.  A full list of output types is provided in Annex K of the <a href="#">Guidance on Submissions</a>
REF output rating	All outputs submitted to REF2021 will be rated against the three criteria of “originality, significance and rigour” according to the following scale: Four star: Quality that is world-leading in terms of originality, significance and rigour.

	<p>Three star: Quality that is internationally excellent in terms of originality, significance and rigour.</p> <p>Two star: Quality that is recognised internationally in terms of originality, significance and rigour.</p> <p>One star: Quality that is recognised nationally in terms of originality, significance and rigour.</p> <p>Unclassified: Quality that falls below the standard of nationally recognised work. Or work which does not meet the published definition of research for the purposes of this assessment.</p>
REF publication period	Outputs submitted to REF2021 must have been first made publicly available between 1 January 2014 and 31 December 2020.
Research & Innovation (R&I) Committee	Has responsibility within Cardiff Met for overseeing all aspects of the University's research and innovation, and research degree registrations. The Committee reports directly to Academic Board.
Significant Responsibility for Research (SRR)	Staff with significant responsibility for research are those for whom explicit time and resource are made available to engage actively in independent research, and that is an expectation of their job role.
Unit of Assessment (UoA)	Submissions in REF2021 will be made in 34 discipline-based "units of assessment". There is an expert sub-panel for each UoA.